

# **The UGC Research Development and Innovation Programs Implementation Guidelines**

**Revised Edition  
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**The University Grants Commission**  
**Research Division**  
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## **Acronyms**

CC	Cluster Committee
Co-I	Co-Investigator
EC	Evaluation Committee
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
RI	Research Institution
RMC	Research Management Cell
RDIPIG	Research Development and Innovation Programs Implementation Guidelines
SHEP	Second Higher Education Project
UGC	The University Grants Commission



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# *SECTION I*

## **INTRODUCTION AND IMPLEMENTATION ARRANGEMENT**

### **1.1: The Context**

One of the important roles of the University Grants Commission (UGC), as envisioned in its Act, is to support research activities in universities. This support is an integral part of enhancing the quality and relevance of higher education in the country. Since its inception, the UGC has been providing a number of grants. These include PhD and MPhil fellowships to faculty and young students, thesis support grants to students, mini-research grants to junior faculty members, support for trainings and seminars, and travel grants for faculty members. The UGC has also been supporting activities related to research and quality of education in the country's higher education institutions. The Second Higher Education Project (SHEP), 2007-2014, a major reform initiative of the government of Nepal supported by the World Bank, helped enhance the capacity of the UGC as well as 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 consisting of the Research Council, the Evaluation Committee, and various subject area-specific Cluster Committees for effective and efficient management of research funds. It has brought into function a mechanism and procedure for competitive selection of candidates for research support award. The SHEP helped introduce new provisions on faculty research award, institutional research award and PhD scholarship. It also helped strengthen the thesis support program and research methodology training. It has helped the higher education institutions consolidate their research capacity by supporting the establishment of research management cells. It has opened industry and academia dialog, and most importantly, initiated a dialog on culture of inquiry. It has also helped strengthen libraries and laboratories. The overall goals of the SHEP research support was to help improve quality of higher education teaching and learning practices by inculcating research culture in higher education institutions in order to make higher education more relevant to national needs and priorities.

Drawing on the experience and outcomes of the Second Higher Education Project (SHEP), the current Higher Education Reforms Project (HERP) 2015-2020, has planned to consolidate the UGC research funding system and extend research funding to further enhance academic excellence through research development and innovation (RDI). The HERP specifies four major areas of reform:

1. strengthening higher education system;
2. reform in higher education programs;
3. enhancing equity and inclusion in access; and
4. enhancing academic excellence through research, development and innovation.

The HERP emphasizes on linking research funding with national priorities. The funding of the HERP is based on seven important disbursement linked indicators (DLIs). Academic excellence through research, development and innovation, the focus of this document, constitutes the seventh DLI.

This Research Development and Innovation Programs Implementation Guidelines (RDIPIG) combines the UGC Procedure for Quality Improvement Program (QIP) and a revised version of the earlier UGC guidelines for research funding prepared for the SHEP. The revision is based on the National Program for Higher Education Reform and Development (NPHRD), the HERP Project Implementation Manual (PIM) and the recently passed Higher Education Policy (HEP), following the core values and provisions of the UGC Act and regulations. The current version of the guidelines is a complete and revised version of the earlier edition.

## **1.2: Objectives of Research Funding**

The primary purpose of the research support programs of the UGC is to promote research, development and innovation through research funding to HEIs, faculty members and students as well as to strengthen research infrastructure of HEIs in the country.

Specifically, research-funding programs of the UGC aim to:

- Inculcate a culture of research and innovation in higher education institutions in the country by strengthening research and related activities.
- Contribute in strengthening the linkage between teaching-learning and research innovation and development, thereby improving the overall quality and relevance of higher education.
- Support the paradigm shift from conventional theory-based teaching to emerging research and application-based teaching-learning in national higher education institutions.
- Contribute to the enhancement of competitive research capabilities of faculty members and higher education institutions in the country.
- Establish university-industry relationships through frequent dialogs between the higher education institutions and industries and promote industry-sponsored research and innovation.
- Offer support to the generation of relevant knowledge and technology, thereby contributing to socio-economic development of the country.

## **1.3: Guiding Principles of Research Funding**

The formulation of research funding policies, implementation of various programs, and their monitoring and evaluation functions is guided by the following set of distinctive principles:

Table 1.1: Guiding Principles of Research Funding

<b>Guiding Principles</b>	<b>Descriptions</b>
<b>Principle 1:</b> Transparency	Each research funding function and its monitoring, evaluation and control to be conducted with transparency of information in terms of norms or criteria, process, and end-results
<b>Principle 2:</b> Participation	Wider participation of beneficiary institutions to be sought at every level of planning, implementation, monitoring, and control mechanism
<b>Principle 3:</b> Ethics	Maintenance of professional integrity and ethics in research activities and administration
<b>Principle 4:</b> Standardization	Use of pre-determined and testified criteria in competitive selection, implementation, evaluation and monitoring system
<b>Principle 5:</b> Communication	Timely communication of information through pre-specified channels
<b>Principle 6:</b> Stakeholder focus	Each program to be tailored with the prevailing national needs and the wider coverage of stakeholders
<b>Principle 7:</b> Culture of inquiry	Each program to be focused on harmonizing the culture of inquiry in a more scientific way for originality and innovation.
<b>Principle 8:</b> Timeliness	Each program to be executed and accomplished within the given timelines
<b>Principle 9:</b> Quality maintenance	Compliance to incremental improvement of high quality standards at policy formulation as well as implementation level
<b>Principle 10:</b> Commitment	Sharing and execution of long-term institutional commitment for improving research culture within national higher education

#### 1.4 Subject Clustering

All subjects taught in Nepali universities 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

Agriculture and Forestry, Engineering, Health Sciences and Science and Technology clusters are regarded as ‘technical clusters’ and the rest as ‘non-technical clusters’. For the purpose of funding, in some cases, research projects might be classified into “laboratory-based/technical research” and “theoretical/non-technical research”.

### 1.5: Institutional Arrangements

In order to implement research support programs effectively, the UGC has formed three different levels of advisory/technical bodies, namely the Research Council, the Evaluation Committee and subject cluster-specific Cluster Committees, and a permanent structure, namely, the Research Division, within the UGC. The Research Division coordinates the function of all bodies and it also acts as their secretariat. The institutional arrangement of research program-related bodies is illustrated in figure 1.

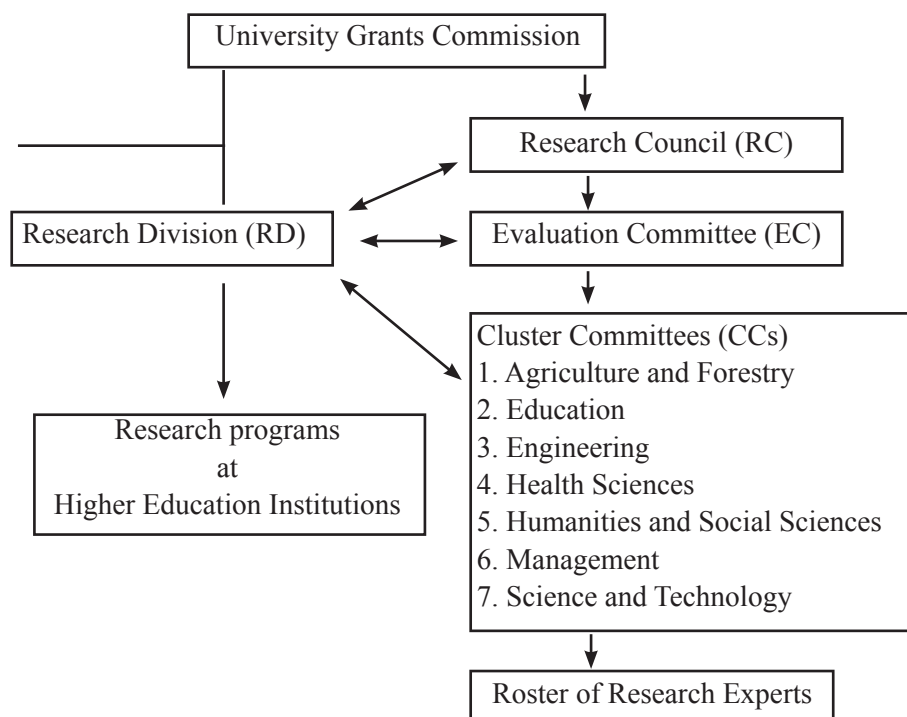


Figure 1: Institutional arrangement for administering research programs of the UGC

#### 1.5.1: Research Council (RC)

The Research Council has been formed within the UGC system with a mandate to formulate the research funding policies, devise strategies to promote research in academic institutions, and monitor the programs supported by research funding component of the project. The Council is also responsible for coordinating its activities with other research funding institutions to ensure the efficient use of resources. Table 1.2 presents the membership arrangements of the RC.

Table 1.2: The Composition of the Research Council (RC)

S.N.	Representation	Membership
1.	Chair Person, UGC	Member
2.	Member Secretary, UGC	Member
3.	Rector, Tribhuvan University	Member

S.N.	Representation	Membership
4.	Representative from among other universities (1)	Member
5.	National Academy of Science & Technology (NAST)	Member
6.	Nepal Academy	Member
7.	National Agriculture Research Council (NARC)	Member
8.	Nepal Health Research Council (NHRC)	Member
9.	Ministry of Education	Member
10.	National Planning Commission	Member
11.	Representative, FNCCI	Member
12.	Researchers/Professionals nominated by UGC (5)	Member
13.	Director of the Research Division	Member Secretary

The UGC Board, following the UGC rules and regulations, will make the selections.

### 1.5.2: Research Division (RD)

The Research Council is a permanent functional structure of the UGC system for the day-to-day administration of research-related activities. The RD is responsible for the execution of the policies formulated by the RC and the UGC. All administrative matters of the RD are governed by the general policies, rules and regulations of the UGC. In carrying out its activities, the RD is responsible to both the UGC and the RC. The staff structure of the RD is presented in table 1.3.

Table 1.3: Staff Structure of the Research Division (RD)

S. N.	Job Position	Number
1	Director	1
2	Senior Research Officer, Research Management	1
3	Senior Research Officer, Research Quality Assurance	1
4	Research Program Officer	4
5	Senior Administrative Assistant	2
<b>Total</b>		<b>9</b>

*Note: The staffing of the RD 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.*

### 1.5.3: Cluster Committee (CC)

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.

For interdisciplinary programs, the responsibility of a cluster committee is carried out by the Evaluation Committee. A Cluster Committee is formed for each cluster. The members of Cluster Committees will comprise of prominent scholars who have the expertise in the respective cluster areas and significant research experiences. The primary role of the Cluster Committee is to evaluate research proposals and reports in their subject area. The detailed role of the CC is outlined in Table 1.5.

### 1.5.3.1: Formation of Cluster Committees

Each of the cluster committee consists of five members including a coordinator nominated from among the members. The members are proposed by the Council and appointed by the UGC. The Coordinator will also be representing the Cluster Committee in the Evaluation Committee as its member.

With the recommendation of the CC coordinator, additional experts can be invited to the cluster committee, when needed. The CC can draft its own procedure to carry out its functions. The procedure will, however, comply with the guidelines and regulation of the UGC.

A Cluster Committee has a 2-year tenure term.

Minimum qualification requirement for the members are a PhD degree / proven track record in research and publications.

### 1.5.4: Evaluation Committee (EC)

The Evaluation Committee comprises of Coordinators of all seven cluster committees and research scholars selected by the UGC from various organizations. The primary responsibility of the EC is to evaluate the graded proposals submitted by the CC in a holistic manner, prepare a final merit list and send its recommendations to the Research Council for final selection. Where possible, one or more international experts having wide experience in research management, would be invited to assist during the first two rounds of proposal selection process. Alternatively, an oral presentation of the proposal is evaluated by a panel of the CC and a subject area expert. The EC also assists the RD in policy matters and coordination with relevant organizations and stakeholders. The roles of the EC are outlined in Table 1.5. The composition of the Evaluation Committee is given in Table 1.4.

Table 1.4: Composition of Evaluation Committee (EC)\*

<b>Representation</b>	<b>Minimum Qualification</b>	<b>Membership</b>	<b>Number</b>
Coordinators, Cluster Committees		Members	7
Government/semi-government organizations	Minimum Joint Secretary level/10 <sup>th</sup> level officer with a PhD	Member	1
Non-governmental research organizations	A PhD + 10 years research experience	Member	1
National/international expert	Associate Professor	Member	1
Director, Research Division, UGC		Member Secretary	1
Total			11

\*Each member of the EC should have proven record of accomplishment in research



### 1.5.5: Roster of Reviewers

The UGC maintains a roster of independent national and international research experts and updates it regularly. The reviewers' support is sought 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, as and when necessary.

### 1.6: Specific Responsibilities

Specific responsibilities of the UGC, the RC, the EC, the CC, the reviewers and the RD are outlined in Table 1.5.

Table 1.5: Specific Responsibilities of Institutional System

<b>Institutional System</b>	<b>Responsibilities</b>
UGC Board	<ul style="list-style-type: none"> <li>• Apex governing body for all the UGC functions</li> </ul>
Research Council (RC)	<ul style="list-style-type: none"> <li>• Apex advisory body for all research programs of the UGC</li> <li>• Provides guidelines and policy support for research activities through the Research Division</li> <li>• Approves the functional activities of the Evaluation Committee</li> <li>• Functions as the apex body to make decision on disputes related to research programs</li> <li>• Enforces academic integrity and research ethics</li> <li>• Networks with national and international research agencies for cooperation and resource mobilization</li> </ul>
Evaluation Committee (EC)	<ul style="list-style-type: none"> <li>• Advises on policy matter related to research programs</li> <li>• Prepares evaluation criteria for research proposal and reports</li> <li>• Helps the RD to maintain a roster of research experts and reviewers</li> <li>• Provides assurance of the validity of the results produced by the CCs</li> <li>• Prepares initial result of awards based on merit list, allocation and comments by the CCs. Consults with the CCs and the RD when it deems necessary to prepare the award list. Sends its recommendations to the Research Council for final decision.</li> </ul>

<b>Institutional System</b>	<b>Responsibilities</b>
Cluster Committees (CCs)	<ul style="list-style-type: none"> <li>• Assigns reviewers for reviewing research proposals</li> <li>• Evaluates research proposal presentations (the CC might call for further discussion with the candidate while evaluating the proposal)</li> <li>• Grades research proposals for their association to national priority</li> <li>• Reviews the merit list of research proposals before sending them to the Evaluation Committee</li> <li>• Monitors the work progress of the selected proposals; evaluates periodically their progress reports</li> <li>• Recommends for disciplinary action in the event that the work progress is found unsatisfactory at the periodic evaluation</li> <li>• Helps to enforce academic integrity and research ethics</li> <li>• Reviews the Research Program Guidelines for Cluster-specific proposal format and evaluation scheme</li> <li>• Helps in reform activities</li> </ul>
National reviewers	<ul style="list-style-type: none"> <li>• Use predefined criteria to evaluate the proposals</li> </ul>
International reviewers	<ul style="list-style-type: none"> <li>• Evaluate research proposals using predefined criteria. (Evaluation of a presentation made by an applicant can be employed as an alternative.)</li> </ul>
RD	<ul style="list-style-type: none"> <li>• Coordinates to draft policies and programs of research support</li> <li>• Implements the UGC research policies and programs</li> <li>• Facilitates and assures the functioning of the CCs, the EC and the RC</li> <li>• Functions as secretariat for the EC and the RC</li> <li>• Administers the UGC research support programs, following the research guidelines</li> <li>• Coordinates among institutional system to administer the research</li> </ul>

## **1.7: Scope of the Research Funding**

To accomplish the objectives of the project, the research component includes fellowships, research grants, research training and institutional support programs. A brief description of each of these components is given below. Further elaboration on these programs can be found in Sections II-V.

### ***1.7.1: Fellowships and Research Supports***

Students in their doctoral degrees are supported with PhD fellowships, PhD research support, and partial support. Students studying at the MPhil level are supported with fellowships, and thesis preparation support. Master's students are supported with thesis preparation support. A limited number of postdoctoral fellowships are provided for collaborative research projects funded by the UGC.

The key objective of PhD and MPhil fellowships and support program is to enhance the research competency of HEIs by providing support to their faculty members without doctoral or MPhil degree to obtain those degrees. Provision is made to award 75% of PhD fellowships and at least 50% of MPhil fellowships to faculty members currently enrolled for those degrees in universities. The rest of the fellowships are provided to young students. Another important objective of this program is to provide funds to Master's degree students for their theses preparation.

Details of the Fellowships and Research Support are presented in section II. Postdoctoral fellowship is described in section 2.5.

### ***1.7.2: Research Grants***

This sub-component aims to provide competitive research funding to encourage the university-level teaching professionals for conducting various research projects.

The key objective of this funding is to enhance the quality and relevance of university-level teaching-learning practices through the funded research activities in HEIs. All research projects funded by the UGC must include thesis students. Involvement of junior faculty for research experience and training is also encouraged. Generation of knowledge relevant to national development is also one of the key expectations of the research support program. The detailed modality of funding for faculty research is described in Section III of this document.

### ***1.7.3: Matching Fund for Research, Development and Innovation***

This sub-component is intended to encourage and support research, development and innovation sponsored by industries and public sector agencies. The ceiling of the support is Rs. 20,00,000.

To apply for Matching Research Grant from the UGC, the applicant will have to produce a proof of sponsorship of the same amount from the sponsoring agency. Procedure for application, evaluation of applications and award of the UGC grant are similar to that for Small RDI, Faculty and Collaborative Research Grant, whichever is the closest in grant amount and the nature of the project.

### ***1.7.4: Research Trainings***

The main purpose of supporting training activities is to provide opportunities to develop research capacity, explore resources, develop networking and update with recent trends and developments. The support covers the financial contribution for conducting a series of orientation seminars, workshops and training programs in research methodology, ethical and regulatory issues and advanced laboratory techniques.

Interested higher education institutions or competent research organizations are selected on competitive basis for funding support to organize the workshops, seminars and training programs. At least 50% of the number of funding support provisions is set aside for institutions from outside

the Kathmandu Valley. Section IV of this document presents the detailed modality of funding research trainings, workshops and seminars.

### **1.7.5: Institutional Support**

The provisions of institutional support will cover strengthening the HEI Libraries, strengthening higher education institutions' research infrastructure establishment and promotion of research management cells (RMC), conducting university-industry dialogs, supporting for the access to research literature, and establishing an internet-based networking including University Libraries and other research libraries. This sub-component will also support networking of research laboratories and developing access to testing services.

The key purpose of the funding under this sub-component is to enhance the institutional infrastructure leveraging research and development activities. Ultimately, this funding is expected to contribute significantly in reforming institutional capacity to achieve academic excellence through research and development re-orientation.

### **1.7.6: Quality Improvement Programs**

As a part of its regular programs, the UGC has been supporting, in addition to fellowships and research grants, various capacity development programs. The capacity development programs include faculty capacity development activities, staff capacity development activities, academic meetings, visiting professor support and travel grants. These programs are described in detail in the *UGC Annual Programs and Procedure*.

## **1.8: Budgeting of Research Funding Activities**

Research support programs of the UGC are funded via two sources, namely, regular Quality Improvement Program (QIP) of the UGC and Research Support program of Higher Education Reforms Project (HERP). The fund allocated for the QIP for the year 2015-16 is shown in Appendix 1.1. The total research support programs funded by the HERP and their distribution are shown in Appendix 1.2 (2015-2020) and Appendix 1.3 (2015-2020). The total research support program funded by the QIP and the HERP together for the year 2015-2016 is shown in the table 1.6.

Table 1.6: Total Research Support Programs for 2015-2016

<b>Program</b>	<b>Beneficiary</b>	<b>Number</b>	<b>Funding Rate (Rs. 000)</b>	<b>Total Funding (Rs. 000)</b>
<b>Fellowship and Thesis Support</b>				
*PhD Fellowship	Faculty/Student	24	357	8568
*PhD Fellowship and Research Support	Faculty/Student	16	552	8832
PhD Fellowship (ongoing)	Faculty/Student			2500

<b>Program</b>	<b>Beneficiary</b>	<b>Number</b>	<b>Funding Rate (Rs. 000)</b>	<b>Total Funding (Rs. 000)</b>
*Partial PhD Fellowship for faculty members from accredited campuses and campuses with autonomy	Faculty	3	357	1071
PhD Partial Support	Faculty/Student	20	45	900
*MPhil Fellowship	Faculty/Student	40	100	4000
**MPhil Thesis Preparation Support		20	30-40	+800
*Master's Thesis Preparation Support	Student	80	30-40	3200
**Master's/MPhil Thesis Preparation Support (Disability)		40	30-40	+1600
Postdoctoral Fellowship	Open	2	840	1680
<b>Research Grants</b>				
Small RDI Grant	Faculty	50	140	7000
Faculty Research Grant	Faculty	50	300	15000
Collaborative Research Grant	Faculty	10	1500-2000	17500
*Matching Research Grant	Faculty/Student	Open	75-200	6009
*Special Research Fund	Faculty/RI	Open	Open	4000
Special Requirement of Faculty Research (Technical)	Faculty	25	100	2500
<b>Training/Workshop</b>				
Research Trainings	HEI/RI	50	100-175	7500
Academia-Industry Dialog	HEI/RI/ Industry	5	120	600
<b>Research Infrastructure</b>				
Laboratory Support	HEI laboratory			20000
Library Networking	HEI library			10000
Research Management Cell	HEI	New- 10 Old- 20	200-1000 200	6000 4000
<b>Publication Support</b>				
Research Article Publication in Refereed Journal	Faculty/Student	20	50	1000
Publication of Refereed journal	HEI/RI/PS	5	500	2500
<b>Capacity Development</b>				
**Faculty Capacity Development (Refresher Course/Training Program)	HEI			9600
**Staff Capacity Development (Training, Meeting)	HEI/UGC			3200

<b>Program</b>	<b>Beneficiary</b>	<b>Number</b>	<b>Funding Rate (Rs. 000)</b>	<b>Total Funding (Rs. 000)</b>
**Conference, Seminar, Workshop	HEI/RI			9950
**Travel (Conference, Teaching, Study)	HEI			6750
Capital Expenses				2500
Funding contribution by the HERP				118760
**Funding contribution by the UGC QIP				50000
<b>TOTAL</b>				<b>168760</b>

Note:

\* Subcomponents are jointly funded by the UGC QIP fund and the HERP fund

\*\* All components are funded solely by the UGC QIP fund

The rest are funded solely by the HERP fund

### **1.9: Institutional Eligibility for Research Funding**

The higher education institutions and research institution/centers associated with the HEIs that fulfill the following criteria are eligible to participate in the competitive selection in various research funding programs:

- a. institutions offering postgraduate level (Master's and/or higher level) programs and/or offering academic research activities;
- b. faculty already engaged in seminar, workshops, training, and research;
- c. potential to recruit young researchers and graduate students preferably for their theses;
- d. a strategic plan to develop and strengthen the research capacity;
- e. research performance being recognized as an important criterion for recruitment and promotion of faculty members; and
- f. institutional infrastructure for the management of research activities in place.

### **1.10: Beneficiaries and Selection Mechanism for Research Funding**

As envisioned by the entire HERP, the philosophy of research funding shall be governed by the principle of strengthening institutional capacity by giving the highest priority for the involvement of respective beneficiary institutions in different stages of implementation of project activities. Table 1.7 presents with a summarized matrix of the information on activities, beneficiaries or participants, and their selection mechanism for funding:

Table 1.7: Program Administration Matrix

Research Activities	Participants	Selection Mechanism	Administered by
<b>Student Research</b>			
PhD Fellowship (75% seats for faculty members; 25% seats for young students)	PhD students registered in the HEIs in Nepal or (young student category) a Public University in China and SAARC countries (faculty category)	Competitive selection	UGC
PhD Research Support	Applicants for PhD Fellowship (technical clusters)	Competitive selection	UGC
MPhil Fellowship (50% seats for faculty members; 50% seats for young students)	MPhil Student registered in HEIs in Nepal	Competitive selection	UGC
MPhil/Master's Thesis Preparation Support	Final semester/year student	Competitive selection	UGC
Partial Support for PhD Fellow	PhD Fellow without fellowship	Eligibility-based award	UGC
<b>Faculty Research</b>			
Small RDI Grants	Faculty members from HEIs/research institutions associated with HEIs	Open-competition through proposal evaluation	UGC
Faculty Research			
Collaborative Research			
Postdoctoral Fellowship	Open	Selection by PI of the UGC funded Collaborative Research Project	PI/HEI and UGC
<b>Research Seminars, Workshops and Training</b>			
Research Trainings	Organizer: HEIs and Research Institutions, Participants: Faculty members and research fellows from HEIs in Nepal	National and regional competitive selection [50 % each for national and regional]	UGC, selected HEIs and Research Institutions
Academia-Industry Dialogs	Industry, University, Policy makers, professionals	Consultation	UGC and organization-supported

Institutional Support			
Strengthen TU Central Library	TU Central library	On the basis of Strategic Plan submitted by the TU Central Library	UGC and TU
Networking of -Research Libraries -Networking of research initiatives and sharing of facilities	Institutions having research libraries and research management cells	Consultation/ Committee	HEI Library / UGC
Strengthen Research Infrastructure of Laboratories	HEIs with faculty members and students undertaking research projects	Through consultation with HEIs	HEI and UGC
Establish Research Management Cells	HEIs with faculty members and students undertaking research projects	Consultation	HEI and UGC
Support for Publication			
Publication of Refereed Journals	HEI, Research Institutions, Professional Societies	Consultation/ Competition	HEI, Research Institutions, Professional Societies
Publication of research articles in Indexed journals	Researchers and faculty members in the universities of Nepal	Consultation	UGC
Capacity Development Program funded by QIP			
Faculty Capacity Development Activities	Faculty members	Proposal	HEI, RI
Staff Capacity Development Activities	Faculty members and staff	Proposal and Consultation	HEI, RI, UGC
Academic Meetings	HEI, RI	Proposal and Consultation	HEI, RI
Visiting Professor Support and Travel Grants	Faculty and student	Proposal	HEI, RI

### 1.11: Program Sustainability and Continuation

The Research Division is a permanent structure under the UGC's system and most of the activities performed by the UGC, including those initiated under the SHEP, have been given continuity within the scope of UGC funding. Further, the Research Division will work closely with various other organizations to promote research collaboration and partnership.



At the beneficiary institutional level, since the funding is implemented strictly under the condition of institutional readiness and preparedness for bearing all operating and recurrent expenses by their own, this mechanism is expected to result in the feeling of ownership of the respective institution on every activity funded for the reform of the higher education institutions.

### **1.12: Research Ethics**

The UGC is committed to academic excellence and to 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 and procedures for addressing allegations of research misconduct.

Research projects approved for funding by the 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 UGC-funded activities should also follow provisions of Environment Monitoring Framework and Social Management Vulnerable Community Development Framework of the HERP.

#### ***Research misconduct***

Research misconducts include deliberate fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results, and violation of research ethics.

- 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.
- Violation of research ethics include failure to comply with research ethics in practice in related academic disciplines, deliberate harm caused to humans, animals, the environment and public fund, and failure to comply with the ethical guidelines set forth by national research councils.
- Research misconduct does not include honest error or differences of opinion.

The UGC will draft a detailed UGC Policy/Guidelines on Research Misconduct and it is made a part of this Guidelines. 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 the UGC for taking in the case.

### **1.13: Priority Areas for Research Funding**

The Higher Education Reforms Project has prepared a framework for National Priorities for Research Funding, which is drawn primarily from the 13<sup>th</sup> plan of the National Planning Commission (2014/15-2016/17), the Higher Education Policy (HEP) and the National Program for Higher Education Research and Development (NPHRD). The priority framework is presented in Appendix 7. The list of priority areas for funding research projects is as follows:

1. science and technology;
2. engineering;
3. medicine;
4. agriculture and forestry; and
5. research activity associated with any of the following objectives and areas:
  - a. reduction of economic and human development poverty;
  - b. employment generation;
  - c. holistic development of national economy;
  - d. economic, social and political transformation to develop culture of inclusive democracy;
  - e. conservation and development of national heritage;
  - f. promotion of indigenous knowledge, vocation, and technology;
  - g. conservation and sustainable use of natural resources and environment including biodiversity;
  - h. productivity enhancement in and diversification and commercialization of agriculture;
  - i. development of basic education, health, drinking water and sanitation, food and nutrition;
  - j. promotion of good governance;
  - k. transportation and other infrastructure;
  - l. water resources;
  - m. renewable energy;
  - n. small industries and business;
  - o. natural disaster and hazard management;
  - p. global warming and climate change;
  - q. public-private-community participation in development issues;
  - r. engineering and information and communication technology; and
  - s. biotechnology, pharmaceuticals and nanotechnology.

