

## Appendix 1

### Proforma of Application for Research Grants

(Please read carefully the guidelines to investigators before filling this proforma)

#### 1 Research Station / Institution

Name  
Address  
Telephone Fax e-mail  
Nearest Rail head/Airport

#### 2 Principal Investigator

Name  
Designation  
Address  
Telephone Fax e-mail

#### 3 Co- Investigators

Name  
Designation  
Address  
Telephone Fax e-mail

#### 4 Brief Bio-data of the Investigators

*(not to exceed one page per person)*  
*(enclose at the end of the proposal)*

#### 5 Project Title *(keep it as short as possible)*

#### 6 Track Record and Workload Assessment of the PI

List all the research **and consultancy** schemes, whether funded by MoWR or any other agency, in which the present PI is/was Principal Investigator, in following groups.

- a. Schemes completed
- b. Schemes foreclosed with reasons for foreclosure
- c. Schemes ongoing

#### 7 If the scheme is sanctioned, in whose name the cheque is to be issued. **(write precise title of the account)**

#### 8 Category of R&D Activity **(Tick those which are applicable)**

- a. Basic Research
- b. Applied Research
- c. Action Research
- d. Education & Training
- e. Mass Awareness Programme
- f. Infrastructure Development
- g. Creation of Centres of Excellence

## **9 Description of the Proposal**

*(Describe the research proposal, the background, how the idea originated etc.)*

### **10 Objectives. Classify the objectives of proposed research under one or more of following and explain the objectives briefly.**

- a. Finding answers to as yet un-answered questions. (List the questions)
- b. Development of a new computational procedure. (State the purpose of the procedure)
- c. Development of a new software/application. (State the purpose of the software/application)
- d. Development of a new field technique. (State the purpose of the proposed technique)
- e. Design and/or develop a new device. (State the purpose of the device)
- f. Investigation of the behaviour of a natural process. (state what new aspects are to be investigated and why)
- g. Any other (Specify and explain)

### **11. Contribution to Water Resources Development**

*(Describe very briefly the contribution envisaged to be made by the proposed R&D activity to the Water Resources Sector)*

### **12 Putting the Research to Use**

- a. Identify the possible end-users for the results of proposed research.
- b. List the actions that will be necessary to put the results to use.
- c. List the difficulties/problems that may be encountered in putting the results to use.
- d. Are the possible end users being involved in the research ? If yes then describe how, if not then explain why not.

### **13 Present State of Art**

- a. Describe the work that has already been done at International Level
- b. Describe the work that has already been done at National Level
- c. Explain how the work proposed to be done by you will be different from the work already done by others at National and International levels.
- d. List the references examined by you to reply to a) and c) above

## 14 Methodology

*(Describe clearly the experiment; observations and data collection; and analysis)*

## 15 Cost Estimates

### 15.1 Total Cost of the project including over head charges (if any)

### 15.2 Subhead wise Abstract

<b>Subhead</b>	<b>Amount (Rs.)</b>
Salary	
TE	
Infrastructure /Equipments	
Experimental Charges	
<b>Sub Total</b>	
Add Contingency 5 %	
<b>Total</b>	
Institutional over heads (upto maximum 15 %)	
<b>Grand Total</b>	

*(Note: In this table of abstract, it is not necessary to indicate yearwise provisions. The release of funds will be tied down with milestones of progress and not with passage of time)*

### 15.3 Justification for Institutional Over Head charges.

*(Institutional over head charges, if sanctioned, will be actually paid only on successful completion of the project)*

### 15.4 Amount sought to be released at the start of the work with justification.

**15.5 Subheads wise Details**

**Salary**

Designation	Year 1			Year 2			and so on
	Rate/ month	months	amount	Rate/ month	months	amount	
And so on							

**Totals**

**Grand Total for Salary**

**15.6 Man-months utilisation table.**

*(For each of the research staff, list the activities and the months (from start) in which he/she will be carrying out each of these activities thus justifying the total man-months)*

**Designation:**

**Total Man-months:**

**Months from Start -->**

Activities	1	2	3	4	5	6	and so on
And so on							

**15.7 Travel Expenditure (TE)**

*(Give the break-up for the provision for TE indicating the places to be visited, purpose, number of visits to each place by air/ rail/ road with approximate fares for each type of journey and provision for DA. The mode of journey allowed (air/rail/road) will be as per the TE entitlement rules of the host institute.)*

**15.8 Infrastructure** (Purchased items of a permanent nature like equipment, software or data; construction of any buildings etc.)

