

# **GRANT-IN-AID RULES FOR RESEARCH AND PUBLICATIONS**

**(Revised : April, 2013)**



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**GOVERNMENT OF INDIA  
MINISTRY OF SOCIAL JUSTICE & EMPOWERMENT  
DEPARTMENT OF SOCIAL JUSTICE & EMPOWERMENT  
(STATISTICS DIVISION)  
WEST BLOCK VIII, 2<sup>ND</sup> FLOOR, 2<sup>ND</sup> WING,  
NEW DELHI-110001**

## **A. GRANT-IN-AID RULES OF THE MINISTRY OF SOCIAL JUSTICE & EMPOWERMENT FOR SPONSORING RESEARCH**

### **1. SCOPE**

1.01. The projects sponsored by the Ministry of Social Justice & Empowerment will be in the fields of social welfare, social policy and social development **pertaining to Scheduled Castes, Other Backward Classes, Denotified Tribes, Nomadic and Semi-nomadic Tribes, Persons with Disabilities, senior citizens victims of drug abuse, transgenders, Beggary and any other target group of the Ministry.** However, priority within these broad areas will be given to research projects of an applied nature keeping in consideration plan policies and programmes, and social problems requiring urgent Public intervention. The grants will cover (i) research including action research for the development of innovative programmes or for testing the feasibility and efficacy of programmes and services; and (ii) workshops/ seminars which will be helpful in formulating research proposals, disseminating research findings or in social situational analysis likely to be helpful in planning, programming and review of implementation.

Grants under the scheme cover the following categories:

- a. Grants for research (including action research);
- b. Grants to individual scholars for research studies; and
- c. Grants for Workshops / Seminars.

All Social Science disciplines will be recognized for sponsoring projects.

1.02. The detailed rules will be as follows:-

### **2. RESEARCH GRANTS**

2.01. Grant under this category can be made to an institution or a group of institutions for carrying out a specific research project with one or more scholars, directing it. These institutions will include Universities, Research Institutes, Institutions set up and fully funded by Central Government/State Governments/Public Sector Undertakings, Voluntary Organisations, and Professional Associations in the field of social welfare which have the capacity to do research and **against whom no Utilization Certificate is pending.**

It may also be given to an institution for a project which is of the nature of collective effort of a group of scholar's writing papers on different aspects of a problem under a broad framework indicated by the editors.

Assistance can also be given for a group of projects to be undertaken sequentially by an institution(s). But in this case, the financial sanction of the Ministry of Social Justice & Empowerment (mentioned as Ministry hereinafter) will be given only to one project at a time. Research projects on a specific topic carried out simultaneously by several institutions following a common framework can also be entertained for purpose of financial support.

**2.02. Limits to the number of projects to be sanctioned:** The decision as to the exact number of research projects to be sanctioned to any organization will depend upon the strength and quality of staff, facilities available, past performance in research and the research projects already in hand.

**2.03. Research Projects:** The projects should be in the name of the Project Director, **who should be at least a Ph.D. in the relevant field with five years of additional research experience.** The Project Director should submit the Research Project through the head of the institution where he is working. In case of the University, the project should be submitted through the Registrar of the University in the prescribed proforma **(Annexure-I)**. The head of institution/Registrar of the University shall inform (i) whether a similar proposal was submitted to another organization for financial assistance and, if so, the name of the organization and its observations, and (ii) particulars of the research and the research projects on which the person whose name has been given as Director of the proposed project is currently engaged or is likely to be engaged in the near future.

**The Research Projects are divided into three categories, namely Small, Medium and Large. The project costing less than Rs.10.00 lakh, Rs.10.00 lakh and above but less than Rs.20.00 lakh and more than Rs.20.00 lakh are categorized as Small, Medium and Large projects respectively.**

**2.04.** Projects are granted to individuals who will have the responsibility for completing them. However, the grant for the project will be made available to him through the institution which, while forwarding the proposal, shall agree to:

- i. Administer and manage the finance;
- ii. Provide accommodation and furniture required for the projects;
- iii. Make available all its research facilities, such as library, laboratory and other equipment; and
- iv. Arrange the ministerial and messenger assistance necessary for the project.

**2.05.** Proposals for research grants will be self-contained and prepared in accordance with the given guidelines. The financial assistance given by the Ministry will be institution based and the funds will be released to the concerned research agency/institute only. Such research agency being eligible and desirous of undertaking a research study under a Central Sector Scheme of Research and Publication should select the subject of their choice for undertaking studies from the priority areas of the Ministry uploaded on the Ministry's website (<http://www.socialjustice.nic.in>) every year and forward their proposals as per the guidelines of the Ministry in this regard to the **Deputy Director General, Ministry of Social Justice and Empowerment, West Block-VIII, Wing-II, 2<sup>nd</sup> Floor, RK Puram, New Delhi.**

**2.06.** The Project Director will submit **two hard copies** of the project complete in all respects **along with its soft copy to Deputy Director General, Ministry of Social Justice and Empowerment, West Block-VIII, Wing-II, 2<sup>nd</sup> Floor, RK Puram, New Delhi.**

**2.07.** The Project Director will enclose -

- i. His/Her bio-data in the prescribed proforma, and
- ii. A detailed note on the work done so far on the subject and the precise contribution which the research project is expected to make to the existing body of knowledge.