### 1.13.1: Evaluation of Research Proposals for National Priority

Individual Cluster Committees will screen and grade individual research proposals for their association to national priority. Research proposal format and proposal evaluation matrix have been designed accordingly. Evaluation for association to national priority might also be done by independent proposal reviewer, the Evaluation Committee or the Research Division.

### 1.14: Definition of the Key Terminologies

- a. **Cluster Committee (CC)**: A group of expertise-style committee, consisting of members drawn from a specific subject area covering full ranges of activities across the universities. The members are responsible for the evaluation of proposals using pre-determined criteria and for monitoring the progress of the UGC-supported activities.
- b. **Evaluation Committee (EC)**: The committee comprising coordinators of Cluster Committees and high-level research professionals formed to provide technical and professional support to research programs, evaluation and research guidelines.
- c. **Research Council (RC)**: An advisory body within the UGC to advice on matters related to research; it also functions as the apex body for research-related activities of the UGC.
- d. **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.
- e. **Faculty Research**: This refers to the research conducted by faculty members with the involvement of graduate students.
- f. **Collaborative Research**: This refers to the large collaborative research conducted by three or more faculty members and graduate students.
- g. **Funding for Seminar-Cum-Workshop on Academia-Industry Dialog**: Research funding allocated for the activities aimed to establish suitable institutional forum for regular dialog, and interactions between the industrial representatives and university/campus researchers to share research information that lead to the development of industrial RDI.
- h. **A Refereed Journal**: Also known as a peer-reviewed journal (that may or may not have been internationally indexed and ranked).
- i. **Indexed Journals**: Journals that are indexed by international indexing services.
- j. **Impact factor/Journal Rank**: Journal impact value or rank measured by agencies like Thomson Reuters Journal Citation Report and SCImago Journal Ranking agency.
- k. **Project Funding Beneficiaries**: Unless defined separately, the university-level teaching faculty, university departments, research management cells and research libraries/laboratories established in higher education institutions, fresh graduates opting for advanced level studies, ongoing Master's/MPhil final year/semester graduates are the intended beneficiaries of the research funding.

### 1.15: Section-Wise Organization of the Document

This document organized in six distinctive sections. Table 1.10 presents a quick overview of the contents arranged in each section.

Table 1.8: Section-Wise Presentation of the Document

<b>Section Number</b>	<b>Section Contents</b>
I	<b>Introduction:</b> Institutional setup -- structure of the Research Council, the Research Division and Committees; brief overview of various research funding arrangements under the HERP and the QIP
II	<b>Sub-Component I:</b> Master's/MPhil/PhD/Postdoctoral Fellowships and partial support for students' theses
III	<b>Sub-Component II:</b> Various research grants for faculty members
IV	<b>Sub-Component III:</b> Trainings and dialogs
V	<b>Sub-Component IV:</b> Institutional Support for Strengthening Research Infrastructure like research laboratories and libraries
VI	<b>Monitoring and Evaluation</b> Brief information on expected outcomes, and mechanism for program monitoring and evaluation
VII	<b>Appendices</b> of various sample forms and formats subject to modification

## *SECTION II*

# **FELLOWSHIP AND RESEARCH SUPPORT FOR STUDENTS**

### **2.1: Introduction**

As an integral part of research funding component of the HERP and regular program of the UGC, this subcomponent covers the financial support to the faculty members from HEIs and fresh postgraduate students taking Master's, MPhil or PhD degrees. This program is also introducing provision of postdoctoral fellowship in the 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.

Under this program are PhD fellowships to student for three years, financial support for PhD research provided through the host institution, MPhil fellowships for 18 months, partial support for research or thesis preparation for Master's, MPhil and PhD students. A limited number of postdoctoral fellowships for up to 2 years are provided to qualified researchers to work in the UGC-funded research projects. Candidates from disadvantaged groups (Women, Dalit, Janajati, Madhesi, persons with disability, and persons from or working in remote districts) receive extra marks during evaluation of applications. Under special eligibility conditions, upper age limit for candidates from the underprivileged group has been relaxed by 2 years.

### **2.2 Seats Allocation**

Candidates from all seven subject-clusters are eligible to receive the UGC fellowship and thesis support. Generally, available seats are first allocated in specific ratio between the candidates from faculty category and young student category. The seats allocated for each category will then be divided equally between the broad technical and non-technical clusters. Then, from the seats allocated to each broad cluster, 50% of seats are divided equally to each cluster and the rest are divided among the clusters based on the proportion of application received for a particular cluster. If any allocated seat remains vacant because no one applied, it will go to the next most applied cluster.

### **2.3: PhD Fellowship and PhD Research Support**

#### ***2.3.1: PhD Fellowship***

The primary purpose of this program is to support qualified junior faculty and young students pursuing PhD degrees in universities in Nepal or nationally recognized universities in any SAARC country. Every year, the UGC will provide about 50 PhD fellowships. Of them, 50% are allocated to the technical clusters and the rest to the non-technical clusters. From that, 75%

of allocated seats will go to the candidates from the faculty category and the rest will go to the candidates from the young student category. During the period of the HERP, 10 PhD fellowships are provided to the faculty of autonomous or accredited HEIs. 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 allowance, a limited assistance to cover laboratory expense and field visit, and reimbursement for the purchase of books, travel grant and research publication cost. The allowance is offered for a period of 3 years and the rest is made available during the program.

Table 2.3: PhD Fellowship

	<b>Financial support</b>	<b>Amount (Rs.)</b>	<b>Disbursement</b>
a.	Monthly allowance 7000 X 36 months	2,52,000	Six installments
b	Study material cost	20,000	Reimbursement
c	Field study visit	30,000	Two installments upon the recommendation of the supervisor
d	Laboratory expense	40,000	Upon submission of the plan for the expenditure recommended by the supervisor
e	Printing cost	15,000	After submission of a copy of the final draft of the thesis to the UGC
f	Travel grant (conference)	Up to 45,000	Reimbursement
g	Article publication fee	Up to 50,000	Reimbursement

### ***2.3.2: PhD Research Support in Selected Clusters***

The primary purpose of this program is to fund nationally relevant and meritorious research leading to PhD degree for Nepali students. The research project of PhD student is funded through the host institution. For the year 2015-16, a total of 4 PhD research projects from each of four technical clusters (Agriculture and Forestry, Engineering, Health Sciences, and Science and Technology) will receive the support. Each project will be offered Rs. 3,00,000 to cover the expenses specified in the PhD research proposal. Those who receive PhD research support will not receive separate field visit cost and laboratory expense specified in section c and d of Table 2.3. Other expenses are adjusted annually. The PhD Fellowship and Research Support scheme is as shown in Table 2.4

Table 2.4: PhD Fellowship and Research Support

	<b>Financial support</b>	<b>Amount (Rs.)</b>	<b>Disbursement</b>
a.	Monthly allowance 7000 X 36 months	2,52,000	Six installments
b	Travel grant (conference)	Up to 45,000	Reimbursement
c	Article publication fee	Up to 50,000	Reimbursement
d	PhD Research Support	3,00,000	At the signing of the agreement to the host institution/ department as an earmarked fund for the proposed research project

A separate application is not required for this support. All applicants from technical clusters applying for the PhD fellowship are automatically entered in the contest for the research support fund. Four candidates from the top of the merit list of the applicants of the PhD fellowship are awarded with the research support fund. The fund is transferred to the host institution/department after signing an agreement by the host institution, supervisor, candidate and the UGC. The host institution is required to disburse the fund according to the work plan and the need of the awarded PhD research project.

### **2.3.3: Eligibility for PhD Fellowship**

The candidates fulfilling the following criteria may apply for National Priority PhD Fellowship and Research Support:

- a. Nepali citizen;
- b. not older than 40 years (young student category) or 50 years (faculty category) at the date of the call of application. The age limit for the candidates from disadvantaged groups is extended for another 2 years.
- c. at least second division in Master's degree which is obtained within 15 years at the date of enrollment in a PhD program;
- d. registered in any of the Nepalese universities (for young student / faculty category) or nationally recognized university in China and SAARC countries (for faculty category);
- e. candidate must apply for the fellowship within 1 year of (or a full application season of the UGC PhD Fellowship since) PhD research proposal approved by the institution where the candidate is enrolled;
- f. for PhD Research Support, the proposed research must be in the area of national priority (section 1.13);
- g. young fellows receiving this support are required to serve in a community college for an academic year after the completion of study (those who have joined postdoctoral fellowship may do the service after the completion of the postdoctoral fellowship); and
- h. for faculty category, commitment to be in the same institution for 3 years after the completion of the degree.

### 2.3.4: *Forms and Documents*

The following forms and documents are used for application, evaluation and award of all PhD Fellowships:

Table 2.1: Forms and Documents for PhD Fellowships

	<b>Form/Document</b>	<b>Code</b>	<b>Format</b>
1	PhD Fellowship and Research Support Application form	PFRS-1	Appendix 2.1
2	PhD Proposal Evaluation form		Appendix 2.2
3	PhD Presentation Evaluation form		Appendix 2.3
4	PhD Application Evaluation form		Appendix 2.4
5	PhD Fellowship and Research Support Agreement		Appendix 2.5

### 2.3.5: *Application, Selection and Award of PhD Fellowship*

The call for the submission of applications is announced on a yearly basis. The notice is published in a national daily newspaper and on the UGC Website and the same information may be circulated to respective departments conducting the PhD programs. The RD will collect information of institutions/campuses/departments conducting PhD programs from the UGC database.

An application must include completed application form, curriculum vitae, copies of publications and a research proposal. Names of two referees with their contact information must be provided. The process of the selection for the PhD Fellowship and Research Support is as follows:

**Step I:** The Research Division at the UGC will announce through a national daily newspaper, the UGC website, and respective department notice boards for the submission of proposals from qualified candidates.

**Step II:** Interested candidates will fill up and submit application forms along with a research proposal in specified format for financial support (Appendix 2.2).

**Step III:** After the proposal submission is closed, the Research Division (RD) at the UGC will provide a code against the candidate's name to each of the received proposals and then send them to the relevant Cluster Committee. The RD will also provide a list of potential reviewers from the UGC Roster of Experts. The CC will assign two reviewers for each proposal. The RD will send the coded proposal to reviewers assigned by the CC. The RD will also provide evaluation forms to the reviewers (Appendix 2.3).

**Step IV:** *First selection:* Unless two reviewers' scores differ by 30% or more, the scores are averaged and those applicants who receive 50% average score are selected for the next step. In case the reviewers' scores differ by 30% more, the proposals are sent to a third reviewer for



evaluation and average of the nearest two will be taken for the selection. Candidates receiving 50% or more score are selected for presentation.

**Step V: Presentation:** All candidates securing 50% or more score on their research proposals are invited for presentation in presence of the Cluster Committee and at least one subject expert. The CC members and the expert will use the Evaluation form (Appendix 2.4) to evaluate the presentation. A weighted average of the score from the expert and that from the members of the the CC are taken.

**Step VI:** The Cluster Committee will grade the proposal for its association to national priority based on the relevant section of the proposal and the UGC National Priority for Research Funding Framework.

**Step VII:** The RD will evaluate an applicant's academic record, publication record and underprivileged status (Appendix 2.5).

**Step VIII:** A final merit list of all applications is prepared by the RD based on the score from the proposal evaluation, presentation evaluation, National Priority evaluation and evaluation of applicant's academic record, publication record and underprivileged status.

**Step IX: Seat allocation:** Seats are allocated to each cluster based on the allocation scheme described in section 2.2 and filling the seats from the merit list prepared according to step VI.

**Step X: Comment by the CC:** The RD will present a report of the draft result consisting of the merit list and seats allocation to each cluster, to the CC for final comment. The RD will then present the draft result together with the comment received by the CC, to the EC for comment and decision.

**Step XI: Initial Decision by the RC:** The RC will comment and take initial decision on the result and forward it to the RC for final decision. The EC 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 RC.

**Step XII:** The Research Council will take final decision on the selection of the candidates for the award.

**Step XIII:** The UGC Research Division will announce the selection results through the UGC website and invite the candidates, supervisors and head of the institutions to sign a formal agreement (Appendix 2.6).

The scholars receiving fellowships and support for research are required to report every six months and presentation of progress report at the end of each year. Progress reports, publications in

research journals, paper presentations in seminar/workshops, etc. are the major output indicators to be used to evaluate the performance of each fellow researcher. Support may be discontinued to a fellow who is unable to make satisfactory progress. A prior notice and at least one chance for improvement are given to such research fellows.

### **2.3.6: Evaluation Criteria for PhD Fellowship / Research Support**

The criteria for the evaluation of application for the PhD Fellowship and Research Support are shown in Table 2.2. Detailed evaluation criteria are presented in Appendix 2.3.

Table 2.2: Evaluation Criteria for the Applications for PhD Fellowship

<b>S.N.</b>	<b>Indicators</b>	<b>Marks</b>
1	Candidate's Academic Record	20
2	Candidate's Publication Record	20
3	Underprivileged status	10
4	Presentation	60
5	Research Proposal Evaluation	90
Total		200

## **2.4: MPhil Fellowship**

The primary purpose of this program is to support the qualified faculty members of Nepal's HEIs and Young students who are seeking MPhil degree to enhance their capacity. Every year, 40 fellows are supported for their MPhil degree in any Nepalese HEI. 50% of the fellowships are reserved for the faculty members. The rest are awarded to the Young students. 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 procedure are similar to that for 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 2.10).

### **2.4.1: Eligibility for MPhil Fellowship**

The following are the eligibility criteria for the participation in this funding:

- a. Nepali citizen;
- b. at least second division in Master's degree;
- c. registered (exceeding not more than 1 year at the date of application notice) in any of the Nepali Universities);
- d. for the candidates under faculty category, the candidate must be full time faculty in university or campus and tenure must have reached at least 2 years at the date of application submission;
- e. not older than 35 years for young student category or 45 years for faculty category at the date of call of application. The age limit for the candidates from disadvantaged

- groups is extended for another 2 years.
- f. for the candidates under young student category, the candidate must have passed Master's degree within 10 years at the date of application submission; and
  - g. for the candidates under young student category, MPhil fellows are required to serve in community college for an academic year/semester after completion of the study.

### 2.4.2: 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	MPhil Fellowship Application form	MF-1	Appendix 2.6
2	MPhil Fellowship Interview form		Appendix 2.7
3	MPhil Fellowship Application Evaluation form		Appendix 2.8
4	MPhil Fellowship Agreement		Appendix 2.9

### 2.4.3: Applications, Selection and Award

The call for application is made together with that for the PhD Fellowship. The applicant is required to submit completed application form (Appendix 2.9), CV and copies of academic and other documents mentioned in the application form.

Evaluation Criteria for MPhil Fellowship Application are as follows. Detailed criteria are presented in Appendix 2.11.

Table 2.5: Evaluation Criteria for MPhil Fellowship Application

S.N.	<b>Indicator</b>	<b>Marks</b>
1	Candidate's Academic Record	25
2	Publication Record	15
3	Underprivileged Category	10
4	Candidate's Presentation/ Interview	50
Total		100

### 2.4.4: Allocation of Seats

Available seats are divided equally between faculty category and young student category. Then from the allocated seats for each category, 50% of seats are divided equally among clusters that receive applications. The rest of the seats are divided among clusters based on the proportion of application received.

### 2.4.5: Fellowship Amount:

The recipient of the MPhil award receive a monthly allowance of Rs. 5,000 for 18 months and assistance of Rs. 10,000 for thesis printing cost. The fellowship amount will be disbursed in three installments. (First installment (Rs. 30,000) will be disbursed after installment request received from selected candidates, similarly Second installment will be disbursed after submission of first semester result and installment request form. Third installment will be disbursed after submission of final thesis (along with CD) approved by respective institutions and Transcript of the degree.

## 2.5 Master's/MPhil Thesis Preparation Support

The purpose of this program is to support Master's and MPhil students who have not received any fellowship and research grants to prepare their theses required for the respective degrees. All Nepali students enrolled in Nepali universities for MPhil/Master's degree are eligible to apply for support under this program. The fund received under this program can be used to cover costs required to complete the research and prepare the thesis. 20 MPhil students and 80 Master's students.

The amount of support for thesis preparation is as follows:

	Thesis for Degree	Support Amount (Rs.)
1	Master's/MPhil (technical cluster)	40,000
2	Master's/MPhil (non-technical cluster)	30,000

### 2.5.1: Eligibility and Requirement:

Final year Master's students with at least 70% marks or equivalent CGPA in technical clusters and 60% marks or equivalent CGPA in non-technical clusters, 60% or 3.00 CGPA in to-date final examinations, and MPhil students without any fellowship and research support are eligible to apply. Applicants are required to submit research proposal together with application during the application season.

### 2.5.2: Evaluation:

Applications for Master's/MPhil Thesis Preparation support are evaluated using the criteria specified in table 2.7. Research proposal written in the format specified in the application form are evaluated by an expert reviewer and the applications are scored for academic and publication record, and underprivileged status by research division.

Table 2.7: Evaluation Criteria for Applications for Master's/MPhil Thesis Preparation Support

S.N.	Indicator	Marks
1	Candidate's Academic Record	20
2	Publication Record	10
3	Underprivileged Category	10
4	Evaluation of Research Proposal	60
	<b>Total</b>	<b>100</b>

### 2.5.3: Distribution of Award and Disbursement of Fund

MPhil Thesis Preparation Support is awarded on the basis of merit list. For Master's Thesis Preparation Support, the awards, firstly, the seats are allocated to each cluster based on the allocation scheme described in section 2.2 and then the allocated seats are filled according to the merit list. Disbursement of fund is as described in the *UGC Annual Programs and Procedure 2072*.

### 2.5.4: Application and Evaluation Forms

The following application evaluation forms are used for Thesis Preparation Support:

	Form	Code	Format
1	Master's/MPhil Thesis Preparation Support Application form	MTPS-1	Appendix 2.10
2	Master's/MPhil Research Proposal Evaluation form		Appendix 2.11
3	Master's/MPhil Research Application Evaluation form		Appendix 2.12

### 2.6 Partial Support for PhD Fellow

The purpose of this program is to provide partial support to PhD Fellow who has not received fellowship or financial support from any other source. The support under this program is as shown in table 2.8.

Table 2.8: Partial Support to PhD Fellow

	Support	Amount (Rs.)	Disbursement
1	Field study	15,000	Upon submission of a plan, together with a recommendation by supervisor (request should be made within 3 years from the date of acceptance of PhD research proposal)
2	Study material	15,000	Reimbursed if requested within 2.5 years from the date of acceptance of PhD research proposal
3	Printing	15,000	After submission of a copy of the final thesis along with CD

A PhD fellow without fellowship and financial support from any other source can apply for this support within specified time (Table 2.8) during the course of his/her PhD program. Application can be submitted to the UGC any time throughout the year. Application (Appendix 2.13) 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. Every year, 20 students are supported under this program. The detail procedure is according to the UGC Annual Programs and Procedure for 2015-16 (2072).

### 2.7: 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. To monitor the graduates' progress more effectively, it is mandatory to submit the to-date progress report in order to get the disbursement of the subsequent installments of the financial support. Detailed monitoring indicators 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.

### ***2.7.1: Expected Outcomes***

The following are the intended outcomes of the student research subcomponent of the funding:

- increase in number of graduates' timely completion of their academic research;
- promotion of the culture of scientific inquiry 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;
- increase in the number of faculty and other professional involvement in the advanced-level university degrees like PhD and postdoctoral studies;
- improvement in the level of graduate performance; and
- increase in the research output of the university.

## *SECTION III*

# **FACULTY/COLLABORATIVE RESEARCH**

### **3.1: Introduction**

The primary objective of Faculty Research subcomponent is to link teaching with research and promote the creation of knowledge through scientific inquiries. There are three types of research grants based on grant amount and scope: (i) Collaborative Research, (ii) Faculty Research, and (iii.) Small Research Development and Innovation. These researches are expected to produce significant academic output including new knowledge, intellectual property, postgraduate students and research publication in quality scholarly journals.

Throughout the period of the HERP, approximately 430 research projects are funded through competitive selection. The maximum duration of such projects is up to 3 years, 2 years, and 1 year for Collaborative Research, Faculty Research and Small RDI, respectively.

Application evaluation system has been formulated to give preference marks to the candidates from disadvantaged groups.

### **3.2 Seats Allocation**

Research proposals from all seven subject clusters are eligible to receive the UGC research grants. Generally, the seats allocated for each category are first divided equally between technical and non-technical broad clusters. Then, from the seats allocated to each of the broad clusters, 50% of seats are divided equally among each cluster and the rest are divided among the clusters based on the proportion of application received for particular cluster. If any allocated seat becomes vacant due to unavailability of applicant, it will go to next most applied cluster.

### **3.3: Collaborative Research Grant**

In order to promote a collaborative research culture in the HEIs, support relatively large research in the area of national priorities with the aim to significantly enhance the national research output and link research to teaching and learning in the HEIs, research funding is offered to collaborative research projects involving more than two faculty members of an institution or collaborating institutions.

Research proposals involving more than two 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. The principal investigator must be a permanent faculty member for the past five years and with demonstrated track record of research accomplishments (at least two

original research article published in Indexed journals). The co-investigators must be full time faculty member / research fellow for one full year and with demonstrated track record of research accomplishments. Involvement of preferably two postgraduate students for PhD degrees or three or more students for MPhil/Master’s degree is required. The principle investigator and co-investigators are collectively responsible for all academic and financial obligations. The project must have support from the host institutions.

Approximately 35 research projects are funded under this grant. The funding limit for the Collaborative research is up to NRs. 20,00,000 for technical or laboratory based research project and Rs. 15,00,000 for non-technical and theoretical research projects. The fund can be spent only on the approved activities of the approved research project. All the equipment, technologies and resources procured by this fund are the property of the host department(s). The host institution will receive 10% of the grant as Assistance to Department for covering overhead cost. In case of more than one host institution involved, the assistance fund is divided equally among the institutions. A limited number of research projects in technical clusters may apply for a postdoctoral position to be funded by the UGC (see Section 3.5 for detail).

In order to encourage the culture of collaboration in general and also as a tool for motivating relatively disadvantaged community campuses to get into research programs, a provision is included in the evaluation scheme to give additional mark for any collaboration with faculty members from community campuses.

Selection of application for Collaborative Research Grant award is based on academic credential of the principal investigator, involvement of graduate students and investigators from underprivileged groups and the quality of the proposal. Table 4.2 shows the broad evaluation criteria for the application for this grant. Detailed evaluation criteria are presented in Appendix 3.8.

Table 4.2: Broad Evaluation Criteria for Collaborative Research Grant Application

<b>S.N.</b>	<b>Indicator</b>	<b>Max. Marks</b>
1	Academic record of Principal Investigator	5
2	Publication record of Principal Investigator	15
3	Research experience/supervision by Principal Investigator	5
4	Involvement of Faculty Co-Investigators and Students	15
5	Underprivileged Investigators (PI and Co-Is)	10
6	Proposal evaluation by two national reviewers	90
7	Presentation evaluation/evaluation by an international reviewer	60
Total		200



### 3.3.1: Eligibility for Collaborative Research Grant

The primary eligibility for institution to receive Collaborative Research Grant is to have research infrastructure including research laboratory, research based programs and faculty members with proven track record of research accomplishment. Research related academic activities and strategic plan to develop and strengthen the research capacity would be a competitive advantage. The research team must have plan and commitment to involve graduate students for their theses. The principal investigator (PI) should have the following qualifications:

- a. Nepali citizen;
- b. doctoral degree and proven track record of research publication with at least two publications in indexed peer reviewed journals;
- c. permanent faculty at least for the past five years;
- d. those who have received the UGC research grant in the past and have published the research in Indexed journals with impact factor can apply for the new grant for the research in the same or new area;
- e. involvement or plan to involve at least three Master's/MPhil student or two PhD students for their theses; and
- f. candidate may submit not more than two proposals in a given year as principal investigator or co-investigator (Co-I).

Co-investigators should have at least a Master's degree with thesis, at least one research publication in a peer-reviewed journal and qualification required by the institution to be supervisor/co-supervisor for the graduate students involved in the project.

### 3.3.2: List of Forms Used for Collaborative Research Grant

Application and evaluation forms used for Collaborative Research Grant are presented in Table 3.1.

Table 3.1 List of Forms Used for Collaborative Research Grant

	<b>Form</b>	<b>Code</b>	<b>Format</b>
1	Application form for Concept Proposal	CR-C	Appendix 3.1
2	Evaluation form for Concept Proposal		Appendix 3.2
3	Application form for Detailed Proposal (PI)	CR-1	Appendix 3.3
4	Application form for Detailed Proposal (Co-I)	CR-2	Appendix 3.4
5	Application form for student	RG-S	Appendix 3.5
6	Evaluation form for Detailed Proposal		Appendix 3.6
7	Evaluation form for Oral Presentation of Detailed Proposal		Appendix 3.7
8	Evaluation form for Detailed Proposal Application		Appendix 3.8
9	Agreement between Collaborative Research team and UGC		Appendix 3.9

### **3.3.3: Application and Selection Procedure**

The call for the submission of research proposals is launched once a year through a national daily newspaper, the UGC Website, and notice board of the UGC. A two-step application process with an initial Concept Proposal and then a Detailed Proposal called from the successful Concept Proposals is adopted for the Collaborative Research Grant.

#### **a. Selection of Concept Proposal**

The Application and selection procedure for the initial Concept Proposal are as follows:

**Step I:** The UGC will invite brief concept research proposals from qualified university faculty members through a national daily newspaper, the UGC Website, and the notice board of the UGC.

**Step II:** The principal investigator of the research team will submit the concept research proposals in the specified format along with the completed application form (Appendix 3.1).

**Step III:** The Research Division (RD) will first provide a code against the candidates name to each of the received concept proposals and send them to the related Cluster Committee (CC). The CC will select/suggest two appropriate reviewers for the proposal. The RD will send the proposal along with the evaluation form (Appendix 3.2) to the selected reviewers for evaluation. The proposal is evaluated for its association to national priority separately either by Cluster Committee or a Special Committee formed by Evaluation Committee.

**Step IV:** The RD will prepare a merit list of proposals by adding and averaging all evaluations and present it to the EC.

**Step V:** The EC will decide a minimum cut off mark for selecting the Concept proposals. The purpose of the cut off mark is to select out the poorer proposals.

**Step VI:** All potentially meritorious proposals scoring above the cut off mark are selected and their authors are invited, through appropriate media including website and direct communication with the applicants, to submit detailed research proposals.

#### **b. Selection Procedure for Detailed Proposal**

A detailed proposal will have to be submitted by the principal investigator (PI) along with the completed application forms from the PI and each co-investigators (Co-Is), their curriculum vitae, copies of publications and documents specified in the application form. The application form to be filled by the PI and the Co-Is are presented in Appendices 3.3 and 3.4 respectively. Students selected for working in the research project for their theses are required to submit separate application form (Appendix 3.5).

The following procedure is applied for evaluation and selection of detailed proposals for the award:

**Step I:** The Research Division (RD) will first provide a code against the candidates name to each of the received proposals and send them to the related Cluster Committee (CC). The CC will select/suggest appropriate reviewer for the proposal. The RD will send the proposal and evaluation form (Appendix 3.6) to the selected reviewers for evaluation. The proposal is evaluated separately for its association to national priority by Cluster Committee / Evaluation Committee / Research Division.

**Step II:** The Cluster Committee will select an international reviewer for evaluating the proposal and arrange to send the proposal and the evaluation form (Appendix 3.6). Alternatively, a presentation by the Principal Investigator in the presence of the CC and at least one independent expert can be arranged. The presentation is evaluated by the CC members and the expert using pre-determined criteria (Appendix 3.7). A weighted average of the score from the expert and that from the members of the the CC are taken.

**Step III:** The RD will evaluate the application form and score the marks for academic record, publication record, research experience, research team and underprivileged status of the PI (Appendix 3.8). The RD will then prepare a merit list of proposals by adding scores from all evaluations.

**Step IV: *Seat Allocation:*** Seats are first divided equally between technical and non-technical broad clusters and then filled by proposals from the final merit list to prepare a draft of the result.

**Step V: *Comment by the CC:*** The RD will present a report of the draft result consisting of the merit list and seats allocation to each cluster, to the CC for final comment. The RD will then present the draft result together with the comment received by the CC, to the EC for comment and decision.

**Step VI: *Initial Decision by the EC:*** The EC will comment and take initial decision on the result and forward it to the EC for final decision. The EC 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 EC.

