



STANDARD OPERATING PROCEDURE

GRANT SECTION, GUJARAT UNIVERSITY, AHMEDABAD

I. Forwarding Research Project proposals

- Identify the Subject of the Research
- Identify the funding agency which will finance this research
- Add 10% of total cost of project as Institutional Charges/Overheads in the financial proposal towards institutional charges wherever the guidelines permits.
- Download the guidelines for preparing the proposal from the Website of the Funding Agency (F.A)
- Prepare the research proposal
- Submit the proposal with required number of copies to the Grant section through proper channel through HOD and Director of School for taking the signature of the Registrar /VC
- Always keep one extra original copy of the proposal for the Section, for keeping the record.
- After the approval of Hon VC the proposal will be forwarded by normal post to the Funding Agency with Registrar's/Director's signature.
- If the proposal is to be sent by the individual, inform the section in advance.
- Submit an office copy of the proposal in the Grant Section for keeping the record.
- Consent letter from duly authorised authority form the institute of Co-PI, if any Co-PI/ Co-Investigator involved from other institute.

The entire Individual Research proposals/Departmental proposal shall be signed and forwarded to the Registrar for approval of the competent authority from the Grant section. Necessary certificate / Forwarding letter be issued as per the format of Funding agency, if there exist specific requirement.

The formalities should be completed within ten working days, if proposal is found fit as per the University norms. If proposal is to be submitted on-line, PI has to upload the proposal once it is forwarded by the University.

II. Procedures after receiving the Project

- Always write a covering letter to the University addressed to “The Registrar, Gujarat University, Grant Section.
- All the letters must be sent through proper channel i.e. through HOD /Director.
- Letters from the Research Scholars/fellows/women scientist be signed by Mentor /Guide /PI and sent through proper channel.
- Formats of the Funding Agency which requires Head of the Institution’s (Registrar) Signature must also be counter signed by Mentor/Guide/PI, HOD and Director.
- Make three copies of all the letters/formats to be sent to Funding Agency.
- As funding agency transfers fund in to Registrar’s Account, the Account section has to inform concern PI/Coordinator/HOD within three working days of payment received by the University.
- Account section has to generate Budget Code for the Scheme within a weeks time and inform concern PI/Coordinator/HOD. To reduce administrative burden/ delay, this is to be done at account section.

III. Permission for implementation of the project.

After receiving the sanction letter from the Funding Agency, send a letter to the University in (in Grant Section) addressed to The Registrar, through proper channel (i.e. through HOD and Director of school) requesting to give permission for implementing the sanctioned research project. Kindly attach a copy of the sanction letter.

If there is a Co-principal Investigator appointed by the Funding Agency then his/her signature is also required on the letter addressed to the University.

In case Person who is not the University Employees receives a project and he/she wishes to work in the University, then a permanent teacher mentor of the University will have to take the administrative and financial responsibility of the project and a letter to that effect must be sent to the University through proper channel for accepting the project.

The approval for the implementation all projects will be taken from Hon. Vice Chancellor and/or Executive Council once the grant is received by the University.

III a. Acceptance Letter to the Funding Agency.

You are requested to send the Acceptance Letter to the Funding Agency including the date implementation of the project. Kindly send it after taking HOD and Director’s signature in two original copies to the University for taking signature of the Registrar. The covering letter from the P.I. requesting to do the needful must also be sent through proper channel to the Registrar.

III b. Opening an account

1. As per the Guidelines for implementation of Research Project in the University duly approved by Executive Council dated 13/6/2018, Resolution No. 4 & Finance Committee dated 22/3/2018, Resolution No. 13 the permission to open the bank account is given to all the PIs vide Circular No. Hisab/Acc-2/Grant/15626/2018 dtd. 25/7/2018.

2. Approach the Bank to open the Account in the name of Project or a suitable name appropriate to the project/scheme.
3. Inform the Accounts Section and Grant Section about the details of account opened. Also send a copy of the first page of the Pass book.
4. Provide the detail Inform regarding the name(s) of signatory and their signature(s) to the account section.

III c. Transfer of Funds to the Project Account

Once the account in the name of the Project is opened, kindly send a letter for the transfer of funds to the Grant Section. After the approval from the Competent Authority, this approval has to be submitted to the Chief Accounts Officer, Account Section for the transfer of Funds to the respective account.

