Proformae and Guidelines for Research Project Proposal, Monitoring and Evaluation

Indian Council of Agricultural Research

PO
ICAR Formats
30/9

ANNEXURE - I

INDIAN COUNCIL OF AGRICULTURAL RESEARCH

PROFORMA FOR PREPARATION OF STATUS REPORT FOR PROPOSAL OF A NEW RESEARCH PROJECT

(Refer for Guidelines ANNEXURE-XI(A))

1. Institute Name
2. Title of the project
3. Type of research project: Basic/Applied/Extension/Farmer Participatory/Other (specify)
4. Genesis and rationale of the project
5. Knowledge/Technology gaps and justification for taking up the present project
6. Critical review of present status of the technology at national and international levels along with complete references
7. Brief note on Proprietary/Patent Perspective (for projects related to technology development)/Ethics/Animal Welfare/Bio Safety Issues
8. (a) Expected output
   i.
   ii.

   (b) Clientele/Stake holders (including economic and socio aspects)
   i.
   ii.

8. Signatures

   [Project Leader] [Co-PIs] .....

9. Comments and signature

[Head of Division]

ANNEXURE- II

INDIAN COUNCIL OF AGRICULTURAL RESEARCH

RESEARCH PROJECT PROPOSAL PROFORMA FOR INITIATION OF A RESEARCH PROJECT (RPP - I)

(Refer for Guidelines ANNEXURE-XI (B))

1. Institute Project Code (to be provided by PME Cell)
2. Project Title
3. Key Words
4. (a) Name of the Lead Institute

   (b) Name of Division/ Regional Center/ Section

5. (a) Name of the Collaborating Institute(s), if any

   (b) Name of Division/ Regional Center/ Section of Collaborating Institute(s)

6. Project Team(Name(s) and designation of PI, CC-PI and all project Co-PIs, with time proposed to be spent)

S. No.	Name, designation and institute	Status in the project (PI/CC-PI/ Co-PI)	Time to be spent (%)	Work components to be assigned to individual scientist

7. Priority Area to which the project belongs

   (If not already in the priority area, give justification)

8. Project Duration: Date of Start: Likely Date of Completion:
9. (a) Objectives

   (b) Practical utility

10. Activities and outputs details

Objective wise	Activity	Month & Year of		Output monitorable target(s)	% to be carried out in different years			Scientist(s) responsible
		Start	Comp-letion		1	2	..	
1.	1							
	2							
	.							
2.	.	.						

11. Technical Programme (brief)
(a) Material
(b) Techniques/Methodology
(c) Instrumentation
(d) Special material
(e) Analytical tools

12. Financial Implications (` in Lakhs)

(A) Financed by the institute

12.1 Manpower (Salaries / Wages)

S. No.	Staff Category	Man months	Cost
1.	Scientific		
2.	Technical		
3.	Supporting		
4.	SRFs/RAs		
5.	Contractual		
	Total		

12.2 Research/Recurring Contingency

S. No.	Item	Year(1)	Year (2)	Year (3)...	Total
1.	Consumables				
2.	Travel				
3.	Field Preparation/ Planting/ Harvesting (Man-days/costs)				
4.	Inter-cultivation & Dressing (Man-days/costs)				
5.	Animal/Green house/Computer Systems/Machinery Maintenance				
6.	Miscellaneous(Other costs)				
	Total(Recurring)				

Justification : ----------

12.3 Non-recurring (Equipment)

S. No.	Item	Year (1)	Year (2)	Year (3)...	Total
1.					
2.					
.					
	Total (Non-recurring)				

Justification : ----------

12.4 Any Other Special Facility required (including cost)

12.5 Grand Total (12.1 to 12.4)

Item	Year (1)	Year (2)	Year (3)…	Total
Grand Total				

(B) Financed by an organization other than the Institute (if applicable)