(Give details indicating specifications, quantity and rate. Estimated cost for all items of commercial nature should be supported by proforma invoices.)

### 15.9 Experimental Charges

List the items and estimated cost.

### 16 Work Schedule

- a. Probable Date of Commencement
- b. Duration of Study
- c. Stages of Work and Milestones

Identifiable Milestones of progress	Months from start	Amount to be released
Start	0	(amount of first instalment)
1		
2		
And so on		

#### Notes:

- a. The work should be divided into milestones 3 to 6 months apart.
- b. The milestones are mainly for the purpose of monitoring of progress and release of funds. The funds to be released on achieving various milestones should be indicated.
- c. Normally there may be only one release of funds in a financial year.

### 17 Declaration

1. I have carefully read the terms and conditions of the research grant and agree to abide by them.
2. This is to certify that I have neither submitted this proposal elsewhere for financial support nor have undertaken it at the request of any commercial agency or as a consultancy.

**Date  
Place**

**Signature of PI  
Name  
Designation**

### 18 Endorsement from the Head of the institution

1. The Institute / Organisation welcome the participation of \_\_\_\_\_  
\_\_\_\_\_ as Principal Investigator for above project.
2. The necessary equipment and institutional support as described in item 13.3 will be made available as and when required for the purpose of the project to ensure that the work is taken up on priority and completed on schedule.
3. In the event of foreclosure /discontinuation /cancellation of the scheme for any reason , the entire amount released for the scheme will be fully refunded to the MoWR along with the interest prescribed till the date of return by the institute/ organisation.
4. The Register of permanent and semi-permanent assets acquired out of grants from MoWR will be maintained in Form GFR-19.
5. The assets acquired out of this grant shall be transferred to the desired destination in good & working condition as and when required.

**Date :**

**Seal and signature of the**

**Place:**

**Head of the organisation**

*\* The term "assets" mean (i) immovable property (ii) movable property of a capital nature where the value exceeds Rs. 1,000/ (one thousand).*

## Appendix 2

Annual Progress Report and Service Requests

**For the financial year** \_\_\_\_\_

**Name of the Institute:**

**Title of the scheme:**

**Financial Progress:**

Year	Opening Balance	Grant Received	Total	Expenditure	End Balance

**Subheadwise Expenditure:**

Subhead	Expenditure till the end of previous year	Expenditure during the current year	Total
Salary			
TE			
Infrastructure			
Experimental Charges			
<b>Total</b>			

**Man months utilisation.** For each of the research staff, indicate following.

Designation	Man-months sanctioned	Cumulative Man-months utilised	Is the work done proportionate to man-months utilised ? (Yes/No)

**Work Progress**

Indicate the progress against the agreed Work Schedule (item 15 of the proforma for submission of new proposals)

**Funds to be released**      Amount \_\_\_\_\_

**Date of Completion:**      **Scheduled**      **Expected**

If there is a delay then state reasons for delay.

Any **Revision of Estimate** ? If yes, then enclose details with justifications.

**Enclosures (tick):**    UC      GFR-19      Narrative Progress Report

**Signature  
Name  
Date**                      **of**                      **Principal**                      **Investigator**

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### Appendix 3

#### Utilisation Certificate

Utilisation certificate for the financial year  
Title of the Project/Scheme  
Name of the Institution  
Principal Investigator  
Ministry of Water Resources letter reference sanctioning the project  
Head of account as given in the original sanction letter.  
Financial Year to which the UC pertains  
(Hereinafter Referred to as the **UC Financial Year**)

	Reference (MoWR letter and date)	Amount
Amount brought forward from the previous financial year		
Amount received during the <i>UC Financial Year</i>		
Total amount that was available for expenditure during the <i>UC Financial Year</i>		
Actual expenditure incurred during the <i>UC Financial Year</i>		
Balance amount available at the end of <i>UC Financial Year</i>		

Unspent balance is to be Refunded **OR** Carried forward to the next financial year.

