

Small Grants Programme

Manual for Funding Research and Case Studies

March 10, 2014

Indian Institute of Forest Management, Bhopal

Version 1.00 - IIFM Research Cell

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May 01,2017

Indian Institute of Forest Management, Bhopal

Version 2.0 - IIFM Research Cell

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Small Grants Programme

1. Genesis

The Small Grants Programme (SGP) at IIFM aims to provide funding to IIFM faculty members to pursue short duration and limited budget research projects and case studies. The SGP is open only to the teaching faculty (including Director) of IIFM.

The SGP at IIFM is based on the following five broad principles:

- a. The IIFM SGP funding aims to equitably distribute research fund across faculty areas and faculty members ('spread-it-thin').
- b. The disbursement of grant should be done in a manner that should encourage maximum participation from IIFM faculty and should, as a matter of policy, reach as many faculty members as possible.
- c. The SGP should fund (a) short research projects and (b) case studies which conclude in one year or less.
- d. The procedures for award of small grants for research project or case studies are simple to encourage participation and reduce lead time between submission of proposal and award of grant to the shortest possible.
- e. The SGP structure should be flexible to easily incorporate programme up-scaling and new funding arrangements in the future.

2. Funding Source

The funding source for the SGP is internal to IIFM and the total annual budget for programme equals the allocation of funds for research in the IIFM's annual budget.

3. Funding Scheme

In keeping with the SGP core principles outlined in section 1, funding for case studies and small research projects has been provisioned in fixed four slabs called funding units. The four funding units applicable for the SGP have been summarized in Table 1

Table 1 : Funding Units

Case Studies		
Unit Name	Abbreviation	Budget Cap (INR)
Case Study Grant Unit 1	CGU 1	25,000
Case Study Grant Unit 2	CGU 2	75,000
Research Projects		
Research Grant Unit 1	RGU 1	2,50,000
Research Grant Unit 2	RGU 2	5,00,000

The CGUs and RGUs have been visualized keeping in view, the expenditure profiles summarized in table 2.

Table 2 : Expenditure profiles of Research and Case Study Units

RGU1	RGU2	CGU1	CGU2
Research Project with India Travel and Field Assistance FPM & MRM Students Can be associated (also PFM students for desk work like literature reviews or data analysis)	Research Project with State (or India) Travel and Field Assistance FPM & MRM Students Can be associated (also PFM students for desk work like literature reviews or data analysis)	Case study involving travel of faculty involving maximum of 2 visits to site. PFM , MRM Students can be associated for literature collection, data collection	Case study involving Local site in and around Bhopal (Mandideep, Sehore etc) involving taxi travel to local offices. PFM , MRM, Students can be associated for literature collection, data collection & analysis or weekend visits

Applicants to the SGP must fit the project or case study budget to match one of the above funding unit slabs.

Keeping in view IIFMs total annual research budget, allocation of grants for research projects and case writing have been kept in proportion to match the budget available per annum. Table 3 summarizes the distribution of research and case study unit allotments per year in the above mentioned proportion.

Table 3 : Number of research and case study Grant Unit allotments per annum

	RGU1	RGU2	CGU1	CGU2
Amount	250000	500000	25000	75000
Number	04	03	02	06
Sub Total	10,00,000	15,00,000	50,000	4,50,000
			Total	30,00,000

It is expected that overall, 15 independent activities (7 research grants and 8 case writing grants) can be undertaken by the faculty between the RGUs' and CGU's on an annual basis. The above figures are indicative and may change (only in no. of projects and case allocation) based on availability of funds and proposals received per year. The above numbers are indicative and the amount to be allocated will be proportionately fixed as per availability of funds.

4. Involvement of IIFM Students

There has been a long standing demand from the students that they be associated in some way with IIFM faculty in their research projects or case study writing such that they get research exposure to real life situations. As evident from table 2, the SGP shall on an experimental basis, permit the involvement of students of IIFM in research and case writing projects subject to compliance with the following conditions:

- a. Student involvement in various projects will be as indicated in table 2 for each grant unit.
- b. The student involvement cannot exceed 20 hours and under no circumstances should hamper their course of study.
- c. The student will be paid Rs.500 per hour for work done.

