

Revised Guidelines for Sponsored Research Projects

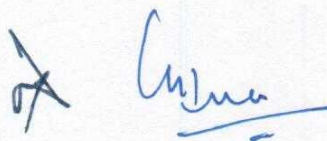
(As approved by the Academic Council and the Board of Management)

Prepared by the
Core Advisory Committee on Fund Raising


15.5.2025

(CONVENOR)





(CHAIRPERSON)

Dr. B. R Ambedkar University Delhi

**REVISED GUIDELINES FOR SPONSORED RESEARCH PROJECTS
for all University Schools and Centres**

29 April, 2025

The revised guidelines, hereon referred to as GSRP 2025, supersedes all notifications issued prior to the date of notification of these guidelines regarding the application for and management of externally funded research projects, as approved by the statutory bodies and would apply to all research projects that are applied for and sanctioned after the notification of these guidelines. Internally funded research initiatives are to follow a similar pattern for management of research grants with specific directions as may be issued by the University at the time of sanctioning such grants. The guidelines are in accordance with similar guidelines that are currently in operation in similar public institutions of higher learning with an overall view to streamline and encourage the faculty to apply for grants and to augment their research initiatives. The applicants must familiarize themselves with the Acts, Statutes and Ordinances of the University and must be guided by the Vision of the University in preparing the proposals. The guidelines provide comprehensive guidance on Submission of proposals, Operation of projects including procedures for hiring, procurement and general activities, Project closure processes and management of Overhead expenses.

1. Project Submission and Sanction

1.1 Project Submission Process

1.1.1 The Project Principal Investigator (PI) will complete the project submission form in the enclosed format along with the Project Proposal along with the Cover Letter to the School/Centre's Office.

1.1.2 All proposals for submission of research projects to various funding agencies should be forwarded through the Dean of the concerned School/Director of the Centre, who will certify that it would be possible for the School/Centre to accommodate the Research Project work and staff within the existing working space. The PI of the proposed project shall clearly state the extra space that would be needed and Dean/Director of the Center shall certify the availability/non-availability of the same. The proposals must be cleared by the Dean of the School/Director of the Centre within 3 working days unless there are observations.

1.1.3 The project proposal containing the Financial Statement and Summary of the Project along with the submission form forwarded by the School/Centre should be submitted to the Dean R&D/ Officer as authorized by the Vice Chancellor. The proposal should be cleared within seven working days, unless there are objections or clarifications needed. The proposal is then forwarded for the approval of the VC.

The bottom of the page features four handwritten signatures or initials in blue ink. From left to right: a stylized signature, the initials 'S.A.S.', a signature that appears to be 'A', and another signature that appears to be 'Chh'.

1.1.4 After the approval of the VC, a support letter would be issued from the Office of the Registrar/ Designated Officer within 3 working days to be submitted to the funding agency along with the proposal.

1.1.5 The project proposals to all agencies must ask for a minimum of 20 % Overhead Charges (of the Total Grant of the Project) for the University and may seek up to 35% Overhead Charges based on the nature of the project. The overhead costs can be waived or reduced by the Competent Authority, if the project is considered prestigious in nature or in case of exceptional proposals considered to be of national importance.

1.1.6 Teaching posts, viz. those of Professors, Associate Professor, Assistant Professor should not be asked for in the project proposals. However, posts of Research Associates and Research Fellows may be sought, and as per the UGC/DST/ICSSR pay scales, may be included in the proposals. Any other posts asked for in the project proposal should carry scales of pay identical to those of the corresponding posts in the University. Posts for project staff on a consolidated salary, not exceeding the total emoluments at the minimum of the scale of the identical posts in the University, may also be included in the budget proposal. Project Staff/Consultants can be hired, based on pre-approved criteria mentioned in the project with consolidated remunerations.

1.1.7 If the project is with a Non-Government agency, a statement on terms and conditions of the project including the right of patents and royalties if any must be spelt out clearly.

1.1.8 If an MOU is to be signed related to the project, the exact terms and conditions of the MOU, including a summary of the finalized Project, should be submitted to VC, Dean R&D & Registrar's office clearly stating commitments and liability if both parties which will be finalized after the process of vetting by the University.

1.2 Sanction of the Projects

1.2.1 The letter of sanction and details of the amount sanctioned under different budget heads, duration of the Project and other terms and conditions should be communicated to the Finance Division along with a copy of the Project, if sanctioned, after revision/changes by the funding agency.

1.2.2 To initiate the Project PI must fill up the project initiation form. (Annexure II), and accordingly move a note sheet through the Dean of the School/ Director of the Centre, to the Dean R&D for the further approval of the VC. The note may include other details such as the constitution of the Project Purchase Committee, Project Appointments Committee and temporary appointments of research staff (for up to six months), that require the approval of the VC.

1.2.3 The date of start of project would usually be the date of actual receipt of first installment of the grant sanctioned or as specified by the funding agency, to synchronize the financial cycles of the project with that of the funding agency

2. Operation of the Projects

2.1 All purchases shall be supervised and handled by a committee called the '**Project Purchase Committee (PPC)**' for each project consisting the PI (Convener), Co-PI and two members (out of which one may be from the Teaching Faculty of any allied School and one may be from the Finance division nominated for the same). This committee, proposed by the PI and approved by the VC, shall be constituted at the beginning of the Project, and would serve for the entire duration of the project. The purchase policy of the project will be governed by the clauses and budget lines provided by funding agency primarily. On specific aspects of expenditure, the financial guidelines of General Financial Rules (Department of Expenditure, Ministry of Finance, Govt. of India) will be followed (<https://doe.gov.in/order-circular/general-financial-rules2017-0>) and amendments as they are announced from time to time.

