



## **TEERTHANKER MAHAVEER UNIVERSITY**

### **Seed Money Grant Scheme**

#### **1.INTRODUCTION**

Creation of knowledge through teaching-learning, competency development, research – innovation, and inculcation of a value system are the primary objectives of a University. While both teaching and research are central to the realization of the objectives of higher education, research, innovation and technology development are the core areas of knowledge, a means to create livelihood and the benchmark of global excellence in the new millennium. Research is often considered of utmost importance and an integral part of a University's success. The faculty can incorporate the learning outcome through this process in their classroom teaching and publishing their work in good international/national journals, patents, and other forms of expression of creative works.

Teerthanker Mahaveer University (TMU) seeks to strengthen research and innovation activities by motivating the faculty who are not getting external funding. For this, it is desirable to have Seed money scheme. This will enable the faculty and students to engage in research work until projects gets sponsored from outside agency.

Seed capital is the money raised to begin developing a research idea for a business or a new process or product. This funding intends to cover only the initial costs of creating a proposal. The primary objective of seed money grant is to facilitate further financial support from industry or government funding agencies related to research and consultancy assignments.

The Seed Money Grant Scheme of TMU, Moradabad is designed to stimulate competitive research in strategic areas of national or international importance, to promote innovative product and technology development, and/or to facilitate the start of research programs which will potentially develop into creative ventures on their own through external funding. The faculty can utilize this grant to start the research work without waiting for a grant from external agency. These projects can provide the incentives to the concerned staff and stepping stones to fetch the research grants from national and international funding agencies.

## **2.OBJECTIVES**

- 2.1. To aid a faculty to start a research program that has the potential to sustain by attracting funds from external agencies.
- 2.2 To test a novel idea and to generate preliminary results before submitting proposals to external agencies.
- 2.3. To promote inter-faculty collaboration in emerging areas.
- 2.4. To promote generation of IPR and product/process development.
- 2.5. To attract and retain talent.

## **3.ELIGIBILITY**

- 3.1 Any regular faculty member of TMU, holding a PhD degree with a proven track record of quality research with minimum five (5) research papers to his / her credit, published in journals of national/international repute and employed in TMU for at least one year. The faculty applying for the research grant is sole Principal Investigator (PI).
- 3.2 The faculty should normally have completed at least a year of service in TMU at the time of applying for research grant. However, a shorter period of service at TMU can also be considered in exceptional cases based on project quality.
- 3.3 Any group consisting of faculty of TMU and collaborators from other institutions who shall provide an undertaking that they will submit a proposal for an externally funded program with the same proposers during or within 6 months of the completion of the seed funded project. External collaborator cannot be Co-PI in the seed grant. However, where required, letters from such collaborators may be attached in the proposal with commitment (such as facility use) clearly specified. They should also demonstrate that they do not have funding from external agencies for their proposed research.
- 3.4 Any group comprising TMU faculty, PhD scholars, undergraduates, and post-doctoral fellows belonging to TMU with the principal investigator (PI) being a TMU faculty with PhD. Only TMU faculty can be PI. Participation by students of any category is encouraged but they may be only named as personnel in the project.

3.5 At any time, a PI can submit only one application. However, he/she can be a coinvestigator in more than one proposal.

3.6 The PI at the time of submission of application shall not have a running project funded by the seed-funding scheme in which he or she is the PI.

3.7 However, research proposals from younger faculty members shall be encouraged and given priority over the proposal from faculty members having/completed any major project.

3.8 By the very fact a faculty applies for seed-money, the applicant undertakes to complete the project successfully in time. If for any reason the awardee leaves TMU without completing the project to the satisfaction of the Research Project Evaluation Committee (RPEC), s/he undertakes to refund the entire amount to the University, besides depositing all the books/ journals/ equipment purchased out of the project money.

#### **4.BUDGET**

4.1. Normally, the seed money project grant will be in the range of Rs.50,000 (Rs. Fifty thousand only) to Rs.2,00,000/- (Rs. Two Lakhs and only). A higher amount may be considered by the Vice Chancellor for approval in exceptional cases on recommendations by the Research Project Evaluation Committee (RPEC).

4.2 .The RPEC will consist of the following:

Vice-Chancellor (Or VC's nominee)	Chairperson
Dean Academics	Member
Director/Principal of the respective College	Member
One Internal Expert from the University	Member
Joint Registrar-(R&D)	Member
One External Expert nominated by the Vice Chancellor (optional)	
Registrar	Member Secretary

4.3. The faculty member may travel anywhere in India for company visits, collaborating partner institutional visits, field studies and data collection, material procurement, and other project related activities. However, travel expenses are

limited to II AC train fare or equivalent in case of air fare. Travel expenses will be restricted to a maximum of 15%-20% of the total budget of the project.

4.4 All travel and sundry expenses shall be with prior approval of the Vice Chancellor/ /Registrar.

4.5 The request for seed money will be submitted to the Registrar as per the proposed format.

4.6. This scheme does not cover book writing project or any similar project.

## **5. SELECTION CRITERIA**

5.1. Innovative interdisciplinary research. The innovative or original nature of the proposal should be validated by carrying out a comprehensive literature survey or an extensive patent survey in the respective area. The research proposal must try to bridge the gap in the existing knowledge or adds a new dimension to the existing knowledge.

5.2. Team of faculty members whose expertise is complimentary.

5.3. Promise of sustainable research and development attracting external funds.

5.4. Budget matches the claimed outcomes.

5.5. Potential to generate intellectual property. (Including product and process development)

## **6. APPLICATION PROCESS**

6.1 The call for proposals may limit research funding to a few strategic areas such as Basic Science/ Applied Science/ Life Science/ Engineering and Technology, Social Science/ Business Studies/ Languages/ Law.

6.2. Pre-proposals should be submitted for short-listing.

6.3. The short-listed applicants will be asked to submit a full proposal as per the prescribed format.

6.4. The full proposals will be reviewed by a selection committee. The Principal Investigator (PI) will be invited to make a presentation before the selection committee. (Refer to evaluation process)

6.5. Decision on the grant award will be announced.

## **7. EVALUATION**

The total evaluation process will follow a two- stage scheme: -

### **Stage 1**

7.1. Pre-Proposals will be evaluated by a departmental selection committee comprising a core of three or more internal faculty members under the chairmanship of the concerned college Principal. The committee would also take inputs from all those PIs who have submitted the proposals. It is advisable to consult the proposals with senior researchers in the related field and get critical feedback for novelty, quality, relevance, and ethical considerations, before submission. The Principal shall be forwarding the same to Registrar for further screening with his recommendations.

### **Stage 2**

7.2. The PIs of the shortlisted pre-proposals will be asked to submit a full proposal to RPEC as per specified format. (**Annexure I**)

7.3. The Principal Investigator (PI) will be invited to make a presentation before the RPEC.

7.4. Research Project Evaluation Committee (RPEC) will rate the proposal for intellectual merit and its broader impact. (**Annexure V**)

7.5 The RPEC may if required, discuss proposals with the internal selection committee, and may seek further information from the PI before making a final decision.

7.6 The proposal evaluation will consider the alignment of the budget with the deliverables.

7.7. The committee may suggest that two or more proposals be combined if the committee deems it advantageous, and may award an amount greater than Rs.2.00 Lakhs.

7.8 The RPEC will submit its recommendations and final report to the Vice Chancellor for final approval.

7.9 The letter of approval/rejection of the project proposal will be issued to the Principal Investigator by the Registrar clearly mentioning feedback/ suggestions given by the RPEC in case of approval/ rejection.

## **8. CONDITIONS**

8.1. The decision of the selection committee will be conveyed to the PI who will be the contact person for all administrative matters regarding the project.

8.2. The PI is responsible for the conduct of the research in accordance with the University research policy.

8.3. Procurement, utilization and maintenance of equipment will be as per University policy .

8.4. The funds have to be utilized within the stipulated period.

8.5. The grant money has to be utilized in accordance with the approved budget.

8.6. The PI must be accountable for the proper utilization of the seed grant and matching the outcome of the proposed research with the stated objectives, failing which the seed grant shall be treated as a soft loan to him/her @7% p.a.

8.7. In any research communication arising out of the funded project, the contribution of the University should be duly acknowledged.

8.8. In case PI leaves the University before the completion of project, a co-investigator from TMU will assume responsibility as PI. No collaborator from another institution can become PI under this condition.

8.9. To ensure that the selected projects have a high probability of achieving their goals, the PI must assess all the likely risk factors as follows:

The PI must mention all the potential and specific risk factors (e.g., unpredictable events that may prevent or destroy data collection or sampling sites, possibility of non-availability of proposed sample units /critical equipment, delays caused by administrative procedures, delays in procuring equipment, non-cooperation by some individuals /groups for interviews, potential health risks posed by use of unconventional equipment / sampling techniques, etc). The PI must also mention an alternative plan of action in each case, if any of these risks actually occur.

8.10. The PI has to make a presentation of his/her Progress Report (**Annexure-II**) to the RPEC every quarter after approval. If the progress/presentation is found to be unsatisfactory, the project may be terminated pre-maturely. On completion of the project, the faculty member is required to submit a detailed Project completion report(**Annexure III**) including the minimum of two research articles published in Scopus/WoS/ICI indexed journals with good impact factor (journals without article processing fee or/and page charges), Utilization

Certificate(**Annexure IV**) and make a presentation of the findings to the RPEC, within one month of the scheduled completion date. The research outcome can be used to develop project proposals for further research to be submitted to external funding agencies.

8.11. The PI is responsible for ensuring that the expenses are within the budget. Budget heads within the same overall budget should be approved by the concerned authorities of university. Upon completion of the project, a final statement of expenses and variance report duly prepared by the PI is certified by the finance section within one month of the completion of project. Any unaccounted expenses shall be adjusted as personal.

8.12. Stock Register should be maintained in the departmental office for the purchase of books/journals/software(s)/chemicals etc.

8.13 Unless extension is sought explicitly, the project is assumed to have been completed on the termination date specified in the proposal, and no further expenses/extension shall be permitted.

8.14. The grant will be released in two parts. First part 50% to be released at the time of sanction and the second part will be given only after recommendations by the mid-term review by the expert committee i.e. RPEC.

8.15. Equipment purchase shall not be permitted under the scheme.

### **9. Ineligible Activities:**

Following activities are not eligible for funding

- i) Travel abroad
- ii) Construction or renovation of civil works.
- iii) Purchase of furniture.
- iv) Purchase of PC's, laptops, tablets or computer accessories unless they are computer controlled instrumental set-ups.
- v) Purchase of general-purpose software.
- vi) Salary/remuneration/wages etc., to any member and or staff of the University directly or indirectly.

### **10. DURATION OF THE PROJECT:**

10.1 The Project grant will be sanctioned for one year only. However, as a special case the project may be extended for another six months at the recommendation of the RPEC by the Vice Chancellor.

## **11.EXPECTED DELIVERABLES**

11.1. Externally funded projects should be generated as outcome of seed grant scheme.

11.2. Publication in peer-reviewed journals (Scopus, WoS, SCI)/intellectual property generation including product/process development would be expected as outcomes of the project.

11.3. Further, it is understood that any IP emerging out of research funded by TMU will be owned by TMU. Such IPR will recognize contributions by all researchers as "inventors", and any resulting royalties will be shared by TMU with the inventors.

11.4. Set up of research facilities in the University.

11.5. Commercialisation /Social use of the outcome

11.6. Training of students involved in the research project.



**Annexure-I**  
**(Proposal Format)**

1. Name of the P.I.

a) Mobile:

b) E-mail (official):

c) Educational qualifications: (PG onwards in the specified format)

2. Faculty:

3. Department:

4. Title of the Research Project:

5. Statement of the Problem:

6. National and International Status (maximum of one page):

7. Significance of the study

8. Project Objectives:

9. Methodology/Technical / Management Aspects of the project:

10. Budget with break-up with the necessary justifications:

<i>(Rs. in lakhs)</i>				
S. No.	Description	1 <sup>st</sup> Year	2 <sup>nd</sup> Year	Total
	<b>A. Capital</b>			
1	<b>Equipment</b>			
	<b>Total (A)</b>			
	<b>B. Consumable</b>			
1	<b>Raw materials, Consumables &amp; Chemicals</b>			
2	<b>Manpower</b>			
3	<b>Testing Charges</b>			
4	<b>Contingency &amp; Others (Repair &amp; Maintenance)</b>			
	<b>Total (B)</b>			
	<b>Total (A+B)</b>			

**List of New Equipment/Software and New Common Facility**

Sl. No.	Capital Equipment/Software	Justification for Purchase	Total (Rs. Lakhs)
1			
2			
<b>Total</b>			

11. Time management with schedule in months illustrated in a standard format (Gantt chart).

12. Project Outcome (Deliverables): The outcome of the project should lead to a minimum of two publications Scopus/WoS/ICI listed journals (journal should not levy any article processing charges/paid charges).

13. Any other information:

Signature of the PI

Signature of the Principal

(CV of PI has to be attached at the end of proposal. The filled project proposal format (02 copies) should submit to the Registrar's office within the stipulated time)

## **Annexure-II**

### **Progress Report**

**Quarter 1/2/3/4**

**Date of Submission**

Progress Report should be submitted and presented before RPEC which should consist the following

1. Grant Number and Year
2. Name of the P.I
3. Faculty
4. Department
5. Proposal Title
6. Statement of the Problem
7. Number of objectives achieved
8. Introduction
9. Progress Made as per Gantt chart of activities.