- d. The students will be selected via an open selection process through applications facilitated by the research cell and the PI cannot directly approach and select a student.
- e. The student will be justly and promptly paid for work done.
- f. The student will not be asked to interact in person beyond office hours.
- g. Allotment of work should not require students to miss classes or impact assignments.
- h. Prior Permission of competent authority will be taken for any out of campus travel by the student. Travel cannot involve overnight stay. All travel must be done only on weekends or holidays provided there are no classes scheduled. Requirement and nature of local travel must be clearly stated and shared while seeking applications for the project.

5. SGP Application Process

Faculty members desirous of applying to the Small Grants Programme will have to conform to the following application process:

- a. The application process will be open all through the year and faculty members can apply to the SGP at any time of the year. The project proposal will be processed subject to availability of funds at the time of application.
- b. The faculty member will have to fit the project budget (both research and case) to one of the four grant units as mentioned in table 1. Under no circumstances, the budget can exceed the applicable grant unit caps.
- c. A faculty member cannot exceed more than one research project and one case study per year.
- d. The SGP does not permit external (Non-IIFM) collaborators.
- e. The faculty members shall prepare case study proposals in the prescribed format (Annexure 1) and research proposals in prescribed format (Annexure 2) and send the same to the research cell in hard and soft copy.
- f. The IIFM research cell will endeavour to process the application in the following time frame – Case Studies: 2 - 3 Weeks, Research Projects: 3 - 5 weeks. The processing times will include internal / external review and requisite approvals as applicable.
- g. The application decision will be conveyed in writing on completion of due process.
- h. If the project is approved, the faculty member will have to sign an Award Acceptance Form (AAF - annexure 3) accepting the grant.

- i. Subsequent to signing the AAF, the project will receive a project ID and finance section & concerned administrative units will be duly informed of the same.
- j. The faculty member can now begin work on the project.
- k. Release of funds for the approved project will be done on the request of the faculty member (or project principal investigator) without the requirement of any further approvals and in accordance with clauses mentioned in Section 7.
- l. The faculty member will send a quarterly progress report to the research cell for projects spanning 6 months (1 progress report) to 1 year duration (3 progress reports) in the prescribed progress report format (Annexure 4).
- m. On completion of the project (cannot exceed 1 year), the faculty member will have to submit a research report / case (as applicable) to the research cell in hard and soft copy. The project will be deemed to have been completed upon submission of the report / case and teaching note (if applicable).
- n. No fresh applications will be accepted in the SGP unless reports of the previous projects have been submitted.
- o. The faculty member will retain publication rights on the work.

Figure 1 summarizes the entire project cycle which will have a maximum duration of 1 year.