**Step VII:** The Research Council will take final decision on the selection of the proposals for the grant award.

**Step VIII:** The UGC Research Division will announce the award through the UGC website and invite the PI, Co-Is and the head of the host institutions to sign a formal agreement (Appendix 3.9).

The PI of the awarded research project is required to submit progress report every six months and orally present the progress at the end of each year. Progress reports, publications in research journals, paper presentations in seminar/workshops, etc. are the major output indicators to be used to evaluate the progress of each project.

### **3.4: Faculty Research Grant**

Throughout the project period, approximately 200 faculty research projects are supported by the project. The research funding is primarily targeted to faculty members supervising or capable of supervising postgraduate students. This program is intended to fund postgraduate research and produce research publication in quality journals as well. The project duration is 2 years. The funding limit for the faculty research is up to Rs. 3,00,000 for research in technical area or laboratory based research and Rs. 2,00,000 for research in non-technical area or theoretical research. Technical and laboratory-based research project can get additional grant of Rs. 1,00,000 if required for procurements of technical equipment, consumables and supplies. The recipients of the research funding will have to spend the support money on the approved activities of the approved research project.

#### ***3.4.1: Eligibility, Application and Selection***

Institutional eligibility for Faculty Research grant are similar to that for Collaborative Research grant. However, Faculty Research does not have to be collaborative. A single faculty member will also be eligible for applying for the Faculty Research grant. If a team of researchers is applying for the grant, the PI will have to submit application package including completed application forms for the PI and Co-Is separately, a research proposal in specified format, CVs of each investigator and all supporting documents. Commitment to involve at least two Master's/MPhil students for their theses is a must.

The principal investigator should have the following minimum qualifications:

- a. Nepali citizen;
- b. Master's/MPhil degree with thesis and publication of at least one original research article in peer-reviewed journal.
- c. full time faculty for the past two years;
- d. those who have received the UGC research grant in the past and have published the research in Indexed journal can apply for the new grant for the research in the same or new area;
- e. commitment to involve at least two Master's/MPhil student for their theses; and
- f. candidate may submit not more than two proposals in a given year as principal investigator or co-investigator.

A co-investigator should have at least a Master's degree with thesis and should be a full time faculty member for at least a year. He or she should also have qualification required by the institution to be a supervisor/co-supervisor for the graduate students involved in the project.

Evaluation and selection process are similar to those for Collaborative Research grant except for the Concept Proposal, which is not required for Faculty Research grant. A detailed research proposal in the specified format should be submitted to the UGC. Seat allocation to subject clusters is based on the scheme described in section 3.2. Application and evaluation forms for Faculty Research grants are as follows:

Table 3.2 List of Forms Used for Faculty Research Grant

	<b>Form</b>	<b>Code</b>	<b>Format</b>
1	Application form for Faculty Research Grant (P.I.)	FR-1	Appendix 3.10
2	Application form for Faculty Research Grant (Co-I.)	FR-2	Appendix 3.11
3	Evaluation form for Faculty Research Proposal		Appendix 3.12
4	Evaluation form for Presentation of Faculty Research Proposal		Appendix 3.13
5	Evaluation form for Faculty Research Grant Application		Appendix 3.14
6	Agreement between Faculty Research Team and UGC		Appendix 3.15

### **3.5: Small Research, Development and Innovation Grant (Small RDI Grant)**

This grant is for supporting innovation projects 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. Both basic research leading or contributing to development and innovation (Research project) and direct development and innovation project (Development and Innovation project) are considered for funding. Funding for each project is Rs. 1,40,000. Approximately 200 research projects are funded during the HERP period. The RDI project must be in the area of national priority.

#### **3.5.1: Eligibility for Small RDI Grant**

The principal investigator (PI) should have the following minimum qualifications:

- a. Nepali citizen;
- b. Master's/MPhil degree with thesis or with publication of at least one original research article in peer-reviewed journal or with 3-5 days of research methodology training;
- c. full time faculty for at least a year;
- d. those who have received the UGC research grant in the past and have published the research in Indexed journal can apply for the new grant for the research in the same or new area;
- e. commitment to involve at least one Bachelor's/Master's student for his/her thesis;
- f. for Development and Innovation project, the candidate should be academically and technically competent and the preliminary result/ foundational work, among other things, are regarded as evidence for the required competence; and
- g. candidates may submit not more than two proposals in a given year as principal investigator or co-investigator.

Co-investigator, if any, should have qualification similar to that for PI..

### 3.5.2: Application and Selection Procedure for Small RDI Grant

The procedure for application, evaluation and award is similar to Faculty Research grant. Proposal format and criteria of evaluation are slightly different for Research Project (R-Project) and Development and Innovation Project (DI-Project).

Table 3.3: Application and Evaluation Forms Used for Small RDI Grant

	<b>Form</b>	<b>Code</b>	<b>Format</b>
1	Application form for Small RDI Grant (PI)	SRDI-1	Appendix 3.16
2	Application form for Small RDI Grant (Co-I)	SRDI-2	Appendix 3.17
3	Small RDI Proposal Evaluation form (for Research Project)		Appendix 3.18
4	Small RDI Proposal Evaluation form (for Development/ Innovation Project)		Appendix 3.19
5	Small RDI Presentation Evaluation form (for Research Project)		Appendix 3.20
6	Small RDI Presentation Evaluation form (for Development/ Innovation project)		Appendix 3.21
7	Evaluation of Application for Small RDI Grant		Appendix 3.22
8	Agreement between RDI researcher and UGC		Appendix 3.23

### 3.6: Extramural Research Collaboration

Research collaboration between a principal investigator (PI) from the HEI in Nepal and extramural co-investigators (Co-Is) from national or international 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.

In case of the extramural Co-Is from foreign research institutions, the following conditions will 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 by the concerned national board/agency can be included in the research team as a co-investigator.
- c. Any Co-I from the eligible foreign university and research institution must have a doctoral degree and track record of research publication (at least three original research articles published in indexed journals).
- d. Extramural Co-Is must submit a letter of no-objection received from the head of his/her institution together with the application form.
- e. The bulk of the research must be conducted in the laboratory/field in Nepal.
- f. 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.

- g. Any transfer of research materials, samples and technology should comply with all applicable national regulations and guidelines.
- h. It is the responsibility of the university to assist foreign researchers in 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.

### **3.7: Postdoctoral Fellowship**

Recognizing that postdoctoral fellowship is a strong supporting system for promoting research culture in universities and that 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.

#### ***3.7.1: Eligibility of Candidate for Postdoctoral Fellowship***

The Postdoctoral position is for working in the Collaborative research project funded by the 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. 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 candidate's academic credentials and expertise in the area of the project, and the expertise need of the project.
- c. 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 Indexed journals).

#### ***3.7.2: 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 3.26). 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 the UGC. Application should accompany the completed application form (Appendix 3.27), 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:** The 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.

**Step VI:** The Postdoctoral Fellow joins the institution.

**Step V:** The Postdoctoral Fellow submits to the UGC the Joining Report signed by the head of the institution and the PI of the research project (Appendix 3.29).

**Step VI:** The Postdoctoral Fellow submits progress report to the UGC every 6 months until the completion of the tenure.

**Step VII:** At the end of the tenure, the UGC will provide a Certificate of Completion of the UGC Postdoctoral Fellowship, signed by the Member-Secretary of the UGC and the head of the host institution (Appendix 3.30).

### **3.7.3: Forms and Documents**

The following forms and format of letter should be used for application and award of the UGC Postdoctoral Fellowship:

Table 3.4: List of Forms and Documents Used for Postdoctoral Fellowships

	<b>Form/Letter/Announcement</b>	<b>Code</b>	<b>Format</b>
1	Call by Principal Investigator for Postdoctoral Position		Appendix 3.24
2	UGC Postdoctoral Fellowship Application form	PDF-1	Appendix 3.25
3	UGC Postdoctoral Fellowship Award Letter		Appendix 3.26
4	Postdoctoral Fellow Joining Report		Appendix 3.27
5	Certificate of the Completion of Postdoctoral Fellowship		Appendix 3.28



### 3.8: Matching Co-Fund for Research, Development and Innovation

In order to encourage the development of Academia-Industry collaborative interface and support research, development and innovation sponsored by industries and public sector agencies, the UGC has allocated Rs. 80,00,000 for creating an initial basket of the UGC matching research co-fund. Eligibility and procedure for application, evaluation and award for this grant are the same as that for and 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 Rs. 20,00,000. 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. More funds are transferred to the basket of the matching research fund from the less priority programs when necessary.

Eligibility and Procedure for Application, Evaluation and Award are decided by the matching grant pledged as shown in Table 3.5:

Table 3.5: Procedure for Matching Research Grant

	<b>Fund Pledged by the Sponsor (Rs.)</b> [UGC will contribute the same amount]	<b>Procedure</b>
1	75,000 - 1,49,000	Follow the procedure for Small RDI grant
2	1,50,000 - 3,99,000	Follow the procedure for Faculty Research grant
3	4,00,000 - 20,00,000	Follow the procedure for Collaborative Research grant

### 3.9: Special Research

The purpose of this program is to support need-based research. Scientific research on nationally important and urgent issues and policy and program research urgent or relevant to the UGC, universities or governmental agencies are supported under this program. Generally, the UGC will solicit research proposals on relevant issues from qualified individuals and institutions. The UGC might also consider investigator-generated research proposals. The UGC will develop necessary procedure to manage this program.

### 3.10: Program Monitoring and Evaluation

The regular monitoring and evaluation of the success of faculty research programs are integral parts of the program implementation. Necessary benchmarks and instruments are developed. A number of follow-up meetings and review sessions are organized at the UGC to identify and address the critical problems being faced by the research faculty. Similarly, the disbursement of the subsequent installments of the funding is subject to submission of to-date-progress reports as specified in the respective proposals. Towards the end of the project, completion of theses of the students involved in the project and preparation for research publication are regarded as the required progress.

### **3.11: Additional Funding Provisions**

Limited extra funding may be arranged in the cases of highly technical faculty research and PhD studies requiring additional support on purchasing technical inputs including equipment, patent, software, etc. with a mandatory provision that the selected researchers conduct their proposed research studies from their respective institutions and install these items as institutional properties. Institutional support program for research infrastructure with broader scope is presented in Section V.

### **3.12: 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;
- increased 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
- increased research and development trends in industry, and national priority-based problem solving through collaborative scientific research and development activities in universities.

## SECTION IV

# FUNDING FOR RESEARCH SEMINARS, WORKSHOPS AND TRAINING

### 4.1: Introduction

This subcomponent of the research funding under the HERP intends to contribute towards the development and enhancement of research capacity of faculty members and students through tailored research trainings and interactions organized by the higher education institutions and competent research institutions selected on competitive basis.

About 220 such programs are organized throughout the country during the project period. Each program is tailored to fulfill the needs of faculty members, research fellows and students.

### 4.2: Research Trainings

The UGC will provide financial support to capable institutions interested in organizing research trainings. The objective of the training should be to develop research capabilities of young faculty members and students involved in research. The UGC will provide grant to interested HEIs or capable research institutions for organizing research trainings to eligible beneficiaries, in six different categories.

- i. proposal development training (basic research concepts and theories);
- ii. research methodology training (essentials of research designs);
- iii. advanced data analysis;
- iv. report and paper writing;
- v. laboratory safety training; and
- vi. advanced hands-on laboratory training.

Curriculum and modality of each program are pre-planned based on subject clusters. Interested institution should apply using the application form as specified in Appendix 4.1.

Training can be planned by combining some of the areas or separately for each category. Generally, a training schedule of 3-5 days is expected. The UGC will provide up to Rs. 1,00,000 (for a 3-day program) and Rs. 1,50,000 (for a 5-day program) for each training organized. For laboratory-based training, The UGC will provide an additional fund of Rs. 25,000. The organizer can arrange additional fund from other sources, if required. However, information about such arrangement must be included in the application by the organizer to the UGC.

#### 4.2.1: Selection Criteria of the Institutions

Competent HEIs or research institutions are selected to implement the training programs. The implementing institution's geographic coverage in respect with the potential to involve

the participants from other similar institutions, and capacity (infrastructure, human resource, experience and e-resources) to conduct the training and workshops are the main criteria of selecting the institutions. The implementing institutions are ranked and sort-listed on the basis of their score. Emphasis is given to the training programs to be undertaken by Universities, Faculties, Departments/Schools and Research Centers, where relevant.

#### ***4.2.2: Organizing Committee***

Selected HEIs are required to form a five member organizing committee led by training director/coordinator. Preferably, the director/coordinator should have at least an MPhil degree or have significant knowledge and experience of research (at least five years). The other members of the committee may be the faculty members and administrative staffs. One other member should be a senior faculty and designated as co-director/co-coordinator. The training organizing committee of research institutions should have similarly competent personnel.

#### ***4.2.3: Application Process and Program Administration Procedure***

Institutions are required to submit the following documents:

- i. the CV of workshop/training director/coordinator;
- ii. list of resource persons;
- iii. course/ training outline;
- iv. duration and tentative program; and
- v. estimated budget.

The HEIs/ Research institutions are selected on competitive basis. At least 50% of selections are from outside the Kathmandu Valley. Regional balance in activities and beneficiaries are addressed. The following are the steps of selecting the organizing institutions:

**Step I:** The UGC, through a national daily newspaper and the UGC Website, will call for Expression of Interest (EOI) from interested HEIs along with proposals to conduct research seminars, workshops and training programs. The submitted proposals from each institution in pre-defined format (Appendix 4.1) are reviewed by the RD using the predefined evaluation criteria (Appendix 4.2). Those scoring the highest in the evaluation are selected on the basis of competitive ranking.

**Step II:** The selected institutions are required to produce detailed training schedule and a list of participants before signing the contracts for organizing the training programs.

**Step III:** After receiving the funds for conducting, the program/s concerned institutions will conduct the agreed programs following the agreed schedule and resource persons as well as participants. The UGC Research Division will conduct necessary monitoring and evaluation of the program.

The organizing institutions are responsible for ensuring cost effectiveness, proper communication and follow up. The formats of the proposals are provided in (Appendix 4.1). The proposal submissions must strictly follow the respective formats.

### 4.3: Potential Participants of the Programs

This subprogram has been designed to facilitate the university teachers, research fellows, and young professionals aspiring to develop research competency. Therefore, the participation is open for university faculty members, PhD research fellows and faculty members and student involved in research projects. The organizing the HEI should forward brief CV (not more than two pages) of all the participants to the UGC. Participants should include those from non-host HEIs, at least one third of total participation.

### 4.4: Program Administration Procedure

The overall administration of the programs is done through selected higher education institutions. The following is the procedure of the selection of organizing institutions and participants in research seminars, workshops and training programs funded under this category:

#### 4.4.1: Size of Participation, Program Duration and Modalities of the Delivery

Table 4.1 presents brief information related to the desirable size of participation, duration and modalities of the program delivery:

Table 4.1: Size of Participation, Program Duration and Modalities of Delivery

Type of Program	Approx. No. of Participants Per Program	Delivery Modalities
Research Trainings	30	<ul style="list-style-type: none"> <li>• To be administered by selected higher education institutions across the country</li> <li>• Up to 3 sessions per day delivered by qualified national and/or international research professionals</li> <li>• Through active participation and involvement of the trainees</li> </ul>

### 4.5: Program Package Costs

These training programs are offered free of cost to all participants. During the program, the institutions administering such programs will take the responsibility of logistic support.

The institutions interested to conduct such programs should follow the guidelines and format of cost estimation provided in the *UGC Annual Programs and Procedure 2072*.

## **4.6: Program Monitoring and Evaluation**

### ***4.6.1: Workshop Report***

After completion of the training workshop, the director/coordinator is required to submit two copies of the report along with the following listed documents:

- i. course contents and resource materials (soft copy) of each session;
- ii. session proceedings;
- iii. participants' feedback in prescribed format;
- iv. Director/coordinator's recommendations and suggestion addressing the participants feedback;
- v. list of participants; and
- vi. photographs covering main activities in each sessions (soft copy).

Participants can also convey their feedback to Research Division through email [research@ugcnepal.edu.np](mailto:research@ugcnepal.edu.np)

### ***4.6.2: Certificate to Participants***

The host institution must provide Certificate of the participation to each participant at the end of the training program. [The UGC will provide a format for certificate.]

### ***4.6.3: Feedback***

A pre-determined participants' feedback form (Appendix 4.3) shall be filled by all participants of program. The program completion report must include feedbacks from the participants and their analysis as well as organizers' suggestions for future improvements.

Necessary benchmarks and instruments are developed by the UGC and implemented from time to time to facilitate program monitoring and evaluation. The UGC reserves the right to send observers to the training workshop.

## **4.7: Research Training On-Demand**

The UGC might also arrange to organize research trainings for the UGC grant recipients and other beneficiaries as per their need. Competent HEIs, research institutions or independent experts can apply for organizing such trainings. The selection procedure and organization of such training are similar to those for other trainings.

## **4.8: Various Capacity Development Programs**

The UGC has been supporting, as a part of its regular annual programs, various capacity development programs. These programs include:

- Faculty Capacity Development Activities,
- Staff Capacity Development Activities,
- Academic Meetings (Seminar, Workshop, Conference),
- Visiting Professor Support, and
- Travel grants.

The details of these programs and procedures are elaborated in the *UGC Annual Programs and Procedure 2072*.

#### **4.9: Expected Outcomes**

The following are the intended outcomes of research training of the project:

- enhancement of the extent of faculty motivation and skill for involvement in research and development;
- increase in theoretical knowledge and analytical skill of faculty members and students for conceptualizing, designing, conducting and analyzing research;
- increase in the awareness of academic integrity, research ethics, hazard and safety issues;
- increase in the number and quality of research proposals;
- increase in publications in Indexed and peer-reviewed journals; and
- improvement of the institutional capacity to design and deliver advance level research seminars, workshops, and training programs.

## SECTION V

# INSTITUTIONAL SUPPORT FOR STRENGTHENING RESEARCH INFRASTRUCTURE

### 5.1: Introduction

Under this subcomponent of research funding, limited funds are provided for different activities related to institutional support for research infrastructure.

The following are the activity areas for funding under this sub-component:

- a. library development and networking;
- b. networking of research libraries and initiatives to promote the exchange of information and knowledge and to share resources and facilities;
- c. networking of research laboratories and arrangement to access testing services across the laboratories;
- d. strengthening research infrastructure and laboratories;
- e. establishing Research Management Cells;
- f. establishing institutional forum for conducting regular university-industry dialogs/ interactions; and
- g. support for research publication.

The selection of the institutions is done on the basis of the evaluation of strategic plans submitted by the respective higher education institutions qualifying for funding. The process of selection is a competitive one and is facilitated as in other cases of research funding of the UGC under the HERP.

### 5.2: Strengthening the HEI Libraries

The purpose of this component of research funding is to strengthen the capacity of central libraries in terms of library resources and researcher's access to them. Support is provided to increase the subscription capacity of libraries, to digitize research literature and to develop inter-library and library-to-user networking. The UGC will develop a separate guideline for the purpose and proposals will be invited from central libraries.

### 5.3: Research Laboratory Support

The purpose of this program is to strengthen research laboratories in HEIs. Under this programs funds are made available to establish and strengthen research laboratories, to purchase laboratory equipments, to purchase service contract and extension and to strengthen physical infrastructure of research laboratories. The UGC will determine the nature and scope of support and will invite application from HEIs.

#### 5.3.1 *Research Laboratory Survey*

In order to determine the status and capacity of research laboratories in HEIs in terms



of infrastructure, equipment facilities and current use and to determine the need and possibility of sharing of facilities among researchers and institutions, the UGC will conduct a survey. Findings of the survey will be shared with HEIs and consultation meetings with the stakeholders will be held to determine the appropriate course of action for the best utilization of laboratory facilities.

#### **5.4: Research Management Cell (RMC)**

The purpose of this support is to help establish in the HEI a Research Management Cell as a research infrastructure consisting of management and regulatory structures essential for administrating research programs. The research management cells will provide necessary infrastructural and functional support to the respective institutions for better coordination of the ongoing research and development activities.

The UGC provides funding in the range of Rs. 2,00,000 - 10,00,000 to each qualified institution selected on a competitive basis. This funding should be used as an additional source to leverage the functioning of the existing research management and infrastructure. The selected institutions may use this fund to procure computers and equipment, upgrade the information communication technologies (ICT), purchase essential research literature, form a Research Committee, Review Committee, Ethics Committee, or Hazard and Safety Committee with well-trained personnel and other related items. The fund will not be used to support recurrent expenses including meeting allowances.

The interested higher education institutions are invited to submit *Strategic Plans*, and after the competitive evaluation and selection of the right institutions, the funds are made available for the purpose. Disbursement of the funds is made in three installments on progress output basis. An agreement is signed between the UGC and respective institution before commencing the disbursement of the funds.

Existing Research Management Cells may also apply for a fund to strengthen and restructure the Cell. The limit of funding to the existing Cells is Rs. 2,00,000. About 50% of the funding quota is reserved for the higher education institutions located out of the Kathmandu Valley.

##### ***5.4.1: Selection Process of the Formation of Research Management Cell (RMC)***

The selection of the institutions for awarding funds for the formation of Research Management Cell is based on the following process:

**Step I:** The Research Division at the UGC prepares a roster of potential institutions for the formation of Research Management Cell through a call of Expression of Interest (EOI). Such a call is made through a national daily newspaper, the UGC Website, and circulations to respective higher education institutions.

**Step II:** Interested institutions fill up the application form in the format given in (Appendix 5.1), with the proposals and their strategic plans.

**Step III:** An independent panel of evaluators / Cluster Committees (CCs) –evaluates the proposals and scrutinizes for action (Appendix 5.2).

**Step IV:** The Evaluation Committee (EC) verifies the validity and reliability of evaluation results produced by the respective Cluster Committees.

**Step V:** The Research Council (RC) takes the final decision on the selection of the institutions for funding.

**Step VI:** Finally, the selected institutions are invited to sign an agreement with the UGC for funding and the disbursement of the funds is made according to the submitted plan of action.

### **5.5: Promoting Seminar-Cum-Workshop on Academia-Industry Dialogs**

The Research Division (RD) will initiate the establishment of suitable institutional forums for regular dialogs and interactions between the industrial representatives, universities/campuses, and high-level researchers. Approximately 20 such dialogs will be conducted during the project period.

Selection of the institutions for conducting these dialogs is done on the basis of the action plans submitted by the interested institutions. At least 10 such dialogs will be conducted outside of the Kathmandu Valley, at locations across the various development regions. The UGC on its own aegis, may also conduct such dialogs.

The purpose of conducting such dialogs is to establish effective relationships between the industry sector and universities through mutual cooperation and participation. Continuation or institutionalization of such dialogs is encouraged. Such practice will help significantly in establishing industry-university interface to make the overall research and development as well as academic programs more application oriented. The UGC Matching Research Fund (Section 3.6) is particularly expected to benefit from such dialogs.

### **5.6: Institutional Selection Criteria**

The selection criteria of funding for strengthening institutional research infrastructure have been detailed in Appendix 5.5 and the evaluation form has been presented in Appendix 5.4 to facilitate the decision on selection of institutions for research infrastructure development and strengthening.

### ***5.6.1: Selection Process of the Institutions for Strengthening Research Capacity***

The selection of the institutions for awarding the different sub-components of strengthening institutional research capacity is based on the following processes:

**Step I:** The UGC prepares a roster of potential institutions for strengthening research capacity through a call of Expression of Interest (EOI). Such a call is made through the UGC website and circulations to respective higher education institutions.

**Step II:** Interested institutions should submit the proposals with their strategic plans specifying the purpose, plan for sustainability and nature of funding (Appendix 5.4).

**Step III:** An independent panel of evaluators drawn from Cluster Committees (CCs) evaluates the proposals and makes recommendations.

**Step IV:** The Evaluation Committee (EC) verifies the validity and reliability of evaluation results produced by the panel of Evaluators.

**Step V:** The Research Council (RC) takes the final decision of selection of the institutions for funding.

**Step VI:** Finally, the selected institutions are invited to sign an agreement with the UGC for funding, and the disbursement of the funds is made according to the submitted plan of action.

### **5.7: Support for Research Publication**

Under this program, the UGC supports publication of high quality refereed (peer-reviewed) journals in Nepal as well as publication of research articles in high-impact factor indexed journals.

#### ***5.7.1 Support for Publication of Refereed Journal***

Under this program, Research Division and Evaluation Committee will first form a taskforce to draft a minimum standard and criteria for classification of national refereed journal in Nepal. The UGC will then draft eligibility criteria and procedure for funding to national refereed journals on the basis of merit and need of the journal. The funding is primarily for enhancing the institutional and academic quality of the national refereed journals. The funding limit per eligible journal would be Rs. 5,00,000. The fund should be used to strengthen and upgrade the quality of the journal as per the UGC procedures that are to be developed.

#### ***5.7.2 Support for Publication of Research Articles in Indexed Journals***

Under this program, the UGC will provide a limited financial assistance to the recipients of the UGC research funds and fellowships to pay for the publication fee in publishing their research work in high impact indexed journals, on the basis of their need. This support can also be provided

to the research funded by agencies other than the UGC, upon availability of the fund. The limit of funding per eligible research article is Rs. 50,000.

### **5.8: Expected Outcomes**

Proper implementation of the concept of logistics support to the research scholars will contribute significantly in following ways:

- increased awareness about the regulatory aspect of research;
- establishment of regulatory bodies like the Research Committee, the Review Committee, the Ethics Committee, the Hazard and Safety Committee;
- improvement of the research capacity of higher education institutions across the nation;
- increased cooperation among the HEIs for sharing research resources;
- commencement of the culture of university-industry collaboration;
- timely accomplishment of faculty and student research projects; and
- increase in the research output of universities.

## SECTION VI

# MONITORING AND EVALUATION

### 6.1: Introduction

The monitoring and evaluation activities are conducted in a proactive, transparent and timely manner in line with the HERP agreement. Monitoring provisions will focus at the levels individual research project as well as the HERP component levels. At each level, pre-defined methodologies and criteria of monitoring and evaluation are used to assure the highest level of effectiveness and reform outputs expected.

### 6.2: Indicators for the Monitoring and Evaluation

The following indicators are used for monitoring and evaluation of the performance achievements of the various research related activities conducted to execute the overall mission of the HERP:

**Table 6.1: Evaluation of the Impact of the Research Funding**

<b>Intended Results</b>	<b>Verifiable Indicators</b>	<b>Sources of Verification</b>	<b>Assumptions</b>
Strengthening of research infrastructure and institutional capacity	Number of research and development centers developed or upgraded and number of research instruments and materials procured	EMIS Database/ Field visit	Increased research practices through systems capacity
Strengthening of postgraduate students' research skills	Number of dissertations and their grading	Success rate of applicants and average grading	Research funding helps for quality accomplishments
Production of researchers	Number of Master's'/ MPhil and PhD scholars	EMIS Database	More funding = more researchers in priority area
Promotion and recognition of research performance	Number of faculty engaged in research and faculty promotions based largely on research achievements	EMIS Database	Enhancement of professionalism
Strengthening of research capacity	Number of participating individuals and institutions	EMIS Database	Institutional development through systems development

<b>Intended Results</b>	<b>Verifiable Indicators</b>	<b>Sources of Verification</b>	<b>Assumptions</b>
Development of research culture	Number of participating individuals and institutions, and their research-based publications	EMIS Database and media	Development of a culture of inquiry through wider financial support
Recognition of research performance	Number of faculty promotions based largely on research achievements	EMIS Database	Development of skill and maturity through research involvement
Global presence of Nepal in the area of research and development	Number of international publications by the grantee researchers and number of international seminars and workshops organized by the UGC and participating institutions	Mass media and publications	Adequate capacity in research and development activities may boost the faculty members capacity to compete globally
Access to literature	Number of requests made of TU central library and other selected resource centers in the country	Delivered literature searches in the publications	Increased access to research literature may require additional funding
Networking	Number of networks supported, and number of group researches requested	Documented network activities	Internet networking will facilitate better research and development
Knowledge dissemination	Number of symposiums, seminars, conferences and interactions with stakeholders	Documented activities	EMIS and inter-networking may be helpful in knowledge sharing

### **6.3: Instruments for the Evaluation**

A number of evaluation benchmarks and instruments are developed from time to time as per the requirement of the monitoring and evaluation function of the overall HERP research component. The results of such evaluation will assist significantly in developing the quality of the overall project. Similarly, necessary reviews of the programs are facilitated from such monitoring and evaluation. The format of the Evaluation form is given in Appendix 6.1.