2.1.1 As mandated by the GFR, primary process of procurement would be through the GeM Portal following guidelines & processes under of Rule 149 of the GFR 2017, for all items that are available on the Government e-Marketplace.

- i. Purchase of item(s) up to Rs.50,000 can be made by the PI/Co-PI from registered vendors on the GeM, provided they meet the requisite quality, specifications and delivery period
- ii. For Purchases between above Rs.50,000 and upto 10,00,00 can be made through a GeM seller having the lowest price among at atleast three sellers listed on GeM, provided they meet the requisite quality, specifications and delivery period
- iii. The specifications of bids would be finalized by the PPC at the time of bidding as well as at the time of approving the purchase, in its MoM.
- iv. In case of items not listed on GEM or the technical requirements do not meet the Project's requirements, the process to be followed is similar (Rule 154, 155 & 156 GFR), in which a direct purchase or and LPC (here PPC) process is to be followed. Purchase order up to Rs.5,00,000 can be placed by PI/Co-PI after following the procedure outlined under Rule 155 of GFR with the approval of the CA.
- v. In case of highly specialized equipment of high value, if the need be the PI may constitute a separate committee with external members with specific technical expertise to supervise the process as per guidelines, with the approval of CA.
- vi. Based on the PPC recommendations, the designated office of the Administrative Division, which is authorized to operate GEM based purchases, would facilitate the procurements in pursuance of the GFR.
- vii. Research projects are guided by timebound activities, and in order implement the projects according to the project timelines, the PI must define procurement timelines. Normally, any procurement upto Rs. 10 Lakhs is to be processed within 20 days, and for procurements more than Rs. 10 Lakhs, is to be processed within 60 days.
- viii. In case of extraordinary delays in procurement, the PI may constitute a procurement committee to expedite the process, with the approval of the VC.

2.1.2 Consumables may be purchased from standard Indian firms on GeM or companies on the basis of rate contracts approved by the University. In case of consumables for which rate contracts are not available, quotations can be invited from all the known firms and the procedure to be followed would be as outlined in GFR.

2.1.3 Supply order will be signed by the Project-in-charge after scrutiny of the Tenders/ quotations obtained from various suppliers, as per the MoM of the PPC. The orders will be normally placed with the supplier whose quotations are the lowest, unless for some technical reasons which should be clearly stated in the minutes of the PPC. If the items to be procured are Technical in nature, the PI is to ensure that the PPC has a technically competent member who can assist with such decisions. In case of any discrepancy, the matter shall be referred by the CA to Dean R&D/Designated Officer and his/her decision shall be final.

2.1.4 All bills in respect of project (including bills for advance) will be signed by the Project-in-charge and sent to the Finance Office duly completed in all respects for payment. It will be the responsibility of the Project-in-charge to see that the bills are complete in all respects and that they are in order.

2.1.5 Advances will be paid to the Project-in-charge by cheques drawn in favor of the Project-in-charge or in favor of the claimant as necessary at the request of the PI. The PI will be responsible for rendering the accounts of such advances. The accounts of advances taken should be rendered within the period of 30 days from the date of drawing the advance. However, this shall not apply in cases of LCs where the money is always with the bank. LCs should be cleared within 30 days of receipt of equipment/material. Any delays involved are to be communicated to the Finance in the note sheet at the time of submission of bills for settlement.

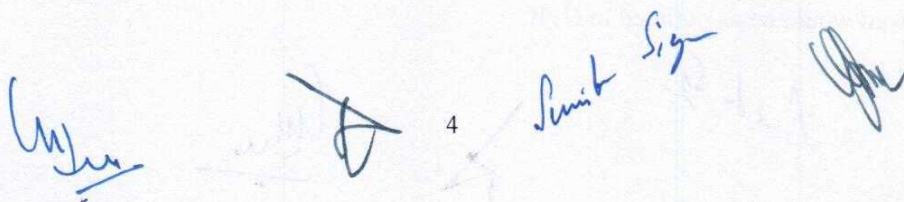
2.1.6 Payment of bills should be made through the PI by cheques drawn in favour of the parties concerned or authorized through regular bank transfers.

2.1.7 In respect of salary of all part time, ad-hoc, regular, daily-wage based, honorarium and consolidated salary based employees of project, payments would only or by cheque/ bank transfer to be credited to their respective bank accounts which must be mentioned on the payment slips or salary bills, duly countersigned by the concerned person and Project-in-charge.

2.1.8 The TA/DA in the project for field work and visits outside Delhi (in India or Abroad) or within Delhi can be paid as per rules of the University or as per guidelines of the funding agency available to the PI, Co-PI and Project staff as well as researchers working on jobs related to the Project work upon approval and justification by the PI.

2.1.11 The period spent by the PI, Co-PI who are regular employees of the University who proceed for field work or collaborative work in another Laboratory/Research Unit relating to research work of the project (in India or Abroad) would be treated On Duty (provided this does not affect the teaching obligations) and will need the approval by the Dean of the School/Centre and the Vice Chancellor.

2.1.12 In case the funding agency makes ad-hoc payments of the installments, the PIs may provide the break-up under different budget heads of the project. Reappropriation 'within different budget heads', which was provided by PI, can be affected by the PI with the approval of the VC within the total overall budget given by the funding agency. However, any re-appropriations 'across budget heads' would require a prior permission from the funding agency before it is implemented.

The bottom of the page features several handwritten signatures in blue ink. From left to right, there is a signature that appears to be 'Anil Kumar', a large stylized signature, a small number '4' in the center, a signature that reads 'Sunit Singh', and another signature on the far right. There is also a faint circular stamp or mark near the center.