III d. Appointing Project Staff/Project Fellow/JRF/Research Associate etc

i). Procedure for Appointing Project Fellow/JRF/SRF/RA etc :

- Issue notification with qualifications/remunerations as per guidelines/directives of the Funding Agency including the duration of the appointment.
- Mention in the notification that this is a temporary project based appointment and co-terminus with the project.
- UGC Guidelines is to be followed if no directives about the qualifications of the staff is given by the Funding Agency.
- If the NET qualified candidates (JRF) are not available, then the position can be filled by candidates with lesser qualifications, however, in that case the nomenclature of the post should be Project Fellow or Project Assistant or as stated by the Funding Agency depending on the remuneration as stated by the Funding Agency.
- Please send notifications to The Director, Rollwala Computer Centre for its up-load on the Gujarat University web site.
- Please send notifications to the concerned department of other University.
- Notification can be published in the Employment News/University Website/Newspaper/etc and the expenditure can be charged against Contingency / overhead budget head of the project.
- Call Selection committee after one month of notification.(advisable)
- Members on the Selection Committee
 - **Director of the School /Dean (Chairperson)**
 - Head of the Department
 - Principal Investigator/Co- Investigator
 - Two experts (as per guidelines of the project/Nominated by Hon. Vice-Chancellor)

Prepare the Summary statement of the candidates including the name, qualifications, experience and eligibility of all the candidates whose application is received. The comment of P.I. and Co-PI regarding eligibility of the candidate is preferred.

- Send the proceedings of the candidate to the University for approval by the Hon. Vice-Chancellor with following documents

- Copy of the notification
- List where the notification was sent (Signed copy is preferred)
- Summary statement of the candidates
- True copy/self attested credentials of the selected candidate
- Selection Committee' s Report /Minutes in original with signature of all the members
- Name of waitlisted candidates, if any
- True copy/self attested credentials of the waitlisted candidate.

Waitlisted candidates can be appointed as per the priority list in case the selected candidate is unable to join due to any reason or resign within one year of joining due to any reason. The tenure of wait listed candidates is considered to be the duration of the project. However, PI and Co-PI can go for fresh announcement, if they feel so.

After receiving the approval from the University, PI can ask the recommended Project Fellow to join within stipulated time by sending an official appointment letter.

Send joining report of the candidate to the University.

ii). Procedure for Appointing Part Time Accountant/Secretarial Assistant/ Peon and Technical Staff etc

PI/Co-ordinators can hire the secretarial assistance required for administrative, accounts and technical work of the project through selection committee or hire the University appointed(temporary) staff, in case there is a provision of such funds of such positions in the Project and its Guidelines.

The modalities for the utilization of research funds under the head of 'hiring services' are as under:-

- Stenographic services may be hired for the purpose of preparation of questionnaire/schedule or report writing and not for routine correspondence.
- Skilled/unskilled workers may be engaged on daily wages for expedition, field work only and not as a peon, attendant, lab attendant, clerk, accountant etc.
- Those principal Investigators who have not been given any research personnel on a regular basis, may hire a person for technical assistance and the person so engaged must fulfil the qualifications prescribed for Project Fellow. He/she may be paid remuneration with the Project Fellow, limited to a maximum of 6 month in the total tenure of the project however as per provisions in the Project and within the Project Guidelines.

IV. Purchase Procedures

- The purchase of Equipments has to be as per Ordinance 62-D of the Gujarat University Act and with the Approval of Finance Committee and Executive Council.

Finance Committee Resolution 2 dtd. 31/7/2014 &Executive Council 10dtd22/8/2014.

Finance Committee Resolution 5dtd.26/8/2016 &Executive Council23 dtd 14/10/2016.

Finance Committee Resolution 12 dtd. 1/6/2017 &Executive Council 6dtd. 10/6/2017.

- For the purchase of the Equipments of Rs. 5,00,000/- and/or above ,you are required to go for E- Tendering. Please take approval of Competent Authority for constituting a committee for opening Technical and Commercial Bid. After approval of the Technical Committee, kindly send the Comparative Statements to Grant Section for further approval of the Competent Authority and approval of Finance Committee and Executive Council.
- The purchase of Chemicals and Glasswares has to as per the Rate Contract (RC) done by the University. If the chemical is not listed in the the RC, then as per Ordinance 62-D.
- The purchase of the Books & Journals has to be done through the Librarian through Library Committee.
- The Equipments and Books & Journals should be procured as soon as possible for the smooth implementation of the projects.
- Please consult the Chief Accounts Officer, Accounts – Stores and Audit Section also before processing the major purchases in order to avoid unnecessary delays and wrong procedures.
- Onlythose approved equipment as per the sanction order and proposal should be procured. In case any changes are required in the list of approved equipment, take permission from the Funding Agency.
- The escalations in the cost of equipments can be met by re-appropriating from the savings of the other head after taking due permissions from the Funding Agency and University.
- The equipments purchased under the projects are the property of the Department which should be kept in the laboratory or deposited in the department.
- The books and Journals purchased under the project must be deposited in the Departmental library or Central Library after completion of the project.
- An Asset Register has to be maintained by the PI at the Departmental Level. Also the entries are to be made in the Departmental Dead Stock Register.
- A Log Book has to be maintained at the Department for the usages of the Equipments.
- No dead stock items can be purchased under contingency/consumable heads.