(i) Name of Financing Organization

(ii) Total Budget of the Project

(iii) Budget details

S. No.	Item	Year(1)	Year(2)	Year (3)…	Total
1	Recurring Contingency				
	Travelling Allowance				
	Workshops				
	Contractual Services/ Salaries				
	Operational Cost				
	Consumables				
2	Non - Recurring Contingency				
	Equipment				
	Furniture				
	Vehicle				
	Others (Miscellaneous)				
3	HRD Component				
	Training				
	Consultancy				
4	Works (i) New (ii) Renovation				
5	Institutional Charges				

13. Expected Output
14. Expected Benefits in Economic Terms
15. Risk Analysis
16. Signature

Project Leader Co-PI-I Co-PI-II … Co-PI–n

17. Signature of HoD
18. Signature of JD (R)/ Director

ANNEXURE - III

INDIAN COUNCIL OF AGRICULTURAL RESEARCH

CHECKLIST FOR SUBMISSION OF RPP-I

(Refer for Guidelines ANNEXURE-XI(C))

1. Project Title
2. Date of Start & Duration
3. Institute Project ☐ or Externally Funded ☐
4. Estimated Cost of the Project : _____
5. Project Presented in the Divisional/Institutional Seminar? Yes / No
6. Have suggested modifications incorporated? Yes / No
7. Status Report enclosed Yes / No
8. Details of work load of investigators in approved ongoing projects:

Project Leader				Co-PI – I				Co-PI – II…
Proj. Code.	% Time spent	Date of start	Date of compl-etion	Proj. Code.	% Time spent	Date of start	Date of completion	.....

9. Work Plan/Activity Chart enclosed Yes / No
10. Included in Institute Plan Activity Yes / No
11. Any previous Institute/Adhoc/Foreign aided projects on similar lines? Yes / No
12. New equipment required for the project Yes / No
13. Funds available for new equipment Yes / No
14. Signatures

Project Leader Co-PI-I Co-PI-II … Co-PI–n

HOD/PD/I/c

ANNEXURE – XI(A)

GUIDELINES FOR FILLING - PROFORMA FOR PREPARATION OF STATUS REPORT FOR PROPOSAL OF A NEW RESEARCH PROJECT

1. Title of the project

   The word Project means "a piece of research work on specified and well- defined problem, limited in scope of its objectives and designed to be completed in a given length of time". The title should indicate the nature of problem to be dealt with, as precisely as possible, in a few words. It must be an indicative of the precise problem to be undertaken and not a problem in general.

2. Type of research project: Basic/Applied/Extension/Farmer Participatory/Other (specify)

   Self explanatory

3. Genesis and rationale of the project

   Genesis means "birth," "creation," "cause," "beginning," "source," and "origin" of a research project.

   Rationale means fundamental reasons or basis of taking the project.

4. Knowledge/Technology gaps and justification for taking up the present project

   Self explanatory

5. Critical review of present status of the technology at national and international levels along with complete references.

   Compulsive consultation and identified linkage establishment.

   Research projects are often born out of original thinking of scientists. However, each project concept has to be viewed in terms of available science concerning the project both at the national and international level. The project expected outcome needs to be delivered on the basis of

   (a) Hypothesis setting
   (b) Developing a null hypothesis
   (c) Evaluating the current literature
   (d) Identifying the research knowledge gaps and researchable areas
   (e) Justifying the envisaged research
   (f) Techniques and technologies being used for the envisaged research project need to be reviewed with respect to the techniques and technologies used earlier.

(g) Stakeholders and methods to involve stakeholders in formulation and implementation/delivery of research results

A critical analysis of the data should lead towards the synthesis of the new project. A criterion/reason for such interpretation should be illustrative as well as expressive.

6. Brief note on Proprietary/Patent Perspective (for projects related to technology development)/Ethics/Animal Welfare/Bio Safety Issues

Self explanatory

7. (a) Expected output (in bulleted form)
   i.
   ii.
   .

   (b) Clientele/Stake holders (including economic and socio aspects)
   i.
   ii.
   .

   The technology will be appropriated and suitable to whom and what will be the broad implications if any.

8. Signatures

   [Project Leader] [Co-PIs] .....