**2.08. Items covered under the grants:** The following items are covered under the grants:

- i. Salaries and allowances of the project staff (research and action component), and honorarium for the Project Director. (N.B.: The salary of peons will not be sanctioned as a part of expenditure on a research project. Any expenditure on this account may, however, be met out of the overhead charges mentioned under item (viii) below).
- ii. Travel undertaken in relation to the project.
- iii. Consultancy charges.
- iv. Printing.
- v. Equipment and books.
- vi. Computer and machine tabulation costs.
- vii. Contingency and
- viii. Overhead charges.

**(NOTE:** Payment with retrospective effect for the work already done before the submission of the research proposal will not be permissible).

The following explanations are given in respect of the above items to serve as guidelines in the preparation of financial estimates of the research projects.

**Item (i) Salaries and allowances of the project staff**

- a. The Project Director shall not be entitled to any salary or allowances (other than TA / DA) from the project funds. He may, however, be paid an honorarium provided the project is completed within the sanctioned/approved time limit and submission of a satisfactory quality report. The honorarium will be limited to 5% of the total approved cost of the project. Honorarium as originally sanctioned will be paid after the acceptance of the report and the finalization of accounts.
- b. The remuneration, mode of recruitment and conditions of services of the staff employed in the project, shall be the same as those of the institution to which the research project is sanctioned.
- c. The staff appointed for the research project should be professionally qualified and conform to the standards laid down by the institution for similar positions and such model qualifications as the Ministry may lay down.
- d. The Institution will inform the Ministry **within 15 days from the date of commencement of the study**, of all appointments made for the project, the expenditure on which is to be met from the grant of the Ministry.
- e. All persons appointed to work on the project and paid from the project funds will be the employees of the institution concerned.
- f. All employees appointed under the project will be full time and used exclusively for the project work. If any part-time employees are intended, this should be indicated in the research proposal submitted for sanction.

**Item (ii) Travel**

The rates of TA/DA for the purpose of the project shall be those of the institution.

**Item (iii) Consultancy, etc.**

- a. The project Director will specify in the research proposal the type and cost of consultancy that will be needed. He will also indicate in the research proposal, if honorarium or fees is to be paid to a specialist for contributing a paper for the project.
- b. No employee of the Research Project will be eligible for a consultancy fee for any work done for the project.

#### **Item (iv) Printing**

Estimated cost of printing of forms etc. will be furnished.

#### **Item (v) Equipment, Books**

- a. Normally, the equipment required for the project is expected to be provided by the institution. However, in exceptional cases where full Justification is given, purchase/hire of equipment can be sanctioned. Details of equipment/stores of capital nature proposed to be purchased / hired for the project will be furnished along with the estimated cost of each item. No foreign exchange should be involved. The grantee institution shall refund in full if the scheme is abandoned by it during the period of sanction or if the scheme had not started after the purchase of the stores.
- b. Estimated cost of books and journals required for project work will be indicated.
- c. The stores purchased out of the grant given by the Ministry shall be entered in stock registers and presented to the auditors for checking.

#### **Items (vi) Computer and machine tabulation costs**

The Project Director shall give a rough estimate of expenditure on different items of tabulation exercise such as data entry, verifying, programming, computer work, etc. The Ministry of Social Justice & Empowerment will pay the actual cost of computerization and machine tabulation on production of bills, whether they are more or less than the estimated costs.

#### **Items (vii) Contingency Charges**

Contingency means the expenditure incurred on postage, stationery, telephone charges and other unforeseen items of expenditure .

#### **Items (viii) Overhead Charges**

Overhead charges includes expenditure incurred by the institution on general services, including accommodation, furniture and messengerial services. Not exceeding **5%** of the total expenditure by the Institution will be permissible as overhead charges.

**2.09.** The grants of the Ministry will ordinarily be given for projects covering a period of not more than **one year**. In exceptional cases the period may be extended up to six months, subject to justification.

## 2.10. Scrutiny and Sanction

- i. **The Ministry will scrutinize every research project received in such a manner as may be decided upon from time to time. Ordinarily all research projects which meets the laid down criteria will be placed before the Research Advisory Committee for its approval. The Research Advisory Committee headed by Additional Secretary, comprised of official and non-official Members. The Committee approves the projects on merits.**
- ii. After scrutiny of the project, the Ministry may call for any clarification or suggest modifications therein.
- iii. The Ministry may come to the conclusion that a pilot study be undertaken in the first instance. In that case, an appropriate grant will be sanctioned for such a study. The proposal for the main project will be reviewed in the light of the findings of the pilot study.
- iv. If the project meets the criteria laid down from time to time, the Ministry will sanction a grant-in-aid in its support.
- v. The grantee Institution will confirm in writing that the conditions contained in the grant-in-aid rules are acceptable to it. It will also execute a bond in favour of the President of India to the effect that it will abide by the terms and conditions attached to the grant and that in case it fails to abide by the same, it will refund to the Government the total grant-in-aid sanctioned to it with **15% penal** interest thereon.
- vi. The grantee Institution will maintain separate accounts in respect of this grant. The accounts will remain open to inspection to the representatives of the Government of India, including the Comptroller and Auditor General of India. At the end of the period, the Institution will have the accounts of this grant audited by a Government Auditor or a Chartered Accountant, and supply a copy of the audited accounts, together with a utilization certificate in **form GFR-19A**, to this Ministry within six months after completion of the project. The audit fee may be charged under sub-head "Contingency" of the project. Any unspent balance out of this grant will be refunded by the Organization **within 30 days from the date of completion of the Project failing which such unspent balance will attract penal interest of 15% for the period from date of completion of the project to the date of refund of unspent balance.**

**2.11.** The Ministry will issue a sanction letter in respect of every approved project.

## **2.12. Installments:**

The grants of the Ministry will be released in three installments as under:-

I <sup>st</sup> installment	:	50%
2 <sup>nd</sup> installment	:	25% (on submission of the draft Report and its acceptance by the Ministry)
3 <sup>rd</sup> installment	:	25% (on submission of 8 copies of the final report alongwith its PDF version and audited Statement of Accounts and Utilization Certificate.)