2.2 Annual statement of Expenditure and Utilization Certificate.

The PI should prepare the Statement of Expenditure and Utilization Certificate of every project as per the time schedule prescribed by the funding agency. The templates for UC/SE are usually provided by the funding agency, in the absence of which the same would be prepared as per university formats. The same may be sent to the Finance Office at least 15 days before the said date for confirmation/reconciliation for onward transmission to the funding agency, or vice-versa.

2.3 Management of Overhead Charges

From the overall Overhead Charges, 50 % of the amount would be transferred to the University towards the University Development Fund or for paying the University utilities bills and engaging required contractual staff for the efficient maintenance of the project accounts with the approval of the VC. The remaining 50% percent of the overhead charges shall be at the disposal of the PI. The funds under this head could be utilized by the PI up to six months beyond the tenure of the project. Any unspent amount from the fifty percent share of PI after this period shall be transferred to the Development Fund maintained by the University.

The following expenses can be made by the PI from her/his share of the overhead charges:

2.3.1 Infrastructure: All expenses related to Laboratory maintenance and renovation, purchase of furniture, personal computers including laptops, minor equipment costing up to Rs 50,000 and printers to be used as office equipment; repair of existing furniture, wooden work like partitions, shelves etc. flooring, making dust free rooms, water and electricity connections including labour charges, purchasing of air conditioners, invertors, voltage stabilizers, UPS and air curtains. This type of work could be assigned to the outside agencies to avoid delays. Proper procedure of inviting quotations should, however, be followed as per GFR. No structural changes can be made without the consent of the Estate Officer and such changes can be made only after certification by the University Engineering Department.

2.3.2 Repair and upgradation of scientific equipment, computers and peripherals, payment of annual maintenance/service contracts, purchase of minor accessories for equipment.

2.3.3 Cost of advertisements in newspapers for project positions as well as other notices.

2.3.4 Hiring manpower including secretarial assistance (typing/computer operator/accounting, etc.) subject to approval by the VC at University approved rates. Assistance on part time basis to Master's and Ph.D. students who are not getting any financial support can be provided on fixed honorarium basis not exceeding the 50% of CSIR/UGC fellowship amount after getting approval of the VC.

2.3.5 Expenses to meet local, domestic or international travel, hotel expenses (actual up to 100 Euro/150 USD per day, as per prevailing norms), DA/per diem (as per prevailing norms), Registration Fee towards participation of PI, Co-PI and project staff in Conferences/Symposia and on visits to other academic centres/laboratories (in India and abroad) for discussions in collaborative research-work subject to prior approval of University. *Per diem* rates will be in consonance with rates announced for government servants travelling abroad as announced by Government of India from time to time.

2.3.6. Expenses to meet filing of Indian or USA or global patents or PCTs as per rules in consultation with Finance Office and after getting prior approval of VC.

2.3.7 Provision of communication facilities, including installation of and periodical bill payment of telephone, internet, communication facility in office/Laboratory of the PI/Co-PI. In addition to above, charges on calls made from the residential telephone of PI and Co-PI or public call office and internet charges including cell phone charges for project work may be paid from this head, for up to a ceiling of Rs. 24,000 per financial year.

Note: In view of the exigencies that may arise during the work in the project, which are not covered under the above provisions, the PI/Co-PI may with prior approval of VC and in consultation with Finance Office, meet such expenditure as may be necessary for the smooth functioning of the Project from the P. I. share of the overhead charges of the project.

2.4 Provisions for Posts

Prior approval for all the appointments against the sanctioned posts in respect of various projects shall be obtained from VC. The qualifications and scales of pay/consolidated pay would be as specified in the research proposal, as approved by the funding agency. Any relaxation will require the prior approval of the VC. Creation of the regular posts of Professors, Associate Professors and Assistant Professors will not be accepted by the University.

2.5 Appointments for posts under the Project

2.5.1 For appointments to the posts under the Project, applications should be invited after giving wide publicity regarding the vacancies.

2.5.2 In cases where the vacancies are for less than or upto 6 months, such posts need not be advertised but should be circulated in the Schools/ Departments located in Universities and Academic Institutions in Delhi and placed on the University website at least for a period of two weeks to invite applications.

2.5.3 In cases where the vacancies are for more than 6 months but less than one year, such posts need not be advertised in the newspaper but circulated in various institutions in India including academic institutions in Delhi and placed on the University website at least for a period of two weeks to invite applications.

2.5.4 In case the posts are for more than one year, the posts should be advertised in at least one national newspaper. The post should be displayed on the website of the University for at least three weeks.

2.5.5 The ad-hoc appointments against different posts shall normally not continue beyond 6 months. Under exigencies any exception will require the approval of PVC/ Dean R&D/Designated Officer

2.5.6. There will be a regular Selection Committee for selection of the candidates. This committee, called the 'Project Appointment Committee (PAC)' for each project shall consist of PI (Chairperson), V. C.'s nominee, Dean of the School/Director of the Centre; Co-PI (if any) and two members of the teaching faculty of the concerned School. This committee shall be constituted in the beginning of the project by PI with the approval of PVC/ Dean R&D/Designated Officer and shall serve throughout the duration of the Project. The PAC shall recommend the appointments to the posts of Junior/Senior Research Fellows, Project Fellows, Research Assistants, and all other Technical and non-technical staff. The PAC shall also recommend at the time of appointment whether or not the JRF/SRF should be considered by DRC for registration for Ph.D. in the School, if requested so by the candidate and the proposed by supervisor (as per the updated PhD Guidelines as applicable). As regards to the posts of Research Scientists/Research Associates and similar higher positions, an additional expert from the same field is to be proposed by the PI and approved by the VC.

