

# **DRAFT GUIDELINES FOR PROJECT IMPLEMENTATION**



**DEAN RESEARCH  
THE UNIVERSITY OF KASHMIR  
SRINAGAR**

## **1. PROJECT SUBMISSION:**

Faculty members of the University in possession of a Ph.D Degree are encouraged to prepare project proposals, seeking financial support from extra mural sources to further their research interests.

Proposals prepared strictly in accordance with the format prescribed for the purpose by individual funding agencies, shall have to be recommended and forwarded by the concerned head of the department before its final endorsement by the Dean Research. The office of the Dean Research shall facilitate its onward submission wherever required. Submission of a proposal is a commitment on part of the Principal Investigator and the University to abide by the general regulations prescribed by the funding agency for execution of all aspects of the project.

## **2. PROJECT PRESENTATION:**

On the receipt of invitation by the funding agency for formal presentation, the Principal Investigator shall submit a deputation request on the format prescribed for the purpose. Dean Research office shall facilitate speedy authorization for all such deputations Travel and other expenses (TA/DA), otherwise not covered shall be debited to the "Travel" budget head of an ongoing project under the Principal Investigator or the UGC Merged Scheme plan budget (Travel) if available. Head of the Principal Investigator's department may on case to case basis approach the University administration to seek authorization for such debitance from local funds. It should be on recoupment basis.

## **3. PROJECT APPROVAL:**

Upon successful defence of the proposal Dean Research/Registrar and the Principal Investigator shall receive a sanction /approval letter indicating the duration of the project and total financial support committed to meet the objectives, along with broad guidelines for the execution of the project. The grant is usually allocated under three heads whose nomenclature may vary from agency to agency:

- Recurring
- Non-Recurring and
- Overhead Charges

**Recurring Grant:** is the grant received in several instalment usually every year that covers the expenditure towards salary for the sanctioned staff (Manpower) and the contingencies that may together account for expenditure to be incurred for consumable items, paper , Photostat Travel, Field Trips, equipment maintenance etc unless allocated otherwise under various subheads like "Consumable", "Contingency", "Travel"etc.

This budget head shall under no circumstances be used for the purchase of any kind of equipment unless so indicated. Vice-Chancellor under exceptional circumstance may allow such a purchase from subhead "Contingency" after proper justification by the Principal Investigator.

**Non-Recurring Grant:** This grant is specifically meant for the purchase of equipments or for the creation of a specific facility listed in the sanction order.

**Overhead /Institutional Charges:** Expenditure for this grant is the jurisdiction of University administration for utilization towards activities authorized by the competent authority.

Approval Letter/Sanction order may not however, authorize a Principal Investigator to execute purchases of any kind or initiate any process to hire the approved manpower unless indicated otherwise.

Sanction order may usually be followed by submission of an undertaking by the University on behalf of the Principal Investigator for strict adherence to the regulations prescribed by the Funding Agency for execution of the Project.

#### **4. RELEASE ORDER:**

Letter of approval or Project sanction order is followed by the release of first year grant, through Direct RTGS transfer or in the form of a draft to Dean Research/Registrar along with a description of the concerned project and detailed allocations under various budget heads. Start date of the Project unless indicated otherwise is usually the date reflected in the release order: A copy of the release order (received from funding agency) and a copy of the bank receipt from Dean Research office are important documents to be retained by the Principal Investigator for his records.

#### **5. PROJECT EXECUTION:**

Consequent upon the Receipt of first year instalment by the University, the project Investigator shall initiate the process of research leading to accomplishment of milestones/objectives for which the grant stands sanctioned.

##### **(A) Recruitment of Manpower:**

- i) **Authorization:** The Principal Investigator shall submit request for authorization to Dean of the concerned faculty to float a newspaper advertisement for positions clearly indicated in the approval letter or detailed project proposal in accordance with established norms.

In case the project sanction order indicates a lump sum allocation for manpower, the Principal Investigator shall submit a list of proposed designations along with respective stipends in conformity with project mandate for approval of the Vice-Chancellor through proper channel. The Stipend proposed for each designation shall have to be commensurate with funding agency norms and in no case shall exceed the emoluments associated with other personnel working with such designations. The cumulative stipend for all the project personnel shall in no case exceed the total allocation for the purpose. Following the approval of the competent authority, the Principal Investigator shall proceed with advertisement as described above.

ii) **Advertisement:** The process of floating newspaper advertisement as is in vogue shall continue to be handled by the PR office of the University. The Principal Investigator shall submit the content of the advertisement to PRO for its wide publicity in local dailies.

