



डॉ. एम. ए. सिकंदर  
कुल सचिव

Dr. M. A. Sikandar  
Registrar

F. No. AUD/1-14(3)/2016/BoM/ 1064  
08.06.2016

### NOTIFICATION

The Board of Management (BoM) in its 19<sup>th</sup> Meeting held on 19.04.2016 has approved (vide Resolution No. 3.3) the recommendation by the Academic Council (in its 8<sup>th</sup> Meeting held on 01.04.2016) to the proposal for prescribing the '**Standard Operating Procedures**' (SOP) to be followed for the management of externally funded and AUD sponsored Research Projects with minor modifications.

2. The revised SoP for the management of externally funded and AUD sponsored Research Projects, as approved by the Board of Management in its 19<sup>th</sup> Meeting held on 19.04.2016 vide Resolution No. 3.3 is enclosed herewith for information and adherence by all the concerned.

  
08/06/2016  
REGISTRAR

Encl.: As above

Copy to:-

1. Professor Venita Kaul, Chair, ACRPM
2. Office of the Vice Chancellor
3. All Deans of Schools/Divisions/OSD, Karampura Campus
4. Office of the Registrar
5. Office of the Controller of Finance
6. The Librarian
7. All Directors of the Centres/ Director (IT Services)/Director (Campus Development)
8. The Deputy Registrar (PR & IP) and Secretary, ACRPM
9. Assistant Registrar (Governance)
- ✓ 10. Webmaster – For uploading the notification on the intranet.
11. Office Copy

AMBEDKAR UNIVERSITY DELHI

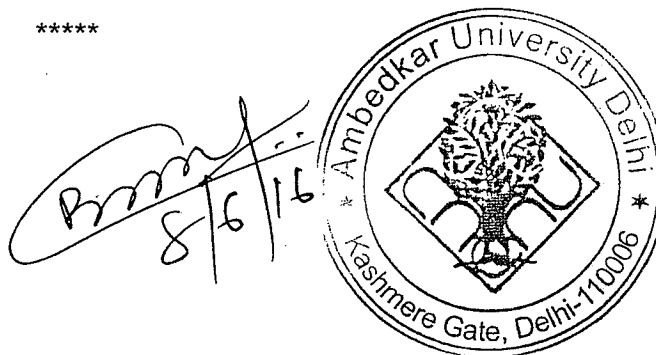
EXTRACT OF MINUTES OF THE 19<sup>TH</sup> MEETING OF BOARD OF MANAGEMENT  
HELD ON 19.04.2016 AT 10:00 AM IN THE PRIVATE DINING HALL,  
INDIA INTERNATIONAL CENTRE, LODHI ROAD, NEW DELHI

Resolution No. 3.3

**Proposal for the Standard Operating Procedures (SOP) to be followed for management of externally funded and AUD sponsored Research Projects**

Resolved to approve the recommendation by the Academic Council in its Eighth Meeting held on 01.04.2016 to the proposal for prescribing the 'Standard Operating Procedures' (SOP) to be followed for the management of externally funded and AUD sponsored Research Projects with minor modifications. The revised SOP approved by the Board is at **Appendix - 3**.

\*\*\*\*\*



Appendix-3

**Standard Operating Procedures (SOP)  
to be followed for management of  
externally funded and AUD  
sponsored Research Projects**

**(Approved by the Academic Council in its  
Eighth meeting held 1<sup>st</sup> April 2016)**

Prepared by  
Advisory Committee for Research and Project Management



**Ambedkar University Delhi**  
Lothian Road, Kashmere Gate  
Delhi – 110 006

**A. STANDARD OPERATING PROCEDURES FOR EXTERNALLY SPONSORED RESEARCH PROJECTS IN SCHOOLS/ CENTRES OF AUD**

**1. SUBMISSION OF THE PROJECT PROPOSALS**

1.1 At the initial stage of submission of grant applications/*expression of interest*, PI should submit the project proposals to the funding agency through the Dean of the concerned School / Director of the Centre. Alongside, a copy/brief summary of the proposal along with the proposed budget estimate should be submitted to the Advisory Committee for Research and Project Management (ACRPM) for record and identification of inconsistencies, if any. The budget will need to conform to the guidelines provided for sponsored projects by AUD finance, unless otherwise approved by sponsoring agency.