2.5.7 The applications will be processed by the Project-in-charge and persons will be called for interview before the selection committee. Traveling allowance/ dearness allowance may be paid to the outside candidate for interview for employment in the project as per rules of the University from the contingency or travel head of the project, provided sufficient funds are available.

2.5.8 The appointment letters shall be issued to the selected candidates by the Project-in- charge except in the case of project in respect of which the appointment letters to the candidates are to be issued by the sponsoring bodies. All appointment letters should clearly indicate the terms and conditions of appointment. In case wherein approval of the funding agency is required, the appointment letters should be issued only when the clearance in writing is received from the funding agency.

2.5.9 Appointment of the above staff will be purely on temporary basis and for the duration of the project only and the appointed staff will have no claim for regular appointment in the University on the termination of project, nor can they claim any additional benefits unless specified at the time of appointment.

2.5.10 The staff employed in the projects will be governed by the same rules and conditions of service as applicable to temporary employees in the University from time to time except in those projects where the conditions have been laid down by sponsoring body.

2.5.11 The services of specialists on deputation from Government Research Institutions or public or private sector can be obtained. Wherever services of such persons are acquired on deputation basis, the conditions of services may be regulated according to the standard terms of deputation with the approval of sponsoring body and the University.

2.5.12 The leave to the members of the staff under projects will be admissible to the same extent as its admissible to the corresponding employees of the University unless the sponsors specify otherwise. The Project-in-charge will be competent to sanction leave to the extent admissible.

2.5.13 The joining report of the selected candidates should be countersigned by the Project-in-charge and forwarded to the Finance Division for records and for processing of salaries. A copy may be retained by the Project In charge, in the project records along with salary slips of all staff employed in the project.

2.5.14 An attendance register would be maintained for all staff employed in the project by the PI.

2.5.15 Such Project Fellows/Assistants whose work has been judged meritorious by the Project Appointment Committee with details placed in the MoM, may be allowed to draw fellowship amounts that the NET qualified candidates are entitled to, unless otherwise specified by the funding agency.

2.6 Settlement of bills

2.6.1 The payment of bills and clearance of accounts is one of the most important aspects of smooth running of Projects. If Finance Office has procedural objections to a bill, it should be returned to the PI in a week's time. Bills which are in order should be cleared and the whole process including the issue of cheques should be completed within three weeks of submission of the bills. If the bill is not settled within three weeks from the date of submission, PI should report the matter to the Controller of Finance/Designated Officer.

2.6.2 If any note-sheets/bills of purchase are sent to the Finance Office, concerned branch should acknowledge the receipt of note-sheets/bills.

2.7 Maintenance of Stock Registers

2.7.1 Each project should have separate stock register for assets, books, consumable and non-consumable articles.

2.7.2 Separate page should be opened for each article purchased with full particulars unless the transactions in respect of articles are small in number, in which case a page may be utilized for recording receipts and issue for more than one article provided the accounts in respect of different articles are not mixed up on that page.

2.7.3 All entries in the stock book should be initialed by the Project-in-charge.

2.7.4 Physical verification of stock should be conducted at least once in a year; the result thereof should be reported to the Finance Officer/ Designated Officer of the University.

2.7.5 Equipment purchased specifically for each project will be the property of the respective School/Centre of the University on the termination of the project unless the sponsoring body desires otherwise. Therefore, due care should be taken to maintain equipment procured in the project as they are long-term assets of the School/Centre.

2.7.6 Any items lost or stolen from project assets need to be reported to the Dean of School/Director of Centre hosting the Project along with the details of the circumstances and a copy of the Police complaint filed by the PI/ Project Staff for records.

3. Interim progress and accounts reports of the Project

The PI should prepare the Progress report along with the settlement of accounts which should be submitted to the concerned official in Finance Office looking after the project who would verify it within a week of submission of the accounts. On verification, the reports and accounts with a forwarding letter should be returned to the PI for onward transmission to the funding agency. Any minor discrepancy should be solved mutually. In case of any major discrepancy, the PI should approach the Controller of Finance/Designated Officer to get the matter resolved.

4. Final Technical, Fiscal report of the Project

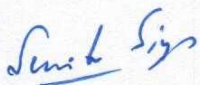
Closure of the project should be done within six months of the completion of the project. The final technical and fiscal report should be prepared by the PI in accordance with the requirements of the funding agency and submitted to the Finance Branch for verification of the financial aspects and any discrepancy should be immediately removed by mutual discussions. In case of any major problems, the PI should approach the Controller of Finance/Designated Officer to resolve the issues.

5. Closing of the projects

5.1 Statement of final accounts showing the year-wise receipts and expenditure and a list of articles (consumables and non-consumables) left over at the time of termination of the project and purchased out of the project funds should be sent in triplicate to the Finance Office in the prescribed Performa (Annexure-IV) and verified by the Internal Audit Officer of the University. These articles may be transferred to the School/Centre's stock register except where the sponsoring bodies do not allow the School to retain the articles without paying them the book value of the articles. In case the School/Centre does not want these articles, the same will be auctioned through the Engineering Deptt./General Administration.

5.2 The list of assets shall be provided to Head of the School/ Director of Centre for entering the permanent assets in the stock register of the School within four weeks of the submission of the list. After entry into the Stock Register of the School, the list with proper entry of the pages of the stock register in the Performa to be supplied by the Finance Branch should be sent to Internal Audit Office for verification. It is mandatory for the School to enter all items in stock register and to reissue them to the faculty concerned for research and to take back into the stores the items the PI does not want to use. It is also mandatory for the Dean of the School/ Director of Centre to move the papers for writing off of any items, which none of the teachers of the School are willing to take and has been returned to the stores from the project. The same, if not functional can be referred to the 'write off' committee of the University.