PRO shall directly submit the claim for the advertisement to the accounts branch (Dean Research) along with copies of the newspaper advertisements for debitance to the appropriate budget head of the project concerned.

iii) **Selection:** Selection Committee for recruiting project staff upto the cadre of SRF to be chaired by the concerned HOD shall have the following composition:

HOD Concerned:	Chairman
Nominee of the Vice-Chancellor	Member
Senior Most Faculty Member:	Member
Principal Investigator:	Member Secretary

Selection Committee recommendation along with all relevant documentation shall be forwarded to Dean concerned for approval and issuance of orders in accordance with funding agency guidelines .Selection Committee for Project Staff for the Cadre of RA or equivalent (In terms of emoluments) shall be chaired by the Dean of the Faculty with following composition

Dean of the faculty:	Chairman
HOD Concerned:	Member
Nominee of the Vice-Chancellor	Member
Principal Investigator:	Member Secretary.

Recommendations of the Selection Committee shall have to be authorized Dean Research, but to be ratified by Vice-Chancellor subsequently. However, in case Dean Research is Principal Investigator then by Registrar act to be ratified by Vice-Chancellor.

Project staff shall claim the fellowship prescribed by the funding agency in accordance with existing norms after they submit the claim application prescribed for the purpose.

iv) **Deputations:** Deputations for participation in National/State level Conferences, Field Trips, sample analysis outside the State and other related activities in favour of the project staff other than Principal Investigator shall be authorized by the concerned Dean, after the PI makes a formal request for the purpose. Expenditure incurred on such deputations shall have to be borne out of the relevant head of the project with strict adherence to provisions prescribed by the funding agency. However, Principal Investigator shall have processed his or her deputation in accordance with University norms.

**(B) Expenditure:**

- i) Consumable Grant: Principal Investigator shall purchase Laboratory Chemicals and other disposable Plastic ware from time to time as may be required, from dealers/suppliers who have entered into a rate contract with the University as per the procedure in vogue Principal Investigator in the first instance, shall seek an invoice from any of such dealers detailing the name of the item, source, catalogue number, price including all applicable taxes and seek authorization for their purchase in case the expenditure exceeds Principal Investigators discretion of Rs.15,000/- (Rupees Fifteen Thousand only).

Principal Investigator may also seek authorization for the purchase of such Chemicals from original source (Foreign or Multinational Chemical manufactures) against an invoice that includes all taxes and other expenses and make payments in foreign currency (Wire transfer etc) against an advance drawn for the purpose.

Purchase of other items that fall outside the purview of rate contract shall have to be executed as per the University norms through dealers approved for the purpose from time to time. Expenditure associated with handy payment to labourers and other stake holders/associated with maintenance survey or field work exercises shall have to be strictly made in cheques to avoid adjustment hassels.

It shall be incumbent upon all Principal Investigators to maintain a stock-issue and a Cash register for all the transactions related to the project for reconciliation before Audit.

The Principal Investigator may chose to hire secretarial assistance for the purpose if necessary in case budgetary provision for such assistance is indicated in the project after seeking formal authorization for the purpose through Dean Research.

ii) Purchase of Equipment:

- A. Principal Investigators may purchase small laboratory equipment priced at less than One Lakh Rupees inclusive of all taxes, at catalogued prices from the firms/suppliers/dealers who have entered into a rate contract with the University, after seeking a proper authorization for expenditure, make and the source through Dean Research Accounts.
- B. Principal Investigators are encouraged to purchase high end equipment from National/International manufactures of highest repute directly as follows:
- Identify the Principal manufacturer of the equipment with desired specifications and obtain a proprietary item, certificate from the manufacturer.

- Ask the manufacturer to provide an invoice FOR-Destination inclusive of all taxes custom clearance freight and transportation after seeking custom and central excise tax exemption against a DSIR Certificate.
  - Negotiate rates, shipment conditions, service commitments and payment mode etc. (See Template).
  - Seek authorization for the purchase and expenditure along with terms and conditions mutually agreed upon from the competent authority.
  - Place orders, once the acknowledgment of the order along with final invoice from the manufacturer is received, LC can be established for 100% amount, with 80% payable at the time of shipment and 20% after successful installation.
- C. Principal Investigator through a newspaper advertisement may invite quotations for equipment from Nationally/Internationally acclaimed companies (preferably identified brands), through a double bid system in accordance with the template available and against a CDR for no less than 2% of the expected expenditure.

Duly authorized Technical Committee comprising of the Principal Investigator, a senior faculty member and two external members nominated by the Vice-Chancellor for the purpose, shall open and examine the technical bids and shortlist 1-3 firms in order of preference before submitting their particulars for authorization.

Following authorization, Price bids shall be opened by the committee in presence of Dean of the Faculty to negotiate with the preferred vendor price etc or any other provisions/deals that the committee may deem appropriate for safeguarding Principal Investigator's preference.

Once the expenditure is finalized, the indent may be prepared and processed as per practice in vogue.