**EASTERN UNIVERSITY, SRI LANKA**

**REGULATIONS GOVERNING THE AWARD OF UNIVERSITY RESEARCH GRANTS**

The aim of providing the research grants is to encourage and support the academic community to do original research in their respective fields of study and contribute to the enhancement of knowledge and its dissemination.

This document is an annexure to Section C: RESEARCH GRANTS of the Research Policy approved at 312th meeting of the Council held on 30th January 2021 and the regulations shall be effective from the Year 2021 onwards for the purpose of managing and monitoring all university-funded research.

1. **Categories of Research Grants**

Research grants of 1-2 years of duration are given to senior academics for research under following windows:

1. Research to be carried out as extensions of B1.1(i) of Research Policy: i.e. undergraduate research projects that have been selected to publish as full papers in the respective faculty journal.
2. Competitive Research grants under categories B1 and B2 of the Research Policy.

The maximum ceiling per research grant under the above two categories isRs. 300,000/- , with below given maximum ceilings for breakdowns.

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|  | **Description** | **Ceiling (Rs.)** |
| 1 | Local Travel & Accommodation (only for the investigators) | 100,000.00 |
| 2 | Chemicals & Consumables | 200,000.00 |
| 3 | Laboratory analysis from recognized labs | 200,000.00 |
| 4 | Stationary & printing | 5,000.00 |
| 5 | Payment for Research Assistance  |
| 5.1 | For Undergraduate/graduates/ technicians (up to Rs. 150.00 per hour) | 120,000.00 |
| 5.2 | For laborer(s) (up to Rs. 100.00 per hour) | 5,000.00 |
| 6.1 | Payment for Data Collection (questionnaire filled/ Field Observation/ Focus Group Discussion/ Interview) | 200,000.00 |
| 6.2 | Purchasing Secondary Data | 200,000.00 |
| 7 | Expenditure to host visiting collaborative researcher | 200,000.00 |

The timeframe of a research project can vary from 1-2 years. The researcher has to specify the timeframe of the project in the application. Based on the comments of the reviewers, the Research Council (RC) will confirm on the timeframe of the project. If the RC does not agree with the proposed timeframe by the grantee, it may communicate with the grantee and make a decision.

1. **Eligibility of Applicants**
	1. All confirmed permanent senior academic staff members (including the similar category of library staff) are eligible to apply.
	2. Each member shall be entitled to only one University Research Grant at any one time. However, if a staff member has obtained a university grant and is the principal investigator, in addition, he /she may function as a collaborative researcher in other university-funded research projects.
	3. Those who had obtained University Research Grants and not successfully completed the research (or the committee had not accepted the final report) shall not be eligible for any further research grants until he/she refunds the obtained grant or successfully complete the research within the permitted time by the RC.
	4. All research proposals must come through the academic department he/she employed and should be relevant to the major subject area(s) covered by the department. If an applicant employed in a particular department of study wishes to conduct the research in collaboration with another department and in a field of study connected/assigned to his/her department, both Heads of Departments shall recommend the application for the relevant research grant. However, all equipment purchased under the grant shall be placed in the inventory of the Department in which the grantee is permanently employed.
2. **Application Procedure and Processing Mechanism**
	1. Processing of applications for the University Research Grants would usually take place from end of February and from end of August each year and the effective dates of the grants would be 1st of June and 1st of December. Usually there may not be formal calling of applications, and applications shall be accepted during any time of the year. Time to time notices encouraging research with relevant information of obtaining funding will be circulated and placed in notice boards by the RC. Application forms and relevant information can be obtained from the Senior Assistant Registrar/Academic Affairs Department (SAR/AAD).
	2. Each applicant for a University Research Grant shall forward complete set of information as requested in the application form (together with pdf soft copy) to the Chairperson/RC through channel with the recommendatory comments on the proposed research by the Faculty Research Committee (FRC). All applications should reach the Office of the SAR/AAD on or before the specified dates.
	3. The RC shall evaluate all applications received and those applications that are complete and in conformity with the regulations laid by the RC and suitable for evaluation will be handed over to subject expert reviewers (one application to two reviewers) selected by the RC. The SAR/AAD shall send all acceptable applications together with a copy of the Reviewer’s Report Form to the reviewers together with a formal covering letter together with information on deadlines.