5.3 The PI and Head of the School should ensure that all pieces of equipment which are obsolete/beyond repair are written off after following due process. The PIs/teachers should give this in writing as soon as situation arises. In case of any missing item/component of the items falling under this category as may be applicable, the cost may be recovered from the PI/Faculty (when no- dues certificate is to be issued) as decided by Designated Officer in consultation with Dean of the School and Finance Officer, with the approval of the VC.



ANNEXURE – I

Dr. B.R. Ambedkar University
PROJECT SUBMISSION FORM

(Enclose Two Copies of the Project Proposals with this form)

1. Name of the Principal Investigator
2. Designation
3. Date of Birth
4. School/Centre/Institute
5. Name of the Co-Investigator
6. Designation
7. Date of Birth
8. School/Centre/Institute
9. Title of the project
10. Tentative Duration of the Project From: To:
11. Funding Agency
12. Details of Funding requested:
 - a. Salaries
 - b. Consumables
 - c. Equipment
 - d. Contingency
 - e. Overhead -(20 % of the total cost of the project or as applicable)
 - f. Total funds requested
13. Requirement from the University
 - a. Space
 - b. Funding
14.
 - a. Total no. of ongoing projects with the PI
 - b. Total no. of projects completed by the PI
15. Details of completed projects (In the last 5years)
 - a. Title of the project

- b. Funding agency
 - c. Total grant of the Project
 - d. Date of the commencement
 - e. Date of Completion
 - f. Project closure
- Yes / No

16. Details of ongoing projects (In the last 5years)

- a. Title of the project
- b. Funding agency
- c. Total grant of the Project
- d. Date of the commencement
- e. Date of Completion

We certify that no civil/electrical modifications shall be carried out without the express permission of the University Engineering School and the PVC/DSC. We will follow the norms for the operation of the projects framed from time to time by the Research Project Advisory Committee:

Signature of the Investigator:

Date:

Signature of the Co – Investigator:

Date:

Name: Dean of the School/Director of Centre

Signature:

Date:

Seal

Notes:

1. Faculty member should be allowed to work as a Project-in-charge (PI) only up to the age of Superannuation i.e. 65 years.
2. As and when a PI attains the age of 60 years, then all documents/bill/utilization certificates etc. retaining to his/her project should be signed by both i.e. PI as well as the Co-PI (a permanent faculty of the School/Centre). The Co-PI will be responsible for all the assets, pending advances and subsequent transactions under the project.
3. The PI should stop signing all the financial documents at least six months before the due date of his/her superannuation in order to facilitate issuance of No Dues Certificates to him.
4. No Project proposal should be forwarded by the University to the funding agency if two or more tenure expired projects are pending for closure by the concerned PI.

ANNEXURE – II

**Dr. B.R. Ambedkar University
PROJECT INITIATION FORM**

(Enclose Two Copies of the Project Proposals with this form)

1. Name of the Principal Investigator
2. Designation
3. Date of Birth
4. School/Centre/Institute
5. Name of the Co-Investigator
6. Designation
7. Date of Birth
8. School/Centre/Institute
9. Title of the project
10. Tentative Duration of the Project From: To:
11. Funding Agency
12. Details of Funding Sanctioned:
 - a. Salaries
 - b. Consumables
 - c. Equipment
 - d. Contingency
 - e. Overhead – (20 % of the total cost of the project or as applicable)
 - f. Total funds requested
13. Requirement from the University
 - a. Space
 - b. Funding
14. a. Total no. of ongoing projects with the PI



b. Total no. of projects completed by the PI

15. Details of completed projects (In the last 5years)

- a. Title of the project
- b. Funding agency
- c. Total grant of the Project
- d. Date of the commencement
- e. Date of Completion
- f. Project closure

Yes / No

16. Details of ongoing projects (In the last 5years)

- a. Title of the project
- b. Funding agency
- c. Total grant of the Project
- d. Date of the commencement
- e. Date of Completion

We certify that no civil/electrical modifications shall be carried out without the express permission of the Engineering Deptt. and the Dean R&D/Designated Officer. We will follow the guidelines for the operation of the projects framed by the University from time to time.

Signature of the Investigator:

Date:

Signature of the Co – Investigator:

Date



ANNEXURE-III

General Procedure for Goods and Services

The procedure for procurement of Goods & Services shall be broadly as per GFR 2017 and its amendments (<https://doe.gov.in/order-circular/general-financial-rules2017-0>), unless specified with prior approval from the Funding Agency. All PIs are requested to familiarize themselves with the procedures as outlined in the GFR, as they are updated from time to time by the Department of Expenditure, Government of India.

[A] PROCUREMENT OF GOODS

1. Procurement of goods through Government e-Market place

Procurement of goods and items of standard types, which are identified as common user items and are needed on recurring basis, and values above one lakh and up to twenty-five lakhs requiring procurement through limited tender enquiry, the Schools/Centres/Libraries/General Branch /Press etc., may procure these items on rate contracts with the suppliers registered with the Government e-Market place (GeM). These registered suppliers are ordinary exempted from furnishing bid security along with their bid. In the event of procurement of rate-contracted goods through such registered suppliers, the prices to be paid shall not exceed those stipulated in the rate contract and other salient terms and conditions of the purchase should be in line with those specified in the rate contract.