1.2 The PI of the proposed project shall clearly state the extra space and facilities required for implementation of the project in submission to the Dean/Director, who will ascertain and certify the feasibility of meeting the requirements with reference to the existing infrastructure and human resource. The proposals must be cleared by the Dean of the School/Director of the Centre within three (3) working days for forwarding to the funding agency.

1.3 After getting the in-principle approval from the funding agency, the proposal (along with the financial statement and summary of the Project and 'Project Initiation Form'), will be submitted to ACRPM for its review and recommendation prior to the final approval of the Vice Chancellor. However in case a Memorandum of Understanding (MOU) or Letter of Agreement (LOA) is to be signed, the proposal should be routed through the Registrar AUD for vetting, prior to Vice Chancellor's approval. Once approved by the Vice Chancellor the MOU/LOA must be signed by the Registrar within 5 working days.

1.4 If the project is with a non-government agency, a statement on the terms and conditions of the project including the right of patents and royalties must be spelt out clearly.

1.5 All projects, once approved, may be provided with a unique number by ACRPM at the time of signing of MOU e.g. AUD/Project/2015-16/Name of Project / 001. The last number will help in identifying the project.

1.6 Original MOU must be kept in the office of the Registrar while a copy will be kept under Secretary ACRPM Division and the Finance Division. One copy may be retained in the respective Centre/School.

1.7 A technical support group may be constituted by AUD to support preparation of grant proposals for sponsored projects. The technical group will be required to:

- (i) lay down specifications for budget preparation and prepare a corresponding template for this purpose. In particular, it should provide a formula for calculation of resource fee for compensating cost to the University.
- (ii) Provide support for preparation of grant proposals including budget.
- (iii) Provide support in terms of maintenance and update of accounts.

1.8 The Secretary, ACRPM will be the central coordinating officer for all externally sponsored Research Projects in the University and shall be responsible to maintain all relevant records about the projects.

## 2. SANCTION OF THE PROJECTS

2.1 The letter of sanction from Sponsoring organisation and details of the amount sanctioned under different budget heads, duration of the Project and other terms and conditions should be communicated to the ACRPM Division along with a copy of the finally approved Project proposal.

2.2 Before the start of Project, PI must fill up the project initiation form given in **Annexure-I**. The start date of the project will be the date of the actual receipt of the first instalment of the grant sanctioned or as specified by the funding agency.

2.3 Mobile numbers and email i.ds of PIs may be made available to the Finance Division for speedy addressing of issues. Also, the usage of emails will be encouraged for resolution of issues and for day-to-day clarification of queries.

2.4 Revision of Budget: Project expenses are booked under specific budget heads sanctioned by the funding agency vide their sanction letter or MOU. If reallocation of funds becomes necessary, it may be accorded upon receipt of a written sanction/approval of re-appropriation from the funding agency, or as per terms and conditions of the agreement.

2.5 Extension of the duration of project is possible only with the concurrence of the funding agency.

## 3. OPERATION OF THE PROJECTS

### 3.1 Purchase

3.1.1 All purchases upto Rs. 1 Lakh shall be supervised and handled by the "Project Purchase Committee (PPC)" created for each project consisting of the PI (Convener), Co-PI and two members out of which one member may be from an allied School/Centre. This Committee, proposed by the PI and approved by ACRPM shall be constituted at the beginning of the Project and will serve the entire duration of the project, unless there is a change in staff.

3.1.2 PIs must ensure availability of sufficient funds in their projects during the purchase process. The fund position must be mentioned at every occasion while processing the release of payment.

3.1.3 Purchase of item(s) up to 15,000/- can be made by the PI/Co-PI without calling quotations.

3.1.4 Purchases above Rs. 15,000/- should be made strictly by following the procedure as laid down in the MOU / Agreement and specified by the funding agency or the General Financial Rules 2005 (in **Annexure-II**) incase it is not

specified in the Agreement. This procedure will prevail unless there is some extraordinary requirement for which waiver will have to be sought from the Vice Chancellor.