#### 6.4: Monitoring Mechanism

The following are the key strategies to be considered in order to maintain a more conducive monitoring mechanism of the functioning of the projects under research funding:

- a. The UGC will maintain a system of signing a formal contract with the beneficiary institution as well as individuals to regulate the most transparent, ethical and professional use of funds. The required formats of the agreements are developed through mutual understanding of the UGC and beneficiary institutions and individuals.
- b. The UGC will initiate periodic program operation monitoring and performance evaluation system to assure the maximum operational success of funding.
- c. A series of review meetings are conducted to make sure of the proper utilization of funds.
- d. Maximum efforts are vested on establishing a ‘performance/output-based’ funds disbursement system.

#### 6.5: Performance Reporting Mechanism

The institutions receiving research funding will report the performance progress—output and outcome indicators—to the Research Division (RD) on a trimester basis. The RD will coordinate the incorporation of the performance progress reports into the UGC’s regular reporting framework.

The output indicators are as follow, but they are not limited to these:

- i) quality of Master’s/MPhil research;
- ii) number of orientation seminars on research methodology with number of institutions and participants;
- iii) number of successful completion of Master’s/MPhil / PhD and post-doctoral research,
- iv) number of research candidates by research types;
- v) number of research publications made by the researchers in indexed and peer-reviewed journals, papers presented in national, regional and international seminars and conferences;
- vi) number of methodology workshop and training with number of institutions and participants;
- vii) number of institutions with library networking, lab networking;
- viii) number of institutions with research management cells and their activities; and
- ix) number of industry-institute dialogs, etc.

#### 6.6: Monitoring of the Research Quality

The quality of research conducted under the financial support of the UGC or the HERP will be monitored based on the following quality indicators: (Appendix 6.1)

##### ***Quality Indicators:***

- 1) Intrinsic indicator (peer review): This indicator is mainly concentrated on the format and the content of the report. The reviewer will examine the rigor, originality, integrity of the reported study together with its significance, style of presentation style and demonstrable impact of the study.

- 2) Esteem indicator: Invitations to appear as a speaker, keynote speaker, chair at major conferences, membership of editorial boards or prestigious committees, prizes, awards, etc. to the researchers are also the recognition of their contributions. These factors are also included as indicators of the quality of the research.
- 3) Bibliometric indicator: Bibliometric indicators seek to measure the quantity and impact of publications—as a proxy for the overall output of research—and are based on a count of papers and the citations they receive. Online information is obtained on the quality of published papers using systems like the SCImago Journal & Country Rank indicator (SJR indicator) or Thomson Reuters *Journal Citation Reports*. Research Publications published in indexed journals, recognized referred journals and other publications made as a result of the research work carried out with the financial support of the UGC are taken as the Bibliometric indicator, and they are used as an important parameter to evaluate the quality of the research.
- 4) Reviewer comments: The evaluation of the research report on the basis of the above three indicators; the reviewer will provide his/her candid opinion on the overall performance of the researcher.

The periodic/final progress report submitted to the Research Division at the UGC by recipients of the Faculty / Institutional research are sent to a minimum of two national reviewers for evaluation based on the above mentioned quality indicators using the evaluation form given in Appendix 6.1. In case the major parts of the research are already published in ranked journals, the RD may decide to accept the final report as it is or with a quick review by the RD.

### **6.7: Monitoring the Progress of the Research Management Cell (RMC)**

The Research Division will make inspection visits to the institutions that have established Research Management Cells to evaluate their functioning using the form given in Appendix 5.2. The team will also make a survey of stakeholders' impression on the RMC using the form given in Appendix 5.3. The institution is advised to adapt the RMC as an umbrella for various regulatory committees required for management of research activities in the institution. These committees will include the Research Committee, the Review Committee, the Ethics Committee, the Hazard and Safety Committee, etc.

### **6.8: Amendments in the Guidelines**

The Research Program Implementation Guidelines is revised by the UGC from time to time as per the need and in consultation with the Research Council, the Research Division, the Research Committees, and all the stakeholders.



# Appendices



## *Appendix 1*

# **Funding**

### *Appendix 1.1: The UGC Regular Annual Quality Improvement Programs Budget Allocation for the Year 2015-2016 (2072)*

	<b>Quality Improvement Programs</b>	<b>Beneficiary</b>	<b>Allocated fund (Rs. '000)</b>
1	Fellowships and Thesis Preparation Support	Faculty/Student	10,000
2	Research Grants	Faculty	8,000
3	Faculty Capacity Development Programs (Refresher Course/Training Program)	HEI/Faculty	9,600
4	Staff Capacity Development Programs (Training, Meeting)	HEI/Faculty/UGC	3,200
5	Conference, Seminar, Workshop	HEI/RI	9,950
6	Travel (Conference, Teaching, Study)	Faculty/Student	6,750
7	Capital Expenses		2,500
TOTAL			50,000

**Appendix 1.2: Total Research Support Programs funded by the HERP (2015-2020)**

	<b>Programs</b>	<b>Beneficiary</b>	<b>Number</b>	<b>Rate (Rs. '000)</b>	<b>Total Cost (Rs. '000)</b>
1	PhD Thesis Preparation Support	Faculty/Student	100	37	3700
2	Small Research Development and Innovation (RDI) Grant	Faculty	200	140	28000
3	Faculty Research Grant	Faculty	200	300	60000
4	Collaborative Research Grant	Faculty	30	1500-2000	52500
5	PhD Fellowship	Faculty/Student	150	300	45000
6	Partial PhD Fellowship (QAA/Autonomy)	Faculty/Student	10	200	2000
7	Continued Support for Ongoing PhD	Faculty/Student			7600
8	MPhil Fellowship	Faculty/Student	200	82	16400
9	Master's Thesis Preparation Support (Technical)	Student	90	20	1800
10	Research Article Publication in Indexed Journal	Faculty/Student	100	50	5000
11	Publication of Refereed Journal	HEI/RI/PS	25	500	12500
12	Research Training	Faculty/Student	200	100-175	30000
13	Academia-Industry Dialogue	HEI/Industry	20	120	2400
14	Special Requirement for Faculty Research(Technical)	Faculty	100	100	10000
15	Laboratory Support	HEI/RI			90000
16	Library Networking	HEI/RI			30000
17	Postdoctoral Fellowship	Open	15	840	12600
18	Matching Research Grant	Faculty/Student			5600
19	Special Research Fund	Faculty/RI			5000
20	<i>Research Management Cell</i> Establishment of new RMC	HEI	30	200-1000	18000
	Support to old RMC		30	200	6000
<b>TOTAL</b>					<b>444100</b>

**Appendix 1.3: Yearly Distribution of Programs Funded by the HERP**

<b>Yearly Distribution of Research Funding Activities</b>							
	<b>Rate (Rs. '000)</b>	<b>Events</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
<b>Fellowship and Thesis Support</b>							
PhD Fellowship	300	150	40	55	55	-	-
Partial PhD Fellowship (QAA/ Autonomy)	200	10	3	3	4	-	-
Support to Ongoing PhD							
PhD Thesis Preparation Support	37	100	25	25	25	25	-
MPhil Fellowship	82	200	40	55	55	50	-
Master's Thesis Preparation Support (Technical)	20	90	23	23	22	22	-
Postdoctoral Fellowship	840	15	2	4	5	4	-
<b>Research Grants</b>							
Small RDI Grant	200	200	50	50	50	50	-
Faculty Research Grant	300	200	50	50	50	50	-
Special Requirement for Faculty Research in Technical Area	100	100	25	25	25	25	
Collaborative Research Grant	1500-2000	30	10	10	10	-	-
Matching Research Grant	75-200						-
Special Research Fund							-
<b>Training/Workshop</b>							
Research Training	100-175	200	50	50	50	50	-
Academia-Industry Dialog	120	20	5	5	5	5	-
<b>Research Infrastructure</b>							
Laboratory Support							-
Library Networking							-
Research Management Cell	200-1000	60	10	20	15	15	-
<b>Publication Support</b>							
Research Article Publication in Indexed Journal	50	100					-
Publication of Refereed journal	500	25					-

Appendix 2

# Forms and Documents for Fellowships and Support

## Appendix 2.1: Application for PhD Fellowship / Research Support



UNIVERSITY GRANTS COMMISSION  
Sanothimi, Bhaktapur, Nepal  
RESEARCH DIVISION

Affix a  
passport  
size color  
photo

PF/RS-1

### Application for the UGC Ph.D. Fellowship / Research Support

Faculty

Young

To be filled by the UGC  
Draft No./Bill No. of Rs. 300/-  
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: • Residence: • Office: • Mobile:	A11. Email:		A 12. 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		e. Education		
	b. Science & Technology		f. Humanities & Social Sciences		
	c. Health Sciences		g. Management		
	d. Engineering				

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:		
B12. Name of the Supervisor:		B13. Designation of the Supervisor :
B14: Contact Details of the Supervisor		
<ul style="list-style-type: none"> <li>• Phone No.:</li> <li>• Email ID:</li> </ul>		

### 3. Academic Record (Latest first)

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 complete list in your CV)

5.1: Research Publication in <u>Indexed Journals with SCImago Journal Ranking (SJR)</u> In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page
1.
2.
3.
4.
5.2: Research Publication in <u>Other/Local Peer-Reviewed Journals</u>

In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4.
5.3: Research Reports ( <u>any part of it not published in any journal yet</u> ) 1. 2. 3. 4.
5.3: <u>Other</u> Academic Publication (Text book, reference book, book chapter relevant to the proposed research)
In APA Format: Author/s (Year), {Chapter Title, in [Ed.]}, Book Title, Publisher 1. 2. 3. 4.

**6. Previous UGC Grants Received (Please attach a copy of the completion letter)**

Year	Program	Title	Period

**7. Detailed PhD Research Proposal**

Please attach a detailed PhD research proposal with the following major components written in APA format (limit it to 15-20 pages).

Research Proposal format: <ol style="list-style-type: none"> <li>a. Title</li> <li>b. Background</li> <li>c. Literature Review</li> <li>d. Hypotheses/ Research Questions</li> <li>e. Significance of the Study</li> <li>f. Research Objectives</li> <li>g. Research Methodology and Data Analysis</li> <li>h. Expected Outcomes</li> <li>i. Limitations and Delimitations</li> <li>j. Ethical/Safety Issues</li> <li>k. Time Table and Detailed Budget (actual)</li> <li>l. Summary</li> <li>m. References</li> <li>n. Association to National Priority (explained in simple language)</li> </ol>
--



## 8. 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		

## 9. Documents required (Check if included)

1. PhD Research Proposal (3 copies + 1 CD)	5. Copy of Certificate of Underprivileged Group (if any)	
2. Copy of Citizenship	6. Copy of Permanent Job Certificate (for faculty)	
3. Copies of Academic Diplomas (Master's and above)	7. Certificate of Study Leave (for faculty)	
4. Copy of Equivalence Certificate (if any)	8. Curriculum Vitae	

## 10. 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 of Rs. 7,000 and support to certain educational expenses for three years to the fellow, and a PhD Research Support of Rs. 3,00,000 (for a limited number of candidates, from technical clusters) to the department to support the research project of the fellow.

Name of the host Institution/Department: .....

[Official Seal]

\_\_\_\_\_

Signature

Name: .....

Designation: .....

Date: .....

(PhD Supervisor)

\_\_\_\_\_

Signature

Name: .....

Designation: .....

Date: .....

(Head of the Host Department)

### 11. 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 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: .....

### 12. Undertaking by the Applicant

It is solemnly affirmed that I have read and understood conditions of the award of this program mentioned in the UGC Annual Programs and Procedure 2015-16 (2072) and the UGC Research Development and Innovation Programs Implementation Guidelines 2016 and that the decision of the UGC will be final and binding. In the event that my progress is found unsatisfactory at the periodic evaluation or during the period of my study, I shall be liable to disciplinary action, which may result in termination of the fellowship funding and/or refunding of the full amount spent on me in connection with this award. Any research misconduct on my part will be punishable.

\_\_\_\_\_

Signature

Name: .....

Date: .....

Thumb	
Right	Left

**Appendix 2.2: PhD Research Proposal Evaluation Form****University Grants Commission  
Sanothimi, Bhaktapur****PhD Research Proposal Evaluation Form**

Candidate's Code: ..... Cluster: .....

Title of the Proposal: .....

	Indicators (*core merit indicators)	Rating (Please circle the number OR give your own mark)					SCORE
		Absent	Poor	Satisfactory	Good	Excellent	
a	<b>Research Title</b> <i>(Specific, clear)</i>	0	1	2	3	4	
b	<b>Background Information</b> <i>(Adequate and well-contextualized)</i>	0	1	2	3	4	
c*	<b>Literature Review</b> <i>(Adequate, well-contextualized and carefully selected)</i>	0	1.5	3	4.5	6	
d*	<b>Hypotheses/ Research Questions</b> <i>(Well-developed and adequate)</i>	0	1	2	3	4	
e*	<b>Significance of the Study</b> <i>(The study is significantly new and contributing)</i>	0	2	4	6	8	
f*	<b>Research Objectives</b> <i>(Academically interesting, adequate, achievable)</i>	0	4	8	12	16	
g*	<b>Research Methodology and Data analysis</b> <i>(Advanced, well-suited and adequate)</i>	0	4	8	12	16	
h*	<b>Expected Outcomes</b> <i>(Clear and academically significant)</i>	0	2	4	6	8	
i	<b>Limitations and Delimitations</b> <i>(Honestly described and reasonable)</i>	0	1	2	3	4	
j	<b>Ethical and Safety Issues</b> <i>(Well-addressed, even when not-applicable)</i>	0	0	0	3	4	
k	<b>Plan and Time Table</b> <i>(Well-planned)</i>	0	1	2	3	4	
l	<b>Summary</b> <i>(Summarized very well)</i>	0	1	2	3	4	
m	<b>Format</b> <i>(Standard format followed)</i>	0	1	2	3	4	
n	<b>Association to National Priority</b> <i>(Met and well-described)</i>	This indicator is to be judged by the Cluster Committee					
						Total score (out of 90)	
Final score in words:							

Reviewer's Initial: ..... [Use the next page for comments and signature]

<b>Reviewer's recommendation and comments</b>			
<b>1. Recommendation for PhD Research Funding Award (not binding)</b>			
Based on scores of the core merit indicators, my recommendation is:	ACCEPT for Award	REJECT	CANNOT SAY
<b>2. Recommendation for Research Budget (in case of acceptance)</b>			
The UGC PhD Research Funding maximum limit is:  1. <b>Rs. 3,00,000</b> (for technical and laboratory-based research)  2. <b>Rs. 2,00,000</b> (for non-technical and theoretical research)	Requested amount:	I recommend:	
<b>3. Other Comments</b> (Use separate sheet if necessary):			
Reviewer's Signature: .....			
Reviewer's Full Name: .....			
Reviewer's Institution: .....			
Reviewer's Subject of Expertise: .....			
Date: .....			

<b>4. To be Filled by the Cluster Committee</b>							
National Priority Grading		Rating (Please circle the number OR give your own mark)					<b>SCORE</b>
		Absent	Poor	Satisfactory	Good	Excellent	
n	<b>Association to National Priority</b> <i>(Met and well-explained)</i>	0	1	2	3	4	
Cluster Committee Coordinator Name: ..... _____ Date: ..... Signature							

**Appendix 2.3: 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:.....

Indicators	Rating (Please circle the number OR give your own mark)					SCORE
	Absent	Poor	Satisfactory	Good	Excellent	
<b>1</b>	<b>Quality of the Research Proposal</b>					
<b>a. Research Title</b> <i>(Specific, clear)</i>	0	1	2	3	4	
<b>b. Research Objectives/Questions</b> <i>(Academically interesting, adequate, achievable)</i>	0	1	2	3	4	
<b>c. Methodology</b> <i>(Advanced, well-suited)</i>	0	1	2	3	4	
<b>d. Work Plan</b> <i>(Well planned and scheduled)</i>	0	1	2	3	4	
<b>e. Expected Outcomes</b> <i>(Clear, academically significant)</i>	0	1	2	3	4	
<b>2</b>	<b>Competence of the candidate</b>					
<b>a. Depth of the Knowledge of the Subject</b> <i>(Candidate has in-depth knowledge of the study subject)</i>	0	1	2	3	4	
<b>b. Understanding of Research Opportunity</b> <i>(Candidate could convince that the research is significantly new and contributing)</i>	0	1	2	3	4	
<b>c. Skill (methodology, analysis)</b> <i>(Candidate has technical skill)</i>	0	1	2	3	4	
<b>d. Adequately Funded Research Project</b> <i>(Candidate is aware of funding need and is well-prepared)</i>	0	1	2	3	4	
<b>e. Enthusiasm for Research publication</b> <i>(Candidate has enthusiasm for publication and familiarity with quality journals)</i>	0	1	2	3	4	

<b>3</b>	<b>Quality of the Presentation</b>						
	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)	
Total score in words:							

Evaluator's Comment:
----------------------

Evaluator's Signature: .....

Evaluator's Full Name: .....

Evaluator's Institution / Cluster Committee: .....

Evaluator's Subject of Expertise: .....

Date: .....

**Appendix 2.4: Evaluation Criteria for PhD Fellowship Application****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: \_\_\_\_\_

\_\_\_\_\_

	<b>Indicator</b>	<b>Maximum Score</b>	<b>Marks Scored</b>
1	<b>Academic Record</b> MPhil degree (4) Master's 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	<b>Publication</b> Article in indexed journal with above-median SJR (10 for each) Article in indexed journal with below-median SJR (7 for each) Article in other/local peer-reviewed journal (5 for each) Relevant reference/text book/chapter (5 for each) <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>	20	
3	<b>Underprivileged Group</b> Woman (2); Dalit(2); Janajati/Madhese (2); Disability (2); Remote area (2)	10	
4	<b>Presentation</b>	60	
5	<b>Proposal Evaluation (Appendix 2.4)</b>	90	
	<b>Total</b>	200	

\_\_\_\_\_  
Scored by\_\_\_\_\_  
Verified by\_\_\_\_\_  
Approved by

## Appendix 2.5: PhD Fellowship / Research Support Agreement

### UNIVERSITY GRANTS COMMISSION Sanothimi, Bhaktapur, Nepal RESEARCH DIVISION

#### PhD Fellowship / Research Support Agreement

This agreement is made this \_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ by and between:

1. University Grants Commission,
2. \_\_\_\_\_, the PhD Fellow, with the following details;

Program: \_\_\_\_\_

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 \_\_\_\_\_

---

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 case of unsatisfactory progress, negligence or misconduct on part of the Fellow, Supervisor or 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.

##### B. PhD Fellowship and Research Fund disbursement

The award will consist of a fellowship only or a fellowship and research fund. The fellowship, which consists of a monthly allowance, travel grant and financial assistance to cover the purchase of study materials and printing cost, is disbursed to the Fellow directly. The research fund is to be disbursed through the institution, according to the research plan and



need of the project upon the recommendation of the supervisor. The research support fund is transferred to the host institution at the time of signing of the agreement. The funding limit and disbursement method are as follows:

(a) PhD Fellowship:

	<b>Financial Support</b>	<b>Amount (Rs.)</b>	<b>Disbursement</b>
a.	Monthly allowance 7000 X 36 months	2,52,000	Six installments
B	Study material cost	20,000	Reimbursement
C	Field study visit	30,000	Two installments upon the recommendation of the supervisor
D	Laboratory expenses	40,000	Upon submission of the plan for the expenditure, recommended by the supervisor
E	Printing cost	15,000	After submission of a copy of the final draft of the thesis to the UGC
F	Travel grant (conference)	Up to 45,000	Reimbursement
G	Article publication fee	Up to 50,000	Reimbursement

(b) PhD Fellowship and Research Support

	<b>Financial Support</b>	<b>Amount (Rs.)</b>	<b>Disbursement</b>
a.	Monthly allowance 7000 X 36 months	2,52,000	Six installments
F	Travel grant (conference)	Up to 45,000	Reimbursement
G	Article publication fee	Up to 50,000	Reimbursement
H	Research Support	3,00,000	At the signing of the agreement to the host institution/ department as an earmarked fund for the proposed research project

**C. Obligation of the Host Institution**

1. Accept the PhD research fund on behalf of the Fellow and disburse it in installments, upon the request of the Fellow and the recommendation of the Supervisor as per the need and progress of the research work.
2. Provide full institutional support to the Fellow to complete the PhD 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.
4. Abide by regulations of the UGC-related to PhD programs and research programs.

5. Facilitate the monitoring of the Fellow's progress by the UGC.
6. Take custody, at the end of the project, of the materials purchased with the research fund, which shall be the property of the institution.

#### **D. Obligation of the Supervisor**

1. Provide full support and supervision to the Fellow's work.
2. Guide the Fellow to accommodate the UGC reviewers' suggestions on the PhD research proposal and periodic progress reports.
3. Maintain academic integrity and research ethics.

#### **E. Obligation of the Fellow**

1. Maintain the highest level of academic integrity and research ethics.
2. Make honest and best use of the research fund with the guidance of the Supervisor. The research 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 fund.
5. Make a presentation on the progress of the work at the end of every year.
6. Publish at least two original research articles based on the PhD research work in indexed 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: Submit to the UGC a proof of study leave sanctioned by the affiliated institution.
9. Applicable to Young Fellow category: Agree to serve in a community campus of Nepal for a full academic year after receiving the PhD degree. (In case of a plan to immediately join a postdoctoral position in any institution and to serve in a community campus only after the completion of postdoctoral tenure, the Fellow can do so by writing to the UGC within six months from the date of PhD award and receiving the permission from the UGC.).

#### **F. Allowable Expenditure for Research Fund**

The PhD research fund must be used to cover the expenses as specified in the research proposal and as stipulated in this agreement. Any unused fund must be returned to the UGC. The allowable expenses for the research fund are as follows:

1. laboratory cost – consumables, chemicals, reagents, small equipments;
2. laboratory testing and analysis, software;
3. costs covering field study and survey; and

4. research fund cannot be used to pay the costs associated with tuition, examination and seminar, salary and any other recurrent cost and living expenses.

All materials purchased with the research fund are the property of the host institution.

### G. Other Conditions

1. All the terms and conditions mentioned in the *UGC Guidelines for the Implementation of Research Funding 2015* and the UGC Terms and Condition for PhD Fellowship are applicable.
2. 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.
3. 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.
4. 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.
5. If the progress is found to be unsatisfactory by the UGC reviewer and monitoring officers, the UGC will notify the Supervisor and the institution. 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.
6. 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.
7. The PhD program must be completed within 5 years from the date of registration. The period can be extended for one more year. The fellowship file is closed at the end of the sixth year and no benefit is given after that.
8. 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: \_\_\_\_\_

2. PhD Fellow  
 Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_

University Grants Commission

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

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

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

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

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

3. On behalf of the host institution

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

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

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

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

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

4. PhD Fellow's Supervisor

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

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

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

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

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

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

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

**Appendix 2.6: Application 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 M.Phil. Fellowship**

Faculty		Young		To be filled by the UGC
				Draft No./Bill No. of Rs. 200/- 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: • 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. 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 complete list in your CV)**

<b>5.1: Research Publication in Indexed Journals with SCImago Journal Ranking (SJR)</b>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4.
<b>5.2: Research Publication in Other/Local Peer-Reviewed Journals</b>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4.
<b>5.3: Research Reports (any part of it not published in any journal yet)</b>
1. 2. 3. 4.
<b>5.4: Other Academic Publication (Text book, reference book, book chapter relevant to the proposed research)</b>
In APA Format: Author/s (Year), {Chapter Title, in [Ed.]}, Book Title, Publisher 1. 2. 3. 4.

**6. Previous UGC Grants Received (Please attach a copy of the completion letter)**

Year	Program	Title	Period

**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	4. Copy of Certificate of Underprivileged Group (if any)	
2. Copies of Academic Diplomas (Master's and above)	5. Copy of Permanent Job Certificate (for faculty)	
3. Copy of Equivalence Certificate (if any)	6. Curriculum Vitae	

**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 acknowledge that the UGC MPhil Fellowship will consist of a monthly allowance of Rs. 5,000 for 18 months and a thesis printing cost of Rs. 10,000.

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 solemnly affirm that I have read and understood conditions of the award of this program mentioned in the UGC Annual Programs and Procedure 2015-16 (2072) and the UGC Research Development and Innovation Programs Implementation Guidelines 2016 and that the decision of the UGC will be final and binding. In the event that my progress is found unsatisfactory at the periodic evaluation during the period of my study, I shall be liable to disciplinary action which may result in the termination of the fellowship funding and/or refunding of the full amount spent on me in connection with this award. Any research misconduct on my part will be punishable.

\_\_\_\_\_

Signature

Name: .....

Date: .....

Thumb	
Right	Left



**Appendix 2.7: 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	Satisfactory	Good	Excellent	
a	<b>Research Interest/s and Motivation</b> <i>(Clear and realistic idea, highly motivated)</i>	0	2.5	5	7.5	10	
b	<b>Impact of Suggested Research</b> <i>(High academic and developmental impact)</i>	0	2.5	5	7.5	10	
c	<b>Analytical Ability</b> <i>(Shows knowledge and skill of research design, research methodology and analytical tools)</i>	0	5	10	15	20	
d	<b>Subject Knowledge</b> <i>(Has a good knowledge on the subjects of study)</i>	0	2.5	5	7.5	10	
<b>TOTAL SCORE (Out of 50)</b>							

Evaluator's Comment:
----------------------

Evaluator's Signature: .....

Evaluator's Full Name: .....

Evaluator's Institution/ Cluster Committee: .....

Evaluator's Subject of Expertise: .....

Date: .....

**Appendix 2.8: Evaluation Criteria for MPhil Fellowship Application****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: \_\_\_\_\_

	<b>Indicator</b>	<b>Maximum Score</b>	<b>Marks Scored</b>
1	<b>Academic Record (Master's degree)</b> 1 mark for every 2 marks above 50% <i>[Note: Convert grades to equivalent marks when necessary]</i>	25	
2	<b>Publication Record</b> Article in indexed journal with above-median SJR (15 for each) Article in indexed journal with below-median SJR (7.5 for each) Article in other/local peer-reviewed journal (5 for each) Relevant reference/text book/chapter (3 for each) <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	
3	<b>Underprivileged Group</b> Woman (2); Dalit(2); Janajati/Madhesi (2); Disability (2); Remote area (2)	10	
4	<b>Interview/Presentation</b>	50	
	Total	100	

\_\_\_\_\_  
Scored by\_\_\_\_\_  
Verified by\_\_\_\_\_  
Approved by

**Appendix 2.9: MPhil Fellowship Agreement**

**UNIVERSITY GRANTS COMMISSION**  
**Sanothimi, Bhaktapur, Nepal**  
**RESEARCH DIVISION**

**MPhil Fellowship Agreement**

This agreement is made this \_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ by and between:

1. University Grants Commission,
2. \_\_\_\_\_, the MPhil Fellow, with the following details:  
 Program: \_\_\_\_\_  
 Host Institution: \_\_\_\_\_  
 University registered to: \_\_\_\_\_  
 Date of registration: \_\_\_\_\_  
 Date of the registration to the MPhil research proposal by the registered university: \_\_\_\_\_  
 UGC MPhil Research Support award no.: \_\_\_\_\_,
3. \_\_\_\_\_ (the Supervisor of the MPhil Fellow), and
4. \_\_\_\_\_ (the host institution)

(hereafter, referred to as “parties”)

in connection with the UGC MPhil Research Support awarded by the UGC to the fellow \_\_\_\_\_ for the MPhil research project \_\_\_\_\_

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

**Terms and Conditions**

**A. Obligations of the UGC**

1. Provide financial assistance to the Fellow and the Supervisor, 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 Fellow, Supervisor or 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.

**B. MPhil Fellowship disbursement**

The award will consist of a monthly allowance of Rs 5,000 for 18 months disbursed in installments and Rs. 10,000 to reimburse the cost of printing thesis.

**C. Obligation of the Host Institution**

1. Provide full institutional support to the Fellow to complete the MPhil research work and the degree.
2. 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.
3. Abide by regulations of the UGC related to MPhil programs and research programs.
4. Facilitate the monitoring of the Fellow's progress by UGC.

**D. Obligation of the Supervisor**

1. Provide full support and supervision to the Fellow's work.
2. Maintain academic integrity and research ethics.

**E. Obligation of the Fellow**

1. Maintain the highest level of academic integrity and research ethics.
2. Submit progress report at the end of every semester. Include the result of the examination taken and any academic activity done during the period reported.
3. Publish at least one original research article based on the MPhil research work in indexed journal or the UGC recognized peer-reviewed journal.
4. 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.
5. Applicable to Faculty Fellow category: Submit to the UGC a proof of study leave sanctioned by the affiliated institution.
6. Applicable to Young Fellow category: Agree to serve in a community campus of Nepal for a full academic year after receiving the MPhil degree. (In case of a plan to immediately join a PhD program in any institution and to serve in a community campus only after the completion of the degree, the Fellow can do so by writing to the UGC within six months from the date of MPhil award and receiving the permission from the UGC.).