9. Comments* and signature

*[Head of Division]

* Head of Division will comment keeping following in view:

(a) Does the research project addresses important activities of the division?
(b) Is the title of the project in conformity to the expected output and analytical gaps identified by the investigator?
(c) Does the methodology answers the hypothesis set up?
(d) Is the research project technical programme/methodology suited to answer the questions?

ANNEXURE-XI(B)

GUIDELINES FOR FILLING - RESEARCH PROJECT PROPOSAL PROFORMA FOR INITIATION OF A RESEARCH PROJECT (RPP -I)

1. **Institute Project Code** (to be provided by PME Cell)

The institute code would be generated as a linear combination of the items (a) to (f) as given below. The procedure for generation will be as follows:

(a) Subject matter division of ICAR code, to which the institute belongs

S. No.	Subject Matter Division of ICAR	Code
i.	Crop Sciences	CRSC
ii.	Horticulture	HORT
iii.	Natural Resource Management	NRMA
iv.	Agricultural Engineering	AGEN
v.	Animal Science	ANSC
vi.	Fisheries	FISH
vii.	Agricultural Education	AGED
viii.	Agricultural Extension	AGEX

Since Directorate of Knowledge Management in Agriculture (DKMA) is under DG, ICAR, the code for the SMD for DKMA will be ICAR.

(b) Institute Acronym - As defined by the Institute/ICAR for its identification

(c) Project Type - X_1 X_2 X_3 (Three letters)

X_1: Intra Institutional (S)
or
Inter Institutional (C)

X_2: Institute Funded (I)
or
Externally Funded (O)
or
Consultancy (C)

X_3: Institute is Leader (L)
or
Institute is Partner (P)

(d) Year of start - Four digits number

(e) Project number allocated for the year – Three digits number

(f) Cumulative project number - Five digits number

Example: Project code for an Inter Institutional Project which is Externally Funded with Lead Centre at Indian Agricultural Statistics Research Institute (IASRI) starting in the year 2011 and it is the 4th project to start in 2011 and 329th till date will be:

AGENIASRICOL201100400329

The institute project code is specific identification particular for a project within an institution where the project is being undertaken to facilitate the work of PME Cell. The software implementation for data entry/retrieval at the national level will be a special software application which will have its own unique code generated for authorised entry into the system. Software implementation will provide on-line data entry/retrieval/search/ reports for RPP I, II and III.

2. Project Title

As defined under the guidelines on the proforma for Status Report for Proposal of a New Project

3. Key Words

Specify keywords (5 to 8) relevant to the project objectives and outcomes. Generally, keywords can be defined as a word or words identifying various activities related to the research project. The keywords may also identify the content of the project. At least one keyword should be indicative of the discipline.

4. (a) Name of the Lead Institute

Generally this is the name of the institute, where the PI of the project is located and major activities of the project will be executed.

(b) Name of Division/ Regional Center/ Section

To further illustrate the research workers working at the Regional Stations/Sub-stations of the main Research Institute, write the name of the parent Institute to which this Station belongs and are generally under the control of the Lead Institute.

5. (a) Name of the Collaborating Institute(s), if any

The name of the institute(s), who will be collaborating with the Lead Institute where the CC-PI of the project is located and where some of the activities of the project will be executed.

(b) Name of Division/ Regional Center/ Section of Collaborating Institute(s)

To further illustrate the research workers working at the Regional Stations/Sub-stations of the main Research Institute, and are under the control of the Collaborating Institute(s) where the activities will be executed.

6. **Project Team(Name(s) and designation of PI, CC-PI and all project Co-PIs, with time proposed to be spent)**

S. No.	Name, designation and institute	Status in the project (PI/CC-PI/ Co-PI)	*Time to be spent (%)	#Work components to be assigned to individual scientist

*Time to be spent (%) means the percentage of the time an individual scientist will devote for the project.

#Work components to be assigned to individual scientist: Briefly indicate the responsibilities of the (PI/CC-PI/Co-PI) in the project

7. **Priority Area to which the project belongs**

(If area is not under already identified priority areas of the Institute, give justification)

In general priority areas of research of an institute are well defined and listed in the Plan Document of the Institute. If not already in the priority area, give justification for taking research project out of priority area.

8. **Project Duration:** Date of Start: Likely Date of Completion:

Indicate the actual proposed date of start and likely date of completion of the project.

9. **(a) Objectives**

It is a complete and logically arranged statement of the objectives of the study specifying briefly the aims and goals of the project.

(b) Practical utility

10. **Activities and outputs details**

Objective wise	Activity	Month & Year of		Output monitorable target(s)	% to be carried out in different years			Scientist(s) responsible
		Start	Comp-letion		1	2	..	
1.	1							
	2							
	.							
2.	.	.						

Activities and outputs details need to be proposed year wise for different objectives including all the associated activities with time frame, monitorable targets and the scientists responsible for the same.

Objective: For each objective, the proposed activities need to be specifically mentioned

Activities: For all activities with respect to a given objective, the Month & Year of Start and Month & Year of Completion need to be proposed.

Output monitorable target(s): As per the objectives of the proposed project, define monitorable scientific/technical targets for each activity. These targets may be the outcome of different research activities under taken for achieving the expected goals with their respective time frame. More over while defining the monitorable targets, the following must be taken into consideration:

- Scientific/Technical achievements
- Questions Attempted to be answered
- Anticipated Process/ Products/ Produce/ Technology/ Technique/ Software/ Knowledge Expected to be developed/ refined/ evolved by Pursuing the Project
- Anticipated Results/ Benefits etc.

% to be carried out in different years: For example an activity may be proposed to start in first year and may be completed in second year. For the proposed activity 30% work may be proposed to be completed in the first year and remaining 70% will be completed in the second year. Similarly some other activity may start in second year and may be 100% completed in the same year or 50% and 50% may be completed in two years like second year and third year.

Scientist(s) responsible: Name of the scientist(s) associated in the activity for achieving the Output monitorable target

11. **Technical Programme** (indicate briefly methodology, techniques, instruments, environments, special material and analytical tools etc.)

    a. Material
    b. Techniques/Methodology
    c. Instrumentation
    d. Special material
    e. Analytical tools

The detailed material, methodology, and techniques etc. that may be used for performing the different activities to achieve the objectives.

Different instruments, environment, materials and analytical tools that may be required for executing the different activities defined in the project proposal.

12. Financial Implications (` in Lakhs)

(A) **Financed by the institute**

12.1 **Manpower (Salaries / Wages)**

S. No.	Staff Category	*Man months	**Cost
1.	Scientific		
2.	Technical		
3.	Supporting		
4.	SRFs/RAs		
5.	Contractual		
	Total		

***Man Months:** For scientific staff category, it is the total scientific man-months required for completion of the proposed project, e.g. if the project has been envisaged to be completed in two years (24 months) and 3 scientists are required to work and each will be devoting 25% of his total time, the total man-months would work out to be 24 x 3 x 0.25 = 18. The same is also applicable for other categories of staff.

****Cost:** The estimated cost of manpower (salaries/wages) of all staff category need to be estimated on the basis of man month involvement in the project of the respective staff category.

12.2 **Research/Recurring Contingency**

Self Explanatory…

S. No.	Item	Year(1)	Year (2)	Year (3)…	Total
1.	Consumables				
2.	Travel				
3.	Field Preparation/ Planting/ Harvesting (Man-days/costs)				
4.	Inter-cultivation & Dressing (Man-days/costs)				
5.	Animal/Green house/Computer Systems/Machinery Maintenance				
6.	Miscellaneous(Other costs)				
	Total(Recurring)				

Justification: ----------

12.3 **Non-recurring (Equipments)**

Self Explanatory…

S. No.	Item(s)	Year (1)	Year (2)	Year (3)…	Total
1.					
.					
	Total (Non-recurring)				

Justification: ----------

12.4 **Any other Special Facility (s) required (including cost)**

The facilities that may not be existing / available at the institute and are essentially required for execution of the activities proposed in the project need to be specifically mentioned.