3.1.5 Purchase order up to Rs. 1,00,000/- can be placed by PI/Co-PI after following the procedure outlined in **Annexure-II**.

3.1.6 Purchase above 1,00,000/- shall require approval of the Vice Chancellor prior to placing the order, as per GFR rules or specifications of the funding agency as per MOU/Agreement.

3.1.7 Supply order will be signed by the Project-in-charge after scrutiny of Tenders/quotations obtained from various suppliers. The orders will be normally placed with the supplier whose quotations are the lowest, unless there are some technical reasons which should be clearly stated. In case of any discrepancy, the matter shall be referred to the Vice Chancellor whose decision shall be final.

### **3.2 Bills and Advances**

Once the projects are approved, requests for advance will not be required to go to Vice Chancellor. The Finance Division will provide a template to the concerned Schools and Centres for requisitioning advance. The templates will cover all required details so as to reduce preparation and submission of lengthy notes by Centres/Schools

3.2.1 All bills in respect of the project (including bills for advance) will be signed by the Project- in-charge and sent to the Finance Division duly completed in all respects. It will be the responsibility of the Project-in-charge to ensure that the bills are complete, as per the checklist provided by Finance, and that these are in order. The bills, if in order, must be processed within 5 working days

3.2.2 Advances will be paid to the Project-in-charge by cheques drawn in favour of the Project- in -charge or in favour of the claimant, as necessary. The Project-in-charge will be responsible for rendering the account of such advances. The accounts of advances taken should be rendered within the period of 30 days from the date of completion of activity for which the advance was drawn. However, this shall not apply in cases of Letter of Credits (LCs) where the money is always with the bank. LCs should be cleared within 30 days of receipt of equipment/material. The bills should be settled and advances liquidated within 15 days of submission.

3.2.3 Payment of bills should be made by Finance Department by cheques drawn in favour of the parties concerned within 5 working days of submission of invoice

### **3.3 Staff Remuneration**

The salary of all part time, ad-hoc, regular, daily-wage based honorarium and consolidated salary based employees of projects will be paid by cheques in the name of the concerned employees only or by cheque to be credited to their respective bank accounts which must be mentioned on the fellowship or salary bills, duly countersigned by the concerned person / Project-in-charge.

3.3.1 For all the projects, salaries of Research Associate and Research Assistant would be based on prevailing UGC rates. For other project positions with different nomenclatures, the rates of payment may be as per approval from the sponsoring agency. Provision may also be made for awarding 10% annual increment to research/project staff after completion of one year.

3.3.2 The TA/DA in the project for field work and visits within and outside Delhi (in India or Abroad) can be paid as per rules of the University or as per approved itemised budgets to the PI, Co-PI and Project staff as well as to Ph.D. students working on jobs related to the Project work. This may be done upon approval and justification by the PI. In case of any specific project requirements, Dean / Director may approve expenditure if adequate justification is provided by PI.

**Note:** The Finance Division should make the University rules available to each PI in this respect.

3.3.3 The period spent by the PI, Co-PI and Project Staff on field work or collaborative work in another Laboratory relating to research work of the project (in India or Abroad) should be treated on duty (provided this does not affect the teaching obligation) and will need the approval of Chair, ACRPM on the recommendation of the concerned Dean of School / Director of Centre.

3.3.4 In case funding agency makes block payment of the instalments, the PIs may provide the break-up under different heads of the project to Finance.

3.3.5 Principal Investigator (PI) being the prime interface between the funding agency and the University, is the operational head of the project. The PI is advised to keep the whole project team aware about the progress of the project and involve the Co-PI in all related project activities wherever possible.

### **3.4 Change of PI**

Prior approval has to be taken from the Vice Chancellor / Chair ACRPM in case the PI decides to quit the project / or leaves AUD to join another institution. In such cases, the funding agency must be informed by the PI / Registrar of the change of Withdrawing Officer of the Project. The Finance Division of AUD is to be informed of the change.