**F. Other Conditions**

1. All the terms and conditions mentioned in the *UGC Guidelines for the Implementation of Research Funding 2016* and UGC Terms and Condition for MPhil Fellowship are applicable.
2. In case the MPhil research project requires a funding, it will be a joint obligation of the host institution and the Supervisor to help find the funding.
3. 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.
4. If the progress is found to be unsatisfactory by the UGC reviewer and monitoring officers, the UGC will notify the Supervisor and the institution. 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.
  5. Academic and 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.
  6. The MPhil program must be completed within 2 years from the date of registration. The period can be extended for nine months. The research support file is closed at the end of nine months and no benefit is given after that.
  7. In case of disputes in any issues with this agreement, UGC reserves the rights to give the final decision.

1. On behalf of the UGC  
 Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 University Grants Commission  
 Date: \_\_\_\_\_

2. MPhil Fellow  
 Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile Phone: \_\_\_\_\_  
 Date: \_\_\_\_\_

3. On behalf of the host institution  
 Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Date: \_\_\_\_\_

4. MPhil Fellow's Supervisor  
 Signature: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Designation: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Telephone: \_\_\_\_\_  
 Mobile Phone: \_\_\_\_\_  
 Date: \_\_\_\_\_

**Appendix 2.10: Application for Thesis Preparation Support**

**UNIVERSITY GRANTS COMMISSION**  
 Sanothimi, Bhaktapur, Nepal  
**RESEARCH DIVISION**

Affix a  
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TPS-1  
**Thesis Preparation Support  
 Application**

M.Phil.		Master's		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: <ul style="list-style-type: none"> <li>• Phone No.</li> <li>• Email ID.</li> </ul>	B12. Designation:
---	-------------------

### 3. 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 Master's Thesis)					

### 4. Publication Record (Please include complete list in your CV)

4.1: Research Publication in <u>Indexed Journals with SCImago Journal Ranking (SJR)</u> In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3.
4.2: Research Publication in <u>Other/Local Peer-Reviewed Journals</u> In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3.
4.3: Research Report ( <u>any part of it not published in any journal yet</u> ) 1. 2. 3.
4.3: <u>Other Academic Publication</u> (Text book, reference book, book chapter relevant to the proposed research) In APA Format: Author/s (Year), {Chapter Title, in [Ed.]}, Book Title, Publisher 1. 2. 3.

### 5. Research Proposal for Thesis

Please attach your research proposal with the following major components written in APA format (limit it to 8-10 pages).

**Research Proposal format:**

- a. Title
- b. Background
- c. Literature Review
- d. Hypotheses/ Research Questions
- e. Significance of the Study
- f. Research Objectives
- g. Research Methodology and Data Analysis
- h. Expected Outcomes
- i. Limitations
- j. Ethical/Safety Issues
- k. Time Table and Budget (actual)
- l. References

**6. 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.

	<b>Referee 1</b>	<b>Referee 2</b>
Name		
Organization		
Designation		
Phone Number		
Email		

**7. Documents Required (Check  if included)**

1. Master's/MPhil Research Proposal (3 copies + 1 CD)	5. Copy of Certificate of Underprivileged Group (if any)	
2. Copy of Citizenship	6. Recommendation Letter from the Supervisor	
3. Copies of Academic Diplomas (Bachelors and above)	7. Curriculum Vitae	
4. Copy of Equivalence Certificate (if any)		

**8. 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. We acknowledge that the Thesis Preparation Support will consist of a financial assistance of Rs. 40,000 (for technical cluster) or Rs. 30,000 (for non-technical clusters) for preparing the thesis.



Name of the Host Institution/Department: .....

[Official Seal]

\_\_\_\_\_  
 Signature  
 Name: .....  
 Designation:.....  
 Date: .....  
 (Thesis Supervisor)

\_\_\_\_\_  
 Signature  
 Name: .....  
 Designation:.....  
 Date: .....  
 (Head of the host department)

**9. Undertaking by the Applicant**

I solemnly affirm that I have read and understood conditions of the award of this program mentioned in the UGC Annual Programs and Procedure 2015-16 (2072) and the UGC Research Development and Innovation Programs Implementation Guidelines 2016 and that the decision of the UGC will be final and binding. In the event that my progress is found unsatisfactory at the periodic evaluation during the period of my study, I shall be liable to disciplinary action which may result in the termination of the fellowship funding and/or refunding of the full amount spent on me in connection with this award. Any research misconduct on my part will be punishable.

\_\_\_\_\_  
 Signature  
 Name: .....  
 Date: .....

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**Appendix 2.11: Master's/MPhil Research Proposal Evaluation Form****University Grants Commission**

Sanothimi, Bhaktapur

**Master's/MPhil Research Proposal Evaluation Form**

Candidate's Code: .....

Cluster: ..... Subject: .....

Title of the Proposal: .....

Indicators (*core merit indicators)		Rating (Please circle the number OR give your own mark)					SCORE
		Absent	Poor	Satisfactory	Good	Excellent	
a	<b>Research Title</b> <i>(Specific, clear)</i>	0	1	2	3	4	
b	<b>Background Information</b> <i>(Adequate and well-contextualized)</i>	0	1	2	3	4	
c*	<b>Literature Review</b> <i>(Adequate, well-contextualized and carefully selected)</i>	0	2	4	6	8	
d*	<b>Hypotheses/ Research Questions</b> <i>(Well-developed and adequate)</i>	0	1	2	3	4	
e*	<b>Significance of the Study</b> <i>(The study is significantly new and contributing)</i>	0	2	4	6	8	
f*	<b>Research Objectives</b> <i>(Academically interesting, adequate, achievable)</i>	0	4	8	12	16	
g*	<b>Research Methodology and Data analysis</b> <i>(Advanced, well-suited and adequate)</i>	0	4	8	12	16	
h*	<b>Expected Outcomes</b> <i>(Clear and academically significant)</i>	0	2	4	6	8	
i	<b>Limitations and Delimitations</b> <i>(Honestly described and reasonable)</i>	0	1	2	3	4	

j	<b>Ethical and Safety Issues</b> (Well-addressed, even when not-applicable)	0	0	4	6	8	
l	<b>Plan and Time Table</b> (Well-planned)	0	1	2	3	4	
m	<b>Summary</b> (Summarized very well)	0	1	2	3	4	
n	<b>Format</b> (Standard format followed)	0	2	4	6	8	
Total score (out of 96) "A" =							
Final score (out of 60) = "A" X 0.625 =							
Final score in words:							

Reviewer's recommendation and comments			
<b>1. Recommendation for Master's Thesis Support Award</b> (not binding)			
Based on scores of the core merit indicators, my recommendation is:	ACCEPT for Support	REJECT	CANNOT SAY
<b>2. Recommendation for Research Budget (in case of acceptance)</b>			
The UGC Master's/MPhil Thesis Support Grant maximum limit is: Rs. 40,000 (technical) / Rs. 30,000 (non-technical)	Requested amount:	My recommendation:	
<b>3. Other comments: (use separate sheets if necessary)</b>			
Reviewer's Signature: .....			
Reviewer's Full Name: .....			
Reviewer's Institution: .....			
Reviewer's Subject of Expertise: .....			
Date: .....			

## **Appendix 2.12: Evaluation Criteria for Master's/MPhil Thesis Preparation Support Application**

### **University Grants Commission Research Division**

#### **Evaluation of Application for Master's/MPhil Thesis Preparation Support**

Name of Student: \_\_\_\_\_

University: \_\_\_\_\_

Department/School: \_\_\_\_\_

UGC Application Registration No.: \_\_\_\_\_ Year: \_\_\_\_\_

Cluster: \_\_\_\_\_

Title of Research Project: \_\_\_\_\_

	<b>Indicator</b>	<b>Maximum Score</b>	<b>Marks Scored</b>
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> Article in indexed journal with SJR ranking (10 for each) Article in other/local peer-reviewed journal (5 for each) Relevant reference/text book/chapter (5 for each) <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	
3	<b>Underprivileged Group</b> Woman (2); Dalit(2); Janajati/Madheshi (2); Disability (2); Remote area (2)	10	
4	<b>Proposal Evaluation</b>	60	
	Total	100	

\_\_\_\_\_  
Scored by\_\_\_\_\_  
Verified by\_\_\_\_\_  
Approved by

**Appendix 2.13: Application for Partial Support for PhD Fellows**

**UNIVERSITY GRANTS COMMISSION**  
 Sanothimi, Bhaktapur, Nepal  
**RESEARCH DIVISION**

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PSP-1

**Partial Support for PhD Fellows Application**

**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. Specialization
B8. Registration Number:	B9. Date of Registration:	B10. Date of the Proposal Approval:
B11. Proposed Title of the Research:		
B12. Name of the Supervisor: <ul style="list-style-type: none"> <li>• Phone No.</li> <li>• Email ID.</li> </ul>		B13. Designation:

**3. Academic Record**

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

**4. Publication Record (Please include complete list in your CV)**

4.1: Research Publication in <u>Indexed Journals with SCImago Journal Ranking (SJR)</u>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4.
4.2: Research Publication in <u>Other/Local Peer-Reviewed Journals</u>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4.
4.3: Research Report ( <u>any part of it not published in any journal yet</u> )
1. 2. 3. 4.
4.3: <u>Other Academic Publication</u> (Text book, reference book, book chapter relevant to the proposed research)
In APA Format: Author/s (Year), {Chapter Title, in [Ed.]}, Book Title, Publisher 1. 2. 3. 4.

**5. 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.

	<b>Referee 1</b>	<b>Referee 2</b>
Name		
Organization		
Designation		
Phone Number		
Email		

**6. Documents Required (Check  if included)**

1. PhD Research Proposal accepted by University	5. Copy of Certificate of Underprivileged Group (if any)	
2. Copy of Citizenship	6. Recommendation Letter from Supervisor	
3. Copies of Academic Diplomas (Master's and above)	7. Certification of No Support	
4. Copy of Equivalence Certificate (if any)	8. Curriculum Vitae	

**6. 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)

**10. Undertaking by the Applicant**

I solemnly affirm that I have read and understood conditions of the award of this program mentioned in the UGC Annual Programs and Procedure 2015-16 (2072) and theUGC Research Development and Innovation Programs Implementation Guidelines 2016 and that the decision of the UGC will be final and binding. In the event that my progress is found unsatisfactory at the periodic evaluation during the period of my study, I shall be liable to disciplinary action which may result in the termination of the fellowship funding and/or refunding of the full amount spent on me in connection with this award. Any research misconduct on my part will be punishable.

\_\_\_\_\_  
 Signature  
 Name: .....  
 Date: .....

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*Appendix 3*  
**Research Grants**

**Appendix 3.1: Application to Submit Concept Proposal for Collaborative Research Grant**



**UNIVERSITY GRANTS COMMISSION**  
Sanothimi, Bhaktapur, Nepal  
**RESEARCH DIVISION**

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photo

CR-C

**The UGC Collaborative Research Grant  
Submission of Concept Proposal**

Requesting Full Grant	
Requesting Matching* Grant (*Submit the confirmation letter from the sponsor)	

**A. Personal Information**

A1. Applicant's Full Name (Principal Investigator):	A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Citizenship No., Issuing District::	A6. Underprivileged Group:	A7. Contact Email:	
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 )	a. Agriculture/Forestry	e. Education	
	b. Science & Technology	f. Humanities & Social Sciences	
	c. Health Sciences	g. Management	
	d. Engineering		



B3. Subject:	B4. Specialization:	B5. Period of Study:
B6. Proposed Budget:	B7. No. of Investigators (Faculty):	B8. No. of Students (for thesis): PhD: MPhil: Master's:

**B9. Research Team (Principal Investigator, Co-Investigators, Students)**

Name of Member	Highest degree	Role (PI / Co-I/ Student)	Current Institution/Department

**B10. Postdoctoral Position (If any)**

[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. List of UGC Research Grants Received by Any Team Member(Please attach a copy of the completion letter)**

Year	Program	Title	Period

**D. Brief Concept Research Proposal**

Please attach a brief concept research proposal with the following major components written in APA format (limit it to 4-5 pages with Times New Roman 12 point font, single space and at least 1" margin in all sides)

Concept Research Proposal format:

1. Title of the Proposed Research
2. Background Information
3. Foundational/Preliminary Work (done by any team member)
4. Research Objectives
5. Rationale and Significance
6. Methodology
7. Expected Outcomes of the Study
8. Association to National Priority (explained in a simple language)

**J. Documents required (Check  if included)**

1. Brief Research Proposal (3 copies + 1 CD)	
2. Copy of Citizenship of PI	
3. Copy of Faculty Appointment Certificate of PI	

**K. Institutional Endorsement(from all institutions where the study will be conducted):**

<b>Statement of Endorsement:</b>		
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 Principal Investigator		
Name: Designation: Institution: Address:	Signature	Official Seal
2. From the Institution of Co-Investigator (If different than above)		
Name: Designation: Institution: Address:	Signature	Official Seal
3. From the Institution of Co-Investigator (If different than above)		
Name: Designation: Institution: Address:	Signature	Official Seal

Note: Add additional sheets, if necessary.

**L. Undertaking by the Applicant (Principal Investigator):**

I solemnly affirm that the information provided by me are true and that the decision of the UGC will be final and binding.

\_\_\_\_\_  
Signature  
Name: .....  
Date: .....

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**Appendix 3.2: Evaluation of Concept Research Proposal**

**UNIVERSITY GRANTS COMMISSION**  
**Sanothimi, Bhaktapur, Nepal**  
**RESEARCH DIVISION**

**Evaluation of the Concept Research Proposal**

Applicant's Code: ... .. Cluster: ... ..

Title of the Proposed Research: ... ..

.....

	<b>Indicator</b>	<b>Evaluation and marks</b>		<b>Score</b>
a	Foundational /Preliminary Work	Adequate (1)	No or inadequate (0)	
b	Research Objectives	Adequate and achievable (1)	Inadequate or unachievable (0)	
c	Methodology	Suited and advanced (1)	Unsuited or rudimentary (0)	
d	Expected Outcomes	Clear and significant (1)	Unclear or insignificant (0)	
e	Academic Significance	High (1)	Low (0)	
f	Overall Presentation	Satisfactory to excellent (1)	Poor (0)	
g	Association to National Priority	<i>To be scored by the Cluster Committee</i>		
Total Score (out of 6)				

**Reviewer's Comment: (use separate sheet if necessary)**

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

Reviewer's Name: ... ..

Institution: ... ..

Area of Expertise: ... ..

Date: ... ..

**To be filled by the Cluster Committee**

	<b>Indicator</b>	<b>Evaluation and marks</b>		<b>Score</b>
g	Association to National Priority	Yes (2)	No (0)	
Grand Total (out of 8)				

Cluster Committee Coordinator

Name: ... ..

Signature \_\_\_\_\_

Date: ... ..

**Appendix 3.3: Application for the UGC Collaborative Research Grant (PI)**

**UNIVERSITY GRANTS COMMISSION**  
 Sanothimi, Bhaktapur, Nepal  
 RESEARCH DIVISION

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 photo

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**The UGC Collaborative Research Grant**

Application by Principal Investigator  
 (with the detailed research proposal)

Requesting Full Grant	
Requesting Matching* Grant (*Submit the confirmation letter from the sponsor)	

To be filled by the UGC
Draft No./Bill No. of Rs. 1000/- deposit:
Date:
Approved by:

**A. Personal Information**

A1. Applicant's Full Name (Principal Investigator):		A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Citizenship No., Issuing District:		A6. Underprivileged Group:		A7. Contact Email:
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 )	a. Agriculture/Forestry		e. Education	
	b. Science & Technology		f. Humanities & Social Sciences	
	c. Health Sciences		g. Management	
	d. Engineering			
B3. Subject:		B4. Specialization:		B5. Period of Study:

B6. Proposed Budget:	B7. No. of Investigators (Faculty):	B8. No. of Students (for thesis): PhD: MPhil: Master's:
----------------------	-------------------------------------	--

B9. Co-Investigators (each Co-Investigator should submit separate application form)		
Name of Co-Investigator	Role	Current Institution/Department
B10. Students (each student should submit separate application form)		
Name of Student	Registered for Degree	Current Institution/Department
B11. Postdoctoral Position (If any)		
[The UGC might provide funding to hire a postdoctoral fellow for 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 and competence of the institutions to conduct the proposed study	
Institute/Department	Research Infrastructure

### D. Academic Record of PI

Degree	Year	Major Subjects	Grade	Board/University

### E. Employment Record of PI (Please include complete list in your CV)

Period of service		Designation	Institution	Remark
From	From			



## H. Detailed Research Proposal

Please attach a detailed research proposal with the following major components written in APA format (limit it to 15-20 pages).

Research Proposal format:

- a. Title
- b. Background
- c. Hypotheses/ Research Questions
- d. Significance of the Study
- e. Foundational/Preliminary Work (done by any team member)
- f. Research Objectives
- g. Research Methodology and Data Analysis
- h. Expected Outcomes
- i. Limitations and Delimitations
- j. Ethical/Safety Issues
- k. Time Table and Detailed Budget
- l. Summary
- m. References
- n. Association to National Priority (explained in a simple language)

## I. 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		

## J. Documents required (Check if included)

1. Detailed Research Proposal (3 copies + 1 CD)	6. Copy of Certificate of Underprivileged Group (if any)	
2. Copy of Citizenship	7. Copies of the First Page of Publications	
3. Copy of Job Certificate	8. Curriculum Vitae	
4. Copies of Academic Diplomas (Master's and above)	9. Applications from Co-Investigators	
5. Copy of Equivalence Certificate (if any)	10. Applications from Students	

## 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.

<b>1. From the Institution of the Principal Investigator</b>		
Name: Designation: Institution: Address:	Signature	Official Seal
<b>2. From the Institution of a Co-Investigator (If different than above)</b>		
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 solemnly affirm that the information provided by me are true and that the decision of the UGC will be final and binding.

\_\_\_\_\_

**Signature**  
**Name:** .....  
**Date:** .....

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**Appendix 3.4: Application for the UGC Collaborative Research Grant (Co-I)**

**UNIVERSITY GRANTS COMMISSION**  
 Sanothimi, Bhaktapur, Nepal  
**RESEARCH DIVISION**

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CR-2

**The UGC Collaborative Research Grant**

Application by Co-Investigator  
 (with the detailed research proposal)

**A. Personal Information**

A1. Applicant's Full Name (Co-Investigator):		A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Citizenship No., Issuing District:		A6. Underprivileged Group:		A7. Contact Email:
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. Period of Study:	B3. Proposed Budget:	B4. No. of Investigators:	B5. No of Students:

B6. Research Team (PI, Co-I and students should submit separate application form)		
Name of Investigators (faculty)	Role (PI / Co-I)	Current Institution/Department
Name of Students	Registered for Degree	Current Institution/Department

**C. Academic Record of Co-Investigator (Co-I)**

Degree	Year	Major Subjects	Grade	Board/University

**D. Employment Record of Co-I(Please include complete list in your CV)**

Period of service		Designation	Institution	Remark
From	From			

**E. Publication Record of Co-I(Please include complete list in your CV)**

1: Major Research Publication in <u>Indexed Journals with SCImago Journal Ranking (SJR)</u>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page
1.
2.
3.
4.
5.
2: Major Research Publication in <u>Other/Local Peer-Reviewed Journals</u>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page
1.
2.
3.
4.
5.
3: <u>Research Reports(any part of it not published in any journal yet)</u>
1.
2.
3.
4.
5.
4: <u>Other Academic Publication (Text book, reference book, book chapter) relevant to the proposed research</u>
In APA Format: Author/s (Year), {Chapter Title, in [Ed.]}, Book Title, Publisher
1.
2.
3.
4.
5.

**F. List of UGC and Other Research Grants awarded to you (Please attach a copy of the completion letter)**

Year	Program	Title	Period

**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  if included)**

1. Copy of Citizenship	<input type="checkbox"/>	5. Copy of Certificate of Underprivileged Group (if any)	<input type="checkbox"/>
2. Copy of Job certificate	<input type="checkbox"/>	6. Copies of the First Page of Publications	<input type="checkbox"/>
3. Copies of Academic Diplomas (Master's and above)	<input type="checkbox"/>	7. Copy of Job Certificate	<input type="checkbox"/>
4. Copy of Equivalence Certificate (if any)	<input type="checkbox"/>	8. Curriculum Vitae	<input type="checkbox"/>

**I. Undertaking by the Applicant:**

I solemnly affirm that the information provided by me are true and that the decision of the UGC will be final and binding.

Signature

Name: .....

Date: .....

Thumb	
Right	Left

**Appendix 3.5: Application by Student (Supervised by PI/Co-I of the UGC funded Research)**

**UNIVERSITY GRANTS COMMISSION**  
Sanothimi, Bhaktapur, Nepal  
**RESEARCH DIVISION**

Affix a  
passport  
size color  
photo

**RG-S**  
**The UGC Small RDI/Faculty/Collaborative Research Grant**  
**Application by Student**

**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. Contact Email:
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 )			
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 for Degree	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 complete list in your CV)**

1: Major Research Publication in <u>Indexed Journals with SCImago Journal Ranking (SJR)</u> In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3.
2: Major Research Publication in <u>Other/Local Peer-Reviewed Journals</u> In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3.

<b>3: Research Reports (any part of it not published in any journal yet)</b>
1. 2. 3.
<b>4: Other Academic Publication (Text book, reference book, book chapter) relevant to the proposed research</b>
In APA Format: Author/s (Year), {Chapter Title, in [Ed.]}, Book Title, Publisher 1. 2. 3.

**F. List of UGC and Other Research Grants awarded to you (Please attach a copy of the completion letter)**

Year	Program	Title	Period

**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  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 the First Page of Publications (if any)	
3. Copy of Equivalence Certificate (if any)	6. Curriculum Vitae	

**I. Endorsement by the Principal Investigator**

\_\_\_\_\_  
 Signature  
 Name: .....  
 Date: .....

**J. Undertaking by the Applicant:**

I solemnly affirm that the information provided by me are true and that the decision of the UGC will be final and binding.

\_\_\_\_\_  
Signature  
Name: .....  
Date: .....

Thumb	
Right	Left

**Appendix 3.6: Evaluation of the Proposal of the UGC Collaborative Research Grant****University Grants Commission****Sanothimi, Bhaktapur*****Institutional/Collaborative Research Grant Proposal Evaluation Form***

Applicant's Code: ..... Cluster: .....

Title of the Proposal: .....

Indicators (*core merit indicators)		Rating (Please circle the number OR give your own mark)					SCORE
		Absent	Poor	Satisfactory	Good	Excellent	
a	<b>Research Title</b> <i>(Specific, clear)</i>	0	1	2	3	4	
b	<b>Background Information</b> <i>(Adequate and well-contextualized)</i>	0	1	2	3	4	
c*	<b>Hypotheses/ Research Questions</b> <i>(Well-developed and adequate)</i>	0	1	2	3	4	
d*	<b>Significance of the Study</b> <i>(The study is significantly new and contributing)</i>	0	2	4	6	8	
e*	<b>Foundational / Preliminary Work (by the team)</b> <i>(Relevant and strongly supporting to the study)</i>	0	4	8	12	16	
f*	<b>Research Objectives</b> <i>(Academically interesting, adequate, achievable)</i>	0	4	8	12	16	
g*	<b>Research Methodology and Data analysis</b> <i>(Advanced, well-suited and adequate)</i>	0	4	8	12	16	
h*	<b>Expected Outcomes</b> <i>(Clear and academically significant)</i>	0	2	4	6	8	
i	<b>Limitations and Delimitations</b> <i>(Honestly described and reasonable)</i>	0	1	2	3	4	
j	<b>Ethical and Safety Issues</b> <i>(Well-addressed, even when not-applicable)</i>	0	0	0	3	4	
l	<b>Plan and Time Table</b> <i>(Well-planned)</i>	0	1	2	3	4	
m	<b>Summary</b> <i>(Summarized very well)</i>	0	1	2	3	4	
n	<b>Format</b> <i>(Standard format followed)</i>	0	1	2	3	4	



k*	<b>Association to National Priority</b> (Met and well-described)	To be evaluated by Cluster Committee	
		Total score (out of 112) "A" =	
		Final score (out of 60) = "A" X 0.536 =	
Final score in words:			

Reviewer's recommendation and comments			
<b>1. Recommendation for Collaborative Research Grant Award (non-binding)</b>			
Based on scores of the core merit indicators, my recommendation is:	ACCEPT for Award	REJECT	CANNOT SAY
<b>2. Recommendation for Research Budget (in case of acceptance)</b>			
The UGC <i>Collaborative Research Grant</i> maximum limit is: 1. Rs. 20,00,000 (for technical and laboratory-based research) 2. Rs. 15,00,000 (for non-technical and theoretical research)	Requested amount:	My recommendation:	
<b>3. Other comments: (use separate sheets if necessary)</b>			
_____ Reviewer's Signature			
Reviewer's Full Name: .....			
Reviewer's Institution: .....			
Reviewer's Subject of Expertise: .....			
Date: .....			

<b>4. To be Filled by the Cluster Committee</b>							
National Priority Grading		Rating (Please circle the number OR give your own mark)					SCORE
		Absent	Poor	Satisfactory	Good	Excellent	
k	<b>Association to National Priority</b> (Met and well-explained)	0	4	8	12	16	
Cluster Committee Coordinator							
Name: .....							
Date: .....							
_____ Signature							

**Appendix 3.7: Faculty/Collaborative Research Proposal Presentation Evaluation Form**

## University Grants Commission

### Sanothimi, Bhaktapur

### *Faculty /Collaborative Research Proposal Presentation Evaluation*

Name of the Principal Investigator: .....

Cluster: ..... Subject: .....

Title of the Proposal: .....

	Indicators	Rating (Please circle the number OR give your own mark)					SCORE
		Absent	Poor	Satisfactory	Good	Excellent	
<b>1</b>	<b>Quality of the Research Proposal</b>						
	<b>a. Research Title</b> <i>(Specific, clear)</i>	0	1	2	3	4	
	<b>b. Foundational / Preliminary work (by the group)</b> <i>(Adequate, promising)</i>	0	1	2	3	4	
	<b>c. Research Objectives/Questions</b> <i>(Academically interesting, adequate, achievable)</i>	0	1	2	3	4	
	<b>d. Methodology</b> <i>(Advanced, well-suited)</i>	0	1	2	3	4	
	<b>e. Work Plan</b> <i>(Well planned and scheduled)</i>	0	1	2	3	4	
	<b>f. Expected Outcomes</b> <i>(Clear, academically significant, national priority)</i>	0	1	2	3	4	
	<b>g. Budgeting</b> <i>(Reasonable, well-planned)</i>	0	1	2	3	4	
<b>2</b>	<b>Competence of the candidate/Team</b>						
	<b>a. Depth of the knowledge of the subject</b> <i>(Candidate/team has in-depth knowledge of the study subject)</i>	0	1	2	3	4	

	<b>b. Understanding of research opportunity</b> <i>(Candidate could convince that the research is significantly new and contributing)</i>	0	1	2	3	4	
	<b>c. Skill (methodology, analysis)</b> <i>(The team has adequate technical skill)</i>	0	1	2	3	4	
	<b>d. Enthusiasm for research publication</b> <i>(Candidate has enthusiasm for publication and familiarity with quality journals, and commitment to students' theses)</i>	0	1.5	3	4.5	6	
<b>3</b>	<b>Quality of the presentation</b>						
	a. Well-organized	0	1	2	3	4	
	b. Fluently delivered	0	1	2	3	4	
	c. Impressive answers during Q/A	0	1.5	3	4.5	6	
						<b>Total (out of 60)</b>	
Total score in words:							

Evaluator's Comment:

Evaluator's Signature: .....

Evaluator's Full Name: .....

Evaluator's Institution/ Cluster Committee .....

Evaluator's Subject of Expertise: .....

Date: .....

