



THE MAHARAJA SAYAJIRAO UNIVERSITY OF BARODA

Managing Research Projects in the University

'A Procedural Approach'

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Forwarding Research Project Proposals

- Identify the subject of the research
- Identify the funding agency which will finance this research
- Add 15% of total cost of project as Management Charges/Overheads in the financial proposal.

In case of online proposal

- the undertaking of the Institution which is required to be uploaded along with the proposal will be given by the GCU Section.
- The Undertaking format signed by Head of the Department and Dean/Principal is to be given in the GCU Section **in duplicate** for taking the signature of Head of the Institution.
- Submit a copy of the proposal in the GCU Section for keeping the record.

In case of Physical submission of proposal

- 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 GCU section through proper channel (through Head and Dean) for taking the signature of the Head of the Institution.
- Always keep one extra original copy of the proposal for the GCU section, for keeping the record.
- After checking the proposal for Management Charges the proposal will be forwarded by normal post to the Funding Agency with Registrar's permission/signature.
- If the proposal is to be sent by the individual, inform the section in advance.

All the Individual Research proposals/Departmental programmes shall be signed and forwarded by Development Officer, as per powers delegated to DO vide S.R. No. 12 dated 2/9/2014 circulated vide Circular no. R/MSU/381 dated 27/9/2014.

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Procedures after receiving the Project

Note:

- Always write a covering letter to the University addressed to “Registrar (GCU) .
- All the letters must be sent through proper channel i.e. through Head and Dean
- Letters from the Research Scholar must be signed by Guide/PI and sent through proper channel.
- Formats of the Funding Agency which requires Head of the Institution’s (Registrar) Signature must also be signed by Head and Dean (even if it is not mentioned in the format).
- Make three copies of all the letters/formats to be sent to Funding Agency.
- Registrar will not sign on any photocopy or colour copy.

Permission for implementation of the project

After receiving the sanction letter from the Funding Agency, send a letter to the University (in GCU Section) addressed to The Registrar (GCU) through proper channel (i.e. through Head and Dean) requesting to give permission for implementing the sanctioned research project. 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 to University.

If Co-PI is not appointed by Funding Agency and you still feel that another teacher can work as Co-PI then request University to appoint him/her as Co-PI on the project along with permission for implementation of the project. His/her signature is also required on the letter to 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 of the University will have to take the administrative and financial responsibility of the project and a letter to the effect must be sent to the University through proper channel for accepting the project.

As per Section 43 of Ordinance 31 as revised vide Syndicate Resolution No. 21 dated 29/7/2016 (effective from 1st August, 2016)

- If the total cost of the project is upto Rs 50,000/, then Dean has power to approve it.
- If the total cost of the Project/Programme is upto Rs 1 Crore, then Hon. Vice-Chancellor has powers to approve it and Syndicate is to be informed.
- If the total cost of the project is more than Rs.1 Crore, then it is put up before the Syndicate for approval.

After taking the due permission, a letter of implementation will be issued by the University along with a copy of the sanction letter, guidelines and circulars of the GCU Section.

Inform Date of Implementation of the project to the University.

If Date of Implementation of the project is not mentioned by the Funding Agency then the date of receipt of the 1st Installment or the date of appointment of the Project Fellow can be considered as the Date of Implementation.

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Acceptance Letter to the Funding Agency

Send Acceptance Letter to the Funding Agency including the date of implementation of the project. Send this acceptance letter after taking Head and Dean'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.

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Opening an account

As per the Guidelines for implementation of Research Project in the University duly approved by Syndicate vide S.R.No. 28 dated 24/10/2016 the permission to open the bank account in any branch of the Bank of Baroda is given in the Implementation letter of the GCU.

Approach closest branch of BoB to open the account in the name of Project.

Inform the Accounts Section and GCU about the details of account opened.

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Taking Advance for implementing the Project

After the 1st installment of the grant is received by the University, P.I./Co-ordinators can request for advance for utilizing under various budget head other than Manpower and upto 75% of the requested amount, as the case may be, shall be released by the Accounts Section.