### **3.5 Receipt of Funds/Grants from Funding Agency**

Most of the grants (initial or subsequent) are released through RTGS/electronic payment, hence PIs should coordinate with the funding agency for a written communication (or email) regarding the release of funds and keep the Finance and ACRPM Divisions informed. In case of extraordinary delays in the release of subsequent grants, where funds are required for payment of salary to the staff and for other necessary expenses, PIs may request Controller of Finance to extend small loans.

### **3.6 Annual Statement of Expenditure and Utilization Certificate**

The PI/project implementation unit should prepare the statement of expenditure and utilization certificate of every project as per the time schedule prescribed by the

funding agency. The same may be sent to the Accounts Division prior to 15 days of the said date for confirmation/reconciliation for onward transmission to the funding agency, or vice-versa. The required reconciliation of accounts and issue of utilisation certificate may be done within 10 working days by Finance.

#### **4. MANAGEMENT OF OVERHEAD CHARGES**

4.1 Overheads charged for Projects from Funding Agencies should range from 7.5% to 15% of the total project amount. This is towards administrative expenses borne by the University. However in special cases the overhead percentage may be relaxed upon the consideration of ACRPM, particularly in the case of prestigious projects, if funding agency on principle, does not have a policy to pay overheads.

- (i) From the overall overhead charges, 50 % will be given to the University to be maintained as a separate Resource Fund (as FDs) by the Finance Division of AUD and utilised for furthering research in the University or for provision of Adjunct faculty in situations where AUD faculty is required to be relieved from teaching for a research project on recommendation of the ACRPM. This fund may also provide for any request to AUD for staff positions or other kinds of professional/administrative support by concerned Centres/Schools that have generated the overheads.
- (ii) The remaining 50% of 'overhead' would remain in the name of the respective unit (School / Centre) as resource grant. For this a Committee should be constituted at the Centre/School level with representation from Finance which may be approved by the Chair, ACRPM to periodically consider and approve expenditures under this head, with decisions being formally recorded.
- (iii) Any resource fee charged in the project or unspent funds which as per the MOU/Agreement with the sponsoring agency are not required to be returned, may be deposited into a Resource Fund for the sustainability of the respective Centre, since these are expected to be self financed entities.

#### **4.2 Expenses to be made by the PI from the Overhead Charges**

4.2.1 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 and any other relevant items as per justified needs. This type of work could be assigned to the outside agencies to avoid delays. Proper procedure of inviting quotations should, however, be followed. No structural changes can be made without the consent of the ACRPM and such changes can be made after certification by the Estate Division of the University.



4.2.2 Repair and up gradation of scientific equipment, computers and peripherals, payment of annual maintenance/service contracts, purchase of minor accessories for equipment.

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

4.2.4 Hiring manpower including secretarial assistance (typing/computer operator/accounting, etc.) subject to approval by the Dean of School /Director of Centre or Chair, ACRPM as appropriate at University approved rates. Assistance on part time basis, to Master's and Ph.D. students 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 ACRPM.

4.2.5 Expenses to meet local, domestic or international travel, hotel expenses (actual up to 100 Euro/150 USD per day), DA/per diem (in addition to Hotel Expenses), registration fee towards participation of PI, Co-PI and project staff in Conferences/Symposia and on visits to other laboratories (in India and abroad) for discussions in collaborative research-work subject to prior approval of Vice Chancellor on recommendation of ACRPM.

4.2.6 Reimbursement of charges on calls made from the residential telephone of PI and Co-PI or E-mail/cell phone charges for project work may be paid from this head up to a ceiling of Rs. 12,000 per financial year.

4.2.7 Individual Life membership or annual membership of the academic societies directly related to the activities of the project may be claimed by PI or other members of the Project team.

4.2.8 Expenditure towards entertainment/hospitality/snacks/lunch etc. related to a research related activity may be allowed. Due financial prudence be exercised by the PI while incurring such expenditure and PI should certify that such bills pertain to the concerned project.

**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 the prior approval of the ACRPM and in consultation with Accounts Division, meet such expenditure as may be necessary for the smooth functioning of the Project from the School's/ Centre's / PI's share of the overhead charges of the project.