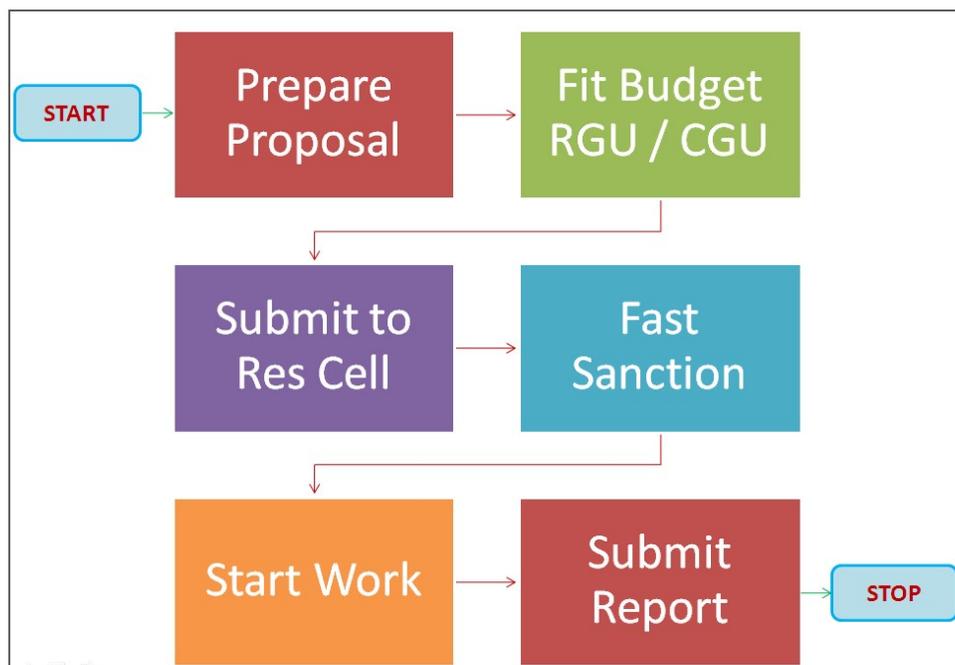


Figure 1 : Summary of project life cycle

6. Evaluation of Projects

Project projects submitted will be subjected to an internal (for CGU1, CGU2, RGU1) or external (for RGU2) blind review process. In case the review suggests acceptance with modifications, the same will be sent to the project proponent and the revised version of the proposal will be accepted without further review. The focus of the evaluation process will be to examine the project in the shortest possible time frame. The review process shall be conducted by the research cell and the identity of the reviewers will be kept confidential. Further, all the completed research projects will be evaluated by external evaluators and experts invited by IIFM for the purpose. All the PIs will be responsible for presenting their research projects and case outcome in the ANUSANDHAN (Research Seminar) which will be conducted by IIFM through Research Cell.

7. Under Release of Funds

Funds for approved projects shall be released as summarized in Table 4.

Table 4 : Schedule for release of fund

No	Grant Unit Type	Unit Amount INR	Fund Release Arrangement	Conditions for Release / Settlement
1	CGU 1	25,000	Transfer of total amount to faculty (PI) in one installment on request from PI	□PI settles accounts for ¾ th of the amount by submitting bills and vouchers within 3 months of withdrawal & rest on completion of project.
2	CGU 2	75,000	Transfer of total amount to faculty (PI) in 2 installments on request from PI.	<ul style="list-style-type: none"> • Release of second installment upon submitting bills and vouchers & settlement of accounts within 3 months of withdrawal. • PI settles 2nd installment amount by submitting bills and vouchers on completion of project.
3	RGU 1	2,50,000	PI will seek advance for work as required	<ul style="list-style-type: none"> • Settle advance by submitting bills and vouchers within 1 month of completion of activity. • Release of second advance upon submitting bills & vouchers (settle within 1 month after withdrawal) • PI settles last installment amount by submitting bills and vouchers on completion of project.
4	RGU 2	5,00,000	Same as RGU 1	Same as RGU 1

In addition to the above, the release of funds shall also be bound by the following:

- a. Advance / transfer of grant of an approved project duly notified to the finance section shall be granted on written request of the project lead or PI.
- b. Expenditure will be only as per budget heads as given in the approved proposal.
- c. The funding made available through the Small Grants Programme shall not be utilized to buy equipment of any kind. The money can however be used for paying for travel (as per entitlement), stay (as per entitlement), technical services like lab analysis, field data collection (including hiring of unskilled labour at prevalent minimum wages), data analysis, editing, report production and printing, photography, videography etc), Computer consumables (includes 2 pen drives), stationary, publication, hiring of vehicle, and hiring of project staff in accordance with budgeted expenditure as given in the approved proposal.
- d. The hiring of project staff on contract, if required by the project, shall be done following due process approved by the Institute for recruitment of temporary project staff.
- e. If students are hired as mentioned in section 4, the PI shall take a receipt of payment from the concerned student on the prescribed receipt proforma (Annexure 5) affixing a revenue stamp.
- f. All financial rules & regulations approved by the institute shall be followed by the PI.

8. Deliverables

During the execution of the project and on project completion, the project PI shall be responsible for the following:

- a. Timely submission of progress reports as detailed in 5(1)
- b. Timely submission of final report on completion of project (preferably in the last week of project completion) in hard (2 bound copies) and soft copy (PDF and Word Format on CD with project details inscribed). Extensions shall not be permitted.
- c. Settling of all outstanding accounts related to the project.
- d. Provide a copy of any publications out of the project to the research cell for records.