Schools/Centre/Libraries/general Branch/Press etc. may also register suppliers of goods, which are specifically required by them. While registering the suppliers, the following aspects may be kept in a view:

- (a) Credentials, Manufacturing capacity, quality control system, past performance, after - Sales services, financial background etc. of the supplier(s) should be carefully verified.
- (b) The registration should be for a fixed period between one to three years depending on the nature of the goods. At the end of this period, the registered supplier(s) willing to continue with registration are to apply fresh for renewal of registration. New supplier(s) may also be considered for registration at any time provided they fulfill all the required conditions.
- (c) Performance and conduct of every registered supplier is to be watched by each School etc. The registered suppliers are liable to be removed from the approved list if they fail to abide by the terms and conditions of the registration or fail to supply the goods on time or supply substandard goods or make any false declaration to any government agency or for any ground which, In the opinion of the School etc. is not in public interest.

Registered suppliers are prima facie eligible for consideration for procurement of goods through limited tender enquiry.



2. Procurement through specific outlets

(a) Through Kendriya Bhandar/NCCF

The hitherto special dispensation allowed to Kendriya Bhandar and National Consumer Co-operative Federation (NCCF) for procurement of goods standard withdrawn after coming into effect of revised financial rules, 2017. They now stand on the same footing as the other suppliers are.

(b) Procurement of handloom textiles

The handloom textiles are to be procured only from the outlets approved by the Khadi & Village Industries commission (KVIC).

3. Obtaining two bids- technical and financial – In the cases of procurement of goods of technical nature.

In the case of procurement of goods that are technical in nature e.g. plant, machinery, equipment, software etc., bids may be obtained in two parts as under:

- (a) Technical bids consisting of all technical details along with commercial terms and conditions; and
- (b) Financial bids containing item wise price for the items mentioned in the technical bid.

The technical bid and the financial bid should be sealed by the bidder in separate covers duly superscribed and both these sealed covers are to be put in a bigger cover which should also be sealed and super scribed.

The Technical bids are to opened fist and evaluated by the duly constituted technical committee. The committee shall record in detail the reasons for acceptance or rejection of the technical proposals analyzed and evaluated by it.

At the second stage, the financial bids of only those bidders who have been declared technically qualified by the technical committee, as the case may be, for further analysis or evaluation, ranking and selecting the successful bidder for placement of the contract.

4. Bidding Documents

A bidding document to be given to prospective suppliers should contain the following information/ document.

- i. Instructions to bidders.
- ii. Condition of contract
- iii. Schedule of requirements

- iv. Specifications and allied technical details.
- v. Price Schedule (to be utilized by the bidders for quoting their prices).
- vi. Contract Form
- vii. Other Standard Forms, if any, to be utilized by the purchaser and the bidders.

5. Bid Security (Earnest Money) and Performance Security

(a) At the stage of inviting bids

To safeguard against a bidder withdrawing or alerting its bid during the bid validity period in the case of advertised or limited tender enquiry, bid security (also known as earnest money) may be obtained from the bidders except those registered with GeM/School or University (refer Para 1(2)) or National Small Industries Corporation (NSIC).

- Amount of bid security should ordinary range between two to five percent of the estimated value of the goods to be procured.
- The bid security may be accepted in the form of Account Payee Demand Draft, fixed Deposit Receipt, banker's Cheque or bank guarantee from any of the Commercial banks in an acceptance form safeguarding the interest of the University in all respects.
- The bid security shall normally remain valid for a period of four-five days beyond the final bid validity period.
- Bid securities of the unsuccessful bidders should be returned to them at the earliest after expiry of the final bid validity and at least on or before the 30th day after award of the contract.

(b) At the stage of awarding contract

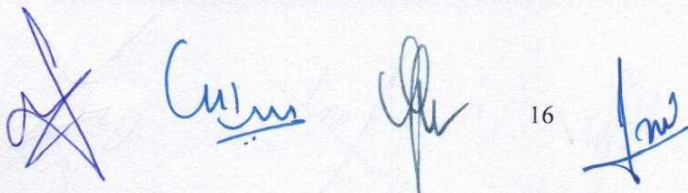
To ensure due performance of the contract, performance security at the rate of the five to ten percent of the value of contract may be obtained from the successful bidder awarded the contract irrespective of its registration status.

- The performance security should remain valid for a period of sixty days beyond the date of completion of all contractual obligations of the suppliers including warranty obligations.
- Bid security should be refunded to the successful bidder on receipt of performance security.

6. Advance/Part payment to suppliers

Advance Payment

- i. Ordinarily payment for services rendered of goods supplied should be released only after the services have been rendered of supplies made. However, advance payments may be considered in the following cases for servicing air conditioners, computers, other costly equipment etc.



- ii. Advance payment demanded by firms against fabrication contracts turn key contract etc.

Advance payment should not exceed the following limits:

- (a) 30% of the contract value to private firms;
- (b) 40% of the contract value to a state or Central Government agency or a Public Sector Undertaking; or
- (c) In case of maintenance contract, the amount should not exceed the amount payable for six months under the contract.

The concern procuring School may, however, relax the aforesaid ceilings including the percentage for advance payment to private firms) in consultation with the Finance School While making advance payment, adequate safeguard in the form of bank guarantee etc. should be obtained from the firm.

Part -Payment

Depending upon the terms of delivery incorporated in a contract, part payment to the supplier may be released after it dispatches the goods from its premises in terms of the contract.