## 5. MANPOWER

5.1 Prior approval for all the appointments against the sanctioned posts in respect of various projects shall be obtained from Vice Chancellor on recommendation of ACRPM at the time of project approval. The qualifications and scales of pay/consolidated pay (as specified in Ia.5) for all the posts will be as per approved project budgets. Moreover, certain projects have nomenclatures which may be in variance of AUDs designation, which should be respected. In any case, flexibility in designation is needed as per project requirements since it should not pose any

disadvantage for the staff in their future endeavour, especially given the fact that projects are time bound.

## **5.2 Appointments and conditions of service**

5.2.1 For appointments to posts under the Project, in general the applications should be invited after giving wide publicity regarding the vacancies. The PI will post the advertisement on AUD website.

5.2.2 For Casual Appointments the Centre /Directors / PIs may exercise the option of offering contract work on casual basis, based on Informal selection, to persons with suitable qualification by awarding short term work specific contract. However, such awards are restricted to 6 months only for each individual. If the requirement is for 6 months or more, the appointment may be made after following the due process, as per AUD procedures.

5.2.3 Appointments against project positions of more than 6 months duration may be continued or transferred to another project as per justified requirements of the School/Centre. This is important to retain the skilled and competent staff and strengthen capacities, particularly in Centres which are primarily run on external resources and project staff.

5.2.4 After receipt of the applications a Screening Committee may be formed within the School and short listed candidate may be called for interview. Travelling allowance/ dearness allowance may be paid to the outside candidate for the interview as per rules of the University from the contingency or travel head of the project, provided sufficient funds are available.

## **5.3 Selection Committee for selection of the candidates:**

A selection committee may be formed for the duration of the project appointments comprising of Dean/Director (Chairperson), PI, Co-PI (if any) one other member of the teaching faculty or staff member of the concerned School/Centre and one expert from other School/Centre of the AUD. This committee shall be constituted at the beginning of the project by PI and shall serve throughout the duration of the Project, unless there is non-availability of some member. It will recommend the appointments to the posts of Junior/Senior Research Fellows, Project Fellows, Project Associates, Research Assistants and all other Technical and non-technical staff. This committee may be notified to ACRPM at the start of the project.

5.3.1 Minutes of the Selection Committee may be prepared and put up to Dean/Director for its approval and shared with ACRPM for concurrence.

5.3.2 After concurrence of the minutes of the Selection Committee by the Chair, ACRPM, the appointment letters shall be issued to the selected candidates by the Project-in-charge through the Dean of School /Director of Centre, 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 approval of the funding agency is required, the appointment letters should be issued only once written clearance has

been received from the funding agency. Sample appointment letter is enclosed as **Annexure-III**. A copy of the appointment letter should be sent to Registrar/Finance/ACRPM Divisions.

5.3.3 Appointment of the project staff will be purely on temporary basis and co-terminus with the completion of the project and the appointed staff will have no claim for regular appointment in the University on the termination of project. Appointments being contractual will be on consolidated pay for a specific period and renewed every year maximum up to the duration of the project.

5.3.4 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. In order to maintain uniformity in the consolidated pay to project staff AUD norms may be followed. However, wherein certain project funds allow for payment of higher salary, annual increments etc. This may be decided by PI with consultation of the Dean or Director of the School / Centre.

5.3.5 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.

5.3.6 The joining report of the selected candidates should be countersigned by the Project- in-charge and forwarded to the Finance through ACRPM. A copy may be retained by the Project In charge.

#### **5.4 Fixation of Pay**

The pay of employees will be fixed by the Project-in-charge as per approved budget.

#### **5.5 Settlement of bills**

Guidelines/Checklist for submission of Bills/Accounts must be prepared and circulated by Finance Division to all Schools/Centres so as to clear the ambiguity and avoid delays in the processing of bills and advances.

5.5.1 The payment of bills and clearance of accounts is one of the most important aspects of smooth running of Projects. The processing time of project related files involving any financial issues ideally would be *within 5 working days* unless clarification is required or issues are to be resolved.