**Subject expert reviewer** should be an expert in the field and may be selected within or outside the university. If finding a person with the exact subject relevance is a problem, the RC can select the most suitable (closely relevant) senior academic available. The reviewers should possess a doctoral degree with a strong research background.

* 1. The reviewer’s reports will then be discussed by the RC and will prepare a list in the **order of priority**. Based on available funds, the RC will select the **grantees** from the prioritized list and send it together with the recommended amounts of payments to SAR/AAD.

1. **Priority for research grants**

Preference shall be given to those applicants who have not obtained a University Research Grant previously. Among the applicants who has obtained a Research Grant previously, preference shall be given to those have published their work done using the previous grant(s) in recognised indexed journals. Applicants who have not been punctual in submitting their Progress / Final Reports may be given the lowest priority. Also see section 6.2.

1. **Acceptance and disbursement of funds**
	1. A person who had been allocated a grant for a research project shall inform the Chairperson/RC through the Chairperson/FRC, Head of the Department concerned and the Dean of the Faculty of his/her acceptance of the grant within two (02) weeks from the date of receipt of the letter of allocation or the date as specified in the award letter.
	2. Once the Grantee accepts his/her grant, he/she may be able to spend the research grant **as per to procurement procedure** adopted in the university system; exceptions may be approved by Chairperson/RC on the recommendation of the Chairperson/FRC and Bursar.
	3. When funds are used for procurement from the Research Grants, the Grantees shall forward a certified statement of expenditure along with the authorized supporting documents to the Assistant Bursar in-charge of the subject of research through Head, Chairperson/FRC and the Dean.
	4. Any advances obtained with sufficient justification, should be settled within **21 (twenty one)** days from the date of receipt. Settlements have to be forwarded through Chairperson/FRC to Senior Assistant Bursar in-charge of Research Grants. No further funds shall be advanced until the previous advances are settled.
	5. The Bursar shall send half-yearly reports (in the first weeks of May and November) indicating the amounts released to each Grantee and the balance remaining, to the SAR/AAD who shall send copies to FRCs and also place such reports before the RC when the new grants are finalised to be paid by the beginning of June and December.
	6. The **Progress Reports** (half yearly or half-period of the overall timeframe, which ever the less) together withdetails of expenditure with evidences have to be sent to SAR/AAD through Chairperson/FRC and Head of the Department. The progress shall be evaluated by the FRC and recommendatory comments be forwarded to RC. The dates of submission of progress will be notified at the time of award of the Research Grant. If the progress is not submitted within the stipulated period, further advances from the respective Research Grant shall be withheld until such reports are submitted. If no report is submitted within the date given by the RC, the grant shall be withdrawn and steps shall be taken to recover the amount utilised by the researcher from his/her salary in four (04) instalments, or from any such fund lying to the credit of the Grantee in the university system.

* 1. If the Grantee’s progress in research is slow and if he/she find difficult to complete the research by the specified period due to reasons beyond the Grantee’s control such as natural calamities or manmade disasters etc., he/she shall inform the Chairperson/RC through Head of the Department and FRC in writing explaining the reasons, and the extended period required. The FRC may recommend through the Dean to RC the extended period or the withdrawal of the grant; and the RC will finally decide on the matter.
	2. All correspondence regarding research projects shall be channelled through the Head of the Department, the Chairperson/FRC and the Dean of the Faculty concerned.
	3. Where the RC decides that the Grantee had utilized the funds for purposes other than for those stated in the approved grant application, the RC shall have the authority to suspend/withdraw the grant and to carry-out any investigations that are deemed necessary for further action by the Vice-Chancellor.
	4. The relevant FRC and the Head of the Department who recommended the grant have the primary responsibility to monitor the progress of the research projects and send progress report to the RC.
1. **Completion of the Research Project**
	1. Once the Grantee has completed his/her research project and has settled all the advances taken, the Bursar shall issue the Grantee a Clearance Certificate to the effect that the grant has been fully settled. A copy of this certificate shall be attached to the Final Report.
	2. Once the research project is completed, each Grantee shall submit a Final Report (together with pdf soft copy) and forward it with the recommendation of FRC to the RC for approval. If there is a publication, it should be attached to the report or submit subsequently to the RC. A grantee is expected to publish his/her research in a recognised journal if he/she is to be considered for another grant within next 2-5 years. If there is a publication emanating in a journal indexed by Web of Science or Scopus, requests for another grant (for continuation of the research or new grant) will be considered with priority.
	3. Evaluation of Final Report shall be done by a reviewer appointed by the RC. A copy of the original application and a copy of the Reviewer's Report Form shall also be given to the Reviewer along with the Final Report.
	4. The grantee may be requested to present their work if RC decide so and convince the Reviewer/RC that the research carried out is of acceptable quality. The Grantees, who have not convinced the RC of their research, shall **not be eligible** for any further grants unless he/she **repays all the grant money obtained.**
2. **Guidelines to follow**
	1. A Grantee shall be permitted to purchase books/journal pages if he/she has included such need/expenditure in his budget. However, purchase of these materials has to be through the Librarian (or certified by the librarian). Librarian should ensure that the grantee has no access to these materials in the library or free online access.
	2. The usual procedure practiced by the University for travelling & subsistence shall be adopted and claims shall be submitted to the Assistant Bursar in-charge of the subject of research through Head, FRC and the Dean. Payments for travelling & subsistence shall be made from the research grant.
	3. Payment of overtime or any other remuneration shall not be made from research funds to employees of the University who are remunerated by the University for such work. No funds shall be allocated to pay for Research Assistants or any other personal on a monthly/daily basis. However, a reasonable amount may be paid on an ad hoc casual basis (hourly basis) for any services rendered towards the project and for which budgetary allocations have been approved in the grant.
	4. If the Grantee obtains any other funds from inside or outside the university for the Research Project, he/she shall inform this to the FRC and RC immediately. If the FRC or RC identify any such misconduct of not informing, the Grantee will have to repay Research Grant obtained and he/she will not be eligible to obtain any University Research Grant for five years.
	5. If the Grantee who intends to be on leave from his/her place of work such that it would hinder the Research work, he shall inform the Chairperson/RC through Head, Dean and Chairperson/FRC and obtain approval for such leave.
	6. Once the project is completed, all unused consumables, non-consumables items, and any other items bought under the university research grant shall be handed over to the Head of the Department within two weeks after the completion of the project. The Head of the Department concerned shall acknowledge in writing the receipt of the above. For convenience of the Head, four copies of this receipt may be prepared by the Grantee and given to him. The Head shall forward one copy of this document to SAR/Academic, one to the Chairperson of the respective FRC; one to the Grantee and shall keep the fourth copy with the Department. A Statement to this effect shall be made in the final report.
	7. Grantees shall not be permitted to purchase computers unless special permission has been obtained from the Vice Chancellor who may approve based on the recommendations made by the RC. However, Computer hardware accessories, computer software and consumables may be allowed if these have been included in the budget.
	8. No funds from the University Research Grants shall be utilised for internet browsing, payments for computer usage and any other specified by RC.
	9. All Grantees shall abide by the Financial and Labour Regulations that are applicable to the university system and also to other guidelines issued by the Vice-Chancellor from time to time on utilising the funds allocated for research purposes. The Grantee shall be held responsible for any legal, audit and other implications that may arise due to non compliance with these regulations and the university shall not be liable to pay any compensation, reimbursement of any fines imposed or for any financial and other losses.
	10. If the Grantee leaves the University or terminated from service without completing the research for which Research Grant was taken by him/her from the Research Grant or if the Grantee has not properly handed over all the items purchased under the Grant to the Head of the Department or if any items purchased under the grant are found to be lost, missing or damaged owing to the negligence of the Grantee; the cost of such losses and damages sustained by the University should be paid back to the University, in case of failure to do so it shall be recovered from his/her University Provident Fund as per Section 94 of the University Act No. 16 of 1978 or subsequent amendment(s) made thereto.