

**SCHEME OF ASSISTANCE BY NIEPA FOR STUDIES IN THE AREA OF EDUCATIONAL
PLANNING AND ADMINISTRATION*
(BY INDIVIDUAL RESEARCHERS)**

1.0 OBJECTIVE

One of the main objectives of NIEPA is to undertake, aid, promote and coordinate research in various aspects of educational planning and administration including comparative studies in planning techniques and administrative procedures in different states of India and in other countries of the World. In pursuance of the above objectives, NIEPA proposes to assist other organisations, universities, institutions and experts in undertaking educational research. The emphasis of such studies will be on problems which have direct bearing on policy, planning and management of educational system.

The procedure details for assistance under the said scheme are as under:

2.0 ELIGIBILITY

2.1 The following categories of Institutions/Universities/Organisations and individuals will be eligible to receive financial assistance under the scheme:

- Universities including deemed universities and institutions of National importance and their departments;
- Institutions of higher learning;
- Institutes of management;
- Post-graduate academic and professional/research institutions of repute and Teachers Training Institutions affiliated to universities or otherwise set up and recognised by the Central or State Governments;
- State Council of Educational Research and Training and State Institutes of Education, SIEMATs;
- State Boards of Secondary Education/Technical Education, Central Board of Secondary Education;
- Association of Indian Universities, Council of Boards of Secondary Education and similar organisations;

2.2 Autonomous institutions/organisations, to be eligible to seek assistance under this scheme, must be non-profit making and be set up either under a Statute of the Central or State Legislature or registered under the Societies Registration Act, 1860. In the case of voluntary organisations registered under the Societies Registration Act, 1860, they should have been functioning for a period not less than three years on the date of applying for assistance.

2.3 NIEPA will from time to time circulate a list of general areas for study and specific topics of research/investigation for which they will receive proposals under this

*This Scheme is not for NGOs

scheme (will be attached with the scheme). Institutions, organisations and individuals will also be free to suggest additional topics which in their opinion will satisfy the main objective of the scheme; these would, however, be subject to the approval of NIEPA. Proposal for short duration studies designed for a quick feedback will be preferred.

N.B. Persons in service at NIEPA will not be eligible for this scheme, however, retired NIEPA faculty can avail this scheme.

2.4 Persons who served as Academic Faculty in Universities/Colleges are eligible for the Scheme.

2.5 Age upto 75 years can be eligible in a project under this scheme.

2.6 Ordinarily, not more than one research study shall be sanctioned to an organization/individual at a time.

2.7 Ordinarily the duration of research would be 12-24 months.

3.0 Assistance given by NIEPA will be institution based and released to the Head of the Institution/Organisation. However, in projects involving creativity, assistance could be given directly to a really bright individual researcher as a special case. The Project Director has to work in an honorary capacity. He can draw TA/DA and outstation expenses but not any honorarium. Staff appointed for a study is deemed to be employees of the institution/organisation; their scale of pay consolidated salary, TA/DA etc. should be as admissible under the rules of the institution/organisation. However, in exceptional cases, if so recommended by the Screening Committee, even individuals who could conduct specific studies by themselves, could be entitled for NIEPA assistance, which may include a small component for their remuneration. Normally preference will be given to the individuals who are serving in any of the Universities/Institutions/Organisations.

4.0 Any institution/organisation/individual eligible and desirous of undertaking studies under this scheme will apply to NIEPA in the prescribed form (Appended) alongwith an outline of the proposed study in accordance with the following guidelines;

- (i) Title of the Project (tentative).
- (ii) Statement of the problem and justification: A precise identification of the problem and relevance to an Action Programme. A statement in concrete terms as to how the results of the study will be relevant to improvement in formulation and implementation of an educational policy, plan or programme.
- (iii) A Brief Overview of Work Already Done in the Area of the Proposal; A note summarising the current status of research in the area, including the major findings should be included in the project proposal. The project proposal should clearly demonstrate the relevance or insufficiency of the findings or approaches for the investigation of the problem at hand.

- (iv) Objectives/Research Questions/Hypotheses.
- (v) Approach and Methodology: The extent to which the study is reflective or empirical; whether it is intended to collect primary data and if so, based on a sample survey or a case study; relevant sources of necessary data if the use of available data is envisaged.
- (vi) Coverage: In the light of the questions raised or the hypothesis proposed to be tested, full information on the following should be given:
 1. Universe of the 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 types of sample will also be necessary. Proposals not requiring a sample selection should specify their strategy appropriately and describe the rationale.

- (i) Implications of the study.
- (ii) References: the proposal should include a 'List of References' mentioned in the text along with other important recent additions to the literature on the theme. The references should indicate the author, title, publisher and year of publication.
- (iii) Budget: Financial requirements broken down under different items of salary for staff, T.A. stationery/printing of forms, computation and contingencies. No amount should be provided for publication of the report.
- (iv) Seminars/Workshops: The proposal should also mention about the seminars/workshops, if any, to be conducted in connection with the research study for purposes of generating new knowledge or developing instrument as a part of the design of the study or considering the draft of the design of the study or considering the draft of design of the study or considering the draft of the report of the study before its finalisation.
- (v) Project Duration: Time required for completing the study and submission of the report, period envisaged for preparation, field study/collection of data and drafting of the report.
- (vi) Staffing Pattern: The number and types of supporting staff, the period for which required and consolidated salary they will draw per month.
- (vii) Institute's Contribution for Undertaking Research: The extent of contribution proposed by the Institute/organisation towards the cost of undertaking the study.
- (viii) Bio-data of Staff: Sufficient information about the academic qualifications and research experience of the Project Director and the senior staff to be associated with the study.

Note: The prescribed format would not apply to projects of historical and comparative study in which case relevant information in detail be given.

Note 2: All proposals may be submitted in double spaced typed 12 font sized in Time New Roman in word file. The approximate length of the proposlas should not be more than 20-25 A-4 size sheet.

5.0 MODE OF SELECTION

- 5.1. The selection of a candidate as above specified research personal Project Assistant may be made by an open selection and by a duly constituted Selection Committee.
- 5.2. The constitution of the Selection Committee will be as under:
 - 5.2.1. Head of the concern Institution/Organisation or his/her nominee will act as Chairperson
 - 5.2.2. Two Subject Expert (External) (from the institute other than NIEPA/Research Institution/Organisation).
 - 5.2.3. Principal Investigator/Project Director

Note: Consolidated salaries for Project Staff/Individual researcher other than the Project/Research Director as per the prevalent rules of the organization/university/institution can be paid.

6.0 It is expected that the participating institution/organisation/individual researcher (s) will provide on its/their own the physical facilities necessary for the project and also meet a part of the cost of the study. The actual quantum of such contribution and NIEPA assistance under the scheme would be decided by NIEPA in each case based on the merits of the proposals received. Normally assistance to a single study will range between 5 to 20 Lakhs but not more than 20 lakhs in any cases, greater assistance could be provided in long term study projects and otherwise deserving proposals. NIEPA will release its assistance in suitable instalments on receiving progress reports and expenditure statements in prescribed form.

7.0 SECURITY AND SANCTION

Receive in such manner as may be decided from time to time.

1. NIEPA will scrutinize every research project
2. NIEPA may call for clarifications or suggest modifications in the projects submitted.
3. If it is found that some seed money is needed to have the project formulated properly, the Institute may sanction a grant ordinarily not exceeding ₹ 10,000/-for this purpose.
4. NIEPA may come to the conclusion that for a given project it may be desirable to take up a pilot study in the first instance. In that case an appropriate grant will be sanctioned for such study. The proposal for the main project will be examined in the

light of the finding of the pilot study.

5. If the project satisfies the criteria laid down from time to time, NIEPA may sanction a grant-in-aid in its support.

NIEPA will issue a sanction letter in respect of every approved project. The letter will be accompanied by a copy of the research project and the budget approved by NIEPA. No change shall be made in any of the conditions laid down in the sanction letter without the prior approval of NIEPA.

8.0 PROCEDURE FOR RELEASE OF GRANTS

The grants of NIEPA will be released in quarterly/six monthly instalments; the quantum on each instalment being determined in the light of the estimates of expenditure for the ensuing quarter/six months furnished by the Project Director.

INSTALMENTS

- 8.1. The first instalment of the grant shall comprise 50% of the total approved grant by NIEPA for total duration of the Project.

- 8.1.1. The grant will be released to the Registrar of University/Dean or Director of the Institution concerned in different disciplines as a block grant by NIEPA Head, Office, New Delhi.

The first instalment will be released on receipt of:

- (i) Four copies of an abstract of the approved research project in about 150—200 words,
- (ii) Likely date of the commencement of the project.
- (iii) Estimated requirements of the project for the first quarter/six months separately with justification.

- 8.1.2. The Second and third instalment will 20% each of the total recurring allocation would be released on utilization of at least 80% of the earlier and on receipt of progress report, utilization certificate and item-wise statement of expenditure duly certified by the Registrar/Principal/Head of the University/Institute/Organization in case of employed persons and directly in case of other categories.

- 8.1.3. Ten per cent of the total grant-in-aid shall ordinarily be with held and paid as the last instalment only after:

- i. Three copies of the final report of the research project are received by NIEPA,
- ii. A summary in triplicate of the project report in 2,000-5,000 words for publication in NIEPA's Research Abstracts Quarterly is received,
- iii. The audited statement of accounts for all expenditure incurred,

together with an utilisation certificate for the entire amount of the sanctioned grant is received and found to be in order. In the case of an individual who is not serving in any organisation, accounts will be got audited from a Chartered Accountant.

- iv. A statement of equipment/fixed assets purchased out of the grant-in-aid has been received.
- v. Such data or information relating to the project as may be asked for by NIEPA is received.

9.0 ADDITIONAL FUNDS

The institution shall not be entitled to a grant-in excess of the sanctioned amount, unless specific prior approval of NIEPA to that effect has been obtained.

NIEPA shall accept no responsibility for any financial expenditure or liability arising out of the project except that has been specifically approved by it and conveyed to the institution through the sanction letter.

10.0 REAPPROPRIATION

(1) The institution may re-appropriate expenditure from one sanctioned sub-head to another of the same project subject to a maximum of 10 per cent in either case, all such re-appropriations should be reported to NIEPA.

(2) Proposals for re-appropriations, which exceed 10 per cent of the amount sanctioned for any item, shall require the prior approval of NIEPA.

11.0 PROGRESS REPORTS

The Project Director will submit to NIEPA, progress reports of the project along with certified statement of expenditure actually incurred and an estimate of expenditure for next quarter in the prescribed form. The statement of expenditure should be submitted quarterly, when a grant is being released in quarterly instalments. The release of subsequent instalments will be subject to satisfactory progress of the project. Quarterly progress reports should be sent to NIEPA on regular basis.

12.0 CHANGE IN APPROVED PROJECT

The Project Director shall report to NIEPA every change he makes in the research design. No major change shall be made therein without the prior approval of NIEPA.

13.0 EXTENSION

On a request from the Project Director, NIEPA may grant extension of time to complete the project. Such extension shall ordinarily be subject to the condition that no additional grant-

in-aid will be involved.

14.0 TERMINATION OF GRANTS

If NIEPA 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 for the project.

15.0 FINAL REPORT

- 15.1 The final report of the project should be submitted by the Project Director to NIEPA in triplicate on the completion of the project period and ordinarily not later than three months thereafter. The final report should be comprehensive enough to be published as a book/monograph or series of papers of learned journals.
- 15.2 While the format of the Final Report is best left to the judgment of the Project Director, NIEPA would appreciate if the following aspects could be especially brought out:
 - (a) The research design; the selection of the universe and the units for study, criteria that governed the selection of the universe; size and type of samples; deviations, if any, from the original approved sample size and reasons for the same. (This aspect could be in the main body of the report or in appendix);
 - (b) Implications for further research; and
 - (c) Implications for Policy: These should be spelt out clearly and adequately so that these could be brought to the notice of relevant governmental bodies and/or other concerned authorities.
- 15.3 NIEPA may, after scrutiny of final report, request the Project Director to revise the report. It shall be the responsibility of the Project Director to revise the report on the broad lines indicated and to re-submit it within three months. Ordinarily, no further grant over and above the sanctioned grant will be given for this purpose.
- 15.4 The Project report cannot be submitted for the award of any university degree or diploma by any member of the project staff, including the Project Director. NIEPA will, however, have no objection if any member of the project staff utilizes the project data for this purpose, with due acknowledgement.