**Appendix 3.8: Evaluation Criteria for Collaborative Research Grant Application****University Grants Commission  
Research Division****Evaluation of Application for Collaborative Research Grant**

Name of Principal Investigator: \_\_\_\_\_

University, Department/School: \_\_\_\_\_

Subject: \_\_\_\_\_

UGC Application Registration No.: \_\_\_\_\_ Year: \_\_\_\_\_

Cluster: \_\_\_\_\_

Title of Research Project: \_\_\_\_\_

S.N.	Indicator and marks	Maximum Score	Marks Scored
1	<b>Academic Record of the Principal Investigator</b> Postdoctoral or equivalent research experience (2 per year) Teaching in HEI (1 per year)	5	
2	<b>Publication Record of the Principal Investigator</b> Article in indexed journal with above-median SJR (5 for each) Article in indexed journal with below-median SJR (3 for each) Article in other/local peer-reviewed journal (1 for each) Relevant reference/text book/chapter (1 for each) <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	
3	<b>Research experience/supervision by Principal Investigator</b> PhD thesis supervision (2 for each) Master/ MPhil thesis supervision: (1 for each) PI or Co-I in research project (1 for each)	5	
4	<b>Involvement of Student/Faculty in the project</b> Three or more Co-Investigators (3) PI or any Co-Investigator from community campus (3) Student for PhD degree (4 for each) Student for MPhil/Master's degree (2 for each)	15	
5	<b>Underprivileged group Candidate*</b> Woman (2); Dalit (2); Janajati/Madhesi (2); Disability (2); Remote area (2)	10	
	<b>Subtotal</b>	50	
6	<b>Proposal Evaluation</b> (by two national reviewers)	90	
7	<b>Presentation Evaluation</b> (or evaluation by an international reviewer)	60	
	<b>Grand Total</b>	200	

\* Equally divided between the Principal Investigator and the rest of Co-Investigators.

\_\_\_\_\_  
Scored by\_\_\_\_\_  
Verified by\_\_\_\_\_  
Approved by

### ***Appendix 3.9: The UGC Collaborative Research Grant Agreement***

**UNIVERSITY GRANTS COMMISSION**  
**Sanothimi, Bhaktapur, Nepal**  
**RESEARCH DIVISION**

***The UGC Collaborative Research Grant Agreement***

This agreement is made this \_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ by and between:

1. University Grants Commission,
  2. (Name of the Principal Investigator )
  3. (Name of the first Co-Investigator )
  4. (Name of the second Co-Investigator )
  5. (Name of the Host Institution of the Principal Investigator )
  6. (Name of the Host Institution of the Co-Investigator(s), if different )
- (hereafter, referred to as “parties”)

in connection with the ***UGC Collaborative Research Grant*** awarded to the research team led by the Principal Investigator \_\_\_\_\_ for the Collaborative Research Project titled \_\_\_\_\_.

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

**Terms and Conditions**

**A. Obligation of the UGC**

1. Provide the fund to the team of the Investigators and the host institution(s) according to the funding and disbursement scheme outlined in Section B of this agreement.
2. Periodically monitor the progress.
3. Take action in the case of unsatisfactory progress, negligence or misconduct on part of the Investigators and the lack of cooperation to the research project on part of the host institution.
4. Assist the host institution to have a code of academic integrity and policy on research misconduct, and on maintaining of research ethics.

**B. Grant Disbursement**

The grant is split into research funding (90% of the awarded grant) for the research project and an overhead cost (10% of the awarded grant) for the host institution(s). The overhead cost is transferred to the host institution(s) at the time of signing this agreement and the research funding is disbursed to a joint account of the team of the Investigators in four installments according to the disbursement scheme specified below:

<b>Grant</b>	<b>Amount (Rs)</b>	<b>Disbursement</b>
Funding to the research project (transferred to a joint account of the Principal Investigator and Co-Investigators)		
(a) Technical/laboratory-based research OR (b) Non-technical/theoretical research	(a) 18,00,000  (b) 13,50,000	1. 20% at the time of signing of the agreement 2. 40% after the submission of the first progress report to the UGC 3. 20% after the submission of the progress report, before the final report to the UGC 4. 20% after submitting the final report to the UGC
Institutional overhead cost paid to the host institution (to be divided equally among all institutions, in case of multiple host institutions)		
(a) Technical/laboratory-based research OR (b) Non-technical/theoretical research	(a) 2,00,000  (b) 1,50,000	At the time of signing of the agreement

**C. Obligation of the Host Institution**

1. Accept the institutional overhead cost paid by the UGC to cover the overhead cost in connection with the research project.
2. Provide full institutional support to the research team and the research project.
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, research team and all members of the institution.
4. Abide by the UGC regulations related to research and academic programs.
5. Monitor the progress of the project and facilitate the monitoring by the UGC.

**D. Obligation of the Principal Investigator and Co-Investigators**

1. Maintain the highest level of academic integrity and research ethics.
2. Make honest and best use of the research fund. The research fund can only be used to cover allowable expenditure as specified in section E of this agreement.
3. Accommodate the UGC reviewers' suggestions on the research proposal and periodic progress reports.
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 fund.
5. Make a presentation on the progress of the work at the end of every year.
6. Publish at least one original research article based on the research work in a high impact

factor indexed journal or three research articles in indexed journals or the UGC recognized peer-reviewed journals.

#### E. **Allowable Expenditure for Research Fund**

The Collaborative Research fund must be used to cover the expenses as specified in the research proposal and as stipulated in in this agreement. Any unused fund must be returned to the UGC. The allowable expenses for the research fund are as follows:

1. laboratory cost – consumables, chemicals, reagents, small equipments;
2. laboratory testing and analysis, software;
3. costs covering field study and survey; and
4. research fund cannot be used to pay the costs associated with tuition, examination and seminar, salary and any other recurrent cost and living expenses.

All materials purchased with the research fund are the property of the host institution.

#### F. **Other Conditions**

1. All the terms and conditions mentioned in the *UGC Guidelines for the Implementation of Research Funding 2015* are applicable.
2. 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 by the UGC reviewers, the Cluster Committee or the Evaluation Committee.
3. 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 Fellow.
4. 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 expect improvement. The UGC might take action including termination of the contract if persistent lack of progress and negligence are found.
5. 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 an 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.
6. The Collaborative Research must be completed within 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 fourth year.
7. The materials purchased with the research fund are the property of the institution or the laboratory of the Principal Investigator at the institution.
8. 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: \_\_\_\_\_

University Grants Commission

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

2. Principal Investigator

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

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

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

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

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

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

Mobilephone: \_\_\_\_\_

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: Application for the UGC Faculty Research Grant (Principal Investigator)**



**UNIVERSITY GRANTS COMMISSION**  
Sanothimi, Bhaktapur, Nepal  
**RESEARCH DIVISION**

Affix a  
passport  
size color  
photo

FR-1

**The UGC Faculty Research Grant  
Application by Principal Investigator**

Requesting Full Grant	
Requesting Matching* Grant (*Submit the confirmation letter from the sponsor)	

To be filled by the UGC
Draft No./Bill No. of Rs. 500/- deposit:
Date:
Approved by:

**A. Personal Information**

A1. Applicant's Full Name (Principal Investigator):	A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Citizenship No., Issuing District:	A6. Underprivileged Group:	A7. Contact Email:	
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 )	a. Agriculture/Forestry		e. Education	
	b. Science & Technology		f. Humanities & Social Sciences	
	c. Health Sciences		g. Management	
	d. Engineering			
B3. Subject:	B4. Specialization:		B5. Period of Study:	
B6. Proposed Budget:	B7. No. of Investigators (Faculty):		B8. No. of Students (for thesis): M.Phil: Master's:	

B9. Co-Investigator (Co-Investigator should submit separate application form)		
Name of Co-Investigator	Role	Current Institution/Department
B10. Students (each student should submit separate application form)		
Name of Student	Registered for Degree	Current Institution/Department

### C. Research Infrastructure of Institutions

(List the most relevant research infrastructure and competence of institutions to conduct the proposed study)

Institute/Department	Research Infrastructure

### D. Academic Record of Principal Investigator (PI)

Degree	Year	Major Subjects	Grade	Board/University

### E. Employment Record of PI (Please include complete list in your CV)

Period of service		Designation	Institution	Remark
From	From			

**F. Publication Record of PI (Please include complete list in your CV)**

1: Major Research Publication in <u>Indexed Journals with SCImago Journal Ranking (SJR)</u>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4. 5.
2: Major Research Publication in <u>Other/Local Peer-Reviewed Journals</u>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4. 5.
3: Research Reports ( <u>any part of it not published in any journal yet</u> )
1. 2. 3. 4. 5.
4: <u>Other Academic Publication</u> (Text book, reference book, book chapter relevant to the proposed research)
In APA Format: Author/s (Year), {Chapter Title, in [Ed.]}, Book Title, Publisher 1. 2. 3. 4. 5.

**G. List of UGC and Other Research Grants Received by PI:**

Year	Program	Title	Period

**H. Detailed Research Proposal**

Please attach a detailed research proposal with the following major components written in APA format (limit it to 15-20 pages).

<p>Research Proposal format:</p> <ul style="list-style-type: none"> <li>a. Title</li> <li>b. Background</li> <li>c. Hypotheses/ Research Questions</li> <li>d. Significance of the Study</li> <li>e. Foundational/Preliminary Work (done by any team member)</li> <li>f. Research Objectives</li> <li>g. Research Methodology and Data Analysis</li> <li>h. Expected Outcomes</li> <li>i. Limitations and Delimitations</li> <li>j. Ethical/Safety Issues</li> <li>k. Time Table and Detailed Budget (actual)</li> <li>l. Summary</li> <li>m. References</li> <li>n. Association to National Priority (explained in a simple language)</li> </ul>
---

**I. 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.

	<b>Referee 1</b>	<b>Referee 2</b>
Name		
Organization		
Designation		
Phone Number		
Email		

**J. Documents required (Check  if included)**

1. Research Proposal (3 copies + 1 CD)	6. Copy of Certificate of Underprivileged Group (if any)	
2. Copy of Citizenship	7. Copies of the First Page of Publications	
3. Copy of Job Certificate	8. Curriculum Vitae	
4. Copies of Academic Diplomas (Master's and above)	9. Application from the Co-Investigator	
5. Copy of Equivalence Certificate (if any)	10. Applications from each student	

**K. Institutional Endorsement (from all institutions where the study will be conducted):**

<p>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.</p>
<p>1. From the Institution of Principal Investigator</p>

Name: Designation: Institution: Address:	Signature	Official Seal
2. From the Institution of Co-Investigator (If different than above)		
Name: Designation: Institution: Address:	Signature	Official Seal
3. From the Institution of Co-Investigator (If different than above)		
Name: Designation: Institution: Address:	Signature	Official Seal

**Note: Add additional rows, if necessary.**

**K. Undertaking by the Applicant:**

I solemnly affirm that the information provided by me are true and that the decision of the UGC will be final and binding.

\_\_\_\_\_  
**Signature**

**Name:** .....

**Date:** .....

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**Appendix: 3.11: Application for the UGC Faculty Research Grant (Co-Investigator)**

**UNIVERSITY GRANTS COMMISSION**  
 Sanothimi, Bhaktapur, Nepal  
**RESEARCH DIVISION**

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FR-2

**The UGC Faculty Research Grant**  
**Application by Co-Investigator**

**A. Personal Information**

A1. Applicant's Full Name (Co-Investigator):		A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Citizenship No., District:		A6. Underprivileged Group:		A7. Contact Email:
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 )	a. Agriculture/Forestry	e. Education	
	b. Science & Technology	f. Humanities & Social Sciences	
	c. Health Sciences	g. Management	
	d. Engineering		
B3. Subject:		B4. Area:	
		B5. Period of Study:	
B6. Proposed Budget:		B7. No. of Investigators (Faculty):	
		B8. No. of Students (for thesis):	
B9. Research Team (PI, Co-I and students should submit separate application form)			
Name of the Principal Investigator		Highest Degree	Current Institution/Department
Name of Students		Registered for Degree	Current Institution/Department


### C. Academic Record of Co-Investigator (Co-I)

Degree	Year	Major Subjects	Grade	Board/University

### D. Employment Record of Co-I (Please include complete list in your CV)

Period of service		Designation	Institution	Remark
From	From			

### E. Publication Record of Co-I (Please include complete list in your CV)

4.1: Major Research Publication in <u>Indexed Journals with SCImago Journal Ranking (SJR)</u> In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4.
4.2: Major Research Publication in <u>Other/Local Peer-Reviewed Journals</u> In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4.
4.3: <u>Other Academic Publication</u> (Text book, reference book, book chapter relevant to the proposed research)

In APA Format: Author/s (Year), {Chapter Title, in [Ed.]}, Book Title, Publisher

- 1.
- 2.
- 3.
- 4.

**F. List of UGC and Other Research Grants Received by You:**

Year	Program	Title	Period

**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. Undertaking by the Applicant:**

I solemnly affirm that the information provided by me are true and that the decision of the UGC will be final and binding.

\_\_\_\_\_  
Signature

Name: .....

Date: .....

Thumb	
Right	Left



**Appendix 3.12: Faculty Research Grant Proposal Evaluation Form****University Grants Commission  
Sanothimi, Bhaktapur****Faculty Research Grant Proposal Evaluation Form**

Applicant's Code: ..... Cluster: .....

Title of the Proposal: .....

Indicators (*core merit indicators)		Rating (Please circle the number OR give your own mark)					SCORE
		Absent	Poor	Satisfactory	Good	Excellent	
a	<b>Research Title</b> <i>(Specific, clear)</i>	0	1	2	3	4	
b	<b>Background Information</b> <i>(Adequate and well-contextualized)</i>	0	1	2	3	4	
c*	<b>Hypotheses/ Research Questions</b> <i>(Well-developed and adequate)</i>	0	1	2	3	4	
d*	<b>Significance of the Study</b> <i>(The study is significantly new and contributing)</i>	0	2	4	6	8	
e*	<b>Foundational/ Preliminary Work</b> <i>(Relevant and strongly supporting to the study)</i>	0	2	4	6	8	
f*	<b>Research Objectives</b> <i>(Academically interesting, adequate, achievable)</i>	0	4	8	12	16	
g*	<b>Research Methodology and Data analysis</b> <i>(Advanced, well-suited and adequate)</i>	0	4	8	12	16	
h*	<b>Expected Outcomes</b> <i>(Clear and academically significant)</i>	0	2	4	6	8	
i	<b>Limitations and Delimitations</b> <i>(Honestly described and reasonable)</i>	0	1	2	3	4	
j	<b>Ethical and Safety Issues</b> <i>(Well-addressed, even when not-applicable)</i>	0	0	0	3	4	
k	<b>Plan and Time Table</b> <i>(Well-planned)</i>	0	1	2	3	4	
l	<b>Summary</b> <i>(Summarized very well)</i>	0	1	2	3	4	
m	<b>Format</b> <i>(Standard format followed)</i>	0	1	2	3	4	
n*	<b>Association to National Priority</b> <i>(Met and well-described)</i>	To be graded by the Cluster Committee					

Total score (out of 96) "A" =	
Final score (out of 60) = "A" X 0.625 =	
Final score in words:	

<b>Reviewer's recommendation and comments</b>			
<b>1. Recommendation for Faculty Research Grant Award (not binding)</b>			
Based on scores of the core merit indicators, my recommendation is:	ACCEPT for Award	REJECT	CANNOT SAY
<b>2. Recommendation for Research Budget (in case of acceptance)</b>			
The UGC Faculty Research Grant maximum limit is: 1. Rs. 4,00,000 (for technical and laboratory-based research)  2. Rs. 3,00,000 (for non-technical and theoretical research)	Requested amount:	My recommendation:	
<b>3. Other Comments: (use separate sheets if necessary)</b>			
<hr/> Reviewer's Signature  Reviewer's Full Name: ..... Reviewer's Institution: ..... Reviewer's Subject of Expertise: ..... Date: .....			

<b>4. To be Filled by the Cluster Committee</b>									
National Priority Grading					Rating (Please circle the number OR give your own mark)			<b>SCORE</b>	
					Absent	Poor	Satisfactory		Good
n	<b>Association to National Priority</b> (Met and well-explained)				0	2	4	6	8
Cluster Committee Coordinator Name: ..... Date: .....									
					<hr/> Signature				

**Appendix 3.13: Faculty Research Proposal Presentation Evaluation****University Grants Commission  
Sanothimi, Bhaktapur****Faculty /Collaborative Research Proposal Presentation Evaluation**

Name of the Principal Investigator: .....

Cluster: ..... Subject: .....

Title of the Proposal: .....

	Indicators	Rating (Please circle the number OR give your own mark)					SCORE
		Absent	Poor	Satisfactory	Good	Excellent	
<b>1</b>	<b>Quality of the Research Proposal</b>						
	<b>a. Research Title</b> <i>(Specific, clear)</i>	0	1	2	3	4	
	<b>b. Foundational / Preliminary work (by any investigator)</b> <i>(Adequate, promising)</i>	0	1	2	3	4	
	<b>c. Research Objectives/Questions</b> <i>(Academically interesting, adequate, achievable)</i>	0	1	2	3	4	
	<b>d. Methodology</b> <i>(Advanced, well-suited)</i>	0	1	2	3	4	
	<b>e. Work Plan</b> <i>(Well planned and scheduled)</i>	0	1	2	3	4	
	<b>f. Expected Outcomes</b> <i>(Clear, academically significant, national priority)</i>	0	1	2	3	4	
	<b>g. Budgeting</b> <i>(Reasonable, well-planned)</i>	0	1	2	3	4	
<b>2</b>	<b>Competence of the candidate/Team</b>						
	<b>a. Depth of the knowledge of the subject</b> <i>(Candidate has in-depth knowledge of the study subject)</i>	0	1	2	3	4	
	<b>b. Understanding of research opportunity</b> <i>(Candidate could convince that the research is significantly new and contributing)</i>	0	1	2	3	4	

	<b>c. Skill (methodology, analysis)</b> <i>(Candidate has adequate technical skill)</i>	0	1	2	3	4	
	<b>d. Enthusiasm for research publication</b> <i>(Candidate has enthusiasm for publication and familiarity with quality journals, and commitment to students' theses)</i>	0	1.5	3	4.5	6	
<b>3</b>	<b>Quality of the presentation</b>						
	a. Well-organized	0	1	2	3	4	
	b. Fluently delivered	0	1	2	3	4	
	c. Impressive answers during Q/A	0	1.5	3	4.5	6	
						Total (out of 60)	
Total score in words:							

Evaluator's Comment:
----------------------

Evaluator's Signature: .....

Evaluator's Full Name: .....

Evaluator's Institution/ Cluster Committee .....

Evaluator's Subject of Expertise: .....

Date: .....

**Appendix 3.14: Evaluation Criteria for Faculty Research Grant Application****University Grants Commission  
Research Division****Evaluation of Application for Faculty Research Grant**

Name of Principal Investigator: \_\_\_\_\_

University, Department/School: \_\_\_\_\_

Subject: \_\_\_\_\_

UGC Application Registration No.: \_\_\_\_\_ Year: \_\_\_\_\_

Cluster: \_\_\_\_\_

Title of Research Project: \_\_\_\_\_

S.N.	Indicator and Marks	Maximum Score	Marks Scored
1	<b>Academic Record of Principal Investigator</b> Postdoctoral or equivalent research experience (2 per year) PhD degree (5) Teaching in HEI (1 per year)	10	
2	<b>Publication Record of Principal Investigator</b> Article in indexed journal with above-median SJR (5 for each) Article in indexed journal with below-median SJR (3.5 for each) Article in other/local peer-reviewed journal (2.5) for each Relevant reference/text book/chapter (2 for each) <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	
3	<b>Research experience/supervision by Principal Investigator</b> PhD thesis supervision (2 for each) Master/ MPhil thesis supervision: (1 for each) PI or Co-I in research project (1 for each)	5	
4	<b>Involvement of Student/Faculty in the Project</b> One or more Co-Investigators (3) PI or any Co-Investigator from community campus (3) Student for PhD degree (12 for each) Student for MPhil/Master's degree (6 for each)	15	

5	<b>Underprivileged Group Candidate*</b> Woman (2); Dalit(2); Janajati/Madhese (2); Disability (2); Remote area (2)	10	
<b>Subtotal</b>		50	
6	<b>Proposal Evaluation</b> (by two national reviewers)	90	
7	<b>Presentation Evaluation</b> (or evaluation by an international reviewer)	60	
<b>Grand Total</b>		200	

\* Equally divided between the Principal Investigator and the rest of Co-Investigators.

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Scored by

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Verified by

---

Approved by

### ***Appendix 3.15: The UGC Faculty Research Grant Agreement***

**UNIVERSITY GRANTS COMMISSION**  
**Sanothimi, Bhaktapur, Nepal**  
**RESEARCH DIVISION**

***The UGC Faculty Research Grant Agreement***

This agreement is made this \_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ by and between:

1. University Grants Commission,
2. (Name of the Principal Investigator )
3. (Name of the Co-Investigator, if any )
4. (Name of the Host Institution of the Principal Investigator )
5. (Name of the Host Institution of the Co-Investigator(s), if different )  
 (hereafter, referred to as “parties”)

in connection with the ***UGC Faculty Research Grant*** awarded to the research team led by the Principal Investigator \_\_\_\_\_ for the Faculty Research Project titled \_\_\_\_\_.

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

#### **Terms and Conditions**

##### **A. Obligation of the UGC**

1. Provide the fund to the team of the Investigators and the host institution(s) according to the funding and disbursement scheme outlined in Section B of this agreement.
2. Periodically monitor the progress.
3. Take action in the case of unsatisfactory progress, negligence or misconduct on part of the Investigators and the lack of cooperation to the research project on part of the host institution.
4. Assist the host institution to have a code of academic integrity and policy on research misconduct, and on maintaining of research ethics.

##### **B. Grant Disbursement**

The grant is split into research funding (90% of the awarded grant) for the research project and an overhead cost (10% of the awarded grant) for the host institution(s). The overhead cost is transferred to the host institution(s) at the time of signing of this agreement and the research funding is disbursed to the Principal Investigator in four installments according to the disbursement scheme specified below:

<b>Grant</b>	<b>Amount (Rs)</b>	<b>Disbursement</b>
Funding to the research project (Disbursed to the Principal Investigator)		
(a) Technical/laboratory-based research OR (b) Non-technical/theoretical research	(a) 3,60,000  (b) 2,70,000	1. 20% at the time of signing of the agreement 2. 40% after the submission of the first progress report to the UGC 3. 20% after the submission of the progress report before the final report to the UGC 4. 20% after submitting the final report to the UGC
Institutional Overhead cost paid to the host institution (to be divided equally among all institutions, in case of multiple host institutions)		
(a) Technical/laboratory-based research OR (b) Non-technical/theoretical research	(a) 40,000  (b) 30,000	At the time of signing of the agreement

### C. **Obligation of the Host Institution**

1. Accept the institutional overhead cost paid by the UGC to cover the overhead cost in connection with the research project.
2. Provide full institutional support to the research team and the research project.
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, research team and all members of the institution.
4. Abide by the UGC regulations related to research and academic programs.
5. Monitor the progress of the project and facilitate the monitoring by the UGC

### D. **Obligation of the Principal Investigator and Co-Investigator**

1. Maintain the highest level of academic integrity and research ethics.
2. Make honest and best use of the research fund. The research fund can only be used to cover allowable expenditure as specified in section E of this agreement.
3. Accommodate the UGC reviewers' suggestions on the research proposal and periodic progress reports.
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 fund.
5. Make a presentation on the progress of the work at the end of every year.
6. Publish at least one original research articles based on the research work in a high impact



factor indexed journal or two research articles in indexed journals or the UGC recognized peer-reviewed journals.

#### E. **Allowable Expenditure for Research Fund**

The Faculty Research fund must be used to cover the expenses as specified in the research proposal and stipulated in this agreement. Any unused fund must be returned to the UGC. The allowable expenses for the research fund are as follows:

1. laboratory cost – consumables, chemicals, reagents, small equipments
2. laboratory testing and analysis, software
3. costs covering field study and survey
4. research fund can not be used to pay the costs associated with tuition, examination and seminar, salary and any other recurrent cost and living expenses.

All materials purchased with the research fund are the property of the host institution.

#### F. **Other Conditions**

1. All the terms and conditions mentioned in the *UGC Guidelines for the Implementation of Research Funding 2016* will be applicable.
2. 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 by the UGC reviewers, the Cluster Committee or the Evaluation Committee.
3. 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 Fellow.
4. If the progress is found unsatisfactory by the UGC reviewer and monitoring officers, the UGC will notify the Principal Investigator, Co-Investigator and the institution and expect improvement. The UGC might take action including termination of the contract if persistent lack of progress and negligence are found.
5. 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 resource 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.
6. The Faculty Research must be completed within 2 years from the date of the first installment of the grant is disbursed. Extension for another six months may be considered if the research team makes a request, on a justifiable cause, to the UGC. The grant is closed after that.
7. The materials purchased with the research fund are the property of the institution or the laboratory of the Principal Investigator at the institution.

8. 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: \_\_\_\_\_

University Grants Commission

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

2. Principal Investigator

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

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

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

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

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

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

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

3. Co-Investigator, if any

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

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

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

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

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

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

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

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

4. On behalf of the host institution

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

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

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

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

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

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

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

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

### Appendix 3.16: Application for Small Research Development and Innovation Grant (PI)



**UNIVERSITY GRANTS COMMISSION**  
Sanothimi, Bhaktapur, Nepal  
**RESEARCH DIVISION**

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SRDI-1

**Small Research Development and Innovation Grant**  
**Application by the Principal Investigator**

<b>Requesting Full Grant</b>	
<b>Requesting Matching* Grant</b> (*Submit the confirmation letter from the sponsor)	

<b>To be filled by the UGC</b>
<b>Draft No./Bill No. of Rs. 100/- deposit:</b>
<b>Date:</b>
<b>Approved by:</b>

#### A. Personal Information

A1. Applicant's Full Name (Principal Investigator)	A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Citizenship No., Issuing District:	A6. Underprivileged Group:	A7. Contact Email:	
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 )	a. Agriculture/Forestry	e. Education	
	b. Science & Technology	f. Humanities & Social Sciences	
	c. Health Sciences	g. Management	
	d. Engineering		

B3. Subject:	B4. Specialization:	B5. Period of Study:
B6. Proposed Budget:	B7. No. of Investigators (Faculty):	B8. No. of Students (for thesis): Master's: Bachelors:

B9. Research Team (PI, Co-I and Student/s should submit separate application form)		
Name of Co-Investigator (if any)	Role	Current Institution/Department
Name of Student/s	Registered for Degree	Current Institution/Department

### C. Research Infrastructure of Institutions

(List the most relevant research infrastructure and competence of the institutions to conduct the proposed study)	
Institute/Department	Research Infrastructure

### D. Academic Record of Principal Investigator (PI)

Degree	Year	Major Subjects	Grade	Board/University

### E. Employment Record of PI (Please include complete list in your CV)

Period of service		Designation	Institution	Remark
From	From			

**F. Publication Record of PI (Please include complete list in your CV)**

1: Major Research Publication in <u>Indexed Journals with SCImago Journal Ranking (SJR)</u>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4.
2: Major Research Publication in <u>Other/Local Peer-Reviewed Journals</u>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4.
3: Research Reports (any part of it not published in any journal yet)
1. 2. 3. 4.
4.3: <u>Other Academic Publication</u> (Text book, reference book, book chapter relevant to the proposed research)
In APA Format: Author/s (Year), {Chapter Title, in [Ed.]}, Book Title, Publisher 1. 2. 3. 4.

**G. List of UGC and Other Research Grants Received by You:**

Year	Program	Title	Period

**H. Detailed Research Proposal**

Please attach a detailed research proposal with the following major components written in APA format (limit it to 10-12 pages). Choose the proposal format according to your project type.

<b><u>FOR RESEARCH PROJECT</u></b>
a. Title
b. Background
c. Literature Review
d. Hypotheses/ Research Questions
e. Significance of the Study
f. Foundational /Preliminary Work(done by any team member)
g. Research Objectives
h. Research Methodology and Data Analysis
i. Expected Outcomes
j. Limitations and Delimitations
k. Ethical/Safety Issues
l. Time Table and Detailed Budget (actual)
m. Summary
n. References
o. Association to National Priority (explained in a simple language)

<b><u>FOR DEVELOPMENT/INNOVATION PROJECT</u></b>
a. Purpose
b. Background/Context/Problem
c. Literature Review
d. Theoretical/Technical Aspect
e. Significance of the Development/Innovation
f. Foundational/ Preliminary Work (done by any team member)
g. Development/Innovation Goal/ Objectives
h. Design / Methodology and Verification
i. Expected Product
j. Limitations and Delimitations
k. Ethical/Safety Issues
l. Time Table and Detailed Budget (actual)
m. Summary
n. Bibliography
o. Association to National Priority (explained in a simple language)

**I. 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.

	<b>Referee 1</b>	<b>Referee 2</b>
Name		
Organization		
Designation		
Phone Number		
Email		

**J. 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 the Co-Investigator (If any and different than above)		
Name: Designation: Institution: Address:	Signature	Official Seal

**Note: Add additional rows, if necessary.**

**K. Documents required (Check  if included)**

1. Research Proposal (3 copies + 1 CD)	6. Copy of Certificate of Underprivileged Group (if any)	
2. Copy of Citizenship	7. Copies of the First Page of Publications	
3. Copy of Job Certificate	8. Curriculum Vitae	
4. Copies of Academic Diplomas (Master's and above)	9. Applications from the Co-Investigator (if any)	
5. Copy of Equivalence Certificate (if any)	10. Application from Student/s	

**L. Undertaking by the Applicant:**

I solemnly affirm that the information provided by me are true and that the decision of the UGC will be final and binding.