## **2.13. Additional funds:**

The Institution will not be eligible for a grant-in-aid in excess of the sanctioned amount, unless a specific prior approval of the Ministry to that effect has been obtained. Full justification has to be provided in such a case. Taking into consideration the merits of the case, the Ministry may sanction an additional grant upto 15% of the project cost.

**2.14** The Ministry will accept no responsibility for any financial expenditure or liability arising out of the project except what has been specifically approved by it and conveyed to the institution or University through the sanction letter.

## **2.15 Re-appropriations:**

- i. The Ministry will sanction finances for each sub-head and the Ministry's Sanction order will clearly specify the sanctioned amount for each sub-head for the total financial assistance given for a research project. The research agency without the prior approval of the Ministry will have no right of re-appropriation of amount from one sub-head to another.
- ii. The research agency shall not incur any excess expenditure on the research project, under any circumstances, over and above the sanctioned amount, without prior approval of the Ministry. Ordinarily such request will not be entertained by the Ministry.



## **2.16 Six-monthly progress reports:**

The Project Director will submit to the Ministry six-monthly progress reports of the project along with certified statement of the expenditure actually incurred and estimate of expenditure for the next six months period in the prescribed form. The release of subsequent installments will be subject to the satisfactory progress of the project.

## **2.17 Changes in approved projects:**

The Project Director will report to the Ministry, changes he makes in the research design, and no major change will be made therein unless the prior approval of the Ministry has been obtained.

**2.18** On a request from the Institution, the Ministry may in exceptional cases, permit the appointment of another Project Director.

**2.19** When the Director of a project takes up an appointment at another institution before the project is completed the Ministry may permit, with the consent of both the institutions concerned the transfer of the project to the other institution.

## **2.20 Extension:**

On a request from the Project Director, the Ministry may grant one time extension of time for a reasonable period to complete the project.

## **2.21 Termination of grants:**

If the Ministry is not satisfied with the progress of the project, or if it finds that these rules are being seriously violated, it reserves the right to terminate its grant-in-aid.

## **2.22 Draft/Final Report:**

(1) Draft report of the project will be submitted by the Project Director to the Ministry immediately on the completion of the project. **If there is any suggestion by the concerned Bureau Head, the same will be carried out by the Project Director who will then submit eight copies of the final report along with 25 copies of summary report to the Ministry.** This final report, which will be comprehensive enough to serve as a definite record, is expected to cover the following points:

- I. The problem studied including the following:
  - (a) Theoretical context; Review of existing literature;
  - (b) Statement of the problem, including explanation of key concepts and mention of the hypotheses tested.

- II. The procedure followed and methodology of the study including the following:
  - (a) The design of research;
  - (b) The selection of the universe and the units for study: considerations that governed the selection of the universe, size of the sample and the procedure for sample draw;
  - (c) Tools used: detailed account of the exercise of tool construction, special contribution made by the project in devising new tools or sharpening existing ones;
  - (d) Field work: The manner in which field work was conducted including division of labour among the project staff, problems encountered;
  - (e) The schedule of the project;
  - (f) Organizational structure and problems;
  - (g) Methodological gains;
  - (h) Limitation of the study; and
  - (i) Other observations.
- III. An account of the population studied.
- IV. Description and analysis of data.
- V. Findings and conclusion;
  - i. Summary of findings;
  - ii. Conclusions;
  - iii. Implications for further research; and
  - iv. Suggestions for action and policy making.

(2) The Ministry may, after scrutiny of the final report, request the Project Director to revise it. If so requested, it will be the responsibility of the Project Director to revise the report on the broad lines indicated and to resubmit it within three months. No further grant will, however, be given for this purpose over and above the sanctioned grant.

(3) The Project Director will submit, along with 8 copies of the final report (two are hard-bound), 25 copies of a short summary upto 5,000 words. No extra remuneration will be admissible for this.

### **2.23 Finalization of accounts:**

(1) The Institution will also submit to the Ministry a statement showing the equipment purchased out of the grant-in-aid, with its price, along with the audited statement of accounts.

(2) Equipment purchased out of the grant-in-aid will be the property of the Ministry, which will decide about its disposal on the completion of

the project. The grantee Institution may submit a proposal in this regard before the completion of the project. The Ministry may agree to its transfer and permit the Institution to utilize the equipment, provided the equipment is used for research, teaching and the Institution gives an undertaking for its proper care and maintenance. For the purpose of this rule, equipment will mean articles costing **Rs.500/-** or more.

(3) All books and periodicals purchased for the project will be transferred on its completion to the library of the Institution in which the project is located.

#### **2.24 Conditions for Publication:**

The Ministry reserves the first right to publish the final report of research project financed by it, if it decides to do so, the decision will be communicated to the Project Director along with the acceptance of the report. Such report will be published in the form of a book within one year from the date of acceptance of the report.

**2.25** In all publications, which are based on the projects financed by the Ministry, due acknowledgement will be made for the contribution of all professional staff working on the project, and also for the financial assistance received from the Ministry. The publications will bear the following inscription.