The request for advance is to be sent to Chief Accounts Office in the prescribed format, with detailed estimated expenditure to be incurred under various budget head from the advance requested.

The next advance shall be given only after the entire amount of previously asked advance has been settled with the Accounts Section.

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Appointing Project Staff

All Project Staff are appointed by Vice-Chancellor.

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

- Issue notification with qualifications/remunerations as per directives of the Funding Agency including the duration of the appointment.
- Mention in the notification that this is a temporary appointment and co-terminus with the project.
- UGC guidelines is to be followed if no directive 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 depending on the remuneration. Funding Agency must be informed about this.
- Send notifications to the concerned departments, other Universities etc (if required).
- Notifications can be published in the Employment News also and expenditure can be charged against Contingency or Overhead budget head.
- Call Selection committee after one month of notification.(advisable)
- Members on the Selection Committee
 - Dean of the Faculty (Chairperson)
 - Head of the Department
 - Principal Investigator
 - Two experts (to be decided by the Dean as per the guidelines of the project)
 - Dean of any other Faculty (as Hon. Vice-Chancellor nominee) to be invited by the Dean of the concerned faculty.
- 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. regarding eligibility of the candidate is preferred.
- Send the proceedings of the appointment of the candidate to the University for approval by the Hon. Vice-Chancellor with following documents
 - Copy of the notifications
 - 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 in original with signature of all the members
 - Names 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. The tenure of wait listed candidates is considered to be the duration of the project if not mentioned otherwise in the report.
- Mention following clearly in your letter to the University
 - Name of the selected candidate
 - Designation of the candidate
 - Remuneration to be given (should be as per notification)
 - Effective date of joining
 - Duration of the appointment
 - Names of waitlisted candidates (if any)
- After receiving the approval from the University, issue the letter of appointment to the candidate.
- Send joining report of the candidate along with a copy of the appointment letter to the University.
- In case of UGC, fill Annexure IX (Encl: III) in two copies and send it to the University for onward submission to UGC.
- In case the selected candidate doesnot join due to any reason, there is a provision of appointing the waitlisted candidates as per the priority list. Take permission from University before appointing the waitlisted candidates. Send the credentials of the waitlisted candidate along with request letter.

b. Procedure for Appointing Part Time Accountant/Secretarial Assistant/ Peon etc

PI/Co-ordinators can hire the secretarial assistance required for administrative and accounts work of the project through selection committee or hire the University appointed (permanent or temporary) staff.

In case of appointment through the Selection Committee,

- follow the same procedure as for the appointment of JRF/SRF.
- Ask for VC's nominee on the Selection Committee from the GCU Section.
- After receiving the approval, issue the letter of appointment to the candidate.
- Send the joining report.

In case of hiring the University appointed (permanent or temporary) staff.

- Send a letter through proper channel to the GCU stating the name of the employee and proposed remuneration.
- Attach the undertaking format (Encl.IV)
- Such appointed staff can draw total 40% of his /her basic salary or fixed salary, from all the projects he/she is working on with maximum of Rs 1500/- per month per project.

- He/she will have to work on the project before or after office hours.
- The parent organization shall be responsible to maintain that the regular office work does not suffer.
- After receiving the approval from the University, send the joining report.

Part Time Accountant/ Secretarial Assistant/Peons can also be appointed on daily wages. U/S 42 of O.31 Dean has power to make such appointments and to make payments as per minimum Wages Act. Inform University about such appointments.