9. Rights and Privileges

The project investigator(s) will retain all rights for publishing papers in academic journals / book chapters/ popular articles or book with due acknowledgement to IIFM as the funding source. The institute has the right to disseminate the reports / cases as it deems fit attributing authorship to the project investigators. IIFM will also have the right to sell the project publications and cases.

10. Revisions

It is envisaged that the SGP manual may have to be revised from time to time (preferably annually) with experience gained in running the SGP. All revisions to this manual will be made by the Internal Research Advisory Committee with approval of the Director duly recorded.

Indicative length of proposal - 10 Pages or Less

1.	Case Title	<i>Title for your case study</i>												
2.	Investigators	<i>List all investigators and label one as PI (if applicable)</i>												
3.	Email of PI	<i>Provide official email of pi</i>												
4.	Broad Subject Discipline	<i>Example Marketing, Supply Chain, MIS, Forestry , HR</i>												
5.	Time frame for completion	<i>Example 3 months , Six Months , 1 Year</i>												
6.	Organization/Company Profiled <i>Name the company or organization or Event etc on which the case is based</i>	<i>Example – Dabur India Limited</i>												
7.	Target Audience <i>Case is meant for whom</i>	<i>Example postgraduate management students pursuing marketing or supply chain or organizational behavior course</i>												
8.	Teaching Objective <i>Bullet Points</i>	<i>Indicate what teaching objectives will the case meet – the core issues that the case will illustrate</i>												
9.	Outline of the Case <i>1-2 Pages</i>	<i>Details about what you are planning to write the case about and methods & techniques you are planning to use.</i>												
10.	Outline of Teaching Note <i>Bullet Points if applicable</i>	<i>Brief outline of what will be covered in the teaching note. Only Teaching cases need have a teaching note</i>												
11.	Grant Unit Applied For	<i>State whether you are applying for CGU 1 or CGU 2</i>												
12.	Budget <i>Provide detailed budget under individual expense heads. Purchase of equipment is not allowed. Items allowed are listed in 7(c, e). For indicative example see column to the right.</i>	<p><i>Present budget details in tabular form for selected CGU.</i> For Example :</p> <table border="1"> <thead> <tr> <th>No</th> <th>Expense Head</th> <th>Expenditure</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Travel & Stay</td> <td>15,000</td> </tr> <tr> <td>2</td> <td>Hiring Help for Data Analysis</td> <td>3,000</td> </tr> <tr> <td>3.</td> <td>Photography</td> <td>2,000</td> </tr> </tbody> </table>	No	Expense Head	Expenditure	1	Travel & Stay	15,000	2	Hiring Help for Data Analysis	3,000	3.	Photography	2,000
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13.	Timeline <i>Tabular Gantt chart of activities and completion times per activity. You can also include project milestones. For indicative example see column to the right.</i>	<i>Provide timeline of activities for duration chosen in 5.</i> For Example : <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>No</th> <th>Activity</th> <th>M1</th> <th>M2</th> <th>M3</th> <th>....</th> <th>....</th> <th>M12</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Literature Review</td> <td style="background-color: #cccccc;"></td> <td style="background-color: #cccccc;"></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>2</td> <td>First Interview</td> <td></td> <td></td> <td style="background-color: #cccccc;"></td> <td></td> <td></td> <td></td> </tr> <tr> <td>3</td> <td>Data Analysis</td> <td></td> <td></td> <td></td> <td style="background-color: #cccccc;"></td> <td style="background-color: #cccccc;"></td> <td></td> </tr> </tbody> </table>	No	Activity	M1	M2	M3	M12	1	Literature Review							2	First Interview							3	Data Analysis						
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Annexure 2