"The project on which the present report is based was funded by the Ministry of Social Justice & Empowerment. However, the responsibility for the facts stated, opinions expressed, and conclusions reached is entirely that of the Project Director / Author and not of the Ministry of Social Justice & Empowerment"

#### **2.26 Preservation of data:**

1. The Institution receiving grant-in-aid for a project shall make suitable arrangements for the preservation of data, such as filled in schedules, tabulation or working sheets, reports, etc, on electronic media relating to the Project.
2. The Ministry, however, reserves the right to demand that the raw data or such part of it as may be specified shall be transferred to the Ministry.
3. If the Institution proposes to destroy the data or otherwise dispose it off or give to any other organization/individual, will do so after obtaining the approval of the Ministry.
4. The data shall be accessible to bonafide research scholars.

## Conditions :

- i. The Ministry may, at any time, depute any of its officers to inspect the accounts and other papers relevant to the financial assistance and working of the project and direct him / her to submit report to the Ministry on such points as may be specified.
- ii. The accounts will remain open to inspection to the representatives of the Government of India, including the Comptroller and Auditor General of India. At the end of the period, the Institution will have the accounts of this grant audited by a Government Auditor or a Chartered Accountant, and supply a copy of the audited accounts, together with a utilization certificate in **form GFR-19A**, to this Ministry within six months after completion of the project.
- iii. The grantee organization which is recipient of financial assistance from the Ministry for the research study, will be individually responsible for preserving the data, working sheets, tabulation sheets, manuscripts, report etc. relating to the research study. Any documents/ information in any form related to the project cannot be divulged to any other person/ institution without the written approval of the Ministry. Any document concerning the project cannot be destroyed without prior written approval of the Ministry.
- iv. The grantee organization being financed by the Ministry for a specific research study will not publish the report in any form or pass it on any of its part or any information in any form concerning the research study, to any individual, institution, press department, university etc. without the prior written approval of Ministry. The grantee organization will submit the report to the Ministry only and it shall be the property of the Ministry, which alone may publish the report after approval of the Research Advisory Committee. If the Ministry do not consider worth while to publish such report, it shall not be published.
- v. The Ministry reserves all rights to direct the grantee organization obtaining financials assistance for a specific research study to produce any documents, books / periodicals etc. which in the opinion of the Ministry are necessary to examine and decide proper utilization of the funds sanctioned by the Ministry.
- vi. The head of the grantee organization while furnishing the project proposal to the Ministry for financial assistance, will invariably furnish in duplicate, an undertaking that the grantee organization will abide by all the contents contained in the scheme and also any other conditions decided by the Ministry from time to time and will execute a bond on the stamp paper to this effect.
- vii. The grantee organization will be fully responsible for adhering to these conditions.
- viii. The Ministry in case of knowledge of any violation of the contents contained in the scheme reserves all rights to call for full facts

- from the grantee organization and/or direct appointment of an Enquiry Committee consisting of official members to be decided by the Ministry alone: to look into the whole matter, and the remedial measures, to the Government of India within one month from the date of appointment of such an enquiry committee.
- ix. In case of any legal proceeding arising out of the matters relating to the project financed to the grantee organization the Delhi Courts only, shall have the legal jurisdiction to entertain any suit/proceeding.
  - x. Depending upon merits of the case, the Ministry alone shall have the authority to delete or modify any of the conditions laid down in the scheme or impose such additional conditions as it may deem them expedient.
  - xi. Grantees will be required to ensure the security and confidentiality of all statistical records in their possession during the execution and after the cessation of the project. They may be required not to disclose or use any information or record that has been in their knowledge in the performance of the project.
  - xii. Grantee will require not to undertake any non-statistical activities like data base marketing involving data about individuals which could be used for direct marketing and promotional activities.
  - xiii. Grantee shall ensure that statistical personnel engaged in data collection be made aware of their obligations not to access, use, disclose or retain personal information except in performing their duties of employment and are informed that failure to comply would render themselves liable to legal (civil and criminal) consequences.
  - xiv. Informants' identities must not without their written consent be revealed to anyone not directly involved in the project or used for any non-statistical purpose.
  - xv. Persons engaged for data collection shall avoid interviewing informants at inappropriate or inconvenient times. They should also avoid the use of unnecessarily long interviews.
  - xvi. It is advisable to avoid data collection in places where persons other than the informant or his family members have free access and where an informant could reasonably expect to be observed and/or overheard by other people present. In case of collecting sensitive information and any other information which an informant could reasonably feel inconvenience to furnish even in the presence of his family members, the data shall be collected in a manner that the informant could not be observed/or overheard by the family members.

**Guidelines for the Formulation of a Research Proposal**

Project Directors are requested to furnish a detailed research proposal covering (a) statement of the problem (b) hypotheses to be tested, if any, (c) definition of the key concepts, (d) research design including the objectives, universe of study, sampling frame, and sampling procedure, (e) tools to be used in data collection, (f) time schedule, (g) staffing pattern, and (h) estimate of costs.

A research proposal is a sort of a blue-print. Apart from helping the Ministry to process it quickly, a well-conceived research proposal will add to the efficiency in its implementation. Every effort made to formulate a proper research proposal will, therefore, pay rich dividends.

To facilitate the task of the Project Director, in formulating a research proposal, a few detailed guidelines are given below:

**I. The title of the Project (in capital letters)****II. Statement of the problem**

In the opening paragraphs of the research proposal, the problem to be investigated should be presented clearly and briefly. The key originating question(s) and the location of the problem in the theoretical context of the concerned discipline should be specified. Specific mention should be made of the rationale of the approach adopted to study the problem and the specific aims of this project.