5.5.2 If Accounts Division has procedural objections to a bill, it should be returned to the PI *within 3 working days*.

5.5.3 Travel for externally funded projects will be as per terms and conditions of the MOU. PIs may decide on the mode of travel of the Project staff depending upon the need and logistics. Travel advance to be given priority given the lead time required for travel bookings.

5.5.4 If any note-sheets/bills of purchase are sent to the Accounts Division, concerned branch should acknowledge the receipt of note- sheets/bills.

5.5.5 At both the PI and Accounts levels, proper transit registers are required to be maintained in order to track movement of files.

## **6. MAINTENANCE OF STOCK REGISTERS**

6.1 Each Centre/project should have separate stock register for assets, accession, consumable and non-consumable articles.

6.2 Separate account should be opened for each non consumable article purchased on a separate page with full particulars, unless the transactions in respect of articles are small in number. In that 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.

6.3 All entries in the stock register should be initiated by the Project-in-charge.

6.4 Physical verification of stock should be conducted at least once in a year; the result thereof should be reported to the Controller of Finance.

6.5 Equipments purchased specifically for each project will be the property of the University on the termination of the project, unless the sponsoring body desire otherwise.

## **7. BANK ACCOUNT**

7.1 Separate accounts may be opened and maintained for each Centre / School so that Project funds can be maintained in a Bank account separate from AUD funds. A separate Bank account for a project may be opened in case it is a requirement by a funding agency for a particular project. Each project is to be separately budgeted head-wise in the ledgers.

7.2 There will be monthly reconciliation of expenditure statement with Finance Division with ACRPM Division informed of the status of expenditure.

## **8. INTERIM PROGRESS AND ACCOUNTS REPORTS OF THE PROJECT**

The Finance Division should prepare the Quarterly Expenditure statement /SOE which should be submitted to the concerned PI who would verify it within a week of submission of the accounts.

A bi-annual progress report on the project activities may be submitted by PI to ACRPM for information and review and for compilation of all project reports for submission to the Academic Council in its quarterly meetings for information.

## 9. FINAL TECHNICAL, FISCAL REPORT OF THE PROJECT

9.1 Closure of the project should be done within 6 months of the completion of the project. The final fiscal report should be prepared by the PI in accordance with the requirements of the funding agency and submitted to the ACRPM / Finance for verification of financial aspects.

9.2 The final 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 COF.

## 10. CLOSING OF THE PROJECTS

10.1 Statement of final accounts showing the year-wise receipts and expenditure and a list of articles (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's / Centre's stock register except where the sponsoring bodies do not allow the School / Centre 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 Estate Division of the University.

10.2 The list will be given to Dean/Director of the School/Centre for entering the permanent assets in the stock register of the School/Centre, within 4 weeks of the submission of the list. After entry into the Stock Register of the School/Centre, 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/Centre to enter all items in stock register and to reissue them to the researcher concerned for his/her research and to take back into the stores the items which the PI does not want to use. It is also mandatory for the Dean/Director to move the papers for writing off of any items which none of the teachers/staff of the School/Centre is willing to take and has been returned to the stores from the project.

10.3 The PI and Dean of the School / Director of the Centre should ensure that all pieces of equipment which are obsolete/beyond repair are written off after following due process. The PIs should give this in writing as soon as situation arises. In case of any missing item/component of the items falling under this category, the cost is to be recovered from the PI / project at the time of no dues certificate. This will be decided by ACRPM in consultation with Dean of the School / Director of the Centre and the Finance Division.

10.4 Based on the funding agency's stipulation any unspent amount from the project funds is to be returned to the funding agency within 6 months from the date of closure of the project, if it is a requirement of the funding agency. If not, it will be deposited in the Resource Fund created for the respective School/Centre.

\*\*\*\*\*

## AMBEDKAR UNIVERSITY DELHI

**B. STANDARD OPERATING PROCEDURES (SOP) TO BE FOLLOWED FOR THE MANAGEMENT OF AUD SPONSORED RESEARCH PROJECTS IN SCHOOLS/CENTRES****1. SUBMISSION OF THE PROJECT PROPOSALS**

1.1 The PI should submit the project proposal including the budget estimate to the ACRPM through the Dean of the concerned School / Director of the Centre.