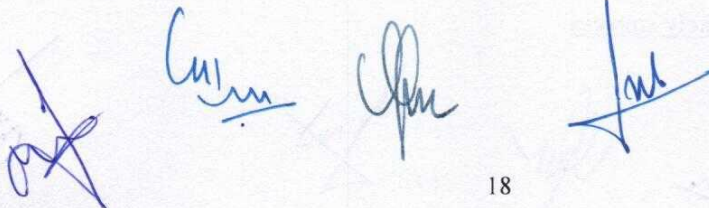
7. Criteria to be followed in the procurement process

In the public procurement, it is imperative that the purchase should be made in a transparent, competitive and the fair manner to secure best value for money. This will also enable the prospective bidders to formulate and send their competitive bids with confidence. To ensure transparency and fairness, the following criteria may be followed:

- (a) The text of the bidding document should be self-contained and comprehensive without any ambiguities. The bidding document should contain:
 - (i) The criteria for eligibility of qualifications to be met by the bidders such as minimum level of experience, past performance, technical capability, manufacturing facilities and financial position etc.
 - (ii) Eligibility criteria for goods indicating any legal restrictions or conditions about the origin of goods etc. which may be required to be met by the successful bidder.
 - (iii) The procedure as well as the date, time and place for sending bids.
 - (iv) Terms and delivery:
 - (v) Special terms affecting performance, if any.
- (b) The bidder should be given reasonable time to send their bids.
- (c) The bids should be opened in public and authorized representatives of the bidders should be permitted to attend the bid opening.
- (d) Bids received after the specified date and time for receipt of bids (late bids) should not be considered.
- (e) The specifications of the required goods should be clearly stated without any ambiguity so that the prospective bidders can send meaningful bids. In order to

attract sufficient number of bidders, the specifications should be broad based to extent feasible.

- (f) Criteria for determining responsiveness of bids, criteria as well as factors to be taken into account for evaluating the bids on common platform and the criteria for awarding the contract to the responsive lowest bidder should be clearly indicated in the bidding document.
- (g) Suitable provision for settlement of disputes, if any, emanating from the resultant contract, should be kept in the bidding document.
- (h) The bidding document should clearly indicate that the resultant contract will be interpreted under Indian Laws.
- (i) Bidder should not be permitted to alter or modify their bids after expiry of the deadline for receipt of bids.
- (j) In the case of turn key contract(s) or contract(s) of special nature for procurement of sophisticated and costly equipment, a suitable provision may be made in the bidding document for pre-bid conference for clarifying issues and clearing doubts, if any, about the specifications and other allied technical details of the plant, equipment and machinery projected in the bidding document. The date should be sufficiently ahead of the bid opening date.
- (k) In the event of new item being purchased by replacing the old one, a suitable clause is to be incorporated in the bidding document mentioning about buy back clause offer so that the prospective and interested bidder may formulate their bids accordingly. The details about condition and value of the old item to be traded should be clearly mentioned. However, provision should also be kept in the while purchasing the new one.
- (l) Bids received should be evaluated in terms of the conditions already incorporated in the bidding documents; no new condition which was not incorporated in the bidding documents should not be brought in for evaluation of the bids. Determination of a bid's responsiveness should be based on the contents of the bid itself without recourse to extrinsic evidence.
- (m) Normally, negotiations with bidders after bid opening should not be held. However, negotiation with only lowest evaluated responsive bidder (L-1) may be held in specific circumstances provided the same is found logical and justifies in the financial interest of the University.
- (n) In the rate contract system, where a number of firms are brought on rate contract for the same item, negotiations as well as counter offering of rates are permitted with the bidders.
- (o) Contract should ordinarily be awarded to the lowest evaluated bidder. However, where the lowest acceptable bidder against ad-hoc requirement is not in a position to supply the full quantity required, the remaining quantity, as far as possible, be ordered from the next higher responsive bidder (L-2) at the rates offered by the lowest responsive bidder (L-1).
- (p) The name of the successful bidder awarded the contract should be mentioned on the notice board or put on University's web site.



8. Maintenance Contract

Depending upon the cost and nature (generally sophisticated and costly equipment and machinery) of goods to be purchased, it may also be necessary to enter into maintenance contract(s) for suitable period either with the supplier of the goods or with any other competent firm. While entering into such contract, it may be kept in view that the equipment of machinery is maintained free of charge by the supplier during its warranty period or such other extended periods as the contract terms may provide and the paid maintenance should commence only thereafter.

[B] Procurement of Services

Procurement of outsourcing of services means hiring of external professionals, consultancy firms or engagement of consultants for a specific job.

The following guidelines may be scrupulously followed for outsourcing of services.

1. Identification of work/services

Engagement of consultants may be reported to in situations requiring highly quality services for which the University does not have the requisite expertise. Approval of the competent authority should be obtained before engaging consultant(s).

2. Defining the scope of work/service

The requirement, objective and scope of the work/service may be explicitly defined in simple and concise language. The Terms of Reference (TOR) containing the eligibility and pre-qualification criteria to be met by the consultant(s) should include the following:

- (a) Precise statement of objectives.
- (b) Outline of the tasks to be carried out.
- (c) Schedule of completion of task.
- (d) The support or inputs to be provided by the University to facilitate the consultancy.
- (e) The final output that will be required of the consultant.

3. Estimation of reasonable expenditure

Reasonable expenditure on the proposed engagement of consultant(s) should be estimated by ascertaining the prevalent market/conditions and consulting other organizing engaged in similar activities.

4. Identification of likely sources

Sl. No	Estimated cost of work/service	Procedure for Identification
(i)	Up to Rs. Twenty-five lakhs	A long list of potential consultants may be prepared on the basis of formal or informal enquires from other organizations involved in similar activities, consultancy firms etc.
(ii)	Above Rs. Twenty-five lakhs	In addition to (i) above, an enquiry for seeking 'Expression of Interest' (including in brief, the broad scope of work/service, inputs to be provided by the University, eligibility and the pre-qualification criteria to be met by the consultant and the consultant's past experience in similar work/service) from consultants should be published in at least one national daily and the University's web site. The web bite address should also be given in the advertisements. The consultants may also be asked to send their comments on the objectives and scope of the work/service projected in the enquiry. Adequate time should be allowed for getting responses from interested consultants.