Research Project Proposal Template

Indicative length of proposal - 12 Pages or Less

1.	Project Title	<i>Title for your research project.</i>
2.	Investigators	<i>List all investigators and label one as PI (if applicable)</i>
3.	Email of PI	<i>Provide official email of PI</i>
4.	Broad Subject Discipline	<i>Example Marketing, Supply Chain, MIS, Forestry , HR</i>
5.	Grant Unit Applied For	<i>State whether you are applying for RGU 1 or RGU 2</i>
6.	Time frame for completion	<i>Example 3 months , Six Months , 1 Year</i>
7.	Proposal Summary <i>About 100 – 150 words</i>	<i>Please provide a quick overview your research idea and what you want to do</i>
9.	Introduction <i>1 Page</i>	<i>Please crisply provide an introduction with the following :</i> <ul style="list-style-type: none"> • <i>Project Context (briefly)</i> • <i>Current Knowledge Gaps</i> • <i>How this research will fill those gaps</i> • <i>Research questions that you wish to answer</i>
10.	Literature Review <i>(1-2 Pages)</i>	<input type="checkbox"/> <i>Brief but accurate Literature Review</i>
11.	Location or Study Area	<i>Briefly describe your study area</i>
12.	Methodology <i>1 Page</i>	<i>Accurately describe methodology you propose to use</i>

13.	<p>Budget Provide detailed budget under individual expense heads. Purchase of equipment is not allowed. Items allowed are listed in 7(c, e). For indicative example see column to the right.</p>	<p>Present budget details in tabular form for selected RGU.</p> <table border="1" data-bbox="760 279 1414 558"> <thead> <tr> <th>No</th> <th>Expense Head</th> <th>Expenditure in INR</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Travel & Stay</td> <td>15,000</td> </tr> <tr> <td>2</td> <td>Hiring Help for Data Analysis</td> <td>3,000</td> </tr> <tr> <td>3.</td> <td>Photography</td> <td>2,000</td> </tr> </tbody> </table>	No	Expense Head	Expenditure in INR	1	Travel & Stay	15,000	2	Hiring Help for Data Analysis	3,000	3.	Photography	2,000																				
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15.	<p>Conclusion 1 Paragraph</p>	<p>How this research is likely to contribute to advancement of knowledge.</p>																																
16	<p>References</p>	<p>APA Style</p>																																

Annexure 3

Grant Acceptance Form Template

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GRANT ACCEPTANCE FORM

In response to my/our proposal for case Study / Research project titled

for funding by IIFM under its Small Grants Programme, I/ We accept the award of funding as approved starting from _____ and ending on _____.

I/We agree to abide by applicable institutional rules and agree to make all efforts to submit project deliverables as per time schedule given in the approved project proposal.

Date:

Name:

(Signature of PI)

Designation:

Name & Signature of Team Members if applicable

SNo	Name of Team Member	Official Designation	Signature
1			
2			
3			
4			

Annexure 4

Progress Report Template

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PROGRESS REPORT FORM

1	Project ID <i>Please quote project ID for this project</i>			
2	Project Title			
3	Name of PI & Investigators			
4	Progress Report Quarter <i>Tick as appropriate</i>	Q1 Period From :	To:	<input type="checkbox"/>
		Q2 Period From :	To:	<input type="checkbox"/>
		Q3 Period From :	To:	<input type="checkbox"/>
5.	Expenditure Incurred till date <i>How much money has been spent until now</i>			
6.	Progress of work done <i>Please use bullet points and extend as required clearly detailing progress achieved till date</i>			
7.	Is progress satisfactory and as per schedule <i>Please compare progress to timeline</i>			
8.	Names and Signature of PI and team members			

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RECEIPT

Received with thanks an amount of Rs. _____ from _____
by Cash / Cheque (Number & Bank: _____) for services rendered on account of:

No.	Particulars	Duration of Engagement in Hours	Emolument per Hour	Total
1	Literature Review			
2	Data Collection			
3	Data Analysis			
4				
5				
6				
7				
8				

Date:

(Signature)

Full Name:

Roll Number:

Affix
Revenue
Stamp here
& Sign

Course:

Batch:

Document Revision History

All revisions to this document must be documented on this sheet in accordance with section 10.

SNO	Version	Author	Date	Summary of Changes Made
1.	1.00	Dr. C.S. Rathore	10-3-2014	Document originally drafted
2.	2.00	Dr.B.K.Upadhyay	01-05-2017	<ul style="list-style-type: none"> • First revised Version to Original Document • Research fund revised • Process of evaluation specified
3.				
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