The PI of the proposed project shall clearly state the extra space and facilities required for implementation of the project in submission to the Dean/Director who will ascertain and certify the feasibility of meeting the requirements with reference to the existing infrastructure and human resource.

1.2 For proposal for less than Rs. 1 lakh, the project should be reviewed by an internal review committee constituted by the Dean of the concerned School / Director of the Centre with an external expert, prior to it being submitted to ACRPM for consideration and recommendation to Vice Chancellor for approval.

Proposals exceeding Rs. 1 Lakh should be submitted by PIs to the Dean of School / Director of Centre who will forward the proposal to the Chair ACRPM with the recommended composition of the Review Committee comprising of at least 1 external member and 2 internal members from the faculty of AUD. The Review Committee will be chaired by the Chair, ACRPM and ACRPM will convene the meeting in consultation with the concerned School / Centre. This Committee will evaluate the proposal in respect of its academic merit and for justification of the proposed budget.

1.3 The ACRPM will recommend the proposal for final approval of the Vice Chancellor after taking into consideration the technical report of the Review Committee and availability of funds.

1.4 The Secretary, ACRPM will be the central coordinating officer for all AUD sponsored Research Projects in the University and shall be responsible to maintain all relevant records about the projects.

**2. SANCTION OF THE PROJECTS**

2.1 Upon receipt of approval from the Vice Chancellor the ACRPM Division will issue a project sanction letter (**Annexure V**) to the PI indicating the amount

sanctioned under different budget heads, duration of the Project and the deliverable. This will also be communicated to the Finance Division along with a copy of the Project proposal incorporating any revision/changes suggested by the Review Committee.

2.2 Before the start of Project, PI must fill up the project initiation form.

2.3 The mobile numbers and email ids of PIs may be made available to the Finance to facilitate speedy resolution of issues. The usage of emails will be encouraged for resolution of issues and for day-to-day clarification of queries.

### 3. OPERATION OF THE PROJECTS

#### 3.1 Purchase:

Purchases shall be supervised and handled by a Committee called the "Project Purchase Committee (PPC)" for each project consisting of the PI (Convener), Co-PI and two members out of which one member to be from an allied School / Centre. This committee, proposed by the PI and approved by ACRPM shall be constituted at the beginning of the Project and would serve the entire duration of the project, unless there is a change in staff. The PI is authorised to make purchases upto 1 lakhs (considered minor purchase) by means of PPC.

3.1.1 Purchase of item(s) up to 15,000/- can be made by the PI/Co-PI without forming the PPC.

3.1.2 The purchase for total value of more than Rs.15000/- and upto 1 lakhs can be done through a PPC [procedure outlined in **Annexure-II**]

3.1.2 Purchase above 1,00,000/- shall require approval of the Vice Chancellor prior to placing the order.

3.1.3 In general the procedure as per General Financial Rules 2005 (**Annexure II**) is to be followed for matters pertaining to purchase, unless for some special requirement for which waiver would have to be sought from the Vice Chancellor.

3.1.4 Equipment purchase takes time and needs planning. The process to be followed is that the supply order will be signed by the Project-in-charge after scrutiny by the approved Committee of the Tenders/ quotations obtained from various suppliers as per GFR rules. The orders will be normally placed with the supplier whose quotations are the lowest, unless there are some technical reasons which should be clearly minuted. In case of any discrepancy, the matter shall be referred to ACRPM whose decision shall be final.

#### **4. FINANCE**

##### **4.1 Bills and Advances:**

Once the projects are approved, requests for advance will not be required to go to Vice Chancellor. The Finance Division will provide a template to the concerned Schools and Centres for requisitioning advance. The templates will cover all required details so as to reduce preparation and submission of lengthy notes by Centres/Schools.

4.2 All bills in respect of the project (including bills for advance) will be signed by the Project- in-charge and sent to the Finance Division 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 as per the checklist provided by Finance and that they are in order. The bills, if in order, must be processed within 5 working days.