Signature

Name: .....

Date: .....

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**Appendix 3.17: Application for Small Research Development and Innovation Grant (Co-I)**

**UNIVERSITY GRANTS COMMISSION**  
 Sanothimi, Bhaktapur, Nepal  
 RESEARCH DIVISION

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**SRDI-2**

**Small Research Development and Innovation Grant**  
**[Application by a Co-Investigator]**

**A. Personal Information**

A1. Applicant's Full Name (Co-Investigator):		A2. Gender:	A3. Age:	A4. Date of Birth:
A5. Citizenship No., Issuing District:		A6. Underprivileged Group:		A7. Contact Email:
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 )	a. Agriculture/Forestry		e. Education	
	b. Science & Technology		f. Humanities & Social Sciences	
	c. Health Sciences		g. Management	
	d. Engineering			
B3. Subject:		B4. Specialization:		B5. Period of Study:



B6. Proposed Budget:	B7. No. of Investigators (Faculty):	B8. No. of Students (for thesis): Master's: Bachelors:
----------------------	-------------------------------------	--

B9. Research Team (PI, Co-I and Student/s should submit separate application form)		
Name of Principal Investigator	Role	Current Institution/Department
Name of Student/s	Registered for Degree	Current Institution/Department

### C. Research Infrastructure of Institutions

(List the relevant research infrastructure and competence of the institutions to conduct the proposed study)	
Institute/Department	Research Infrastructure

### D. Academic Record of Principal Investigator (PI)

Degree	Year	Major Subjects	Grade	Board/University

### E. Employment Record of PI (Please include complete list in your CV)

Period of service		Designation	Institution	Remark
From	From			

**F. Publication Record of PI (Please include complete list in your CV)**

1: Major Research Publication in <u>Indexed Journals with SCImago Journal Ranking (SJR)</u>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4.
2: Major Research Publication in <u>Other/Local Peer-Reviewed Journals</u>
In APA Format: Author/s (Year), Title, Journal, Volume (Number), First page - Last page 1. 2. 3. 4.
3: <u>Research Reports</u> (any part of it not published in any journal yet)
1. 2. 3. 4.
4.3: <u>Other Academic Publication</u> (Text book, reference book, book chapter relevant to the proposed research)
In APA Format: Author/s (Year), {Chapter Title, in [Ed.]}, Book Title, Publisher 1. 2. 3. 4.

**G. List of UGC and Other Research Grants Received by You:**

Year	Program	Title	Period

**H. 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		

**I. Documents required (Check  if included)**

1. Copy of Citizenship		5. Copy of Certificate of Underprivileged Group (if any)	
2. Copy of Job Certificate		6. Copies of the First Page of Publications	
3. Copies of Academic Diplomas (Master's and above)		7. Copy of Job Certificate	
4. Copy of Equivalence Certificate (if any)		8. Curriculum Vitae	

**J. Undertaking by the Applicant:**

I solemnly affirm that the information provided by me are true and that the decision of the UGC will be final and binding.

\_\_\_\_\_  
**Signature**

**Name:** .....

**Date:** .....

Thumb	
Right	Left

**Appendix 3.18: Small RDI Grant (Research) Proposal Evaluation Form****University Grants Commission  
Sanothimi, Bhaktapur****Small Research Development and Innovation Grant Proposal Evaluation Form  
Project Type: Research**

Applicant's Code: ..... Cluster: .....

Title of the Proposal: .....

Indicators (*core merit indicators)		Rating (Please circle the number OR give your own mark)					SCORE
		Absent	Poor	Satisfactory	Good	Excellent	
a	<b>Research Title</b> <i>(Specific, clear)</i>	0	1	2	3	4	
b	<b>Background Information</b> <i>(Adequate and well-contextualized)</i>	0	1	2	3	4	
c	<b>Literature Review</b> <i>(Adequate, well-contextualized and carefully selected)</i>	0	1	2	3	4	
d*	<b>Hypotheses/ Research Questions</b> <i>(Well-developed and adequate)</i>	0	1	2	3	4	
e*	<b>Significance of the Study</b> <i>(The study is significantly new and contributing)</i>	0	2	4	6	8	
f*	<b>Foundational / Preliminary Work</b> (done by the team) <i>(Relevant and strongly supporting to the study)</i>	0	2	4	6	8	
g*	<b>Research Objectives</b> <i>(Academically interesting, adequate, achievable)</i>	0	4	8	12	16	
h*	<b>Research Methodology and Data analysis</b> <i>(Advanced, well-suited and adequate)</i>	0	4	8	12	16	
i*	<b>Expected Outcomes</b> <i>(Clear and academically significant)</i>	0	2	4	6	8	
j	<b>Limitations and Delimitations</b> <i>(Honestly described and reasonable)</i>	0	1	2	3	4	
k	<b>Ethical and Safety Issues</b> <i>(Well-addressed, even when not-applicable)</i>	0	0	0	3	4	

l	<b>Plan and Time Table</b> (Well-planned)	0	1	2	3	4	
m	<b>Summary</b> (Summarized very well)	0	1	2	3	4	
n	<b>Format</b> (Standard format followed)	0	1	2	3	4	
o*	<b>Association to National Priority</b> (Met and well-described)	<b>To be evaluated by the Cluster Committee</b>					
Total score (out of 100) "A" =							
Final score (out of 60) = "A" X 0.60 =							
Final score in words:							

Reviewer's recommendation and comments

**1. Recommendation for *Small RDI Grant Award* (not binding)**

Based on scores of the core merit indicators, my recommendation is:

ACCEPT for Award	REJECT	CANNOT SAY
---------------------	--------	------------

**2. Recommendation for Research Budget (in case of acceptance)**

The UGC *Small RDI Grant* maximum limit is: Rs. 1,40,000

Requested amount:	My recommendation:
-------------------	--------------------

**3. Other comments: (use separate sheets if necessary)**

\_\_\_\_\_  
Reviewer's Signature

Reviewer's Full Name: .....

Reviewer's Institution: .....

Reviewer's Subject of Expertise: .....

Date: .....

**4. To be Filled by the Cluster Committee**

National Priority Grading		Rating (Please circle the number OR give your own mark)					SCORE
		Absent	Poor	Satisfactory	Good	Excellent	
o	<b>Association to National Priority</b> (Met and well-explained)	0	2	4	6	8	
Cluster Committee Coordinator							
Name: .....							_____
Date: .....							Signature

**Appendix 3.19: Small RDI Grant(Innovation) Proposal Evaluation Form****University Grants Commission  
Sanothimi, Bhaktapur****Small Research Development and Innovation Grant Proposal Evaluation Form  
Project Type:Development/Innovation**

Applicant's Code: ..... Cluster .....

Title of the Proposal: .....

Indicators (*core merit indicators)		Rating (Please circle the number OR give your own mark)					SCORE
		Very poor	Poor	Satisfactory	Good	Excellent	
a	<b>Purpose Statement</b> <i>(Specific, clear)</i>	0	1	2	3	4	
b	<b>Background/ Context/ Problem</b> <i>(Adequate and well-contextualized)</i>	0	1	2	3	4	
c	<b>Literature Review</b> <i>(Adequate, well-contextualized and carefully selected)</i>	0	1	2	3	4	
d*	<b>Theoretical/Technical Aspect</b> <i>(Well-developed and adequate)</i>	0	2	4	6	8	
e*	<b>Significance of the Development/Innovation</b> <i>(Innovative and existing problem-solving)</i>	0	2	4	6	8	
f*	<b>Foundational/ Preliminary Work</b> (done by the team) <i>(Relevant and strongly supporting to the project)</i>	0	4	8	12	16	
g*	<b>Development/Innovation Goal/Objectives</b> <i>(Valuable, adequate, achievable)</i>	0	4	8	12	16	
h*	<b>Design/ Methodology and Verification</b> <i>(Advanced, well-suited and adequate)</i>	0	4	8	12	16	
i	<b>Expected Product</b> <i>(Clear and commercially/socially significant)</i>	0	1	2	4	4	
j	<b>Limitations and Delimitations</b> <i>(Honestly described and reasonable)</i>	0	1	2	3	4	
k	<b>Ethical and Safety Issues</b> <i>(Well-addressed, even when not-applicable)</i>	0	0	0	3	4	

l	<b>Plan and Time Table</b> (Well-planned)	0	1	2	3	4	
m	<b>Summary</b> (Summarized very well)	0	1	2	3	4	
n	<b>Format</b> (Standard format followed)	0	1	2	3	4	
o*	<b>Association to National Priority</b> (Met and well-described)	<b>To be evaluated by the Cluster Committee</b>					
Total score (out of 116) "A" =							
Final score (out of 60) = "A" X 0.517 =							
Final score in words:							

### Reviewer's recommendation and comments

#### 1. Recommendation for *Small RDI Grant Award* (not binding)

Based on scores of the core merit indicators, my recommendation is:	ACCEPT for Award	REJECT	CANNOT SAY
---	---------------------	--------	------------

#### 2. Recommendation for Research Budget (in case of acceptance)

The UGC <i>Small RDI Grant</i> maximum limit is: Rs. 1,40,000	Requested amount:	My recommendation:
--	-------------------	--------------------

#### 3. Other comments: (use separate sheets if necessary)

\_\_\_\_\_  
Reviewer's Signature

Reviewer's Full Name: .....

Reviewer's Institution: .....

Reviewer's Subject of Expertise: .....

Date: .....

#### 4. To be Filled by the Cluster Committee

National Priority Grading		Rating (Please circle the number OR give your own mark)					SCORE
		Absent	Poor	Satisfactory	Good	Excellent	
o	<b>Association to National Priority</b> (Met and well-explained)	0	2	4	6	8	
Cluster Committee Coordinator							
Name: .....						_____	
Date: .....						Signature	

**Appendix 3.20: Small RDI Grant (Research) Proposal Presentation Evaluation****University Grants Commission  
Sanothimi, Bhaktapur****Small RDI (R Project) Oral Presentation Evaluation Form**

Name of the Applicant: .....

Cluster: ..... Subject: .....

Title of the Proposal: .....

Indicators	Rating (Please circle the number OR give your own mark)					SCORE
	Absent	Poor	Satisfactory	Good	Excellent	
<b>1 Quality of the Research Proposal</b>						
<b>a. Research Title</b> <i>(Specific, clear)</i>	0	1	2	3	4	
<b>b. Research Objectives/Questions</b> <i>(Academically interesting, adequate, achievable)</i>	0	1	2	3	4	
<b>c. Methodology</b> <i>(Advanced, well-suited)</i>	0	1	2	3	4	
<b>d. Work Plan</b> <i>(Well planned and scheduled)</i>	0	1	2	3	4	
<b>e. Expected Outcomes</b> <i>(Clear, academically significant, national priority)</i>	0	1	2	3	4	
<b>2 Competence of the candidate</b>						
<b>a. Depth of the Knowledge of the Subject</b> <i>(Candidate has in-depth knowledge of the study subject)</i>	0	1	2	3	4	
<b>b. Understanding of Research Opportunity</b> <i>(Candidate could convince that the research is significantly new and contributing)</i>	0	1	2	3	4	
<b>c. Skill (methodology, analysis)</b> <i>(Candidate has technical skill)</i>	0	1	2	3	4	
<b>d. Enthusiasm for Research Publication</b> <i>(Candidate has enthusiasm for publication and familiarity with quality journals)</i>	0	2	4	6	8	
<b>3 Quality of the presentation</b>						
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)							
Total score in words:							

Evaluator's Comment:           
--

Evaluator's Signature: .....

Evaluator's Full Name: .....

Evaluator's Institution/ Cluster Committee .....

Evaluator's Subject of Expertise: .....

Date: .....

**Appendix 3.21: Small RDI Grant (Innovation) Proposal Presentation Evaluation****University Grants Commission  
Sanothimi, Bhaktapur****Small RDI (DI project) Proposal Oral Presentation Evaluation Form**

Name of the Applicant: .....

Cluster: ..... Subject: .....

Title of the Proposal: .....

Indicators	Rating (Please circle the number OR give your own mark)					SCORE
	Absent	Poor	Satisfactory	Good	Excellent	
<b>1</b>	<b>Quality of the Development/Innovation Project</b>					
<b>a. Purpose Statement</b> <i>(Specific, clear)</i>	0	1	2	3	4	
<b>b. Development/Innovation Goal</b> <i>(Valuable, adequate, achievable)</i>	0	1	2	3	4	
<b>c. Design / Methodology and Verification</b> <i>(Advanced, well-suited and adequate)</i>	0	1	2	3	4	
<b>d. Work Plan</b> <i>(Well planned)</i>	0	1	2	3	4	
<b>e. Expected Product</b> <i>(Clear and commercially/socially significant)</i>	0	1	2	3	4	
<b>2</b>	<b>Competence of the candidate</b>					
<b>a. Depth of the Knowledge of the Subject</b> <i>(Candidate has in-depth knowledge of the project subject)</i>	0	1	2	3	4	
<b>b. Understanding of Innovation Opportunity</b> <i>(Candidate could convince that the project is significantly new and contributing)</i>	0	1	2	3	4	
<b>c. Experience and Technical Skill</b> <i>(Candidate has relevant experience and technical skill)</i>	0	1	2	3	4	

	<b>d. Knowledge and Passion for Intellectual Property</b> <i>(Candidate has passion and sufficient knowledge about intellectual property issues)</i>	0	2	4	6	8	
<b>3</b>	<b>Quality of the presentation</b>						
	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	
<b>TOTAL SCORE (Out of 60)</b>							
Total score in words:							

Evaluator's Comment:
----------------------

Evaluator's Signature: .....

Evaluator's Full Name: .....

Evaluator's Institution/Cluster Committee .....

Evaluator's Subject of Expertise: .....

Date:

**Appendix 3.22: Evaluation Criteria for Small RDI Grant Application****University Grants Commission  
Research Division****Evaluation of Application for Small RDI Grant**

Name of Principal Investigator: \_\_\_\_\_

University, Department/School: \_\_\_\_\_

Subject: \_\_\_\_\_

UGC Application Registration No.: \_\_\_\_\_ Year: \_\_\_\_\_

Cluster: \_\_\_\_\_

Title of Research Project: \_\_\_\_\_

S.N.	Indicator and marks	Maximum Score	Marks Scored
1	<b>Academic Record of Principal Investigator</b> Postdoctoral or equivalent research experience (4 per year) PhD degree (5) Teaching in HEI (2 per year)	10	
2	<b>Publication Record of Principal Investigator</b> Article in indexed journal with above-median SJR (10 for each) Article in indexed journal with below-median SJR (5 for each) Article in other/local peer-reviewed journal (2 for each) Relevant reference/text book/chapter (2 for each) <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	
3	<b>Research experience/supervision by Principal Investigator</b> PhD thesis supervision (5 for each) Master/ MPhil thesis supervision: (2.5 for each) PI or Co-I in research project (2.5 for each)	10	
4	<b>Involvement of Student/Faculty in the Project</b> Co-Investigator (5) PI or any Co-Investigator from community Campus (5) Student for Thesis (10)	10	
5	<b>Underprivileged Group Candidate*</b> Woman (2); Dalit(2); Janajati/Madhese (2); Disability (2); Remote area (2)	10	
<b>Sub-total</b>		50	
6	<b>Proposal Evaluation</b> (by one or two national reviewer/s)	90	
7	<b>Presentation Evaluation</b>	60	
<b>Grand Total</b>		200	

\* Equally divided between the Principal Investigator and the rest of Co-Investigators.

\_\_\_\_\_  
Scored by\_\_\_\_\_  
Verified by\_\_\_\_\_  
Approved by

**Appendix 3.23: The UGC Small RDI Grant Agreement**

**UNIVERSITY GRANTS COMMISSION**  
**Sanothimi, Bhaktapur, Nepal**  
**RESEARCH DIVISION**

**The UGC Small RDI Grant Agreement**

This agreement is made this \_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ by and between:

1. University Grants Commission,
  2. (Name of the Principal Investigator )
  3. (Name of the Co-Investigator, if any )
  4. (Name of the Host Institution of the Principal Investigator )
  5. (Name of the Host Institution of the Co-Investigator, if different )
- (hereafter, referred to as “parties”)

in connection with the **UGC Small RDI Grant** awarded to the research team led by the Principal Investigator \_\_\_\_\_ for the Small RDI Project titled \_\_\_\_\_

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

**Terms and Conditions****A. Obligation of the UGC**

1. Provide the fund to the team of the Investigators and the host institution(s) according to the funding and disbursement scheme outlined in Section B of this agreement.
2. Periodically monitor the progress.
3. Take action in the case of unsatisfactory progress, negligence or misconduct on part of the Investigators and the lack of cooperation to the research project on part of the host institution.
4. Assist the host institution to have a code of academic integrity and policy on research misconduct, and on maintaining of research ethics.

**B. Grant Disbursement**

The grant is split into research funding (90% of the awarded grant) for the research project and an overhead cost (10% of the awarded grant) for the host institution(s). The overhead cost is transferred to the host institution(s) at the time of signing this agreement and the research funding is disbursed to the Principal Investigator in three installments according to the disbursement scheme specified below:

<b>Grant</b>	<b>Disbursement</b>
Research/Innovation funding (disbursed to the Principal Investigator)	
Rs. 1,40,000	<ol style="list-style-type: none"> <li>1. 40% at the time of signing of the agreement</li> <li>2. 40% after the submission of the first progress report to the UGC</li> <li>3. 20% after submitting the final report to the UGC</li> </ol>
Institutional Overhead Cost	
Rs. 2,800	At the time of signing of the agreement

**C. Obligation of the host institution**

1. Accept the institutional overhead cost paid by the UGC to cover the overhead cost in connection with the research project.
2. Provide full institutional support to the research team and the research project.
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, research team and all members of the institution.
4. Abide by the UGC regulations related to research and academic programs.
5. Monitor the progress of the project and facilitate the monitoring by the UGC

**G. Obligation of the Principal Investigator and Co-Investigator**

1. Maintain the highest level of academic integrity and research ethics.
2. Make honest and best use of the research fund. The research fund can only be used to cover allowable expenditure as specified in section E of this agreement.
3. Accommodate the UGC reviewers' suggestions on the research proposal and periodic progress reports.
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 fund.
5. Make a presentation on the progress of the work at the end of every year.
6. Publish at least one original research articles based on the research work in a high impact factor indexed journal or two research articles in indexed journals or the UGC recognized peer-reviewed journals.

**H. Allowable Expenditure for Research Fund**

The Small RDI fund must be used to cover the expenses as specified in the research proposal and stipulated in this agreement. Any unused fund must be returned to the UGC. The allowable expenses for the research fund are as follows:

1. laboratory cost – consumables, chemicals, reagents, small equipments
2. laboratory testing and analysis, software
3. costs covering field study and survey
4. research fund can not be used to pay the costs associated with tuition, examination and seminar, salary and any other recurrent cost and living expenses.

All materials purchased with the research fund are the property of the host institution.

**I. Other Conditions**

1. All the terms and conditions mentioned in the *UGC Guidelines for the Implementation of Research Funding 2016* will be applicable.
2. 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 by the UGC reviewers, the Cluster Committee or the Evaluation Committee.

3. 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 Fellow.
4. If the progress is found unsatisfactory by the UGC reviewer and monitoring officers, the UGC will notify the Principal Investigator, Co-Investigator and the institution and expect improvement. The UGC might take action including termination of the contract if persistent lack of progress and negligence are found.
5. 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 resource 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.
6. The Small RDI must be completed within 2 years from the date of the first installment of the grant is disbursed. Extension for another six months may be considered if the research team makes a request, on a justifiable cause, to the UGC. The grant is closed after that.
7. The materials purchased with the research fund are the property of the institution or the laboratory of the Principal Investigator at the institution.
8. 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: \_\_\_\_\_  
University Grants Commission  
Date: \_\_\_\_\_

2. Principal Investigator

Signature: \_\_\_\_\_  
Name: \_\_\_\_\_  
Designation: \_\_\_\_\_  
Institution: \_\_\_\_\_  
Address: \_\_\_\_\_  
Telephone: \_\_\_\_\_  
Mobile phone: \_\_\_\_\_

3. Co-Investigator, if any

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

4. On behalf of the host institution

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

### ***Appendix 3.24: Call of Application for the Postdoctoral Position by the Principal Investigator***

#### 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. 35,000 per month

##### Contact:

Name: [Principal Investigator]

Principal Investigator

Research Project: \_\_\_\_\_

Department/School/Campus: \_\_\_\_\_

University: \_\_\_\_\_

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



**Appendix 3.25: Application for the UGC Postdoctoral Fellowship**

**UNIVERSITY GRANTS COMMISSION**  
Sanothimi, Bhaktapur, Nepal  
**RESEARCH DIVISION**

**Affix a  
passport  
size color  
photo**

PDF-1

**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.:	Email:	

**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 indexed 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	<input type="checkbox"/>	5. Curriculum Vitae	<input type="checkbox"/>
2. Diploma of Master's to Ph.D. degrees	<input type="checkbox"/>	6. Copies of the First Page of Major Publications	<input type="checkbox"/>
3. Acceptance Letter by the Principal Investigator	<input type="checkbox"/>	7. Certificate of Previous Jobs (if any)	<input type="checkbox"/>
4. No Objection Letter from the Host Institution	<input type="checkbox"/>	8. Covering Letter	<input type="checkbox"/>

**J. Undertaking by the Applicant:**

I solemnly affirm that I have read and understood conditions of the award of this program mentioned in the UGC Annual Programs and Procedure 2015-16 (2072) and the UGC Research Development and Innovation Programs Implementation Guidelines 2016 and that the decision of the UGC will be final and binding. In the event that my progress is found unsatisfactory at the periodic evaluation during the period of my study, I shall be liable to disciplinary action which may result in the termination of the fellowship and/or refunding of the full amount spent on me in connection with this award.

Applicant's Signature: \_\_\_\_\_

Thumb	
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 UGC before joining the job.]

**Appendix 3.26: 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. 35,000 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 3.27: Suggested Format for Joining Report for 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)

\_\_\_\_\_  
Signature  
Name: \_\_\_\_\_  
Date: \_\_\_\_\_  
(Principal Investigator)

\_\_\_\_\_  
Signature  
Name: \_\_\_\_\_  
Date: \_\_\_\_\_  
(Head of the Department)

**Appendix 3.28: Suggested Format for the Certificate of Completion of Postdoctoral Fellowship**

**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.

\_\_\_\_\_  
Signature  
Name: \_\_\_\_\_  
Member-Secretary  
University Grants Commission  
Sanothimi, Bhaktapur  
Nepal

\_\_\_\_\_  
Signature  
Name: \_\_\_\_\_  
Head  
[Name of Institution]  
[Address]

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

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

*Appendix 4*  
**Research Training**

**Appendix 4.1: Proposal for conducting Research Seminars, Workshops and Training Programs**



**UNIVERSITY GRANTS COMMISSION**  
**Sanothimi, Bhaktapur, Nepal**

**APPLICATION FOR CONDUCTING TRAINING**

(Refresher Course, Capacity Development Training, Research Methodology Training)

**1. INSTITUTIONAL STATUS**

Name of the Institution:		Affiliated University:		
Contact Address	District: VDC/Municipality/Metro: Phone: Fax:	Ward No: Email:		
Head of the Institution	Name: Position: Email	Contact no. (Mobile):		
Focal person	Name: Position: Email	Contact no. (Mobile):		
Academic programs currently being offered	Programs	Total number of students		
	1.			
	2.			
	3.			
	4.			
	5.			
Training program conducted	Type of training	Duration	Frequency	Date (Year)
	1.			
	2.			
	3.			
	4.			
	5.			
Total number of faculty involved in teaching			Full Time	Part Time
Total number of faculty with PhD and postdoctoral research experience				
Total number of faculty with PhD				
Total number of faculty with MPhil				
Total number of Non-Teaching staffs				

## 2. AVAILABLE INSTITUTIONAL FACILITIES

(Please quantify)

S.N.	Particulars	Remarks
1.	Training hall (capacity) and working space	
2.	Equipment and technologies (computer, MMP, audio-visual, OHP, printer, photocopier etc)	
3.	Utility and support services	
4.	Administrative resources	
5.	Proposed Resource persons	
6.	Number of faculty members currently studying for MPhil/PhD degree	
7.	Number of trained resource persons to conduct the proposed program	
8.	Collaborative approach for the program, If any	

## 3. PLAN OF ACTION (PROPOSAL)

(Prepare separately the detailed documentation)

S.N.	Particulars	Remarks
1.	Type/Nature of program intended to conduct	
	a. Brief introduction of the program	
	b. Justification of the program	
	c. Methodology used for conducting the program	
2.	Details of the potential participants and expected outcomes of the program	
3.	Details of the training syllabus/agenda	
4.	Program budgeting (Remuneration to experts, logistic support, stationeries, Refreshment, Printing, and contingencies)	
5.	Program-wise proposed time and venue	
6.	Administrative backup to launch the proposed program/s	
7.	CVs of proposed experts and confirmation letters	

## 4. DOCUMENT CHECKLIST (Indicate by ✓)

1. A cover letter signed by the head of the institution	4. CV of each resource person	
2. Application form with complete information	5. Other evidences mentioned in the application form	
3. Proposal		

Official Seal:

Signature

Name of the Head of Institution: \_\_\_\_\_

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

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

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

**Appendix 4.2: Evaluation of Institution for Conducting Training/Workshop****EVALUATION CRITERIA FOR SELECTING INSTITUTIONS FOR CONDUCTING RESEARCH METHODOLOGY SEMINARS, WORKSHOPS, AND TRAINING PROGRAMS**

Name of the institution	
Associated University/Faculty	
Address	
Contact Address	

**Gross areas and the marks**

A. INSTITUTIONAL STATUS	20
B. AVAILABLE INSTITUTIONAL FACILITIES FOR RESEARCH MANAGEMENT	40
C. RESEARCH INVOLVEMENT AND PAST EXPERIENCE OF THE INSTITUTION	20
D. PLAN OF ACTION	20
Total	100

**Detail Evaluation Scheme**

(EC may further detail the criteria within the given framework. EC will review these criteria annually)

**A. INSTITUTIONAL STATUS (20)****1. Current academic activities (15)**

Criteria	Full Marks	Marks scored
Post Doc/PhD studies under the institution 1x (per persons – up to 4)	4	
MPhil research under the institution 0.5x ( per student – up to 2)	2	
Master's Degrees: single program-1; multiple program 20,5 per faculty program	2	
Post Graduate Diploma: single program-1; multiple program-2	2	
Academic publications/Journals: Bulletin/newsletter – 1; Academic Journals-2x2	5	
Total	15	

**3. Total number of faculty involved in postgraduate level teaching/research supervision (5)**

Criteria	Marks
10 or more Teaching Faculty	5
5-9 Teaching Faculty	4
2-4 Teaching Faculty	3
1 Teaching Faculty	2



**B. AVAILABLE INSTITUTIONAL FACILITIES FOR RESEARCH MANAGEMENT (40)****1. Training hall and working space (5)**

Criteria	Marks
Seating capacity 30-50 & above, sound system, audio visual and working office facility	5.00
Seating capacity 20-30, sound system, audio visual and working office facility	4.00
Seating capacity 20-30, audio visual facility and working office facility	3.00
Seating capacity 20-30, and working office facility	2.00
Seating capacity 20-30,	1.00

**2. Equipment and Technologies (5)**

Criteria	Marks
If there is LCD, Overhead projector/slide projector, computer, printer, photocopy facility	5.00
If there is overhead projector/slide projector, computer, printer, photocopy facility	3.00
If there is computer, printer, photocopy facility	2.00
If there is computer, printer facility	1.00

**4. Utility and Support Services (5)**

Criteria	Marks
If there is air conditioning, generator, canteen, drinking water, stationery facility	5.00
If there is generator, canteen, drinking water, stationery facility	3.00
If there is canteen, drinking water, stationery facility	2.00
If there is drinking water, stationery facility	1.00
If there is only stationery facility	0.50