While indicating the significance of the problem, the contribution which the proposed study is expected to make to the theory and methodology as well as its practical impact and national relevance should be specifically indicated.

**III. A brief overview of work already done in the area of the Proposal.**

A note summarizing the current status of research in the area including major findings and highlighting research gaps, should be included in the project proposal.

**IV. Objectives of the project**

This should list in clear and precise terms the main objectives.

## **V. Research questions of hypotheses**

Enumerate the specific research questions and/or hypotheses that you wish to investigate in this study.

## **VI. Methodology**

In the light of the questions raised or the hypothesis proposed to be tested, full information on the following points should be given:

1. Universe of study
2. Sampling frame
3. Sampling procedure
4. Units of observation and sample-size.

If the study requires any control groups, they should be specifically mentioned. An explanation of the determination of size and type of sample will also be necessary. Proposals not requiring a sample selection should specify their strategy appropriately and describe the rationale.

The different types of data that are proposed to be gathered should be specifically mentioned.

The sources for each type of data and the tools and techniques that will be used for collecting different types of data should be specified.

For questionnaire or schedule to be used, the following should be indicated:

1. Distribution of the questionnaire or schedule in different sections, e.g., identification particular, socio-economic data, questions on various sub-themes, etc.
2. Approximate number of questions to be asked from each respondent
3. Any scaling techniques proposed to be included in the instrument.
4. Any projective tests incorporated in the questionnaire/schedule.
5. Approximate time needed for interview.
6. Any plans for index-construction.
7. Coding plan (whether the questions and responses will be pre-coded or not; whether the coding is done for computer or for hand tabulation).

For the interviews, the following details should be given:

1. How are they to be conducted?
2. Particular characteristics that interviews must have:

For the use of observation techniques, describe:

1. The type of observation; participant, quasi-participant, non-participant.
2. Units of observation;
3. Whether this will be the only technique or other techniques will also be employed.

### **VII. Data processing**

The manner in which the different types of data will be processed, the tabulation plan, and the type of data that will be processed through the computer, should be explained in details.

### **VIII. Time budgeting**

The project should be broken up in suitable stages and the time required for completion of each stage of work should be specified, for instance, such stages may cover:

1. preparatory work, including selection and appointment of staff and their training;
2. pilot study, if any;
3. drawing of sample;
4. tool construction (including their pre-testing and printing);
5. data collection;
6. data processing (which should include coding, editing, punching, verification, sorting, computer analysis);
7. data analysis; and
8. report writing.

### **IX. Organizational Framework**

An organizational chart indicating the positions, tasks and number of persons required to fill the different positions should be given.

### **IX. Cost Estimate**

**The Research Projects are divided into three categories, namely Small, Medium and Large. The project costing less than Rs.10.00 lakh, Rs.10.00 lakh and above but less than Rs.20.00 lakh and more than Rs.20.00 lakh are categorized as Small, Medium and Large projects respectively.**

The cost of the project is to be estimated in terms of total man-months and the facilities needed and calculated under following headings:



1. Personnel

<b>Position</b>	<b>No. of persons</b>	<b>Salary (fixed consolidated)</b>	<b>Duration</b>	<b>Amount required</b>
1	2	3	4	5
Total				

2. Travel
3. Printing
4. Equipment and books
5. Computer and machine tabulation costs
6. Contingency charges
7. Overhead charges 5 per cent of items 1 to 6.

**Grand total**

**Non-university organisations applying for grants should enclose the following papers:**

1. Copy of registration
2. Annual report (latest)
3. Audited statement of accounts of two previous years (receipts and payments statement and balance sheet)
4. Articles of Memorandum of Association
5. List of office bearers
6. Brief account of work done in Social Science research and in social development.

## **B. GRANTS TO INDIVIDUAL SCHOLARS FOR RESEARCH STUDIES**

### **SCOPE**

**3.01** Grants will be given to individual scholars for undertaking research studies or submitting reports on approved subjects in the fields of social welfare, social policy and social development pertaining to **Scheduled Castes, Other Backward Classes, Denotified Tribes, Nomadic and Semi-nomadic Tribes, Persons with Disabilities, senior citizens victims of drug abuse, transgenders, Beggary and any other target group of the Ministry.** However, priority within these broad areas will be given to studies of an applied nature taking into consideration policies and programmes and social problems requiring urgent public intervention.

The detailed rules will be as follows:

**3.02 Eligibility:** Grants shall be given to a person for undertaking research study belonging to a discipline falling within the scope of Social Sciences **pertaining to Scheduled Castes, Other Backward Classes, Denotified Tribes, Nomadic and Semi-nomadic Tribes, Persons with Disabilities, senior citizens victims of drug abuse, transgenders, Beggary and any other target group of the Ministry** provided he is interested in and has, in the opinion of the Ministry of Social Justice & Empowerment, the necessary competence to conduct research. He should possess at least a Master's Degree of a recognized university. In cases where the nature of the problem demands specialization other than in Social Sciences, persons with qualifications in other disciplines will also be considered.

**3.03** The scholar shall be attached to an institution approved by the Ministry of Social Justice & Empowerment to which the grant will be given for the study.

**3.04** The scholar shall engage himself on his research work on a whole time basis and shall not accept, during the period of study any other assignment (with or without payment) without the prior permission of the Ministry of Social Justice & Empowerment.

**3.05 Duration:** The maximum period for grant will be two years.

**3.06 Amount:** The grant will be **Rs.10,000 to Rs.15,000** per month depending on the standing of the scholar provided he is not in receipt of emoluments from any other source. The costs of TA/DA, typing, stationery, etc. will be reimbursed. In addition, the rates for the purpose of the grant will be those of the institution to which the scholar attaches himself.