<b>Activity/Months from start</b>	<b>0</b>	<b>3</b>	<b>6</b>	<b>9</b>	<b>12</b>	<b>15</b>	<b>18</b>

***Note: Please give% completion of each activity by the end of the reporting quarter.***

10. Percentage of amount utilized against sanctioned amount.(Description in terms of recurring& non -recurring expenses)

*(In Rs.)*

		<b>Expenditure</b>			
<b>(in Rs. Lakhs)</b>	<b>Sanction</b>	<b>Till Last Review</b>	<b>Since Last Review</b>	<b>Total</b>	<b>Unspent</b>
Non-Recurring					
Equipment					
<b>Sub-total (A)</b>					
Recurring					
Raw materials, Consumables & Chemicals					
Manpower					
Testing Charges					
Contingency & Others (Repair & Maintenance)					
<b>Sub-total (B)</b>					
<b>Total (A+B)</b>					

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11.Work planned for next quarter:

12.Recommendations of RPEC:

Signature of the P.I

Signature of the Chairperson.

### **Annexure -III**

## **PROJECT COMPLETION REPORT**

### **Date of Submission:**

Final Progress Report should be submitted and presented before RPEC which should consist of the following:

1. Grant Number and Year
2. Name of the P.I
3. Faculty
4. Department
5. Research Project Title
6. Statement of the Problem
7. Number of objectives achieved
8. Abstract
9. Introduction
10. Gantt or Bar Chart of Activities

Activity/Months from start to end	0	3	6	9	12	15	18

11. Results and Discussion

12. Percentage of amount utilized against sanctioned amount. (Description in terms of recurring& non -recurring expenses)

<i>(In Rs.)</i>		
<b>Head</b>	<b>Sanctioned</b>	<b>Expenditure</b>
<b>(A) Non-Recurring</b>		
<b>Equipment</b>		
<b>Sub-Total (A)</b>		
<b>(B) Recurring</b>		
<b>Raw materials, Consumables &amp; Chemicals</b>		
<b>Manpower</b>		
<b>Testing Charges</b>		
<b>Contingency &amp; Others (Repair &amp; Maintenance)</b>		
<b>Sub-Total (B)</b>		
<b>Total (A+B)</b>		

13. Papers Published\* (National & International Journals) in Scopus/WoS/SCI.(Details)

13.Patents Filed

14.Research facility set up

15.Students trained:

16.Commercialization Possibility/social use:

17.Future Scope of research:

18. Follow up action required:

19. Utilization Certificate provided:

20. Recommendations of RPEC:

Signature of the P.I.

Signature of the Chairman

Note: Kindly submit the same (Soft Copy) in the PDF or word format to The Registrar, TMU along with the hard bound book.

## **Annexure-IV**

### **UTILIZATION CERTIFICATE**

Project Title:

Certified that Rs.\_\_\_\_\_ of grant-in-aid under Seed Money Project Grant was released by Teerthanker Mahaveer University (TMU) in favour of \_\_\_\_\_ vide letter No. \_\_\_\_\_ as stated above during the year 20...-..... The above grant was sanctioned towards Project Title"----- ".Out of sanctioned grants, a sum of Rs. \_\_\_\_\_ has been utilized for the purpose of which it was sanctioned and Rs. \_\_\_\_\_ remained unutilized at end of the financial year 20...-...., to be carried forward (if the program is continued) or to be refunded (if the program is completed) whichever the case is applicable. Expenditure incurred for the purpose for which the grant was sanctioned is verified with the vouchers produced before me.

Certified that all the conditions on which the grant-in-aid was sanctioned have been fulfilled and all checks were exercised to see that the money was actually utilized for the purpose for which it was sanctioned.

Signature of the Principal Investigator

Signature with Seal of the

Chartered Accountant/ Internal Auditor

Signature of the Finance Officer, TMU

Signature of the Registrar, TMU

**Annexure V**

**Evaluation Sheet**

Name of the Principal Investigator:

Title of the Research Proposal:

Department/Faculty:

Sl. N0	Particulars	Rating (1 to 5)
1	Relevance of the Project title in the current scenario	
2	Statement of the Problem	
3	National and International Status	
4	Significance of Study	
5	Project Objectives/deliverables	
6	Methodology/Technical/Management Aspects	
7	Justification of Budget	

Overall rating of the Research Proposal:

Comments/Suggestions on the Research Proposal:

Recommendation for the Project Proposal for Seed Money: Accepted/Rejected

Name, Designation and Signature of the Experts:



\* Evaluation is based on 5 points scale rating (1. Very Poor 2. Poor 3. Average 4. Good and 5. Excellent) for the above components appearing in the Project Research Proposal for the Seed Money.