**6. Administrative Resources (5)**

Criteria	Full Marks	Marks Scored
Is there a research management cell/unit?: Yes -2; No -0	2	
Is there an administrative head? Yes -1; No- 0	1	
Is the administrative head trained? Yes – 1; No - 0	1	
Is the administrative head experienced? Yes – 1; No - 0	1	
Total	5	

**8. Resource Persons for training (20)**

Criteria	Full Marks	Marks Scored
Number of core resource persons dedicated to the program (up to 5): 1, 2, 3, 4, 5	5	
Number of resource persons having training in the relevant areas (research methodology), (up to 5): 1, 2, 3, 4, 5	5	
Number of Resource persons having PhD, (up to 5): 1, 2, 3, 4, 5	5	
Number of Resource persons with experiences of providing training in the relevant area, (up to 5): 1, 2, 3, 4, 5	5	

**Please list the experts involved, their CVs and confirmation.**

**C. RESEARCH INVOLVEMENT AND PAST EXPERIENCE OF THE INSTITUTION (20)****1. Number of faculty members involved in the supervision of M Phil and PhD level studies (10)**

Criteria	Full Marks	Marks Scored
Number of faculty involved in the supervision of MPhil/PhD programs: 1, 2, 3, 4, 5,	5	
Number of faculty members involved in other research programs: 1, 2, 3, 4, 5	5	
Total	10	

**2. Research Experiences (10)**

Criteria	Full Marks	Marks Scored
Research programs undertaken by the institution in the past 3 years: 1, 2, 3 (Please provide evidence – reports)	3	
Number of institution with which it has entered into contract/MOU in the past 3 years: 1, 2, 3, (Please provide the copies)	3	
Number of special awards/letter of recognition received (Please provide the copies): 1, 2, 3, 4	4	
Total	10	

**D. PLAN OF ACTION (Total 20 points for item 2, 3, 4, 6 and 7)****1. Type of program intended to conduct (NA)****2. Details of the potential participants and expected outcomes of the program (5)**

Criteria	Full Marks	Marks Scored
a. <u>Details of the potential participants</u> (2.50) Who are the participants?		
All currently teaching and or doing research in a university: 2.5; More than 50% teaching and or doing research in a university: 2.0 Less than 50% teaching and or doing research in a university: 1.0	2.50	
b. <u>Expected Outcomes of the programs</u> (2.50)		
Participants will produce comprehensive proposal for M Phil/PhD research : 2.5 Participants will give seminar on frame work and methodology for M Phil/ PhD research: 2 Participants will write papers on the topics and approach for researches that are potential for M Phil/PhD studies: 1	2.50	
Total	5.00	

4. **Details of the training procedures (5)**

<b>Criteria</b>	<b>Marks</b>	<b>Marks obtained</b>
Guidelines/principles	1	
Lesson plan	1	
Project work/case study	1	
Lectures	1	
Evaluation of the learning	1	

6. **Program Budgeting (5)**

<b>Criteria</b>	<b>Marks</b>
Budgeting with activity wise breakdown detail along with unit cost (costing basis)	5.00
Budgeting with activity wise breakdown detail	3.00
Budgeting without detail activities	1.00

8. **Program Routine: 5**

<b>Criteria</b>	<b>Marks</b>
Detailed program with time and activity and the designated resource person	5
Program schedule with time and activity breakdown	3

### **Appendix 4.3: Participants Evaluation Scheme for Training/Workshop/Seminar Effectiveness**

**UNIVERSITY GRANTS COMMISSION  
SANOTHIMI, BHAKTAPUR, NEPAL  
RESEARCH DIVISION**

#### **PARTICIPANT EVALUATION SCHEME FOR TRAINING/WORKSHOP/SEMINAR EFFECTIVENESS**

5 = exemplary level of performance

4 = satisfactory level of performance

3 = average level of performance

2 = below average performance

1 = hardly any evidence of such performance

S.N.	Indicators of Evaluation	Performance Rating Scale				
		5	4	3	2	1
1	Use of multi-media					
2	Quality of training aids and support materials distributed to the participants					
3	Quality of resource persons used in the program in relation to research exposure, clarity of dissemination, and inviting participant involvement					
4	Punctuality, attendance, receptiveness, and level of interactions of the participants					
5	Level of participant involvement on on-the-floor works and presentations					
6	Extent of seeking queries from the participants by the resource persons					
7	Extent of responding to participants' queries					
8	Learning outcomes or benefits of the program					
9	Quality of hospitality and logistics support to the participants					
10	Participants' general level of satisfaction					
Total						
Total Points						

Special Comments, if any .....

[Note: Indicators of evaluation will be further specified by the EC and approved by the RC where necessary]

*Appendix 5*  
**Research Infrastructure**

*Appendix 5.1: Application Form for the Establishment of RMC*



**UNIVERSITY GRANTS COMMISSION**  
Sanothimi, Bhaktapur, Nepal  
**RESEARCH DIVISION**

**Application for the Establishment of Research Management Cell (RMC)**

To be filled by the UGC
Draft No./Bill No. of Rs. 1000/- deposit:
Date:
Approved by:

**1. INSTITUTIONAL STATUS**

Name of the Institution/Department/Campus:		University:	
		Faculty:	
Contact Address:	District:	VDC/Municipality:	Ward No:
	Name of the place:		
	Phone:	Fax:	Email:
Head of the Institution /Dept. / Campus:	Name:		
	Position:		
Academic programs currently being offered:	1.	2.	3.
	4.	5.	6.
	7.	8.	9.
Total number of faculty:		Full Time	Part Time
Total number of faculty involved in postgraduate level teaching:		Full Time	Part Time
Level-wise Total Students:	Bachelor	Master	M. Phil. Ph. D. Others

**3. RESEARCH MANAGEMENT CELL:**

S.N.	Name	
1		Chair person/Coordinator/Head/Team leader
2		Member
3		Member
4		Member

**5. AVAILABLE INSTITUTIONAL FACILITIES AND AT THE RESEARCH MANAGEMENT CELL:**

Please describe the present status of your institutional Research Management Cell in relation with the under-mentioned facilities and resources:

a) **Research Management Cell:** Please describe the formation, composition, functioning regulation (please attach a copy of the regulation), resource allocation etc.

b) **Available Institutional physical facilities:** Please give details of: space for researchers, research laboratory/ies, library, journals, academic support facilities (projector, audio-visual system, OHP, computer, printer, photocopier etc), scientific research equipment, utility and support services (water supply, electricity and its alternative sources, communication, Net access, etc.)

c) **Research Management Cell Facilities:** Please mention the academic and physical facilities available with RMC together with the space and supporting staff available for it.

**6. RESEARCH INVOLVEMENT AND PAST EXPERIENCE OF THE INSTITUTION**

Please describe the following items to explain on your institution's involvement and experience in research and development related activities.

S.N.	Particulars
1.	List the faculty members with <ul style="list-style-type: none"> <li>i. MPhil degree, Name <u>Subject area</u> FT/PT</li> <li>ii. PhD and Postdoctoral research experiences  Name <u>Subject area</u> <u>Postdoctoral research</u> FT/PT</li> <li>iii. Experience of supervising Master/M. Phil. dissertation  Name Master/M. Phil. dissertation awarded ongoing FT/PT</li> <li>iv. Experience of supervising Ph. D. Dissertation  Name PhD dissertation awarded ongoing FT/PT</li> </ul>

2.	Details of three research and development programs recently conducted by the institution/RMC (please attach separate documents if necessary)
	1.
	2.
	3.
3.	Ongoing research activities
4	List the Publications related to research activities conducted in the Institution:
5	List the past and existing collaboration/relationships with local, national, international agencies:
6	Award/recognition obtained so far for the contribution provided in the field of research and development (please attach supporting documents)

#### 4. PLAN OF ACTION

Please submit a detailed Strategic Plan of action for the utilization of the fund to provide necessary infrastructural and functional support better coordination of the ongoing research and development activities under the following headings:

	<ol style="list-style-type: none"> <li>i. Introduction</li> <li>ii. Objectives</li> <li>iii. Implementation Scheme</li> <li>iv. Expected outcomes</li> <li>v. Work schedule with time-line</li> <li>vi. Allocation of budget (with breakdown of Institutional and Project components)</li> <li>vii. Involvement of young graduates</li> <li>viii. Beneficiaries</li> <li>ix. Sustainability scheme of RMC</li> </ol>
--	--

#### 5. ADDITIONAL DOCUMENTS REQUIRED

- A cover letter signed by the head of the institution.
- CVs of Coordinator/Head and members of RMC
- Documented evidence with mandate for the involvement of the institutional RMC in research and development. (official decisions)
- Supporting documents for collaboration, relationship with other agencies
- Supporting documents for award/recognition

#### 6. ATTESTATION BY THE HEAD OF THE INSTITUTION

It is to certify that statements made above have been verified and found true. If the application is selected the RMC will be provided with available facilities from our institution to execute the program of effective institutionalization of the research management function of RMC funded by UGC. I understand that this project will be carried out on behalf of this institution and I take responsibility to have this project completed within the stipulated time. I am aware of the fact that, if the progress is found unsatisfactory

that may result in the termination of funding as well as recovery of full amount spent in connection with this award as per the UGC regulation.

Name of the Head of Institution:

Signature:

Date:

Official Seal

**7. UNDERTAKING BY THE TEAM LEADER OF RMC**

It is solemnly affirmed that I have read and understood the conditions of the award of this program advertised in the press and the UGC website and that the decision of the UGC will be final and binding. I understand that the fund should be used as an additional source to leverage the functioning of the existing research management and infrastructure. I assure that the fund will be used in accordance with the UGC Annual Programs and Procedure 2015-16 (2072) and the UGC Research Development and Innovation Programs Implementation Guidelines 2016. In the event that the progress of the project is found unsatisfactory at the periodic evaluation during the period of implementation, I shall be liable to disciplinary action which may result in the termination my involvement in this project.

Name of the Head of the RMC: \_\_\_\_\_

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

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

Official Seal

Thumb	
Right	Left



**Appendix 5.2: Checklist for Monitoring RMC**

Checklist for evaluation of the Research Management Cell of Selected Institution (Monitoring Checklist)

**University Grants Commission  
Research Division**

Name of the selected Institute:

Contact Person:

Affiliated University:

Chief of the Institute:

Location:

Faculty:

S N	Particulars	Present Condition	Future Requirement (Recommendations)	Remarks
<b>Operational Modality</b>				
	Operational Modality (Formation, functioning, regulation) of RMC Opening/Closing Timings. Fee if any.			
	Allocation of Administration Staff and responsibilities & records (attendance, minute, and others) Access to teachers/ students/other scholars)			
<b>Physical Facilities (quantify)</b>				
	<u>Physical facilities</u> Rooms/Furniture/Drinking water/ Canteen <u>Equipments available</u> Computer Multimedia projector Audio – visual Printer/photocopier Official email ID/website Other research related lab equipment Power backup			
	Status of Research Related books , journals, software and others Ph D & M Phil thesis availability Availability of Master's thesis Other Research Documents			
<b>Research Activities</b>				
	Completed Research Projects (past three years) Current Research Projects Research project on pipeline			
	No of Research students/Scholars Post doc/PhD M Phil Master's			

	Total post graduate Students Total teaching Staff Total non-teaching Staff			
	No of faculty members currently involved in PhD thesis guide No of Faculty members currently involving in M Phil thesis guide No of faculty members currently involving on Master thesis Guide			
	Current available resources for the management of research cell (National/international experts)			
<b>Fund management and budget allocation</b>				
	Fund use (how did they use fund) Available annual budget for research management cell Income sources of RMC			
<b>Outputs</b>				
	<u>Achievements and benefits</u> List of important achievements of RMC List of Research papers and other publications Does RMC help to strengthen the research capability Any direct benefits to students/faculty members/ staffs /stakeholders etc.			
<b>Purchase &amp; Procurement</b>				
	VAT Bill above Rs. 5,000 Procurement process a) Direct Shopping: <300,000 (Quotation, decision) b) Sealed Quotation: 3 to 10 lakhs (Notice, sealed, Competitive, economic, and transparent selection with authentic decision) Expenditure shown in audit report, In case of institution participating in reform grants, income source? RMC/PG/MG/ RG Journal Voucher and record of TDS.		Observations:	
	Your evaluation of SHEP – RMC support Scheme:			
	Any other observation:			

**On the behalf of Supervision team:**

1. Name: \_\_\_\_\_

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

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

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

2. Name: \_\_\_\_\_

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

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

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

3. Name: \_\_\_\_\_

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

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

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

### ***Appendix 5.3: Survey of Stakeholder's Impression of RMC***

**University Grants Commission  
Second Higher Education Project  
Research Division**

**INSTITUTION:**

**Survey of stakeholder's impression on RMC**

1. Respondent's name: (optional)
2. Student    Teacher    Administrator    Others
3. Do you know about the Research Management Cell (RMC) of your institution? Yes    No  
If no, what do you think is the reason for it?
4. Are you aware of the activities of RMC? Yes    No  
If yes, please list some of the activities of RMC
5. Has RMC been of direct benefit to you? If yes, please mention them.
6. Do you know any other person /persons benefitted from RMC? If yes, please mention them
7. Has RMC been effective in enhancing research activities of your Institute?
8. Please provide your suggestion for making role and function RMC more effective:

Thank you for your kind help.

### Appendix 5.4: Evaluation Matrix of Funding for Strengthening Institutional Research Infrastructure

UNIVERSITY GRANTS COMMISSION  
SANOTHIMI, BHAKTAPUR, NEPAL  
RESEARCH DIVISION

EVALUATION MATRIX OF  
FUNDING FOR STRENGTHENING INSTITUTIONAL RESEARCH INFRASTRUCTURE

Name of the Institution: -----  
Address: -----  
Grant Sub-title: -----

Criterion	Weight (%) (a)	Matrix for Evaluation, (b)						Weighted Score, (a x b)	
		Not Relevant			Most				
			0	1	2	3	4	5	
1. Offering postgraduate level research training program	20								
2. Faculty already engaged in research	20								
3. Research performance recognized	10								
4. Potential to recruit young researchers	10								
5. Research management cell in place	10								
6. Has developed a research strategic plan	10								
7. Network member for sharing usage of resources and available facilities	10								
8. Program Relevance	10								
<b>Total Weight</b>	<b>100</b>	<b>Total Weighted Score, %, <math>\sum(a \times b)/5</math></b>							

Remarks:

### **Appendix 5.5: Criteria for Selection of Higher Institutions for Funding for Strengthening Institutional Infrastructure**

#### **CRITERIA FOR SELECTION OF HIGHER EDUCATION INSTITUTIONS FOR FUNDING FOR STRENGTHENING INSTITUTIONAL INFRASTRUCTURE**

(EC may further detail the criteria within the given framework.

EC will review these criteria annually)

<b>S.N.</b>	<b>Criteria</b>	<b>Marks (%)</b>	<b>Marking criteria</b>	<b>Marks Scored</b>	<b>Remarks</b>
1	Offering postgraduate level research training program	20	4 programs = 20 marks 3 programs = 15 marks 2 programs = 10 marks 1 program = 5 marks no programs = 0 marks		Number of Master's' level degrees offered by the institution
2	Faculty already engaged in research	20	More than 50% faculty involved = 20 marks 40-50% faculty involved = 18 marks 30-40% faculty involved = 15 marks 20-30% faculty involved = 12 marks 10-20% faculty involved = 10 marks Up to 10% faculty involved = up to 5 marks No involvement = 0 marks		Faculty involved in guiding thesis research, professional research, or publishing journals and articles will be considered to be involved in research.
3	Research performance recognized	10	Research exposure as a faculty selection requirement = 5 marks, Evidence of rewarding culture on research performance = 5 marks		Evidence of research exposure as a pre-requisite of faculty selection, and culture of rewarding research activities
4	Potential to recruit young researchers	10	PhD as a minimum qualification = 10 marks Master's'/MPhil with distinction = 6 marks Master's'/MPhil with first div. = 4 marks Master's'/MPhil with second div. = 2 marks		Entry requirements to be explicitly communicated by the respective institution

5	Research management cell in place	10	Functionally exists = 10 marks Exists but not functional = 5 marks Is a new provision = 3 marks	Related details to be submitted
6	Have developed a research strategic plan	10	Yes = 10 marks No = 0 marks	Strategic Plan to be Submitted
7	Network member for sharing usage of resources and available facilities	10	Yes at international level = 10 marks Yes at national level = 5 marks No = 0 marks	Related details to be submitted
8	Program relevance	10	Highly relevant = 10 marks Moderately relevant = 6 marks Somehow relevant = 4 marks Hardly relevant = 2 marks Irrelevant = 0 marks	Based on proposal review

# *Appendix 6* **Evaluation**

## Appendix 6.1: Evaluation Scheme for Collaborative/Faculty Research Report

**University Grants Commission  
Research Division**

### Evaluation Scheme for Collaborative/Faculty Research Report

Code No.....

Quality Indicators

#### 1. Peer review:

<b>a) Rigor</b>	<b>Allotted marks</b>	<b>Marks obtained</b>
Has the study used an appropriate methodology and method in a careful and thorough manner?		
Is the argumentation in the study clear, coherent and internally consistent?		
Is the conclusion justified by the evidence in the study?		
<b>b) Originality</b>		
Is the study original, creative or innovative in a significant way?		
Does the study show awareness of previous work in the field and makes its own contribution clear (in relation to content, methodology, and findings)?		
<b>c) Significance</b>		
Is the theoretical and/or practical context of the study made clear		
Does the work make a significant contribution to field of research, theory, policy or practice		
Does the goals and conclusions disclose the significance of the study		
Is the contribution original, creative, or innovative in a significant (non-trivial) way		
<b>d) Integrity</b>		
Does it appear that the study is genuinely the work of the named author (i.e. evidence of plagiarism or unacknowledged derivativeness would be a counter indicator of quality)?		
Has the study respected (where applicable) the ethical principles which normally operate in this field?		
Are the problems and limitations acknowledged and reported		
Has the report made proper acknowledgement of contribution of other researchers		
<b>e) Style</b>		



Does the title of the article fit well with the contents?		
Does the study communicate in an appropriate way?		
Is the study well (appropriately) structured and organized?		
Is the writing elegant and a pleasure to read?		
<b>f) Impact</b>		
Does it has demonstrable impact on other research in the field, national policy and/or practice		
Does it address an internationally recognized agenda		

## 2. Esteem indicators

Indicators	Marks allotted	Marks obtained
Invitations to appear as a speaker		
Invitations to appear as a Keynote speaker		
Invitations to appear as a chair at major conferences		
Membership of editorial boards		
Membership of prestigious academic committees		
Prizes and awards received		

## 3. Bibliometric indicator

Publications	Marks allotted	Marks obtained
Publication in the indexed journals		
Publications in recognized refereed journals(Professional Journals)		
Other publications		

## 4. Comment from the Reviewer:

- The reviewed article is related to my own area of research      Yes  No
- In case this peer review of the study would be used to decide upon publication/non-publication in a scientific journal, would the reviewed study be accepted for publication?  
Yes  Yes with revision  No

## • Overall impression of the reviewer:

Total marks obtained in words

Name of the reviewer                      Signature

Date-----

*Appendix 7*

## **Priority List for Funding Research Projects**

### **HIGHER EDUCATION REFORMS PROJECT National Priorities for Research Funding**

**Priority list for funding  
Research Projects**

**UNIVERSITY GRANTS COMMISSION**

Sanothimi, Bhaktapur

June 2015

## **The Context**

The overall goal of the UGC research support is to help improve quality of higher education teaching and learning practices by inculcating a culture of research in the higher education institutions and to make higher education relevant to national development.

Drawing on the experience and outcomes of the Second Higher Education Project (SHEP), the current Higher Education Reforms Project (HERP), 2015-2020, is planning to continue and strengthen research funding and support programs as major components of the reform program. The HERP has four major areas of reform, and enhancing academic excellence through research, innovation and development is one the components.

The HERP emphasizes linking research funding with the issues and needs of national priority. The funding of the HERP is based on seven important disbursement linked indicators (DLIs), and research, innovation and development is the seventh DLI. Preparation and implementation of national priority framework for research funding is a fundamental aspect of the DLI.

This document outlines the framework for national priority for research funding based on relevant national plans and policies and the lessons learned from the SHEP research support.

## **Basis of Priority Framework for Research Funding**

The current national development plan, strategy and the recently prepared Higher Education Policy Framework (HEP) are taken as the basis for determining national priority for higher education reforms project, in general, and research funding in higher education, in particular. The priority area for investment for national development identified by the Approach Paper of the Thirteenth Plan includes hydropower and other renewable energy, agriculture, education, health, drinking water, sanitation, physical infrastructure, tourism, industry, trade, natural resources, environment and governance. These areas can be viewed as represented by related disciplines taught in higher education institutions and, particularly, by academic excellence in these areas as a strong foundation for efficient utilization of resources and developmental innovations. The policy statements of the HEP are consistent with the priority as identified in the national plan. The HEP states that higher education development shall be focused on national socioeconomic and political development needs and priorities and that development of higher education institutions, academic programs and activities shall address the following national priorities:

- a) poverty alleviation, employment generation, and holistic national economic development;
- b) development of agriculture, forest and biodiversity, tourism, water resources, hydropower, renewable energy, small industries and business;
- c) management of natural disasters, sustainable development and conservation of balanced natural environment;
- d) economic, social, and political transformation to develop a culture of inclusive democracy with respect for diversity, mutual respect, and harmony; and
- e) conservation of national heritage, promotion of indigenous knowledge, vocation, and technology.

The Higher Education Policy (HEP), in its policy strategy, has emphasized making research and innovations relevant to national priority needs, international trends and practices, and in its policy measures, it has provisioned grants on the basis of national needs and priorities as well as on quality. Altogether, the HEP has based its policy on research and innovation on three criteria, (i) national priority, (ii) quality, and (iii) international trend and practices, and has viewed research and innovations in higher education as a competitive economic opportunity.

The National Program for Higher Education Research and Development (NPHRD) has listed "academic excellence and research" as a major component of its program describing it as "a strategy for enhancing quality and relevance" of higher education. It has prepared and listed a framework for determining national priority for higher education reform and development. This framework of priority areas for higher education research funding has been derived from the national priority framework of the NPHRD. This framework is an integral part of the HERP Research Implementation Guidelines (HERP-RIG).

### **Listing of Priority Area for Research Funding**

The priority for research funding is based on the NPHRD framework of priority for higher education reform and development.

The following areas are fundamental to building the foundational capacity for helping attain the policy goals and economic sectors prioritized in the Approach Paper for the Thirteenth Plan, and the HEP:

- 1) Science and Technology;
- 2) Engineering;
- 3) Medicine; and
- 4) Agriculture and Forestry.

These are defined as technical areas. Research activities in these areas are defined as priority areas.

In addition, research activities determined by expert panel(s) to be associated with the following national policy goals and priorities as defined in the Approach Paper for the Thirteenth Plan, and the HEP, are treated as priority areas for funding:

- (i) reduction of economic and human development poverty;
- (ii) employment generation;
- (iii) holistic development of national economy;
- (iv) economic, social and political transformation to develop a culture of inclusive democracy;
- (v) conservation and development of national heritage;
- (vi) promotion of indigenous knowledge, vocation, and technology;
- (vii) conservation and sustainable use of natural resources and environment, including

- biodiversity;
- (viii) productivity enhancement in agriculture and its diversification and commercialization;
  - (ix) development of basic education, health, drinking water and sanitation, food and nutrition;
  - (x) promotion of good governance;
  - (xi) transportation and other infrastructure;
  - (xii) water resources;
  - (xiii) renewable energy;
  - (xiv) small industries and business;
  - (xv) natural disasters and hazard management;
  - (xvi) global warming and climate change;
  - (xvii) public-private-community participation in development issues;
  - (xviii) engineering and information and communication technology (ICT); and
  - (xix) biotechnology, pharmaceuticals and nanotechnology.

The priority areas can be categorized into three categories: policy goals, economic sectors and disciplines/areas of study. Accordingly, the following priority area framework has been drawn:

<b>Table 1 (a): Priority Areas Relating to Economic Sectors/ Commodities</b>	<b>Table 1 (b): Priority Areas Relating to Policy Goals</b>
Forestry, <i>fisheries</i>	Nepal (currently, a least developed country) attaining the status of a developing country by 2022
Water resources	Reduction of economic and human [development] poverty
Renewable energy	Employment generation
Small industries and business	Holistic development of national economy
Tourism and mountaineering	Economic, social and political transformation to develop a culture of inclusive democracy
<i>Whole-sale and retail trade</i>	Conservation and development of national heritage
<i>Transportation, storage and communication</i>	Promotion of indigenous knowledge, vocation, and technology
<i>Housing, land utilization, and rental/ trade activities</i>	Conservation and sustainable use of natural resources and environment including biodiversity

<b>Table 1 (a): Priority Areas Relating to Economic Sectors/ Commodities</b>	<b>Table 1 (b): Priority Areas Relating to Policy Goals</b>
<i>Construction</i>	Productivity enhancement in agriculture and its diversification and commercialization
<i>Mining and industries</i>	Development of basic education and health, drinking water and sanitation
<i>Education (focus on science, technology, engineering and mathematics)</i>	Promotion of good governance
<i>Financial intermediation</i>	Development of roads and other infrastructure
<i>Textiles and textile articles</i>	Development of tourism, industry and commerce
<i>Base metals and articles of base metal</i>	Development of hydropower and other forms of energy
<i>Vegetable products</i>	Natural disasters and hazard management
<i>Herbs and medicinal plants</i>	Global warming and climate change

**Note:** The areas in italics are additional to the areas defined in the Approach Paper and the HEP. These were selected through the consultation with the panels of experts.

The following subject areas are fundamental to building the foundational capacity in order to address the economic sectors and policy goals, as well as to open new possibilities. These are also, therefore, listed as priorities:

**Table 1 (c): Priority Areas Relating to Disciplines and Study Areas**

<b>Priority Faculties</b>	<b>Other Priority Disciplines and Study Areas / Programs</b>
<i>Science and technology</i>	<ul style="list-style-type: none"> <li><i>Interdisciplinary research activities such as natural disasters and hazard management; global warming and climate change</i></li> <li><i>Indigenous knowledge, arts and crafts</i></li> </ul>
<i>Engineering</i>	
<i>Medicine</i>	
<i>Forestry</i>	
<i>Agriculture</i>	

The above prioritization matrix does not include an exhaustive list of areas of study or disciplines. It would be impractical to do so since the list is very long. However, if some important priority areas do not clearly fall under the priorities defined in the matrix, they can be added under the

priority disciplines / study area table. The programs listed here in this table are examples. The proposals for initiating new programs and research should be evaluated by an expert panel to decide if they fall under the priority areas.

### Application of Priority Framework in Research Funding

The following table lists the research activities and application of priority framework for research funding under the HERP.

<b>HERP-Supported Research Activities</b>	<b>Application of Priority Framework</b>
Partial Support for PhD (field visit, books/reference materials, typing/binding, etc.)	N/A
Faculty Research	Only the programs acceptable as per priority framework are eligible
Institutional/Collaborative Research	Only the programs acceptable as per priority framework are eligible
PhD Fellowship	Additional scoring weightage given for programs under priority
PhD Fellowship for faculty members from Accredited Campuses and Campuses with Autonomy (for national degree)	Additional scoring weightage given for programs under priority
MPhil Fellowship	Additional scoring weightage given for programs under priority
Master's Thesis Support for Technical Areas	Additional scoring weightage given for programs under priority
Multi-Disciplinary Research Collaboration	Only the programs acceptable as per priority framework are eligible
Research article publication in Refereed Journal	N/A
Publication of Refereed journal	N/A
Research Trainings	N/A
Seminar-cum-workshop on Academia-Industry Dialog	Only the programs acceptable as per priority framework are eligible
Laboratory Support	N/A
Library Networking	N/A
Establishment of Research Management Cell	N/A

This priority framework for research funding is a part of the Research Program Implementation Guidelines (RPIG) developed for the HERP to plan and manage research grants, fellowships and other financial assistance to activities related to research.

Other institutional and individual eligibility for research funding are outlined in the RPIG.

### **Modality of Assessment Using Priority Framework for Research Funding**

- (i) The call for proposal/EOI explicitly and specifically refers to the priority framework, including eligibility criteria.
- (ii) Proposal/EOI evaluation includes scoring criteria relating to prioritization.
- (iii) The Cluster Committee/experts will evaluate the proposals based on pre-defined evaluation framework applying the prioritization criteria.
- (iv) The Evaluation Committee will scrutinize the evaluation scoring by the Cluster Committees/experts.
- (v) The overall decision regarding recommendation for research funding support is made by the Research Council.