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10.5 NITI Aayog, if desired, may carry out site visit for review of field survey/work being carried out by the grantee for the study. Officials from Research Division and SVs shall be deputed to make field visit for monitoring and verifying the genuineness of the study or respondents.

**10.6 Time line of the study are as follows:**

(i) The research personnel shall be in position to commence research work from the date of issuing of letter of approval by NITI Aayog. The Date of release of 1<sup>st</sup> installment is the starting date of the study.

(ii) Duration of the study: The exact period of study would be indicated in RfP/LoA

(iii) Submission of 1<sup>st</sup> draft report containing objectives with chapterisation, literature review on the subject, Methodology, selection of study area and preliminary findings: On completion of 4 months from date of release of 1<sup>st</sup> installment

(iv) Submission of final draft report: before 01 month of the total duration of the study.

(v) Submission of final project completion report of the study: Within 02 months after the date of completion of study thereby incorporating the comments of NITI Aayog or administrative Ministry if any, while finalizing the report.

*The timelines indicated above are tentative and can vary depending upon the requirements of the specific study.*

## **11 SPECIFIC CONDITIONS REGARDING RESEARCH STUDIES:**

11.1 **Dissemination & follow up action on completed research work:** The financial support under the Scheme provided by NITI Aayog shall be duly acknowledged on all document produced whether or not circulated widely; and the disclaimer as indicated below shall be prominently displayed on such a documents.

**“DISCLAIMER** *The Institution [name to be mentioned] has received the grants-in-aid under the Research Scheme of NITI Aayog (RSNA) to produce this document. However, NITI Aayog shall not be held responsible for findings or opinions expressed in the document prepared. This responsibility rests with the Institution/organisation.”* [name to be mentioned]

11.2 If there is any specific requirement of NITI Aayog as regards such as acknowledgement in a particular manner, then the same would be mentioned in the terms and conditions and, once the same is accepted by the grantee Institution/Organisation, they would have to abide by that.

11.3 **Copy Right:** NITI would have the intellectual property rights for all the research studies outsourced. Prior permission of NITI would be necessary before such studies could be publicized by the organisations/ individuals concerned. The soft copy of this study shall be put up in the official website of NITI Aayog for wider circulation. The NITI Aayog may grant permission for publication only after 6 months of submission of the Final

Report of the assigned study. Request for any financial assistance for bringing out such publication under the RSNA will not be entertained.

- 11.4 **Rejection of All Proposals, and re-invitation:** The competent authority of NITI Aayog reserves the right to reject and re-invite all the proposals. However, such rejections should be well considered and normally be in cases where all the bids are either substantially in deviation to the RfP or considered unreasonably high in cost.
- 11.5 The name of the Project Director or Principal Investigator of the research study, funded under the RSNA, will be specified in the Letter of Approval (LoA).
- 11.6 The Institution will be required to submit a certificate from the Project Director/Principal Investigator of the project to the effect that the expenditure has been incurred in accordance with the conditions specified in the RfP/scheme guideline.
- 11.7 The persons employed in the research study project will be treated as the employees of the grantee organization only. The conditions of their service will be governed in accordance with the rules and order of that Institution as applicable to such personnel. With regard to travelling and daily allowance, the scale appropriate to the respective classes of employees of the above named institution will be applicable to them. Foreign travel is not allowed unless this is considered necessary in terms of objectives of the study and the same is duly approved in writing by NITI Aayog.
- 11.8 The Institution shall provide permanent infrastructure facilities, viz., accommodation, furniture, research facilities, library, laboratory, equipment, secretarial & managerial staff and material required for the project for which a budget provision may be made by the Institution under "Overheads". There shall be a contingency grants of 3% of the proposed budget for meeting expenses other than those clearly specified.
- 11.9 **Adherence to Timelines:** The assignment should be completed within the time line stipulated in para 10.4. The delay in submission of the final report beyond the stipulated time will attract penalty as per the penal provisions of the bond executed by the grantee. The penalty, for delay in submission of the final report, will be deducted from the last instalment as per the provisions of the GFR and RSNA.
- 11.10 **Termination:** NITI Aayog may terminate this contract in whole or in part, upon thirty-day' notice, in writing, to the assigned institution. The initiation of arbitration proceedings in accordance with "settlement of disputes" stated below shall not be deemed a termination of this contract. In the event of any termination by the NITI Aayog, no payment shall be due to the agency except for work and services satisfactorily performed in conformity with the terms and conditions of the contract. The agency shall take immediate steps to terminate the work and services in a prompt and orderly manner and to minimize losses and further expenditures. Should the agency be adjudged bankrupt, or be liquidated or become insolvent, or should the agency make an assignment for the benefit of its creditors, or should a receiver be appointed on account of the insolvency of the agency, the NITI Aayog may, without prejudice to any other right or remedy it may have, terminate this contract forthwith. The agency shall immediately inform the NITI Aayog of the occurrence of any of the above events.
- 11.11 NITI Aayog may modify the ToR (as given in RfP) and other terms and conditions of the assignment during the research study period, if necessary, in order to widen its scope/

coverage without any escalation in cost of the study. This may be done with mutual consent with the grantee organization.

11.12 The Institution or the Project Director (PD) /Principal investigator (PI) shall not share the data collected for the research study with any other person/organisation without the prior approval of the NITI Aayog. The research study shall not be used by the PD/PI or his associates for the preparation of any doctoral thesis/dissertation or for other degrees/diplomas without the prior approval of the NITI Aayog.

11.13 The Institution or the PD/PI shall make suitable arrangements for the safe custody of raw data such as filled schedules, tabulation or working sheets, tapes, CD/softcopies, manuscripts of the reports, etc. relating to the research work for a period of **three** years after completion of the research study. The NITI Aayog may ask for perusal/review of raw or processed data at any time.

11.14 If the PD/PI associated with the project leaves the Institution/Organisation at any stage after commencement of the study, the project may be continued by appointing a new PD/PI by the institute. The same shall be intimated to NITI Aayog (within 15 days after leaving of PD) without causing any hindrance in the progress of the study. Thereafter, if the progress of the work of the study is not found satisfactory by NITI Aayog, the study may be discontinued and the amount released till date shall be recovered from the Institution/Organisation along with the penal interest as per the provision of Bond executed.