#### Certified that:

1. The information given above is correct.
2. The balance of Rs. \_\_\_\_\_ remaining unutilised at the end of the year has been refunded to the MoWR vide DD No \_\_\_\_\_ dated \_\_\_\_\_ drawn on (bank) \_\_\_\_\_

**OR**



The balance of Rs. \_\_\_\_\_ remaining unutilised at the end of the year is carried forward for utilisation during the next year  
i.e. \_\_\_\_\_

Signature of Principal Investigator  
Date

Signature of Registrar/Accounts Officer  
with date

Signature of Head of the Institute

#### Appendix 4

#### Statement of Equipment Purchased (GFR 19)

[See Government of India's Decision 7 (b) under Rule 148 (3) ]  
Assets Acquired Wholly or Substantially out of Government grants  
Register maintained by grantee institution  
Block Account maintained by Sanctioning Authorities

Name of Sanctioning Authority \_\_\_\_\_

Serial No	
Name of Grantee Institution	
No. and date of sanction	
Amount of the sanctioned grant	
Brief purpose of the grant	
Whether any condition regarding the right of ownership of Government in the property or other assets acquired out of the grant was incorporated in the grant-in-aid sanction.	
Particulars of assets actually Credited or acquired	
Value of the Assets as on (Date)	
Purpose for which utilised at Present	
Encumbered or not	
Reasons if encumbered	
Disposed of or not	
Reasons and authority, if any, for disposal	
Amount realised on disposal	
Remarks	

**Principal Investigator**

**Head of the Department**

## **Appendix 5**

### **Format for Completion Report**

1. Name and address of the Institute.
2. Name and addresses of the PI and other investigators.
3. Title of the scheme
4. Financial details. (Sanctioned cost; amount released; expenditure; unspent balance (if any) and return of unspent balance.
5. Original objectives and methodology as in the sanctioned proposal.
6. Any changes in the objectives during the operation of the scheme.
7. All data collected and used in the analysis with sources of data.
8. Methodology actually followed. (observations, analysis, results and inferences)
9. Conclusions/ Recommendations
10. How do the conclusions/recommendations compare with current thinking
11. Field tests conducted.
12. Software generated, if any.
13. Possibilities of any patents/copyrights. If so, then action taken in this regard.
14. Suggestions for further work

## Appendix 6

### Stipend and other emoluments for JRF/SRF/RA

Designation	Stipend 1 <sup>st</sup> and 2 <sup>nd</sup> years	Stipend Subsequent Years
Junior Research Fellow ( <b>JRF</b> ) in disciplines <b>other than</b> medicine and engineering,	Rs. 5,000 per month	Rs 5,600 per month
Junior Research Fellow ( <b>JRF</b> ) in disciplines of <b>medicine and engineering</b>	Rs. 5,000 per month	Rs 6,000 per month
Senior Research Fellow ( <b>SRF</b> ) in disciplines <b>other than</b> medicine and engineering	Rs. 5,600 per month	Rs 5,600 per month
Senior Research Fellow ( <b>SRF</b> ) in disciplines of <b>medicine and engineering</b>	Rs. 6,000 per month	Rs 6,400 per month
Research Associate ( <b>RA</b> ) The stipend will be fixed in one of the three categories depending on qualifications and experience	Rs. 8,000 per month	Rs. 8,000 per month
	Rs 8,800 per month	Rs 8,800 per month
	Rs. 10,500 per month	Rs. 10,500 per month

1. In addition to the stipend, the JRF/SRF/RA will be entitled to House Rent Allowance (HRA) as per the rules of the host institute **provided that** he/she has not been given hostel accommodation. The stipend will be treated as pay for the purpose of HRA.
2. The JRF/SRF/RA will also be entitled to Medical Allowance (MA) as per the rules of the host institute and **only for self**, not for family.
3. The fellow/Associate may avail of 45 days of leave with stipend for each completed year of his tenure or on pro-rata basis for fraction of a year. The leave due can be carried over to next year. However not more than 90 days of leave can be accumulated at any time during the tenure and not more than 30 days can be availed of at the end, i.e. prior to completion of the tenure.
4. Women Fellow/Associates may be paid full stipend plus usual HRA per month for absence upto three months on grounds of maternity. The fellowship/associateship amount for such period will be actually paid **after the fellow/associate resumes duty** and produces medical certificate in support of confinement.
5. Remuneration for the Consultant will be notified by the Ministry from time to time. The concerned INC or the R&D Division may be consulted before formulating the proposal.

