

Guidelines for Research and Development Scheme

Scheme :

The Department of Economic & Statistical Analysis has started a new scheme namely “Institutes for Research and Development” during the year 2012-13. The objective of the scheme is to stimulate research on issues of economic/social development and need assessment having direct bearing on plan formulation or implementation of policies, plans and schemes of the Government in the process of development planning. Under this scheme, grants-in-aid will be provided to Research Institutions/Organizations for carrying out Evaluation/ Research Studies of Public Policy or Plan Schemes of different sectors specially Social Sector and engaging them for professional services support for the work of Expert Groups or any other specialized work. Eligibility criterion for the institutions and process of their selection for the Grants in aid and other related aspects are covered in the following paras. Grants-in-aid to be given to the selected institutions for undertaking pre-decided research studies, would be used by them to create Corpus/Endowment Fund.

Eligibility for Institution

1. The Institute/Organization will mean a non-profit making, society or community-based organization registered under the Societies Registration Act, 1860, a registered public trust, charitable company licensed under Section 25 of Companies Act, 1956 or Indian Trust Act, 1882 or other statutes, or academic institutions accredited/affiliated to a University.

2. It should have as their constituents/advisers/resource persons in the field of public policy including, inter-alia, (a) former Chief Secretaries/Financial Commissioner & Principal Secretaries of State Government/Secretaries to Government of India (b) Senior Academicians/Economists/Specialists in the field of (i) infrastructure development including Power, Transport, Urban Development, Roads, Drinking Water etc. (ii) social sector, including, inter-alia, the field of affirmative action for promotion of SC/ST, Women, Children, differently abled, and other disadvantaged sections besides (iii) human resource development sectors like Education, Health etc. skills (Technical, Industrial, Vocational, Medical etc.) (iv) the regulatory and administrative fields and (v) Public Finance and Planning including taxation.
3. It should have reasonably good office premises(owned or rented) and all necessary assets including computers and other hardware, of book value not less than Rs 50 lakh.
4. The Institute/Organization, after its registration, should have been active in their area of work for the last at least ten years.
5. The Institute/Organization should have at their credit minimum of 50 successful crucial Research/Evaluation Studies conducted in the important areas/sectors of the economy for different States at the instance of State/Central Government, and also accepted by the concerned Governments, during the last five years.
6. Conditions like minimum number of years of experience in the field evaluation/research studies, number of studies can be relaxed in the case of prominent national institutes.

Process

- I. Keeping in view the eligibility conditions for the institutions, "Expression of Interest(EOI)" for pre-identified research studies/work areas will be invited through open advertisement in the newspapers
- II. All proposals/responses received will be scrutinised, and short listed institutions further considered by a High Powered Committee with the following constitution :

- | | | |
|---|---|------------------|
| 1) Chief Secretary | : | Chairperson |
| 2) Principal Secretary, Finance & Plan. | : | Member |
| 3) Special Secretary, Planning | : | Member |
| 4) Director, DESA | : | Member Secretary |

The main functions of the Committee are as under :

- a) Decide areas/sectors and basket of studies to be taken up under the Scheme after taking into consideration all related aspects.
- b) Select Institute/Organization amongst the shortlisted eligible applicants, for the pre-identified studies.
- c) Decide amount and period of Grants-in-aid to be provided to the selected institutions for creating Corpus/Endowment Fund for conducting the studies.
- d) Approval of the draft report of the studies completed.
- e) Review for the continuation of the institutions selected before or on the expiry of the initial period fixed.
- f) Any other important issue, as arises, with the permission of the Chair.

- III. The institution selected for research study will have to execute a bond for receiving grants-in-aid, to be used as Corpus/Endowment Fund.
- IV. Whole amount of grants-in-aid decided by the High Powered committee will be released to the selected institution in one instalment.
- V. Immediately upon receipt of Grants-in-aid, the institution will create Corpus/Endowment Fund. Interest or dividend to be accrued on the fund would be utilised by the institution towards the agreed cost of the studies entrusted to it.
- VI. No capital expenditure will be allowed from the Grants-in-Aid provided.
- VII. Institution will submit the detailed proposal on the studies to be conducted as per prescribed format, within a period of 3 weeks of the communication issued in this regard.
- VIII. Communication on approval on the proposal or otherwise would be issued in about 3 weeks time from the receipt of the proposal..
- IX. The intimation/information about the preparatory work including selection/ appointment of staff and their training, pilot study, drawing of sample, schedule construction, collection and compilation of data etc. for the study would be provided by the institution to the Planning Department.
- X. The assignment should be completed within the time stipulated. Delay in submission of report beyond the stipulated time may attract penal provision.
- XI. Normally, no extra/additional amount for any escalation in the cost of the study/assignment would be allowed for adjustment.

- XII. A Committee under Principal Secretary, Planning will undertake quarterly review of progress of all studies entrusted, and approve the draft reports prior to placing them before High Powered Committee.

Other Terms and Conditions

- A. Head of the Institution is required to execute a bond to the effect that he will abide by the term and conditions of the grants-in-aid(GIA) and to the relevant rules/ guidelines.
- B. The GIA as accepted by the institution will include service tax and other taxes, if any, and the liability of the payment of tax will be of the institution conducting the study.
- C. During the period of assigned study with a view to widen its scope/coverage, if needed, terms & conditions of the study may be modified, in consultation with grantee organization without any escalation in cost or duration of the study.
- D. The person employed in the project will be treated as employees of the Institution and not of the Government and the conditions of service will be governed in accordance with the rules and regulations of the Institution applicable to such person.
- E. The Institution will not make available the data collected for the project to any other person without the prior approval of Planning Department. It will also make suitable arrangements for the safe custody of raw data such as filled-in schedules, tabulation working sheets, tapes, CDs, manuscripts of the reports etc. relating to the research work for a period of three years after completion of the research study.