16.0 PUBLICATION OF THE REPORT

- 16.1 NIEPA will have first option of publishing the final research report of a sanctioned project. If it decides to publish it, the decision will be communicated to the investigator.
- 16.2 No royalty will be paid to the investigator for any report published by NIEPA.

- 16.3 When it is thought that the report is suitable for publication with or without modification and NIEPA does not want to publish, this will be communicated to the investigator. The investigator will then be free to publish the report (after carrying out modifications, if any) provided due acknowledgement is made of NIEPA's contribution and two copies of the publication are sent to NIEPA.
- 16.4 Ordinarily, in the case of those research reports which NIEPA will not publish, no grants will be given separately to the investigator towards its publication costs.
- 16.5 In exceptional cases, NIEPA may sanction 75 per cent of the cost of publication or ₹ 5,000/-, whichever is less, for the reports referred to in para 16.4. In such cases 25 copies of the printed report will have to be given to NIEPA as complimentary copies.
- 16.6 In all publications arising out of a project, the following statement has to be made :
"The project on which the present-report is based was supported financially by the National Institute of Educational Planning and Administration. However, the responsibility for the facts stated herein, the opinions and views expressed and the conclusions drawn is entirely that of the investigator and not of NIEPA".
- 16.7 The copyright for the publication of the research report and of the papers arising out of the project shall vest in NIEPA.
- 16.8 All data collected in project should be preserved for at least five years after the completion of the project, and should be destroyed there-after only with the permission of the investigator and NIEPA. It will be the responsibility of the investigator and the institution where the work is done to make suitable arrangements for the preservation of the data.
- 16.9 Data should be made available on demand from NIEPA, for the use of the other

17.0 FINALIZATION OF ACCOUNTS

- 17.1 Separate account will be kept of the project receipts and expenses even though some of the items of expenditure may be common with that incurred by the Institution/organization on other activities.
- 17.2 On completion of the project or annually (whichever is earlier) the institution should submit an audited statement of accounts with a utilization certificate for the expenditure incurred on the project during the period. The arrangement of audit of the accounts of the project shall be the same as that in the institution concerned or the audit shall be done by a Chartered Accountant approved by the institution. The account of audit fee paid, if any shall not be charged on the

project.

Pending submission or audited accounts, a statement of accounts and utilization certificate certified by the Finance Officer of the institution concerned should be submitted.

- 17.3 The institution shall also submit to NIEPA a statement showing the equipment, fixed assets purchased out of the grant-in-aid with its price, alongwith the audited statement of accounts. For the purpose of this rule, equipment/fixed assets shall main items costing ₹ 150/-or more.
- 17.4 Equipment/fixed assets purchased out of the grant-in-aid shall be the property of NIEPA which shall decide about its disposal or utilisation on the completion of the project.
- 17.5 All books and periodicals purchased for the project shall be transferred, on its completion, to the library of the institution in which the project is located and a certificate to the effect sent to NIEPA.

18.0 OTHER CONDITIONS

- 18.1 The grantee shall be liable to refund the entire grant amount together with damages at the rate of 10% p.a. interest thereon for any violation of the terms and conditions mentioned in the Scheme/NIEPA sanction, from the date of encashment of the cheque/bank draft of the amounts sanctioned for the project.

Provided that NIEPA in its discretion may relax the date for the purpose of calculation of interest to provide for such interest to be charged from a subsequent date.

- 18.2 The decision of the Vice-Chancellor, NIEPA on the question whether there has been breach or violation of any of the terms and conditions mentioned herein as well as in the sanction letters shall be final and binding on the grantee.
- 18.3 In the case of individuals, before a grant is released, the grantee is required to execute a bond with two sureties to NIEPA that he will abide by the conditions of the grant by the target dates, if any specified therein, and in the event of his failure to comply with the conditions or committing breach of the bond, the grantee and the sureties individually and jointly will be liable to refund to the Vice-Chancellor, NIEPA the entire amount of the grant with interest thereon on the sum specified under the bond.
- 18.4 In the case of individuals, the grants are to be released in instalments in such a manner that not more than 25% of the remuneration to the individual would be released before the completion of the manuscript/report and its submission to NIEPA.

18.5 NIEPA reserves the right not to accept any proposal/request under this Scheme without giving any reasons for the same.