11.15 The concerned institution/organization will have to bear all responsibilities regarding any discrepancy and irregularity in the studies undertaken with funding from the NITI Aayog.

11.16 These guidelines will come into effect from the date of the issue of the circular. Studies which were sanctioned earlier would continue to be governed by the guidelines prevailing at the time of issue of RfP of that study.

## **12 GRANTS-IN-AID FOR SEMINARS/ WORKSHOPS/ CONFERENCE**

12.1 Only International/National level Seminars/Workshops/Conference shall be considered for grants-in-aid under the RSNA with the objectives, viz., (i) to stimulate an informed discussion or debate on research themes/topics essential for overall development of the country and welfare policies of Govt of India with active partnership of NITI Aayog, (ii) to interact with renowned experts in the relevant field for the policy implementation, (iii) to identify the problem areas and discuss the issues as per the objectives of the NITI Aayog.

12.2 **Seminar Evaluation Committee (SEC):** There shall be a Seminar Evaluation Committee (SEC) comprising of Principal Adviser/Additional Secretary/Senior Adviser as Chairman, Adviser (Research) and Adviser (SV/D) as members. The SEC will examine the technical and financial cost of the proposal and shall make a suitable recommendation.

12.3 **Proposals by Invitation:** Advisers-in-Charge of SV/Ds may propose to invite proposals on research themes/topics on which Seminars/Workshops/Conference need to be supported under this Scheme. However, if some such proposal is to be invited, the concerned SV/D would request the Research Division. Then the Research Division would place an advertisement in the form of EoI on the web-site of the NITI Aayog or central public procurement website, after obtaining approval of CEO-NITI Aayog.

(i) On receiving the EoIs in the prescribed format as given in Annexure-4 of this guideline, the eligible ones will be duly short-listed and then bids would be invited from

those short-listed eligible institutions/organizations for holding the Seminars/Workshops /Conference.

(ii) Once the bids are received, a suitable recommendation would be made as regards the seminar/workshop/conference proposal in question by Seminar Evaluation Committee (SEC).

12.4 **Other Proposals:** Proposals submitted *suo moto* by Institutions/Organisations are termed as **Other Proposals**. These proposals should be submitted directly to Senior Adviser/ Adviser (Research Division) in the proforma given in Annexure-4 and 5.

12.5 **Specific Criteria for National level Seminar/Workshops/ Conference:**

12.5.1 National Seminars/Conferences/Workshops would be the events for which there is a requirement of (i) confirmation of participation by key participants/scholars presenting their papers or lectures and (ii) 25% key participants presenting papers who shall come from outside the state in which the event would be held.

12.5.2 Proposals for National Seminars/Workshops/conference must be submitted strictly in the format as per Annexure-4 preferably six weeks before the date of event for consideration of grants-in-aid under the RSNA.

12.5.3 The grant shall include (i) honorarium to the experts presenting the papers at the rate as specified by the University Grants Commission (UGC) from time to time (currently it is Rs. 1000/-) (ii) boarding/lodging to the key participants/ experts presenting the papers as per the eligibility and rules of the Government of India subject to not more than Rs.4,000 per person, (iii) working lunch for the participants (iv) Travelling Expenditure (Actual) for the key participants/experts presenting the papers limited to Economy class Airfare or AC -III tier for domestic travel only and local transportation for participants limited to Rs.150/- per person per day (v) Seminar Materials such as invitation cards, banner, advertisement, handouts, stationery, etc., will be at the rate of Rs.300/- per participant, (vi) overhead cost up to 7% & 3% of contingency cost of the total Budget A (as per Annexure-6). Separate ceilings are also prescribed for honorarium (5% of total budget), boarding & lodging (25%), travel & transportation (30%), working lunch (10%), seminar material (10%), overhead cost (7%) and contingencies (3%) and Rent for venue (10%) which would need to be adhered to.

12.5.4 The organization is required to furnish the Final Schedule, venue of the Seminar, the list of confirmed key participants including the 25% from outside the state and formal Invitation to NITI Aayog for attending the seminar. All these documents are required to be submitted to NITI Aayog before organizing the event.

12.6 **Specific Criteria for International level Seminar/Workshops/ Conference:**

12.6.1 **International conference/seminar/workshop:** The proposal, which are accompanied by authentic document of acceptance or confirmation of participation by key participants along with the subject matter of their research papers or lectures to be presented in the event. There shall be at least 5 key persons/participants from abroad for presenting the research papers.

12.6.2 The proposals for hosting of international conference/seminar/workshop etc. should be submitted by the organisers as per Annexure- 5 after getting clearance from (i) the Cabinet Secretary, (ii) the Ministry of External Affairs (MEA) from political angle and (iii) Ministry of Home Affairs (MHA) from security angle, before submitting the proposals to NITI



Aayog. All preparations for holding the event and other formalities should be completed sufficiently in advance to avoid any last minute hitch and embarrassment. Priority will be given to those conferences that arise out of international agreements/ obligations.

12.6.3 The grant shall include (i) honorarium to the experts presenting the papers at the rate as specified by the UGC from time to time (currently it is Rs. 1000) (ii) boarding/lodging to the key participants/ experts presenting the papers as per the eligibility and rules of the Government of India subject to not more than Rs.4,000 per person for the event, (iii) working lunch for the participants (iv) Travelling Expenditure (Actual) for the key participants/experts presenting the papers limited to Economy class Airfare or and local transportation for participants limited to Rs.150/- per person per day. (v) Seminar Materials such as invitation cards, banner, advertisement, handouts, stationery, etc., will be at the rate of Rs. 300/- per participant, (vi) overhead cost (as per Annexure-6). Separate ceilings are also prescribed for honorarium (5% of total budget), boarding & lodging (25%), travel & transportation (30%), working lunch (10%), seminar material (10%), overhead cost (7%) and contingencies (3%) and Rent for venue (10%) which would need to be adhered to.

12.6.4 For the reimbursement of approved amount for International Seminars, the organisers are supposed to submit the proof of participation of foreign delegates such as photocopy of passport, visa and air tickets and boarding pass of all key participants. In this case the provision of OM No. 19(9)/E.coord/2012 dated 12.07.12 of DOE/MoF will also be applicable.

### **13 PROCESSING OF SEMINAR/WORKSHOP/CONFERENCE PROPOSALS:**

13.1 All proposals of Seminars/Workshops/conference received by the NITI Aayog shall be initially processed by the Research Division with the approval of Adviser-in-charge in accordance with these guidelines. Research Division shall obtain concurrence of concerned SV/Ds before processing the case.

13.2 The proposals shall be submitted to SEC for recommendation and examination of the technical and financial cost of the event. After this it will be submitted for concurrence of the FA and approval of the CEO, NITI Aayog.

13.3 The Research Division shall, thereafter, issue a detailed Letter of Approval (LoA) specifying the terms and conditions for acceptance by the Institute which is organising the Seminar/ Workshop/ Conference.

13.4 After receiving the LoA and the acceptance of Terms and Conditions, the Head of the Institution/ Registrar (if university/deemed university) shall execute the Bond on Non-Judicial Stamp Paper of Rs.10/- (as given in Annexure-7) and shall authenticate on each page.

13.5 The release of the approved amount or the actual net expenditure incurred, whichever is less, would be made in one lump-sum installment only on re-imburement basis. In other words, the lump-sum amount will be released after the event is over and all necessary supporting documents/vouchers are duly submitted to the NITI Aayog.

13.6 **Financial ceiling:** The Grants-in-aid limit for organising the International/ National Level Seminar/Conferences /Workshops shall be maximum of **Rs. Five lakhs.**

**13.7 Disbursement of grants-in-aid:** Grants-in-aid for Seminar / Workshop shall be disbursed in the following manner as under:-

<p><b>Sole Installment (After the event is held)</b></p>	<p><b>Sanctioned Amount:</b> Minimum of the sanctioned amount limited to the actual net expenditure and subject to individual ceilings under each head of expenditure.</p>	<p><b>Stage:</b> After receipt of all the documents including (i) Three copies of proceedings of the Seminar/ Workshop/Conference, (ii) One set of papers selected for presentation in the event (iii) CD-containing complete proceedings of seminar, (iv) UC<sup>4</sup> for the full amount approved or the actual expenditure incurred on the seminar/workshop/conference, (v) proof of minimum 25% of key participants attending the event from outside the state in case of national seminar and proof of 5 key participants from abroad for presenting the research papers in case of international seminar (vi) duly certified statement of expenditure on Seminar by the head of the Institution/Registrar (university/deemed university) along with all necessary supporting documents/vouchers and (vii) Proof of bearing 10% of the expenditure of the seminar by the organization.</p>
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**14 Specific Conditions for International/National level Seminar/Workshops/ Conference:**

14.1 During a particular financial year, only one proposal from a grantee for conducting a Seminar/Workshop/conference shall be considered for grants-in-aid.

14.2 Proposals for *ex-post facto* request for sanction of grants-in-aid for seminar/workshop/conference under the Scheme shall be considered, only in exceptional circumstances with full justification.

14.3 Only eligible institutions would be considered for grants-in-aid under this scheme for holding seminars/workshops/conference. The eligibility conditions would be the same as in para 5 of the instant guidelines, *mutatis mutandis*, subject to condition that the institution/organization shall be “**not-for-profit**” under this component.

14.4 Seminar/Workshop/Conference proposals from individuals shall not be admissible for seeking grants-in-aid under the RSNA.

14.5 The Maximum amount approved for the event cannot be increased after the conclusion of the seminar. The TDS will be deducted as per the extant Income Tax rules.

14.6 **Time frame for holding/completion of the seminar/workshop/conference:** The event shall be organized within one month of issue of the sanction order. The request for extension may be granted after receiving the same in writing before the exact date of organizing the event. The grantees would be required to submit all original bills/voucher/boarding pass/tickets, etc to NITI Aayog for processing the release of the grant-in-aid within 45 days of completion of the event.

14.7 The re-imburement shall be made as per the terms and conditions as mentioned in the Letter of Approval and this guideline. The reimbursement of the expenditure shall be limited to the actual net expenditure incurred by the grantee institute/organization in the case of the seminars/workshops/ conference.

14.8 The logo and the name of NITI Aayog in the banner is required to be shown/displayed prominently and the support of NITI Aayog shall be acknowledged.

<sup>4</sup> Specimen Utilization Certificate as per Annexure-8

- 14.9 The NITI Aayog reserves the right of nominating three officers (at least one from Research Division) to participate in the event.
- 14.10 The Institution/ Organisation seeking grants-in-aid should also certify that it has not obtained or applied for grants for the same purpose or activity from any other Ministry or Department of the Government of India or State Government).
- 14.11 Proposals for Partial funding (i.e. the Institution or Organisation seeking grants-in-aid has obtained or applied for grants for the same Seminar/Conference/Workshop from any other Ministry or Department of the Government of India or State Government) would not be generally considered under this scheme as per GFR Rule 209 (Principles and Procedure for award of Grants-in-aid). However, this may be considered under exceptional circumstances and only upon the satisfaction that there is no double funding for that component of assistance.
- 14.12 The organization shall bear at least 10% of the total expenditure. Under this component, the actual/imputed cost on account of rent for the venue of the Seminar/Conference/Workshop would be treated as an expenditure to be incurred by the concerned organization.
- 14.13 The organisers should endeavour that the deliberations in the event do not have any adverse criticism of any current or recent policy or action of the Central Government or a State Government; or which can embarrass relations between the Central & State Governments or between Central Government and Government of any foreign State. However, this provision would not apply for expression of constructive views at the event.

## **15 PROPOSALS FOR PUBLICATION OF RESEARCH WORK**

- 15.1 The proposal for publication of research work undertaken by an eligible institution or an individual researcher or a researcher affiliated to an eligible institution should be submitted enumerating details about the usefulness and application of the publication for scholars engaged in research as per the objectives of NITI Aayog.
- 15.2 The grants-in-aid for publication of Research Work of an Institution or individual affiliated to an Institution shall be sanctioned conditionally<sup>5</sup> based on its usefulness in research and development activities as per the mandate of NITI Aayog. Publication of the Studies/Research works of basic and theoretical nature would also be considered for funding under this scheme. The Publication grant shall be considered only in those cases, where no other grants-in-aid under RSNA have been provided for the concerned research work.
- 15.3 The amount of grants-in-aid for publication of research work shall be up to **Rs. Four lakhs** to eligible institutions or individual Researchers (awarded M.Phil/Ph.D by University) or Researchers affiliated to eligible institutions. Eligibility of an institution would be adjudged in terms of the conditions laid down in Para 5.1 above. As regards the eligibility of an individual researcher not affiliated to an institution, the same would be recommended by Senior Adviser/Adviser of the Research Division in consultation with the counterpart of the concerned SV/D to CEO, NITI Aayog, for final decision. However, no individual would be considered eligible unless and until either (i) he is an eminent academician in the relevant field with a Ph.D. or published works in the relevant field or (ii)

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<sup>5</sup> Conditions for acceptance are mentioned in Annexure-9

he is an eminent serving / retired civil servant with long and distinguished career in the relevant field.

15.4 The grants-in-aid shall be limited to the amount prescribed in the Guidelines or the actual expenditure incurred by the grantee, whichever is less.

**16 PROCESSING PROPOSALS FOR PUBLICATION OF RESEARCH WORK:**

16.1 All proposals for publication grant received by the NITI Aayog shall be initially processed by the Research Division with the approval of Senior Adviser/Adviser (Research) in accordance with this guideline and in consultation with the Adviser of the concerned SV/D.

16.2 REC shall be the competent authority to recommend a proposal for publication grant keeping in view the usefulness of its subject matter to the concerned SV/D and for wider research.

16.3 The grant-in-aid shall be sanctioned for publication under the RSNA, after obtaining the concurrence of the Financial Adviser and approval of the CEO, NITI Aayog.

16.4 The Research Division shall thereafter issue a detailed sanction order specifying terms and conditions for acceptance by the Institution/individual researcher for publication grant.

16.5 **Disbursement of grants for Publication of Research Work:** Grants-in-aid for publication shall be disbursed in Two installments as under:-

<b>Installment</b>	<b>Percent of Sanctioned Amount</b>	<b>Stage</b>
<b>No amount would be disbursed at the time of the approval of the proposal.</b>		
<b>1<sup>st</sup></b>	<b>30</b>	After receipt of the fully edited proof of the print showing that all requirements of the NITI Aayog as per the terms and conditions agreed upon at the time of the approval have been met/incorporated.
<b>2<sup>nd</sup></b>	<b>70</b>	After receipt of desired number of copies of document (in book form bounded not spiraled); CD containing complete material of the publication, UC <sup>6</sup> for the full amount approved and duly certified statement of expenditure on publication by the head of the Institution/Individual Researcher.
<b>TOTAL</b>	<b>100</b>	

<sup>6</sup> Specimens of Bond and Utilization Certificate are at Annexure-7 and Annexure-8 respectively

## **17 NITI FELLOWSHIPS FOR RESEARCHERS:**

In some cases, it may become important to hire individuals (researchers, scholars, etc.) holding Ph.D/M.Tech./M.Phil or equivalent degree to conduct a specific study or survey in a limited time period available. For such cases, NITI Fellowships may be considered up to a maximum of Rs.2 lakh per study (including contingency grant). Such fellowships may be invited through public notice or through the Universities/ Deemed Universities shortlisted by NITI Aayog on the basis of the terms of reference of the study prepared by the SV/D concerned.

## **18 USING NITI AAYOG LOGO (UNDER NON-FINANCIAL CATEGORY) BY ORGANISATIONS FOR SEMINARS/ CONFERENCES/WORKSHOPS/ SUMMITS/ SYMPOSIUM/ EXHIBITIONS/ ANNUAL FUNCTIONS**

The guidelines for permitting use of NITI Aayog Logo (for non-financial category) for the events such as seminars/ conferences/ workshops/ summits/ symposiums/ exhibitions/ annual functions, etc. were framed with approval of competent authority and issued vide Research Division OM No. O-15018/3/15-Research dated June 3, 2015. These guidelines are deemed to be considered as part of RSNA, 2015.

## **19 TERMS AND CONDITIONS FOR SUBMISSIONS OF PROPOSALS FOR ITEMS MENTIONED IN PARA 4**

19.1 The EoI for Research Studies and proposal for Seminars/Conferences/Workshops/ NITI Fellowships/ Publications, etc., complete in all respect, may directly be addressed to Adviser (Research Division), NITI Aayog, Government of India, Sansad Marg, New Delhi-110 001. The proposal submitted through any other channel shall not be accepted by the Research Division.

19.2 The proposal shall be submitted by the Head of the concerned Institutions/Organisations or by an officer of the institution empowered to execute legal documents on behalf of the institution along with the following requisite documents required in consonance with General Financial Rules, 2005:-

- (i) Copy of Registration Certificate of the Institution/Organisation.
- (ii) Articles of Association {Copy of the Constitution/MOA (Memorandum of Association) of the Institute/University}
- (iii) Bye- laws.
- (iv) Proof of organization being “Not for Profit”, wherever applicable.
- (v) The Audited Statement of Accounts of the Institute/Organisation of the previous two years.
- (vi) Sources and pattern of income and expenditure of Organisations.
- (vii) '**Undertaking**': "The [Institute/ Organisation/University (name only)] has not obtained or applied for grants for the same purpose/activity for ..... [Name of the event to be mentioned] from any Ministry/Department of Central Government / State Governments. It is solely depending on the grant of NITI Aayog".

19.3 An Academic Institution affiliated / accredited with a University or a Deemed University will submit their research proposal only through the Registrar of the University. Otherwise the proposal will not be admissible for grants-in-aid.

19.4 **On-going Study and Submission of Fresh Study Proposal:** Any University/ Institution /Individual Researcher/ Principal Researcher or Project Director who had earlier been assigned a research study under the earlier Research and Study Scheme may be given grant-in-aid for fresh study under the scheme even just after the submission of the earlier report.

However, in exceptional cases and on the recommendation of the concerned SV/Ds, the University/ Institution/Principal Researcher or Project Director with proven track record in the field and area of the proposed study can be considered for sanction of grant-in-aid for conducting another study even when the final report of the earlier study is pending for submission but all other stages as regards the earlier study/project are over to the satisfaction of the NITI Aayog.

- 19.5 The grantee shall execute a Bond in favor of the NITI Aayog on non-judicial Stamp Paper of Rs. 10/- for receiving grants-in-aid.
- 19.6 The Institution or the Director-in-charge of the project will not accept any financial assistance from any other source(s) for the project assigned under the scheme.
- 19.7 All proposals for financial support will need to be approved by the NITI Aayog before the commencement of particular assignment or event.
- 19.8 No capital expenditure will be incurred from the grants-in-aid provided for the project.
- 19.9 The Statement of Expenditure incurred against approved amount of grants-in-aid of the NITI Aayog, will be issued by Registrar (if college/university) or Head of the Organisation (as per the registration certificate).
- 19.10 Any intimation or Progress/ Draft/ Final Report of research study or Proceedings of Seminar etc. will be submitted to SRO/Director (Research), NITI Aayog by the PD/PI or Head of the Institution.
- 19.11 No extra/additional amount would be paid for any escalation in the cost wrt the items as mentioned in Para 4.
- 19.12 The grants-in-aid will include service tax and other taxes, if any, and the liability of payment of the tax will be of the Institution.
- 19.13 NITI Aayog sanctions the grant-in-aid in favour of the Institution or University for the particular assignment.
- 19.14 All the Reports and the proceedings shall be posted on the website of NITI Aayog for wider publicity.
- 19.15 The necessary TDS, prevailing education cess, secondary & higher education cess or any other cess shall be deducted at source by DDO, NITI Aayog before releasing the amount as per the sanction order.
- 19.16 **Accounts of Grantee Institutions-** Institutions or Organizations receiving grants should, irrespective of the amount involved, be required to maintain subsidiary accounts of the Government grant and furnish to the Accounts Officer a set of audited statement of accounts. These audited statements of accounts should be required to be furnished after utilization of the grants-in-aid or whenever called for.
- 19.17 **Audit of Accounts of Grants-in-aid-** The accounts of all grantee institutions or Organizations shall be open to inspection by the sanctioning authority and audit, both by the Comptroller and Auditor-General of India under the provision of CAG(DPC) Act 1971 and

internal audit by the Principal Accounts Office of the Ministry or Department, whenever the Institution or Organization called upon to do so and a provision to this effect should invariably be incorporated in all orders sanctioning grants-in-aid.

19.18 The accounts of the grantee Institution or Organization shall be audited by the Comptroller and Auditor-General of India under Section 14 of the Comptroller and Auditor-General of India (Duties, Powers and Conditions of Service) Act, 1971, if the grants or loans to the institution in a financial year are not less than Rupees twenty-five lakhs and also not less than seventy-five per cent of the total expenditure of the Institution. The accounts may also be audited by the Comptroller and Auditor-General of India if the grants or loans in a financial year are not less than Rupees one crore. Where the accounts are so audited by the Comptroller and Auditor-General of India in a financial year, he shall continue to audit the accounts for a further period of two years notwithstanding that the conditions outlined above are not fulfilled.

19.19 Where any grant and/or loan is given for any specific purpose to any Institution or organization or authority, not being a foreign State or international Body/Organization, the Comptroller and Auditor-General is competent under Section 15(1) of the CAG's (DPC) Act, 1971, to scrutinize the procedures by which the sanctioning authority satisfies itself as to the fulfilment of the conditions subject to which such grants and/or loans were given and shall, for this purpose, have right of access to the books and accounts of that Institute or Organization or authority.

#### 19.20 Settlement of disputes

- (i) **Amicable settlement:** The parties shall use their best efforts to settle amicably any dispute, controversy or claim arising out of, or relating to this contract or the breach, termination or invalidity thereof.
- (ii) **Arbitration:**
  - (a) In the event of any dispute or difference between the parties hereto, such disputes or differences shall be resolved amicably by mutual consultation. If such resolution is not possible, then the unresolved dispute or difference shall be referred to arbitration of the sole arbitrator to be appointed by the CEO, NITI Aayog, Government of India. In case it is felt necessary to do so, the Department of Legal Affairs would be consulted in an appropriate manner. The provisions of Arbitration and Conciliation Act, 1996 (No. 26 of 1996) shall be applicable to the arbitration.
  - (b) All litigations will be subject to Delhi jurisdiction. The venue of such arbitration shall be at New Delhi only.
  - (c) The language of arbitration proceedings shall be English. The arbitrator shall make a reasoned award (the "Award"), which shall be final and binding on the parties.
  - (d) The cost of the arbitration shall be shared equally by the parties to the agreement. However, expenses incurred by each party in connection with the preparation, presentation shall be borne by the party itself.
  - (e) Pending the submission of and/or decision on a dispute, difference or claim or until the arbitral award is published; the Parties shall continue to perform all of their obligations under this scheme without prejudice to a final adjustment in accordance with such award.

- 19.21 **Use of name, emblem or official seal of the NITI Aayog, GoI:** The agency/organisation shall not in any manner whatsoever use the name, emblem or official seal of the NITI Aayog in connection with its business or otherwise, without written approval from the NITI Aayog. The usage of national emblem or state emblem of India must comply with the directives as per the State Emblem of India (prohibition of improper use Act, 2005; State Emblem of India (Regulation of use) rules, 2007; State Emblem of India (Regulation of use) Amendment Rules, 2010; and the amendments from time to time.
- 19.22 The organisers should endeavour that the deliberations in the event do not have any adverse criticism of any current or recent policy or action of the Central Government or a State Government; or which can embarrass relations between the Central & State Governments or between Central Government and Government of any foreign State. However, this provision would not apply for expression of constructive views at the event.



**Format for Technical Proposal of Research Study**

**A. Information/Brief of the Organisation:**

1. Brief of the Institution: This includes the activities of the Institution during the last five years, its constitution, research expertise and infrastructure facilities available for conducting research work in the area of [to be mentioned].
2. Status as legal entity: This includes the registration of the organization (Registration Certificate), Constitution/MOA (Memorandum of Association) and Bye- laws.
3. Name and Designation of head of institution with address and telephone number (in brief bio-data)
4. Financial Status of the Organisation: Balance sheet, audited statement of accounts and IT returns of last three years.

Financial Details (as per audited Balance Sheets) (in Cr.)starting from the previous financial years				
i.	Year			
ii.	Net Worth			
iii.	Turn over			
iv.	Profit After Tax (PAT)			
v.	PAN No (Enclose the Copy)			

5. Branches of the Organisation (if any) with address and telephone numbers.
6. Number of professionals associated with the Organisation and their educational qualifications.

**B. Profile of Key Personnel to be associated with research study**

1. Project Director (PD)/ Principal Investigator (PI): educational qualifications, research experience, address, telephone number, email id & Fax No (Brief bio-data).
2. Professionals and supporting staff: Name, Designation, qualifications, research experience of personnel associated with this project.

**C. Experience in conducting research studies for Reputed institutes and publications**

1. Research Studies conducted for the reputed organisations and publications in the last 5 years in general

Study title	Name of the organisation/ agency (specify whether Central Govt., State Govt., Multilateral organisations, others)	Years of Completion	Amount	Publication in Journals /Books (excluding newspaper articles)

2. Research Studies conducted for the reputed organisations and Published (strictly) in the areas of this research topic in the last 5 years {excluding the studies mentioned in para C (1)}.

Study title	Name of the organisation/ agency (specify whether Central Govt., State Govt., Multilateral organisations, or others)	Years of Completion	Amount	Publication: Journals / Books (excluding newspaper)

**D. Relevance and need of the study:** A brief note of 300 words explaining the likely contributions to policy process and knowledge transfer for NITI Aayog and Govt of India.

**E. Methodology and Execution Strategy**

1. Methodology: (i) Reference period or base year of the proposed study and selection of Data (use of primary and secondary data). If it is primary data then the approach should be spelt out as to whether it would be a sample survey or a case study. (ii) Type of Hypothesis to be tested and (iii) Case studies to verify the hypothesis (if any).
2. Selection of study area and sample design
3. Statistical Tools and software: Proposed variables of the study for which data shall be collected, sample size, suitable statistical tools and software required for data analysis.
4. Proposed work plan of study proposal as per the following:

Items	Duration (in days/ months)
Preparatory work including selection of Staff and their training; Pilot Study(if any):	
Schedule of Sample Drawing	
Schedule Construction-their pre-testing and printing etc.:	
Data Collection:	
Data processing and Analysis	
Schedule of Report Writing (draft report and quarterly progress reports)	
Date of Commencement of work after approval of NITI Aayog	
Organising workshop (if required) before reviewing the final report by nodal vertical	
Final/Completion report to be submitted	Within 2 months from the last date of study period
Total Duration:	

**F. Objectives and chapterisation of the proposed final report**

Name and Signature of the Project  
Director/Principal Investigator

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

Date:

Place:

**Format for Financial Proposal of Research Study**

**I. Salaries (Research and other Study Staff Category wise):**

Sl No.	Job/Tasks to be done	Monthly Salary	Duration	Amount (in Rs.)
1	Project Director (PD)/ Principal Investigator (PI) (only one)		Whole study period	
2	Research Staff:		Whole study period	
3.	Field Staff:		Specify the period	
4.	Data Processing staff		Specify the period	

**II. Domestic Traveling\* and DA:**

Sl No.	Job /Tasks to be done	Ceiling limit	Duration	Amount (in Rs.)
1.	for field staff:	No specific Percentage limit but the ceiling limits of Rs. 1500/-per person per day (for the field staff).	No. of Days	
2.	for Project Director (if essential):	Rs. 3500 /- per person per day (for Project Director).	No. of Days	

\*Admissible only for domestic travel and by rail (AC III tier class).

Job /Tasks to be done	Amount (in Rs.)
<b>III. Data Processing including computation &amp; Computer Work</b> Subject to the condition that the salary of Electronic Data Processing personnel would not be admissible if the data processing is outsourced):	
<b>IV. Stationery, printing, photocopying, Books and Journals</b> (if required):	
<b>V. Overheads</b>	
<b>VI. Contingency (3% of the proposed Budget)</b>	
<b>VII. Any other -</b> (a) For hiring services of technocrats /experts / testing laboratory etc if required, for a fixed duration on consolidated amount or (b) <b>Holding Workshop/Debate discussion:</b> For expert advice and suggestions of the group of distinguished scholars /researchers, in case, of revamping and improving the quality of the study, that should specifically be justified in the proposal along with details of participating scholars/ researchers /luminaries from the field of the subject concerned.	

**Total Proposed Budget : Rs..... (in words)**

Name and Signature of the Project  
Director/Principal Investigator

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

Date:

Place:

**Proforma of Bidder Information and Forwarding Letter of Proposal****(I) Information as regards the Bidder**

Details of the Bidder		
1	Name of the Project Director (PD)	
2	Address of the Project Director (PD)	
3	Status of the Organisation (Public Ltd./Pvt. Ltd./NGO/ Society/ Trust /University/Autonomous Body/deemed university )	
4	Status as per Registration certificate/Act (with copy)	
5	Details of incorporation of the Organization	Date: Ref#
6	Valid Sales Tax (Value Added Tax) Registration No. (If any)	
7	Valid Service Tax Registration No. (If any)	
8	Permanent Account Number (PAN) with Copy	
9	Name and Designation of the contact person to whom all references shall be made regarding this RfP	
	Telephone No. (with STD code)	
	Email of the Contact/ key person	
	Fax No. (with STD code)	
	Website:	

**(II) Forwarding Letter**

I am forwarding the research proposal entitled as “.....” for financial support to NITI Aayog (Research Division).

The organisation agrees to administer the project, manage its finances, provide accommodation, furniture and the research facilities such as library, equipment, secretarial staff, etc. required for research study. The organization shall also provide the material and managerial assistance for the research study, which would be considered under the proposed '**Overhead**' cost.

It is certified that no similar research proposal has been submitted for funding to any other Ministry/ Departments of central/state governments.

It is certified that the Project Director (PD)/ Principal Investigator (PI) \_\_\_\_\_[name]\_\_\_\_\_ shall continue with the organisation till the completion of the proposed study. **In the instance of the PD/PI leaving the organisation without completing the study, the organisation undertakes to get the study completed by appointing a new PD/PI, without any additional financial liability on the part of the NITI Aayog and within the stipulated time.** However, if the NITI Aayog desires to transfer the project to some other institution, this Institution will have no objection to the same.

**Signature and Seal of the  
Head of the Institution**

**Proforma for Technical Proposal of National Seminar/ Workshop/ Conference:-**

1.	Name of the Organiser with Tel No., Mob No, fax No. and e-mail
2.	If the Organisation is registered trust or Society : Indicate registration No : Place of registration : Date of registration : <u>(Please attach a copy of Registration Certificate)</u>
3.	PAN No. of Institution/Organisation : <u>(Please attach a copy of PAN Card)</u>
4.	Name and Address of the Venue
5.	Tentative date(s) of event and no. of days
6.	Title/subject of the seminar/workshop/conference
7.	Main objectives of the seminar/workshop/conference
8.	Brief literature review on the subject along with bibliography
9.	Themes and Sub-themes
10.	Number of Key persons/Principal Scholars presenting Papers (A list with their name, address and their field of experience)
11.	No. of key persons / principal scholars from outside the state
12.	Association/Collaboration with any Institutions, Universities, Ministries, Government Departments
13.	Experience of the Organisation in conducting research works / seminar / workshop/ conference (Furnish available material or details thereof)
14.	Brief details of similar activities of the organizer during the past few years along with cost estimates of each event and whether any support was received from any Government Department
15.	Programme Details (Seminar) as per the details such as Date/Time, Paper/Topics of discussion, Author/Participant
16.	<b><u>DECLARATION</u></b> I hereby declare that the above particulars furnished by me are true and correct.  Place: Date:
	<b>Name and Signature of the Head of the Institution/Organisation (Official Seal)</b>

**Proforma for Technical Proposal of International Seminar/ Workshop/ Conference:-**

(i) Name and address of the event organizer with Telephone No., Mob No., Fax no. & E-mail
(ii) Name, Date and Venue of the event.
(iii) Theme of the event (please attach a brief write up on the theme, key speakers & profile thereof, tentative programme schedule, conference papers, publicity material, etc.)
(iv) If the Organisation is registered trust or Society : Indicate registration No : Place of registration : Date of registration : (Please attach a copy of Registration Certificate)
(v) PAN No. of Institution/Organisation : (Please attach a copy of PAN Card)
(vi) Clearance/ approval of Cabinet Secretary, M/o External Affairs and M/o Home Affairs (enclose copies of clearance/approval)
(vii) Source of funds for the event (self-financed and / or sponsored by any agency/ organization) – indicate the name & address of the sponsors, if any.
(viii) Please indicate the approximate budge/ cost : (please attach a copy of approximate income and expenditure details of this events- for details see annexure 6)
(ix) Main target Group for Event:
(x) Number of Key persons/Principal Scholars presenting Papers (A list with their name, address and their field of experience)
(xi) No. of key persons / principal scholars from abroad (A list with their name, address and their field of experience)
(xii) Kind of support, if any, from any other Ministry/Department (Centre, State or Local Bodies) : (A brief write-up also including whether support is financial/technical/ any other)
(xiii) Experience of the Organisation in conducting research works / seminar / workshop/ conference (Furnish available material or details thereof)
(xiv) Brief details of similar activities of the organizer during the past few years along with cost estimates of each event and whether any support was received from any Government Department
(xv) <b><u>DECLARATION</u></b> I hereby declare that the above particulars furnished by me are true and correct.  Place: Date:  <p style="text-align: right;"><b>Name and Signature of the Head of the Institution/Organisation (Official Seal)</b></p>

**Proforma for Budget Proposal for Seminar/Workshop/Conference**

<b>Sl. No</b>	<b>Item</b>	<b>Ceiling Limits per Participant</b>	<b>Amount proposed by the Organisation (with Limitation)</b>
<b><i>Part-A</i></b>			
1.	Honorarium *	<i>As per UGC norms, Rs. 1000/-per person per day</i>	<i>(up to 5% of the max. grant)</i>
2.	Boarding & Lodging**	<i>Not more than Rs. 2000/-per person/day. Max. Rs 4000/- per person for the event.</i>	<i>(up to 25% of the max. grant)</i>
3.	Travel and Transportation **	<i>For domestic travel limited to Economy Class air fare (if travelling by air) or to AC III tier fare (if travelling by rail).  For international travel limited to Economy Class air fare.  Local transportation for experts presenting papers @ Rs.150/- per person per day.</i>	<i>(up to 30% of the max. grant)</i>
4.	Working Lunch	Not more than Rs.200 per participant/day.	<i>(up to 10% of the max. grant)</i>
5.	Seminar material	Rs. 300/per participant	<i>(up to 10% of the max. grant)</i>
6.	Overhead Cost (up to 7%) & Contingencies (3%)		<i>(up to 10% of the max. grant)</i>
7	Rent for the venue of the seminar/ workshop/ conference		<i>(up to 10% of the max. grant)</i>
<b>Total Budget (A):</b>		<b>Rs. 5 Lakhs</b>	<b>100%</b>
<b><i>Part-B</i></b>			
8.	Own- funding (at least 10% of the total budget-A)		
9.	Others: (i) Expected Collection from Registration fee etc. ii) From Collaborative Non- Govt. Organizations / Agencies – Name/Address and Amount (Received / Expected /Sought)		
<b>Total Revenue (B)</b>			
Net Amount required for the event in Rs. (A - B)			

\* considered only for principal scholars/ experts presenting papers (both inside and outside of the state).

\*\* considered for outside the state and inside the state (Distance: more than 200km from venue) for principal scholars/ experts presenting papers only.

**General Condition:** Receipt for Honorarium, Bills for Boarding & Lodging, travel & transportation– Boarding Pass / Train Ticket / Transport Bills and bills for other expenditure have to be submitted at the time of claim / settlement of expenditure.

**Name and Signature of the Head of the Institution/ Organisation  
(Official Seal)**

**BOND FORM**

Know all persons by these present that we the .....  
.....  
..... (Name of Samiti / Sansthan / Institution / An Association/individual researcher registered under the Societies / Trust Registration Act (Specify the respective Act)/Companies Act/Affiliated to University and having its office at \_\_\_\_\_ in the State of \_\_\_\_\_ through Shri / Smt./Ms. \_\_\_\_\_, duly authorized vide power of attorney / resolution dated \_\_\_\_\_ of the Samiti / Sansthan/ Institution / An Association/ Trust/University, (hereinafter called the “Obligator”) and (I) Sh./Smt./Ms. ....  
Son/Daughter of Sh. ....Resident of .....,  
Aadhar Card No. and Voter ID card No ..... (attested copy must be enclosed)  
(II) Sh. .... Son/daughter of Sh. .... Resident of .....,  
Aadhar Card No and Voter ID card No .....(Attested copy must be enclosed) (Here in after sureties) are held and firmly bound to the President of India here in after called the Government, in the sum of Rs..... (Rupees (in words only).....) together with interest thereon at the rate of 11.50% compounded annually (which would be adjusted as per the Government of India notification issued from time to time) from the date of receipt of the said amount by the Obligator up to the date of refund thereon to the Government. The term, obligator or sureties, unless repugnant to the context, shall mean and include the respective agents, assigns, heirs, successors etc., as the case may be.