The expenditure for these appointments can be charged under the ‘Overhead’ Budget Head OR under ‘Contingency’ if Overheads are not given, after taking due approval of the University.

c. Procedure for Appointing Technical Staff:

As per UGC guidelines

Technical staff required for the implementation of the project may be hired on a fixed amount for a fixed period on contract basis. The modalities for the utilization of research funds under the head of ‘hiring services’ are as under :-

- This is meant for having institutional services for specialized technical work, such as sample analysis, for which the University/Institution either has no infrastructure or such services are available on payment basis.
- 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.
- Such of the 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 fulfill the qualifications prescribed for Project Fellow. He/she may be paid remuneration at par with the Project Fellow, limited to a maximum of 6 months in the total tenure of the project.
- Expenditure on payment of consultancy fees etc. shall be admissible under this head, if the payment is made to a person outside the Institution of the Principal Investigator and Co – Investigator(s). As far as possible, consultancy fee should be paid to some organized agencies only.

Appointment of technical staff / Consultancy fees on contractual basis can done after taking approval of the University after following procedure of appointing through Selection Committee 4(a).

Send the request letter

- Indicating the specialized requirement of the project
- Details of the person/agency etc to be appointed
- Duration of appointment
- Remuneration to be given
- Budget head

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Purchase Procedures (basic information)

- Please consult the Audit Section before processing the major purchases in order to avoid unnecessary delays and wrong procedures.
- The equipments and Books & Journals should be procured as soon as possible for the smooth implementation of the projects.
- Only approved equipments 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 University. Funding Agency must be informed about it.
- 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.
- No dead stock items can be purchased under contingency / consumable heads.

Principal Investigator has powers of purchase at par with the Dean.

As per O.31 as revised vide Syndicate Resolution No. 21 dated 29/7/2016 (effective from 1st August, 2016)

- **Dean has power to purchase any item upto Rs. 20,000/- without inviting any quotations**

No permission from any authority is required for such purchase.

Prepare the bill in the G-Form and send it to the University along with the invoice, with two copies of the GCU- Sur Bill with signature of PI.

- **Dean has power to purchase items from Rs.20,001/-upto Rs. 50,000/- by inviting quotations.**

In such cases send inquiry to at least 6 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. Open the received quotations in the presence to Head and two other members of the Department (Departmental Committee). Take signature with dates of these members on the envelop and the quotations. Prepare a comparative statement. Place the order to the lowest vendor. Prepare the bill in the G-Form, attach the procedure, fill two copies of the GCU Sur Bill with details duly signed by PI. Send to the University.

- **Vice-Chancellor has powers to purchase from Rs 50,001/- to Rs. 2,00,000/- after the procedures.**

Follow the same procedure of floating the inquiry and opening the quotations. Instead of placing the order directly, send all the documents to the Audit section for taking the approval of competent authority. Place the order after receiving the permission letter from the Audit section. Process the bills along with the University letter and all the required documents.

- **From Rs. 2,00,000/ onwards the item goes to the Purchase Committee.**

Float the inquiry and ask for quotations in two bid system (Technical and Commercial) for items above Rs 2,00,000/. Constitute a Technical committee for opening the Technical bid. Only those commercial quotations to be opened who qualify in the Technical bid. Send all the documents to the Audit Section for placing in the Purchase Committee. After receiving approval from the University, place the order and process the bills.

- **Above Rs. 9,50,000/- , tenders are to be published in the newspapers. Same procedure as for purchase Committee.**

NOTE: The items whose specifications are issued by the University must be invited in two bid system irrespective of the price.

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Travel

Travel under the Research Projects is allowed for the following

- For data collection related to projects
- For visiting Libraries, institutes within the country to collect information
- For attending Conference/ Seminars/Workshops/Training Programme etc
- For inviting subject experts for the selection committee
- For inviting other experts to discuss the project work
- For attending mid term reviews of the projects

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

The procedure for taking permissions for undertaking travel

- Travelling by Bus/Taxi/ own Car – Dean’s permission is required
- Travelling by Train (within and outside Gujarat) - Dean’s permission is required
- Travelling by Air - Vice-Chancellor’s permission is required
- Write a letter to Dean informing about the travel. Dean may permit on the same letter. This permission must be attached at the time of producing the bills.
- Apply to the University in case of travel by Air.
- University permission letter must be attached along with the bill.