- F. The institution will maintain separate accounts in respect of this financial assistance. The accounts will remain open to inspection to the representatives of the concerned audit agencies of Government. At the end of the period, the Organisation will have the accounts of the assistance audited by a Government Auditor or a Chartered Accountant and supply a copy of the audited accounts, together with a utilization certificate to the Planning Department within six months of the date of acceptance/clearance of the project report. The periodical audited statement will be submitted to the Department by the organization. except in case of research institution set up by an act of Parliament whose report is laid on the table of Parliament or universities. If regular process of audit takes more time the accounts may be got audited by a Chartered Accountant and the Audit Fee may be charged under Sub-head "Contingency" of the project.
- G. The salaries of the staff would be fixed basis and may not be revised during the course of the project.
- H. The Project Director will furnish monthly/ quarterly progress depicting the physical and financial progress of the work done in the preceding quarter.
- I. The project Director must furnish 10 copies (out of which three bound in hard board cover) of the main report and 25 copies of the summary report to the Department on completion of the study and approved by High Powered Committee.

Format for submission of proposals for Research proposal for financial assistance.

1. Name of the Project
2. Name of the Institution with address/contact details
3. Name of the Project Director / Principal Research Worker
4. Terms and conditions of Employment/Association of the person with the Institution.
6. Total Budget : `
7. Certificate

I am forwarding the research proposal for financial support to the Department of Planning, Haryana.

The Institution agrees to administer the project, manage its finance, provide accommodation, furniture and the research facilities such as library, etc. required for project and also provide the material and managerial assistance for the project.

It is certified that this proposal has not been submitted to any other agency or Department of State/Central Government, for funding purposes.

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

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

A brief resume of the activities of the Project Director/ Principal Research Worker of the project/ study is enclosed.

Signature and Seal of the Administrator/
Head of the Institution

Suggestive Outline of Research Study proposal

1. **Objectives:-** The focus and orientation of the study may be indicated and specific objectives spelt out.
2. **Hypotheses to be tested:-** The hypotheses to be tested may be indicated.
3. **Type and method:-** The extent to which the proposed study is reflective or empirical may be indicated. It may also be clarified whether it is intended to utilize data already available or whether collection of primary data is aimed at. In the former case it may be indicated whether the available data are in published form or still unpublished. Relevant sources of data may be listed in all cases. Where collection of primary data aimed at, the approach should be spelt out as to whether it would be a sample survey or a case study.
4. Relevance of the study to improve plan/policy formulation and implementation should be discussed in concrete terms.
5. Major variable for data collection and analysis: The important variables on which data are to be collected and their sources should be indicated. Concepts and definitions to be followed in the study should be defined and important lines of analysis spelt out.
6. **Statistical design:-** In case fresh survey is to be taken up for primary data, sampling design as well as broad content of the schedules and questionnaire may be given.
7. **Tabulation arrangements:-** Time phasing of the tabulation programme where primary data are proposed to be collected and also where secondary data are proposed to be utilized may be drawn up.
8. **For case study:-** the number of units proposed to be studied and the method and justification for their selection may be indicated.
9. **Synopsis:-** Synopsis of chapter plan of the report may also be given.
10. **Project Duration:-** The time required for completing the proposed study and submission of the report may be indicated . While doing this, the period required for (a) preliminary arrangements; b) data collection; (c) data tabulation; d) drafting of the report may be indicated.
11. **Staffing pattern:-** The supporting staff and the period for which required and the remuneration to be paid to each of them may be indicated.

12. Budget:- The proposal should indicate the financial requirements broken down under different items such as a) salaries and allowances for staff, b) travelling allowances, c) stationery, d) printing of forms, e) tabulation, f) computer processing, and g) overheads. (Five per cent of the local itemized cost can be shown as overhead)
13. No amount should be provided for publication of the report as it is separately considered on merits after receiving the draft report.
14. **Bio-data of the Project Director:-** Broad details of academic qualifications and research experience of the Project Director may be indicated.

A brief note indicating the activities of the Institution during the last ten years, its constitution, research expertise available with it for conducting studies and infra-structural facilities to conduct research work, should also be appended.

A Timeline

Sl.	Item	Months	Days
1.	Preparatory work including Selection of the staff and their Training.		
2.	Pilot Study: if any, required		
3.	Drawing of sample		
4.	Schedule Construction-their Pre-testing and printing.		
5.	Data collection		
6.	Data processing		
7.	Data Analysis		
8.	Report writing, typing, binding etc		

Total Duration

Date:

Place:

Name and signature of the
Project Director /Principal Research
Worker

Name and Signature of the
Head of the Institution
(Official seal)

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

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

B Financial Budget

ITEMS OF PROPOSED EXPENDITURE

I Salaries

Research and other staff category-wise

Job Tasks to Be done	Monthly Salary	Duration	Annual (in Rs.)
1. Project Director	Honorary		
2. Research / Faculty Staff			
1.			
2.			
3.			
3. Field Staff			
4. Secretarial Staff			
Total			

II Travel

III Data processing including computation/ computer work

IV Stationery, printing, photocopying, postage etc.

V Books and journals

VI Equipment, if any (Please give details of the requirement proposed to be purchased. Purchase of small value equipment is permissible)

VII Any other (to be specified)

VIII Overheads

Total (I to VIII)