## **Appendix 7**

### **Eligibility criteria for appointment as JRF/SRF/RA**

#### **Qualifications**

##### **Junior Research Fellow (JRF)**

The minimum qualifications are M.Sc./B.E./B.Tech. with minimum 55 % marks and passing of NET/GATE test. OR he should be registered with the University for working for a degree (PhD/ME/M.Tech.) For more information on NET and GATE tests, CSIR or UGC may be contacted.

##### **Senior Research Fellow (SRF)**

The minimum qualifications are M.Sc./B.E./B.Tech. or equivalent degree with minimum **two** years of post M.Sc./B.E./B.Tech. research experience as evidenced from published papers in standard referred journals.

#### **OR**

ME/M.Tech or equivalent degree in technology

##### **Research Associate (RA)**

The minimum qualifications are M.Sc./B.E./B.Tech. or equivalent degree with minimum **three** years of post M.Sc./B.E./B.Tech. research experience as evidenced from published papers in standard referred journals.

#### **OR**

Ph.D. or equivalent

Those who have submitted Ph.D. thesis can also be selected for RS-ship on a provisional basis for one year only pending award of Ph.D.

The upper age limit for JRF/SRF/RA is 28, 32 and 35 years respectively on the day on which application is made. A small relaxation can be considered for suitably qualified and experienced candidates if so recommended by a selection committee. The upper age limit is relaxable by 5 years for SC/ST/OBC/Women and physically handicapped candidates.

#### **General**

Only **Indian citizens** are eligible for research fellowships/associateships.

The award of research fellowships/associateships does not imply any employment guarantee by MoWR or at the institute where he/she is working.

## Appendix 8

### Conditions of Grant- in- aid

1. All correspondence in connection with the execution of this scheme should be carried out with the INC in-charge. The INC is PI's window to the MoWR. Under normal circumstances, the SMD or MoWR will not act on any request received directly from the PI.
2. After the sanction by the MoWR, the SMD will issue an administrative sanction order and a separate order to release the first instalment of the funds. The starting date for the scheme shall be taken as the date on which the first activity is initiated on the scheme which however shall not be later than three months from the receipt of Bank Draft by the Research Institute/organisation. This date shall be intimated by the Principal Investigator to SMD and the INC. Sanctioned duration shall be counted from this date.
3. The PI shall be responsible for speedy execution of the work, for utilisation of the funds in accordance with the conditions of grants and for submitting various returns listed in these guidelines to the INC or SMD.
4. The accounts of this grant are open to test check by the Comptroller and Auditor General of India under Government of India Decision No. 2 below Rule 149 of G.F.R. 1963.
5. A separate account should be maintained in respect of the utilisation of funds from this grant. The grant shall be spent only for the purpose for which it is sanctioned and within a reasonable time. The grant should not be diverted for other purposes nor the execution of the schemes entrusted to another organisation without getting specific approval of MoWR.
6. Transfer of funds from one subhead to another is generally not permitted. Should such transfer become necessary, prior approval from the MoWR should be obtained.
7. The portion of the amount which is not ultimately required for the purpose for which it is sanctioned should immediately be reported to the INC and the balance surrendered.
8. Each instalment of funds is to be utilised in the financial year for which it is sanctioned. Any unspent balance carried over to next year has to be revalidated by the MoWR. Application for revalidation should be submitted to the INC by the 30th April of the next financial year.
9. Following periodic returns are to be submitted by the PI.
  - Utilisation Certificate as prescribed in para (b) of the Government of India Decision (1) under Rules 150 of the General Financial Rules, 1963 along with the audited statements. (proforma in Appendix 3)
  - Proforma progress report in the months of August and December
  - Annual Progress report in the month of April
10. The research institute/organisation have to furnish a certificate from the auditors to the effect that the Grant-in-aid has been utilised for the purpose for which it was sanctioned.
11. The equipment purchased with these funds will remain the property of the Government of India who, will have the right to transfer such equipment from the research station/organisation where it is no longer required for the purpose of the research programme allotted to it, to another research station/organisation where it might be required. A separate register, in Form G.F.R. 19 of all permanent and semi-permanent assets acquired out of this

- grant should, therefore, be maintained. The PI will have to furnish an extract from the register maintained for the purpose of listing out permanent and Semi-permanent assets acquired wholly or mainly out of Government Grants.
12. The organisations will devise the system of accounting, reporting and auditing of expenditure in respect of this grant. The accounts will be subject to audit by I.A.O./C.A. (WR).