2. Signed this ..... day of .....in the year .....
3. Whereas on the Obligator’s request the Government has as per NITI Aayog letter No. ....dated.....and here-in-after referred to as the letter of sanction/ approval (which forms an integral part of these presents and copy of this is annexed as Annexure ‘A’), agreed to make in favour of the Obligator for the purpose of .....a grant of Rs. .... (Rupees.....) out of which Rs..... (Rupees.....) have already been paid to the Obligator (the receipt) where the obligator do hereby admit and acknowledge two sureties in the terms and conditions manners contained here in after which the obligator and at its request the sureties have agreed to do.

4. Now in consideration of the aforesaid letter of sanction, the obligator herein binds itself and undertakes to comply with the conditions of the letter of sanction referred to herein and if the obligator shall duly fulfill and comply with all its conditions mentioned in the letter of Sanction mentioning the grant then this bond or obligator’s obligation therein shall be void and of no effect, but otherwise it shall remain in full force, effect and virtue, and the Government shall be at liberty to enforce this bond against the obligator or the surety jointly and/or severally, as it may deem fit and on its option. These presents further witness that:

- a. That decision of the CEO, NITI Aayog Govt. of India or the Administrative Head of the NITI Aayog, Govt. of India administratively concerned with the matter, on the question whether there has been breach or violation on the part of the Obligator or any of the terms and conditions mentioned in the letter of sanction, shall be final and binding on the Obligator.
- b. The liability of the sureties here under shall not be impaired or discharged by reason of time being granted by the Government or any forbearance, act or omission by or on the part of the Government whether with or without the knowledge or consent of the sureties in respect or in relation to the obligation or conditions to be performed or discharge in the obligation or by reason of the matter or thing whatsoever, which under the law relating to the sureties



shall but for this provision have the effect of so releasing the sureties from such liability, nor shall it be necessary for the Government, to pursue the obligator before using the sureties or either of them the amount due here under.

- c. The **Obligator purein** agrees and undertake to surrender / pay to Government the monetary value of all such pecuniary or other benefits which it may receive or derive / have received or derived through / upon unauthorized use of grant for purpose other than that of which the grant was intended or the assets, purchased largely from out of "Government Grants". The decision of the CEO, NITI Aayog or the administrative head of the NITI Aayog as regards the monetary value of aforementioned to be surrendered / paid to the Government will be final and binding on the Society/Trust/Institution/Organisation/ Individual Researcher.
- d. The Obligator or the sureties shall, in the event of breach or violation of the terms and conditions mentioned in the letter of sanction, refund to the Government on demand and without demur the entire amount of Rs. .... (Rupees ....) or such part thereof as may be mentioned in the **Notice Demand** issued by the Government along with the interest thereon at the rate of 11.50% compounded annually (which would be adjusted as per the Government of India notification issued from time to time) from the date of receipt of the said amount by the Obligator up to the date of refund thereof to the Government.
- e. The obligator and the surety assure and confirm that they have understood the scheme of grant of sanction mentioned therein and they have executed this bond voluntarily and out of their free will.
- f. The Government of India has agreed to bear the stamp duty, if any, chargeable on these presents.

5. In witness thereof these presents have been executed on behalf of the Obligator and the Sureties the day and year here in above written and accepted for (Name and Designation) on the day and year appearing against his signature.

**Signed for and on behalf of the  
Institution with date (Stamp/Seal)**

**Signature of the Surety**

In the presence of:

1.....  
(Name & Address of witness) (Signature)  
Aadhar Card No/PAN No.....

2.....  
(Name & Address of witness) (Signature)  
Aadhar Card No/PAN No.....

**Accepted for and on behalf of the President of India.**

**Form of Utilization Certificate**

<b>Sl. No.</b>	<b>Letter No. and date</b>	<b>Amount</b>
	<b>Total</b>	

Certified that out of Rs. \_\_\_\_\_ of Grants-in-Aid sanctioned during the year..... in favour of “\_\_\_\_\_”under NITI Aayog letter No..... given above and Rs. \_\_\_\_\_ on account of unspent balance of the previous year, a sum of Rs..... has been utilized for the purpose of.....[the Research Study / Seminar] for which it was sanctioned and that the balance of Rs. \_\_\_\_\_ remaining unutilized at the end of the year has been surrendered to Government (vide no. ...., dated....) / will be adjusted towards the Grants-in-Aid payable during next year.....

2. Certified that I have satisfied myself that the conditions on which the Grants-in-Aid was sanctioned have been duly fulfilled/ are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

Kind of checks exercised.

- 1.
- 2.
- 3
- 4.

**Signature of the Head of the Institution  
(Stamp/Seal)**

**Place** \_\_\_\_\_

**Dated** \_\_\_\_\_

**Conditions for Acceptance by Institution/Researcher for Publication Grant:**

1. Desired number of copies (Maximum 10 copies) of the published documents will have to be submitted to the NITI Aayog.
2. The organization/individual researcher will clearly acknowledge that the present publication is the outcome of the research work carried out by the institution/organisation with the fund provided under the RSNA or by the institution/organisation with its own funding.
3. **Disclaimer:** “The document/publication has been prepared with the support provided under the RSNA, NITI Aayog. However, the NITI Aayog is not in any way responsible for findings of, or opinions expressed in, the document/ publication. The responsibilities for the same rest with the institution/organization/researcher concerned”.
4. The fact that NITI Aayog provided financial support under the RSNA will be acknowledged on any document produced with its support, whether or not circulated widely, and the **Disclaimer at Sr. No. 3** above will be prominently displayed on such a document.
5. Under this scheme, the limit for grants to an institution for publication of research document will be admissible as provided in the RSNA Guidelines.