Registration fees for attending the Seminar/Conferences etc

- upto of Rs 10,000/- Dean’s permission is required
- Above Rs 10,000 Vice-Chancellor’s permission is required.

University does the Annual Rate Contract for hiring vehicles. Hiring of vehicles has to be done from the designated travel agencies only. In case the designated travel agency is unable to provide the vehicle due to any reasons, PI/Co-ordinators can travel by own car or hire a taxi/vehicle from any of the other agency after following due procedures.

Travelling Allowance as per entitlement, Dearness allowance, Registration fees of the conference /seminars etc and other misc expenditure can be charged under the ‘Travel’ Head for PI and Project Staff.

TA/ DA and Registration fees can be claimed under ‘Contingency’ head also with proper justification.

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 actual receipt) as per the details given below. **In this case DA cannot be claimed.**

Sr. No.	Grade pay	Hotel accommodation per day (lodging)	Food bill per day not exceeding (boarding)
1	Rs 9,000 and above	4000	1000
2	7,000 to 8,999	3000	1000
3	5,000 to 6,999	2000	1000
4	4,400 to 4,999	2000	1000
5	JRF/SRF/RA/PDF	2000	1000

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

RA/PDF/JRF/SRF/PF etc working on a project/programme/getting fixed fellowship are entitled to receive Daily Allowance maximum up to Rs 500/- per day for going out station for field work/project related work/attending Seminar or training programme etc.

NOTE:

- UGC does not allow to charge expenditure for attending Conference /Seminars etc under the travel head of the project. There is a separate provision under merged schemes for university teachers.
- 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 justifications.

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University Management Charges

University Management Charges (8% of the total sanctioned grant) is charged under Overhead budget head and is required to be deposited in the University Accounts.

3% of the Management charges so collected can be distributed to the concerned faculties for infrastructure improvement and development of the faculty.

The balance Overhead grant can be used for (Encl : VIII)

- Part Time appointment of Administrative/Financial/Store Personnel after following University procedures
- Payment of outside Audit Services
- Advertising for various posts in the project like JRF, Project Fellows etc.
- Maintenance of equipments
- Purchase of spare parts/peripherals of the equipments
- Under infrastructural facilities PI may be allowed to do interiors of the lab/room, purchase lab/room furniture.

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Re-appropriation of the funds

- Re - appropriations from the Non-recurring to Recurring is not permissible.
- In case of UGC MRP, 20% of the grant allocated under each head of Recurring component can be re-appropriated after taking permission of the Hon. Vice-Chancellor and UGC is to be reported with proper justification for doing so.
- Fellowship grant cannot be re-appropriated.

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Preparation of the Statement of Expenditure and Utilization Certificate (SOE/UC)

Statement of Expenditure and Utilization Certificate (SOE/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. (one for sending to Funding Agency and one for office records). It is advisable to prepare the SOE /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 University recognized Chartered Accountant. A provision for this financial expenditure must be made before hand in the respective budget head.

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 in the format (Encl: IX) before sending the final UC/SOE 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 IInd installment is released only if the utilization of the Ist installment is above 80% of the released amount. As and when the expenditure is above 80% of the released amount send the SOE/UC, in addition to the yearly SOE.

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.

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 toDuly signed and sealed by the Registrar / Principal, Principal Investigator & Government Auditor / Chartered 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 of Final Progress Report alongwith CD in PDF format.

4. Proforma for submission of Final Report duly sealed & signed by the Registrar/Principal & 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 respective University/College 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 Registrar/Principal.
10. Bank interest, if any, accrued by the Institution.
11. Mandate form duly filled & signed by the Principal/Registrar, Certified by Bank Authorities & mapped/Registered under PFMS portal.

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Also Refer the Guidelines for implementing the Research Projects/Programmes/Schemes in the M.S. University of Baroda as approved by Syndicate Resolution No. 28 dated 24/10/2016 also.