Head of the Department (HOD) has power to sanction all normal expenditure pertaining to his Department/laboratory equipments and chemicals uptoRs. 5000/- without inviting tenders/ quotations and upto Rs.10000/- after inviting tenders or quotations once in a month.

The bills has to be submitted directed to Accounts and Audit Section for payment procedure.

Director /Principal Investigator has power to sanction all normal expenditure uptoRs. 10000/- without inviting tenders/ quotations and upto Rs.20000/- after inviting tenders or quotations twice in a month.

The bills has to be submitted directed to Accounts and Audit Section for payment procedure.

Registrar has power to sanction all normal expenditure uptoRs. 15000/- without inviting tenders/ quotations and upto Rs.35000/- after inviting tenders or quotations.

In such cases send inquiry to at least 4 vendors along with required specifications of the item asking them to send the quotations by a certain date and time in sealed envelopes through courier/post/website. Open the received quotations by a committee consisting of Directors/HODs/PI/Professors from which the School of Sciences (at least 2 members of other Department). Take signature with dates of these members on the envelope and the quotations. Prepare a comparative statement. Forward this to the Grant Section for the approval. After the approval from the Competent Authority, go for the purchase and send the bills for the payment to Accounts Section along with the original documents.

Pro-Vice chancellor has power to sanction all normal expenditure upto Rs. 25000/- without inviting tenders and upto Rs.60000/- after inviting tenders or quotations.

In such cases send inquiry to at least 4 vendors along with required specifications of the item asking them to send the quotations by a certain date and time in sealed envelopes through courier/post/website. Open the received quotations by a committee consisting of Directors/HODs/PI/Professors. Take signature with dates of these members on the envelope and the quotations. Prepare a comparative statement. Forward this to the Grant Section for the approval. After the approval from the Competent Authority, go for the purchase and send the bills for the payment to Accounts Section.

Vice chancellor has power to sanction all normal expenditure upto Rs. 1,00,000/- without inviting tenders and upto Rs.5,00,000/- after inviting tenders or quotations.

Please follow the same procedure of floating the inquiry and opening the quotations. Before placing the order directly, send all the documents to the Grant section for taking the approval of competent authority. Place the bills along with the University letter and all the required documents to Accounts Section.

NOTE:

The items purchased through E- Tender must be invited in two bid system. The mandate and formalities of funding agency are to be observed.

An Asset Register has to be maintained for the Project at the Department level by the PI and should be produced before the Funding Agency, whenever required.

The details of purchased has to be maintained also in the Dead Stock register of the Department by the PI.

V.Travel

Travel under the Research Projects is allowed for the following

- For data collection related to projects to PI/Co-PI/ Project Fellow/JRF/SRF
- For visiting Libraries, institutes within the country to collect information
- For attending Conference / Seminar / Workshop / Training Programme etc, if permissible by the funding agency for presenting a paper.
- For inviting subject experts for the selection committee
- For inviting other experts to discuss the project work
- For attending mid term reviews of the project

No International Travel is allowed unless specified by the Funding AGENCY.

The procedure for taking permissions for undertaking travel has to be taken from the Grant Section with approval of the Competent Authority.

Travelling Allowance as per entitlement, Dearness allowance, Registration fees of the conference / seminars etc and other miscellaneous expenditure can be charged under the 'Travel' and 'Contingency' Head for PI and project Staff, which deemed fit.

DA to the permanent employees of the University working on a project be given as per Government of Gujarat rules.

PI/CO-PI/CO-ordinators /JRF/SRF/RA/PDF and other project staff can avail the lodging and boarding charges (on providing the receipt) as per Executive Council Resolution No. 15/2/2013 based on the Government of Gujarat Resolution of DA.

For travel within the city of visit, the reimbursement be done on the basis of actual receipt.

NOTE:

- It is preferred that the travel is well planned and prior permissions are taken from the competent authorities.
- Post facto permission can also be sought with proper justification.

VI.University Management ChargesOverhead Charges

- From the overhead charges, 30% will be given to University towards the Educational Development fund or for paying the University utilities bills.20% will be given to the concern Departmental Development fund or for enhancing the general requirements of the department. 50% overhead charges shall be at the disposal of the Principal Investigator.
- The funds under this head should be utilized by the Principal Investigator during the tenure of the project. Any unspent amount from the 50% share of Principal Investigator after this period shall be transferred to the Educational Development fund of the University.

The following expenses can be made by the PI from the 50% share of the overhead charges.

- Cost of advertisements for project position or tender for equipments as well as other notices.
- Payment of Bills of Chartered Accountant for Utilisation Certificate.
- Laboratory maintenance and renovation, purchase of small furniture, minor equipment costing up to Rs.50,000/- computer items, repair of existing furniture, up gradation of laboratory including flooring, interiors, water, electricity connections including labour charges, voltage stabilizers, UPS etc. This work has to be done through University approved agencies preferably through Estate Department after getting necessary permission from the University. No structural changes can be made without the consent of the Vice Chancellor and such changes can be made after certification by the University Estate Department.
- For the travel and field work related to the project work and registration fee towards participation of PI, Co-PI and project staff in conferences/symposium/ workshop.

- For the purchase of minor accessories for equipment, annual maintenance contract, repair and up gradation of scientific equipment, computers and peripherals.
- For hiring manpower for field work or secretarial assistance, if it is not covered under any other heads of the project, subject to approval by Vice Chancellor and as per the approved rates of University.
- Membership of academic societies (annual or life membership) to PI, Co PI which are directly related to the activities of the project.
- Payment to the Department/ University staff engaged for the efficient maintenance of the project accounts.
- Expenditure towards hospitality for experts related to the project work. The PI should certify that such bills pertain to the concerned project.

VII .Preparation of the Statement of Expenditure and Utilization Certificate (SE/UC)

The Statement of Expenditure and Utilization Certificate (SE/UC) duly Audited by Chartered Accountant or Certified by Chief Accounts Officer must be submitted at the end of every year in the prescribed format of the Funding Agency in at least two original copies. (1 for sending to Funding Agency and 1 for office records). It is advisable to prepare the SE / UC in three original copies. One original copy must be kept in the file of P.I.

After the Completion of the project, the final SOE /UC must be audited from Chartered Accountant. A provision for this financial expenditure must be taken before hand in the respective budget head or Over head Grants.

In case of negative balance in the project (i.e. expenditure more than the released amount and within the sanctioned amount), PI will have to give an undertaking before sending the final UC/SE to the Funding Agency. The undertaking becomes null and void as soon as the due amount is released by the Funding Agency. In case of UGC-MRP, the 2nd instalment is released only if the utilization of the 1st instalment is above 80% of the released amount. As and when the expenditure is above 80% of the released amount send the SE/UC in addition to the yearly SE.

Make sure that the final audited Statement of Expenditure and Utilization certificate is submitted to the University and the Funding Agency within 6 months of completion of the project. In case of delays, Funding Agency raises lot of queries related to the expenditures incurred under the project and it becomes difficult to get the due amount.

After the completion of the Project , the PI have to close the said Bank Account

Following Documents must be submitted along with the final Audited Accounts in case of UGC-MRP

1. A Consolidated Audited item – wise detailed Statement of Expenditure actually incurred during the tenure of the project from.....to.....Duly signed and sealed by the Registrar / Principal, Principal Investigator & Government Auditor / Accountant.
2. Final Consolidated Audited Utilization Certificate for the total expenditure incurred towards the project duly signed and sealed by the Registrar/Principal, Principal Investigator & Government Auditor/Chartered Accountant in the prescribed format.

3. One copy Final Progress Report along with CD in PDF format.
4. Pro forma for submission of Final Report duly sealed & Signed by the Principal Investigator along with DC in PDF format (Annexure IX of MRP guidelines)
5. Details of expenditure incurred on Field Work.
6. Details of project Fellow as per the guidelines and the actual fellowship amount disbursed/to be disbursed in the prescribed format.
7. Month – wise and year – wise detailed statement of expenditure towards salary of staff appointed under the project.
8. A Certificate from the Head of the Institution is mandatory that final report of the work done has been kept in the library of the University and the executive summary of the evaluated final report of work done on the project has been placed on the website of the Institute.
9. HRA Certificate in the proscribed format, if applicable, duly signed by the PI/Director/Registrar.
10. Bank interest, if any, accrued by the Institution.
11. Mandate form duly filled & signed by the PI/Director/Registrar, Certified by Bank Authorities & mapped/Registered under PFMS portal.

Re-appropriation of the funds

- Re – appropriations from the Non-recurring to Recurring is not permissible.
- Fellowship grant cannot be re-appropriated.

Others :

- The IPR filed by any Faculty would be binding as per the Gujarat University IPR guidelines.
- This Section does not deal with Block Grant received from the State Government for Salary and Maintenance of the University and Grants for NSS.
- This document is bounded by the Resolution of the Executive Council from time to time.
- Over and above, terms and conditions of funding agency are to be observed for all the set process by the funding agency.