**3.07 Procedure:** The applicant should give a statement of the problem, review of work done on the problem, objectives of the study, main research questions and issues, methodology, likely utilization of the findings, duration, and budget estimates (itemized). The bio-data of the scholar should be appended giving his academic qualifications, employment experience and research experience. The application should be addressed to the Ministry of Social Justice & Empowerment and submitted through the Head of the Institution to which the scholar proposes to affiliate himself/herself.

**3.08** The application will be considered by the Ministry of Social Justice & Empowerment in accordance with the procedure laid down from time to time and grant-in-aid will be awarded ordinarily on the recommendation of the Research Advisory Committee.

**3.09** The Ministry will issue a sanction letter in respect of every approved project. The letter will be accompanied by a copy of the research project as approved by the Ministry.

**3.10 Mode of Payment and conditions:** The grant will be paid to the Institution affiliating the scholar every six months in advance. The Institution will, in turn, make the payment to the scholar after satisfying itself about the progress in work.

**3.11** The scholar shall submit a quarterly progress report to the Ministry of Social Justice & Empowerment through the head of the institution.

**3.12** The Institution shall provide to the scholar office accommodation, including furniture, library and research facilities and messengerial services. For this, the Ministry of Social Justice & Empowerment shall pay to the institution overhead charges at 5% of the grant-in-aid sanctioned to the individual for the study. The amount of these overhead charges shall be paid after the conclusion of the study and on receipt of audited statement of accounts and utilization certificate.

**3.13** The head of the institution affiliating the scholar shall undertake to supervise / oversee the work of the scholar in terms on the sanction and ensure the successful completion of the work.

**3.14** The final report of the project will be submitted by the scholar to the Ministry in eight copies in the last month of the project period. He will also submit along with his final report, 25 copies of a short summary report not exceeding 5,000 words.

**3.15** The scholar may publish the report or a part thereof after he receives communication from the Ministry about the acceptance of the report and its clearance for publication.

## **C. GRANTS FOR WORKSHOPS/ SEMINARS/CONFERENCES**

**4.01.** Grants under this category can be made to an institution or a group of institutions for holding workshops / seminars which will help to disseminate the research findings, identify problem areas, discuss social problems and identify research needs etc. in the broad field of social welfare, social policy and social development **pertaining to Scheduled Castes, Other Backward Classes, Denotified Tribes, Nomadic and Semi-nomadic Tribes, Persons with Disabilities, senior citizens victims of drug abuse, transgenders, Beggary and any other target group of the Ministry.** The institutions will include Universities, Research Institutions, Voluntary Organisations, Professional Associations in the field of social welfare and similar organisations / agencies. Institutions set up and fully funded by the Central Government / State Governments / Public Sector Undertakings will also be eligible. The proposal for organizing Workshops/Seminars/Conference be sent in the prescribed proforma (**Annexure-I**).

Seminar/Workshop/Conference are divided into three categories, namely State Level, National Level and International Level. State level Seminar is one in which delegates and guests speakers all are from the same State where the seminar is being organized, the National seminar is the seminar where the participation of delegates and guest speakers is from at least two States/UTs. The International Seminar/Workshop/Conference means Seminar/Workshop/Conference where the participation of foreign delegates/foreign guest speaker is there and security clearance from the Ministry of Home Affairs and political clearance from the Ministry of External Affairs are submitted to the Ministry.

**4.02.** Grants for workshop / seminar will be made available through the head of the institution organizing it. **In the case of University, the proposal shall be forwarded by its Registrar and for Non-University organizations the proposals shall be recommended by the concerned department of State Government. Release of funds will be in two installments in the ratio of 75:25 basis. The second installment for the seminar/ workshop/conferences will be released on the receipt of the proceedings of the seminar/workshop/ conferences, audited statement of accounts and utilization certificate in the Ministry. The Grantee organization shall undertake such seminar/ workshop/ conference programme within 30 days of the receipt of first installment of the grant-in-aid. In case the grantee organization could not hold workshop/seminar within 30 days of the receipt of the first instalment, it will refund the entire released amount with 15% interest or as applicable from time to time. The final report of the project along with the Statement of Accounts should be submitted within 30 days of holding such seminars/workshop/conferences. In case the grantee organization could not submit the**

**final report of the proceedings of the seminar/workshop/conferences within 30 days of the holding the seminar/workshop/conferences it will be liable to refund the entire released amount with 15% interest or as applicable from time to time. The items of expenditure in respect of Lunch/ Dinner/Tea to be provided to the participants of the seminar/workshop/ conferences will be governed by the Ministry of Finance orders issued from time to time. All the items of expenditure proposed in the budget of seminar/workshop/conferences and research studies should be vouched.**

The Grants for workshop/seminar will be made available through the Head of the Institution organizing it. He will agree to:

- a. Arrange the physical facilities;
- b. Administer and manage the finances received for the purpose;
- c. Arrange ministerial and managerial assistance; and
- d. Organize the workshop/seminar.

**4.03** Proposals for organizing workshop/seminars will be self-contained and indicate;

- i. The main topic / theme of the workshop / seminar;
- ii. Significance / purpose indicating clearly the contribution, which the proposed seminar / workshop is expected to make;
- iii. Subjects / contents proposed for discussion;
- iv. Level of participants and their number;
- v. List of resource persons/guest speakers/participants and their addresses
- vi. Duration & venue;
- vii. Programme;
- viii. Cost estimates: details should be given under the following headings giving full justification for each
  - a. Traveling and daily allowance for participants
  - b. Honorarium (specifying purpose)
  - c. Stationery, cyclostyling, etc.
  - d. Contingencies including postage etc.
  - e. Publication of the seminar / workshop papers and proceedings.
  - f. Any other (specify).

**4.04** The budget for the State/National/International level workshops/seminars/ conferences should be given under the following headings giving full justification for each.

1. Travelling expenses (first class or second AC. Sleeper Class by rail) to resource persons/guest speakers (limited to 20 persons)
2. Travelling expenses to outstation participants from NGOs (II Class rail fare/bus fare)limited to 30 persons)
3. Expenditure on boarding and lodging.
4. Honorarium to guest speakers/resource persons (**@ Rs.1000/- per lecture for presenting a paper**)
5. Rent for seminar hall, mike and other arrangements.
6. Seminar material/folders/cyclostyling/photo copying charges.
7. Tea/coffee and lunch arrangements.
8. Preparation of the report containing papers presented with final recommendations.
9. Contingency (including postage, stationary, telephone charges and other unforeseen expenditure)

**4.05** The budget on the above items to be sanctioned by the Ministry will be worked out as per actual requirements and number of days of the workshop/seminar.

**4.06 Issue of grants:**

Twenty Five per cent of the total grant in aid sanctioned will be withheld and its payment made after the workshops / seminar is over and the accounts in connection with it have been finalized.

**4.07 Finalization of accounts:**

After the seminar is held, the institution will submit an audited statement of accounts with utilization certificate **in form GFR 19A** for all expenditure incurred **within 30 days**.

**4.08** Non-university organisations applying for grants should enclose the following papers:

1. Copy of registration
2. Annual report (latest)
3. Audited statement of accounts of previous year (receipts and payments statement and balance sheet)
4. Articles of Memorandum of Association.
5. List of Office Bearers.
6. Brief account of work done in Social Science research and in social development.

**4.09.** Keeping in view the limited budget provision, assistance for organising State level seminars / workshops shall be considered on a

limited scale restricting the maximum amount upto Rs.1.00 lakh and for National Seminar upto Rs.2.00 lakh subject to the condition that the topic of the proposed conference should fall under the subjects dealt by the Ministry.

**4.10.** Additional expenditure beyond the sanctioned amount should be met by the concerned institution / organisation itself.

**4.11.** Grant for workshop / seminar will be made available through the head of the institution organising it, who will agree to:

- a. Arrange the physical facilities;
- b. Administer and manage the finances received for the purpose;
- c. Arrange ministerial and managerial assistance ; and
- d. Organise the workshop / seminar.

**4.12.** Non-university organisations applying for grants should forward their proposals through the concerned Department of the State Government with Necessary recommendations. They should enclose the following documents.

1. Copy of registration
2. Annual report (latest)
3. Audited statement of accounts of two previous years (receipts and payments statement and balance sheet.)
4. Articles of Memorandum of Association
5. List of Offices bearers
6. Brief account of work done in Social Science research and in social development.

**4.13.** International workshops/seminars/conferences shall be considered for partial funding upto the maximum limit of Rs.5.00 lakhs subject to the condition that the topic of the proposed conference should fall under the subjects dealt by the Ministry. The International Seminar/Workshop/Conference means Seminar/Workshop/Conference where the participation of foreign delegates/guest speaker is ensured and security clearance from the Ministry of Home Affairs and political clearance from the Ministry of External Affairs is submitted to the Ministry.

**4.14.** The concerned institution organising the international workshop / seminars / conferences should obtain no objection / prior permission from the Ministry of Home Affairs and the Ministry of External Affairs from Security and political angles. The Ministry can consider request for grant only after necessary clearance.

**4.15.** The workshops / seminars / conferences organised at the State / national level should not be of routine nature to discuss schemes / programmes of the Ministry but to discuss the problems in its implementation and to suggest remedial action for reorientation of existing programmes with necessary recommendations.

**4.16.** No grant in aid shall be provided for discussing annual progress of activities of the institutions and on general issues.

**4.17.** The institution receiving grant in aid for the workshop / seminar / conference should not publish and the recommendations without prior permission of the Ministry reserves the first right to publish the report of the workshop / seminar / conference. If it decided to do so, the position will be communicated to the concerned institution along with the acceptance of the report



## **D. GRANTS FOR SPONSORING PUBLICATION**

**5.01. Categories of Grants:** The publication grants of the Ministry of Social Justice & Empowerment (mentioned as Ministry hereafter) fall into the following categories:

- i. Publication of studies in the field of social welfare, social policy and social development, and
- ii. Publication of documentation in the field of social welfare, social policy and social development.

**5.02. Eligibility:** An Institution or individual who has carried out a research project in the field of social welfare, social policy and social development **pertaining to Scheduled Castes, Other Backward Classes, Denotified Tribes, Nomadic and Semi-nomadic Tribes, Persons with Disabilities, senior citizens victims of drug abuse, transgenders, Beggary and any other target group of the Ministry** whether financed by the Ministry or not, may apply for a grant-in-aid to publish its report. If the proposal is approved, the Ministry may make a grant-in-aid towards the publication in accordance with the provisions of these Rules.

### **5.03. Conditions and Procedure:**

- i. The Ministry will scrutinize each proposal for publication which will be accompanied by a copy of the manuscript in such a manner as may be decided upon from time to time.
- ii. The grantee shall have to supply 25 copies of the publication free to the Ministry as specified in the sanction letter. The cost of postage, handling charges, etc. will be borne by the grantee.
- iii. The application for publication grants shall be made on the proforma prescribed by the Ministry of Social Justice & Empowerment (**Annexure-II**).
- iv. While applying for the grant, the recipients will have to give in writing that no such grant has been or is being or will be obtained from any other source.

### **5.04. General:**

- i. In all publications supported by a grant-in-aid from the Ministry, specific mention shall be made of the following points:
  - a. The publication was financially supported by the Ministry of Social Justice & Empowerment.
  - b. The responsibility for the facts stated, opinions expressed or conclusions reached is entirely that of the author and that

the Ministry of Social Justice & Empowerment accepts no responsibility or liability for them.

- c. The copy right of all publications shall vest in the author. The Ministry, however reserves the right to make use of the material in any of its publications without making any payment but with due acknowledgements.
- ii. The publisher will maintain separate accounts in respect of this grant. The accounts will remain open to inspection to the representatives of the Government of India including the Comptroller and Auditor General of India. At the end of the period, the publisher will have the accounts of this grant audited by a Government Auditor / Chartered Accountant and supply a copy of the audited accounts, together with a utilization certificate to this Ministry. Any unspent balance out of this grant will be refunded by the publisher within three months.
- v. The publisher will not be eligible for a grant-in-aid in excess of the sanctioned amount.
- vi. The Ministry will accept no responsibility for any financial expenditure or liability arising out of the publishing of the publication except what has been specially approved by it and conveyed to the publisher through the sanction letter.
- vii. The amount of grant-in-aid shall not exceed 50 per cent of the cost of production or Rs.**50,000** whichever is less.

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**GOVERNMENT OF INDIA  
MINISTRY OF SOCIAL JUSTICE AND EMPOWERMENT  
(STATISTICS DIVISION)**

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**GRANT-IN-AID RULES FOR RESEARCH AND  
PUBLICATIONS**

ASSISTANCE FOR UNDERTAKING RESEARCH STUDY, SEMINAR/  
WORKSHOP/CONFERENCE

**APPLICATION FORM**

I. Institutional Particulars

1. Name of the Organization
2. Mailing address
3. Title of the project
4.
  - a. In case the organization is established under the Act of Parliament / State Legislature, the name of the Statute, No. of Act and Year
  - b. In case the organization is established under the societies Registration Act, the Place, registration number and Date of registration.
5. If Semi- Government Organization, the name of the Government Department to which it is attached (with complete address).
6.
  - a. Whether organization has a source of income
  - b. If yes then how much per annum and from which source - give details
  - c. Whether it runs on no-profit no-loss basis
7. Brief history of the organization, its objectives and activities.
8. Whether the organization has any previous experience in the filed mentioned in item 1(3), if so, details thereof

## **II. PROJECT Outline**

1. Title of the Research Project/ Evaluation studies/Seminar/Workshop/Conferences
2. Statement of the problem with full justification for taking up the research / evaluation study/ Seminar/workshop/conference
3. A brief overview of the work already done in the area of the proposal
4. Objectives
5. Research questions or Hypothesis
6. Approach and Methodology- Universe of the study, Sampling frame, Sampling procedure, Units of observation, Sample size
7. Estimated time in which project will be completed (total project duration along with phase-wise details)
8. Cost estimate

## **III. Staffing Pattern**

1. Name of the Project Director along with his/ her bio-data

## **IV. Budget Estimate**

(Salary, travel, publication, computer facility, stationary, postage, contingency, etc.)

**Additional information, if any.**

## **VI. List of documents (copies) to be attached with each copy of application form**

1. Memorandum of Association and Rules Constitution/Certificate of Registration
2. Composition of Board of Governors/Executive or Governing Body/ Office Bearers
3. Annual Reports (last two years)
4. Audited expenditure (last two years)

(The organization will submit the project proposal as per the scheme)

To be signed by  
Project Director of the Research Project  
Head of the Institution  
(Signature)

Place:

Date:

**Proforma for application for Publication Grant:**

1. Name and address of the publisher applying for the grant.
2. Title of the proposed publication.
3. Name, designation, address of the person to be specified as 'author'
4. Details of the manuscript:
  - i. Number of double spaced fair typed pages.
  - ii. Size of the paper on which typed.
5. Cost estimates of the proposed publications as prescribed by an approved publisher:
  - i. Size in which publication is desired.
  - ii. Estimated number of pages.
  - iii. Number of copies desired.
  - iv. Quality of the paper and its total cost.
  - v. If any chart, diagram or photographs are included in the publications, their particulars.
6. Amount of grant asked for.
7. If any grant has been received or request thereof made other bodies, e.g. University, Central/State Government/local bodies quasi-Government Institutions/private institution for the purpose of publication, the decision of those bodies may be indicated in details.
8. Details of the project/study on which the proposed publication is based.
  - i. Title of the project/study.
  - ii. Main objectives of the project/study.
  - iii. Institution under whose aegis the project/study was carried out.
  - iv. Name and address of the project / study sponsoring authority with period of study.
  - v. Total cost of the project study.
  - vi. The sources and the quantum of assistance financing the project/study.
  - vii. Date of completion of project/study.
9. A brief note justifying that the proposed publication is in the field of social welfare, social policy and social development.

I undertake to abide by the Rules and Conditions of the Government of India, Ministry of Social Justice & Empowerment, governing the grant for the publication and believe, that in default thereof, the decision of the Government shall be final and binding.

(Signature)

Dated:

Name and Designation of the Officer  
signing on behalf of the Institution / author