5. Short listing of consultants

On the basis of response received from the interested parties, consultants meeting the requirements should be listed for further consideration. The number of short listed consultants should not be less than three.

6. Issue of request of proposal (REP)

The short listed consultants should be issued the Request for Proposal (REP) to seek their technical and financial proposal. It should contain the following:

- a. A letter of invitation
- b. Information to consultants regarding the procedure for submission of proposal.
- c. Terms of Reference (TOR)
- d. Eligibility and pre-qualification criteria in case the same has not been ascertained through enquiry for expression of Internet.
- e. List of Key position where CV and experience would be evaluated.
- f. Bid evaluation criteria and selection procedure.
- g. Standard formats for technical and financial proposal
- h. Proposed contracts terms.
- i. Procedure proposed to be followed for midterm review of the progress of the work and review of the final draft report.

7. Receipt and opening of proposals

Proposal should be asked for from consultants in 'two-bid' system with technical and financial bids sealed separately and both the envelopes kept in a bigger envelop duly sealed. The bid should be submitted by the specified date and time at the specified place. The bids received after the specified date and time of receipt should not be considered.

On receipt, the technical proposals should be opened first.

8. Evaluation of bids

The technical bids should be evaluated by duly constituted Technical Evaluation Committee. The committee shall record in detail the reasons for acceptance or rejection of the technical proposals.

The common committee or the separate financial committee shall open the financial bids of only those bidders who have been declared technically qualified by the technical committee. This committee would further analyze or evaluate the financial bids for ranking/selecting the successful bidder for placement of the consultancy contract.

9. Selection of a particular consultant by nomination

In special circumstances where it becomes necessary to select a particular consultant in the interest of the University, full justification for such single-source selection should be recorded in the file and approval of the competent obtained before resorting to such single-source.

10. Monitoring the contract

The performance of the consultant(s) should be continuously monitored so that the output of the consultancy is in line with the objectives of the concerned School/unit.

[C] OUTSOURCING OF SERVICES

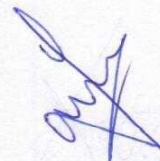
The following basic guidelines should be adhered to while outsourcing.

1. Identification of likely contractors

The concerned School/centre/unit etc. should prepare a list of likely and potential contactors on the basis of formal or informal enquiries from other organization involved in similar activities, „yellow Pages“, trade journal, web site etc.

2. Preparation of tender enquiry

The tender enquiry should contain the following:



- (i) The details of the work and service to be performed by the contractor.
- (ii) The facilities and inputs which will be provided to the contractor by the University.
- (iii) Eligibility and qualification criteria to be met by the contractor for performing the required work/service.
- (iv) The statutory and contractual obligations to be complied with the contractor.

3. Invitation of bids

SI. No	Estimated cost of work/service	Procedure for Identification
(i)	Up to Rs. Ten lakhs	- scrutiny of preliminary list of identified contractors - to decide the prima facie eligible and capable contractors. - to issue limited tender enquiry to them asking for their offers by a specified date and time the number of such identified contractors should not be less than six).
(ii)	Above Rs. Ten lakhs	The concerned School/Centre/unit should issue advertised tender enquiry asking for the offers by a specified date and time in at least one popular largely circulated national newspaper and website of the University.

4. Receipt and evaluation of bids

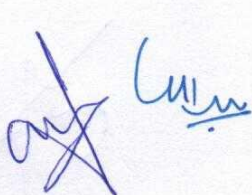
The PPC would evaluate the valid bids. Bids received after the specified the date and time of receipt should not be considered. The responsive bids should be evaluated, segregated ranked for selecting successful bidder for placement of the contract. The recommendation of the PPC approved by the VC would be final in all such matters.

5. Outsourcing by choice

Should it become necessary in an exceptional situation to outsource a job to a specifically chosen contractor; the competent authority in the University may do so in consultation with the Finance School. In such cases, the detailed justification, the circumstances leading to the outsourcing by choice and the special interest or purpose it shall form integral part of the proposal.

6. Monitoring the contract

The conduct and the performance of the contract should be monitored continuously by the PI and any discrepancies are to be placed on the record and actions are to be initiated in consultation with PPC.





ANNEXURE-IV

Dr. B. R. Ambedkar University
FORMAT FOR CLOSURE OF RESEARCH PROPOSALS

(Submit 5 copies)

Closure of the Terminated/Completed Project entitled “_____”

The above noted project has terminated/completed on _____, the relevant details of the project are being given.

1. Name of Principal Investigator
2. Designation
3. School/Centre
4. Name of the Co-Investigator
5. Designation
6. School/Centre
7. Title of the Project
8. Duration of the Project
Date of commencement
Date of completion
From To
9. Funding agency
10. Total funds received including salaries without overhead charges
11. Total overhead charges received
12. Whether the final accounts of the completed projects for all the years have been submit closed. If not, reasons thereof.
13. Amount of the unspent balance
14. Whether the unspent balance is to be returned to the sponsoring body.

23

15. Whether the certificate of „no liability“ against the project to enable the University to refund the unspent balance, if any, to the sponsoring body is enclosed or not. If not, reasons thereof.

16. Whether the final Technical Report of the project for onward transmission to the sponsoring body, is enclosed or not. If not, reasons thereof:

17. List of non-consumable articles

S.No.	Item(s)	Date of Purchase	Cost at time of Purchase	Present Condition	Whether transferred to the School Details thereof
-------	---------	------------------	--------------------------	-------------------	--

18. Whether all the advances have been rendered and reconciled with the Finance Office. If not, reason thereof:

Signatures of the Investigator : Date

Signatures of the Co-Investigator : Date
(if any)

Name: Head of the School/Director of Centre

Signature : Date:

Seal:

