

Integral University

Institutional Policy for Seed Grant

Regulations and Guidelines for Institutional Seed Grant to Faculty

DEFINITION: Institutional Seed Grant (ISG) has been earmarked by the Hon'ble Vice Chancellor for providing support to young faculty for the purpose as specified in the scope, and in tune with the institution's mission and goals. The ISG shall be provided through the annual budgetary allocation from the internal resources.

SANCTIONING AUTHORITY: The Vice Chancellor of the University.

SCOPE: Institutional Seed Grant (ISG) policy is intended to support faculty for developing innovative research proposals, novel ideas for new methodologies/Protocols /models /algorithms /technologies, collecting preliminary data, conducting pilot or preliminary activities, testing proof-of-concept, and Reframing/rewriting grant proposals which have not been funded by external agencies but were peer-reviewed and received comments/suggestion, besides promoting inter- and intra-departmental, intra-institutional collaborations. Research proposal should be based on defined thrust areas/local problems/areas of research with national priorities. The funds may be used for supplies, minor equipment's, travel for data collection, grant writing assistance, or other needs associated with proposal development.

RESPONSIBLE DEPARTMENT/OFFICE: Office of the Dean, Research & Development, Integral University, Lucknow

PURPOSE: Seed funding is crucial for helping faculty to start innovative research projects and collect preliminary data necessary to secure extramural funding. This investment approach can pay dividends when targeted to the project proposals with strong leads and likelihood of future success. Seed grant should be carefully distributed to The Principal Investigator (PI) in order to maximize the possibility of securing a big extra-mural funding as a major project.

ELIGIBILITY

The Institutional Seed money Grant (ISG) scheme will provide financial assistance to all regular Faculty (Associate Professor/Assistant Professors/Lecturers) as a Seed Grant for Minor Research Projects approved by expert committee duly constituted by the Vice Chancellor, following standard guidelines.

A faculty member can avail only one such research project/grant as a Principal Investigator at any given time. The ongoing project must be successfully completed before the next proposal is submitted for consideration. Principal Investigator shall be solely accountable for successful completion and /or the failure of the said project. Any violation of the prescribed norms will lead to debarring from participation in ISG Scheme in future.

RESEARCH OUTCOME (Deliverables): The Principal Investigator is required to publish at least two papers in a peer-reviewed indexed (SCI/Scopus/UGC CARE) journal and/or publish a Book/Book Chapter and also present the work in any National/International Conference/Seminar, etc. from the research work carried out in the said project before its completion. The authors must acknowledge the funding source and include University affiliation in all such publications. Besides, a major research proposal based on the preliminary data or otherwise should be submitted before the completion of the minor project for obtaining extramural funding from any National/International funding agencies.

NATURE OF ASSISTANCE:

The quantum of assistance for a research project is between 1.0 lakh to 3.0 Lakh in two installments as one-time grant for recurring/non-recurring expenses.

- (i) **Books and Journals:** The books & journals grants may be utilized to procure the essential books & journals needed for the proposed research work. The books & journals acquired by the Principal investigator under a Minor Research Project will be the institutional property and must be accessioned in Central Library and deposited back either in the central/ department library of the Integral University after the completion of the project.
- (ii) **Contingency:** The admissible contingency grant may be utilized for laboratory chemicals/glass ware/plastic wares/ minor equipments, softwares, spares for equipment's, Xerox, stationary, postage, outsourcing of experimental analysis, data analysis, computation and printing needed, etc. for the project.
- (iii) **Travel and Field Work:** The amount allocated under the head travel/field work is to be utilized for data collection and collection of other information such as documents and visit to libraries within the general scope and sphere of the ongoing project. This should not be used for attending conferences, seminars, workshops and training courses etc. The PIs & Co-PIs can also avail special casual leave/duty leave for field work/collection of data or other related work outside the campus as per University rules.
- (iv) **Re-Appropriation:** The Principal Investigator may apply for re-appropriation of maximum 20 per cent of the grant allocated under each head with proper justification for approval of the Finance Department on recommendation of Dean, Research & Development.
- (v) **Duration of Project:** The tenure of the research project will be for a period of two-Year from the date of issue of the sanction letter.

Extension of time limit for report submission: No extension in tenure is admissible under normal conditions. However, in exceptional case of a delay in submission of the Final Report within the prescribed time limit the PI is required to seek permission in writing for extension of time with proper reasons from the Dean, Research & Development. The maximum period of extension shall not be more than three (03) months with no financial implications.

PROCEDURE FOR APPLYING: All eligible Faculty may submit their Minor Research Proposal applications for Seed grant on or before 1st January every Year on the prescribed proforma (Annexure-1 &2) in the Office of the Dean, Research & Development, Integral University, Lucknow for preliminary Screening and processing for internal peer review through a duly constituted expert committee with nominated subject experts (external/Internal) on board.

A committee of following members will scrutinize and evaluate the new projects and send recommendation to Hon'ble Vice Chancellor, and also assess the progress of the ongoing projects based on the six monthly and annual progress reports periodically (on last Saturday of June/July, and January/February or as and when required) –

- 1) Pro-Vice Chancellor or Nominee of Vice Chancellor
- 2) Dean, Research & Development
- 3) Dean, Faculty concerned
- 4) Director, IQAC
- 5) HoD of concerned Department
- 6) One external subject expert (to be nominated by Vice Chancellor)

PROCEDURE FOR APPROVAL: The duly endorsed project assessment report and quantum of funding along with recommendations of the Committee shall be submitted to the Vice Chancellors for administrative approval. The Finance Department shall then process the file for allocation of funds as per budgetary provisions. The Sanction letter shall be issued for approved research proposals for seed grant to concerned PIs from the office of the Finance Officer after obtaining financial sanction from the competent authority in due course of time and maintain all records for audit purpose.

The list of selected Minor Research projects for Seed Grant shall be uploaded at the University website. The Principal Investigators are essentially required to send their acceptance certificate duly forwarded by the concerned HoD for further action.

The Project shall be not transferable in any case, and if the Principal Investigator fails to complete the project due to his negligence, he/she will be liable to refund the entire amount released.

PROCEDURE FOR RELEASE OF GRANTS: The Principal Investigator can apply for advance for the first installment of the grant, which shall comprise of 50% of the approved grant for utilization in Year-1 of the project. The PI has to submit six monthly progress report and Annual Progress Report duly counter-signed by the concerned HoD along with the Utilization Certificate & Expenditure Statement. The 40% grant shall be released in Year-2 subject to timely submission

of the Utilization Certificate & Expenditure statement for Year-I. Remaining 10% will be released on receipt of following completion documents as final reimbursement.

- (i) Hard and soft Copies of the final report of project along with deliverables in form of Publications,
- (ii) Consolidated item-wise detailed statement of expenditure incurred and Utilization Certificate for the complete project period on the prescribed proforma duly signed by PI and counter-signed by concerned HoD,
- (iii) The un-utilized grant, if any, may be refunded immediately through draft/electronic transfer to the official A/c of the University.
- (iv) The executive summary of the report and the research documents in the form of Publications, patents, monograph, or any other academic/research accomplishment as an outcome of the Minor Research Project/Seed Grant be uploaded on the relevant portal at the official website of the University.
- (v) The balance grant, if any, not claimed before the date of completion of the project will be treated as lapsed and no representation shall be entertained thereafter.
- (vi) In case of any misappropriation of funds strict action shall be initiated and if proven guilty, the entire amount released as Seed Grant shall be recovered.
- (vii) In case of any doubt and dispute out of the policy, the final deciding authority will be Vice Chancellor.

Annexure I

Format for Seed Money/Application for Minor Research Proposal

PART-1

1. Name & Designation of the Faculty Member as PI:
2. Sex (M/F) :
3. Date of Birth:
4. Qualification and Designation:
5. Address i. Office:
6. Residence:
7. Email/Phone:
8. Name & Designation of Co- PI:
9. Name of the collaborating Department/Institution/ organization:
10. Private/Govt Organization/ Industry:
11. Broad Subject:
12. Area of Specialization:
13. Duration:
14. Teaching and Research Experience of Principal investigator
15. Teaching experience: UG -----Years; PG----- Years
16. Research experience (years)
17. Publication: Papers Published;
18. Accepted:
19. Communicated:
20. Books Published:
21. Accepted:
22. Communicated: (Please enclose the list of papers and books published and/or accepted during last five years)

PART - II

Proposed Research Work

- i. Title of the Project
- ii. Origin of Problem (200 words)
- iii. Review of Literature (1500-2000 words)
- iv. Objectives (3 - 4)
- v. Methodology/Work Component (1000 words)
- vi. Expected outcome and Deliverables
- vii. Budgetary Component
(Provide year-wise & item-wise breakup)
 - i. Contingency (for recurring expenses, as specified)
 - ii. Minor Equipment (Non-recurring, if essentially needed)
 - iii. Hiring Services (for Field Work)
 - iv. Travel (for Data Collection)

Declaration:

1. The above project proposal is not submitted to or funded by any other agency.
2. General facilities such as furniture, laboratory space, access to internet, etc. are available in the Department. Other facilities such as library, experimental field and CIF and workshop facilities, etc. available within the University shall be accessible and shared.
3. I/we shall abide by the rules and regulations governing the seed grant/minor research project, in case the financial assistance is provided.
4. The project shall be completed within stipulated period. If unable to do so, and if the University is not satisfied with the progress of the research work, the project may be terminated.

Signature:

Name of Faculty member
(Principal Investigator)

Head of the Department:
(Seal)

Annexure II

Acceptance Certificate for Seed Grant/Research project

Name of Principal Investigator: Name of Co-

PI/Co-I:

Project submission/Sanction No. ----- dated ----- Title of
the project:

Terms & Conditions

1. The research project is not being supported by any other funding agency.
2. The terms and conditions related to the grant are acceptable to Principal Investigator and the Department concerned.
3. There will be no copyright violation and Conflict of Interest.
4. All publication will have Integral University affiliation and University reserves the right for Intellectual property.
5. The date of Implementation of the Project is -----

Principal Investigator (Name &
Signature):

Head of the Department (Seal):