12.6 **Grand Total (12.1 to 12.4)**

Item(s)	Year (1)	Year (2)	Year (3)…	Total
Grand Total				

Grand Total will indicate total amount that may be spent for the proposed duration of the Project on account of staff salaries, specified man-months, scientific equipments to be purchased, and other recurring and non-recurring expenditure.

(B) **Financed by an Organization other than the Institute (if applicable)**

Self Explanatory…

(i) Name of Financing Organization
(ii) Total Budget of the Project
(iii) Budget details:

S. No.	Item	Year(1)	Year(2)	Year (3)…	Total
1	**Recurring Contingency**				
	Travelling Allowance				
	Workshops				
	Contractual Services/ Salaries				
	Operational Cost				
	Consumables				
2	**Non - Recurring Contingency**				
	Equipment				
	Furniture				
	Vehicle				
	Others (Miscellaneous)				

3	**HRD Component**				
	Training				
	Consultancy				
4	**Works:** (i) New (ii) Renovation				
5	Institutional Charges				

13. Expected Output

Define in brief the expected output on completion of the proposed project. Due consideration to the following, if applicable, may be given while defining the expected output.

- Scientific/Technical achievements
- Questions Attempted to be Answered
- Anticipated Process/ Products/ Produce/ Technology/ Technique/ Software/ Knowledge Expected to be developed/ refined/ evolved by Pursuing the Project
- Anticipated Results/ Benefits etc.

14. Expected Benefits in Economic Terms

Expected benefits quantifiable in monetary terms from the output generated from the proposed project. It may be improvement in productivity/ production efficiency, important substitution, reduction in cost of a process/technology, savings due reduction use of fertilizers/pesticides etc.

15. Risk Analysis

There are basically two important aspects of risk – risk involved in not taking a research project and the other being risk associated while execution of the project.

There are risks, harms, costs and benefits that arise in research that need to be assessed as it enables researchers, reviewers, and funders to decide whether the research is worth doing at all, and whether it could be made less risky. It would help in taking an informed decision. The key risks for an institution may include reputational damage and legal and/or financial liability. It is useful to think about harm-benefit during the early stages of planning a study, when it is still fairly easy to redesign the study to reduce risks. Risk analysis also involves identifying the most probable threats that may be encountered during the execution of the proposed project. We may also have to evaluate existing scientific, technical, physical, financial and/or environmental facilities available with the participating institute(s).

16. Signature of PI, CC-PI(s), all Co-PIs

17. Signature of HoD

18. Signature of JD (R)/ Director

ANNEXURE-XI(C)

GUIDELINES FOR FILLING - CHECKLIST FOR SUBMISSION OF RPP-I

1. Project Title (Self explanatory)
2. Date of Start & Duration (Self explanatory)
3. Institute Project ☐ or Externally Funded ☐
4. Estimated Cost of the Project : _____
5. Project Presented in the Divisional/Institutional Seminar? Yes / No
6. Have suggested modifications incorporated? Yes / No
7. Status Report enclosed Yes / No
8. Details of work load of investigators in approved ongoing projects:

   In the following table, the details of work load of investigators involvement in all other approved ongoing projects (institute funded/externally funded) in terms of % Time spent and duration in the respective projects need to be specifically mentioned so that total research workload of individual scientist may be assessed.

Project Leader				Co-PI – I				Co-PI – II…
Proj. Code.	% Time spent	Date of start	Date of compl-etion	Proj. Code.	% Time spent	Date of start	Date of completion	.....

9. Work Plan/Activity Chart enclosed Yes / No
10. Included in Institute Plan Activity Yes / No
11. Any previous Institute/Adhoc/Foreign aided projects on similar lines? Yes / No
12. New equipment required for the project Yes / No
13. Funds available for new equipment Yes / No
14. Signatures

    Project Leader Co-PI-I Co-PI-II … Co-PI–n

    HOD/PD/I/c