4.3 Advances will be paid to the Project-in-charge by cheques drawn in favour of the Project- in -charge or in favour of the claimant as necessary. The Project-in-charge will be responsible for rendering the account of such advances. The accounts of advances taken should be rendered within the period of 30 days from the date of completion of activity, for which the advance was drawn. The bills should be settled and advances liquidated within 15 days of submission.

4.4 Payment of bills should be made by Finance Division by cheques drawn in favour of the parties concerned within 5 working days of submission of invoice.

#### **5. APPOINTMENT AND SERVICE CONDITIONS OF PROJECT STAFF**

##### **5.1 Posts**

As per Resolution No,14/BOM/24.06.2011 appointments for projects funded by the Grant-in-aid of AUD will be under two categories: Research Associates and Research Assistants.

Category A (Research Associates) applies to those with minimum of 3 years experience after post-graduation. Those appointed under this category will be paid as per existing UGC rates.

Category B (Research Assistants) applies to those with less than 3 years experience after post graduation. Those appointed under this category will be paid as per existing UGC rates.



## 5.2 Appointments

5.2.1 Appointment of the project staff will be purely on temporary basis and co-terminus with the completion of the project. The appointed staff will have no claim for regular appointment in the University on the termination of project. Appointments being contractual are on consolidated pay for a specific period and renewed every year maximum up to the duration of the project. Provision may be made for awarding 10% annual increment to staff after completion of one year.

5.2.2 The PI will post the advertisement of the posts on AUD website.

5.2.3 For Casual Appointments (e.g. hiring of manpower including secretarial assistance for typing/computer operator/accounting etc) the PIs may exercise the option of offering short term task specific contract on casual basis, based on Informal selection, to persons with suitable qualifications, at University approved rates. However, such awards are restricted to 6 months only. If the requirement is for more than 6 months for any individual, the appointment is to be made after following the due process and subject to the approval by the Dean/Director and concurrence of Chair ACRPM. The committee may be notified to ACRPM at the start of the project.

5.2.4 For appointments for six months, or more, AUD procedures will be followed.

5.2.5 After receipt of applications, a Screening Committee may be formed within the School and short listed candidate may be called for interview.

5.2.6 The selection committee may be comprised of PI as Chairperson and one faculty from the concerned School of AUD and a member from the faculty of another School of AUD.

5.2.7 Minutes of the Selection Committee may be prepared and put up to Dean/Director for its approval.

5.2.8 After approval by the Dean/Director, appointment letter may be issued by PI. Sample appointment letter is enclosed as **Annexure IV**.

5.2.9 The appointment letters shall be issued to the selected candidates by the Project-in-charge through Dean/Director. A copy of the appointment letter should be sent to Registrar/Finance/ACRPM Division. All appointment letters should clearly indicate the terms and conditions of appointment.

5.2.10 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.

5.2.11 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.

5.2.12 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. The Project-in-charge will be competent to sanction leave to the extent admissible.

5.2.13 The joining report of the selected candidates should be countersigned by the Project- in-charge and forwarded to the Finance. A copy may be retained by the Project In charge.

5.2.14 AUD will provide a core staffing as per need of the concerned Centres.

### 5.3 Staff Remuneration

Appointment of Staff will be as per the mode and norms of the University from time to time. Salary of all part time, ad-hoc, honorarium and consolidated salary based employees of project will be made by cheques in the name of the concerned employees to be credited to their respective bank accounts. The respective account details and salary amount must be mentioned on the salary bills, duly countersigned by the concerned person and Project-in-charge.

5.3.1 The TA/DA in the project for field work, registration fee towards participation of PI, Co-PI and project staff in Conferences/Symposia and for visits to other institutions/ laboratories (in India and abroad) for discussions for collaborative research work will be based on the justification by the PI. These will be paid as per rules of AUD to the PI, Co-PI and Project staff as well as Ph.D. students working on jobs related to the Project work.

5.3.2 The period spent by the PI, Co-PI and Project Staff on field work or collaborative work in another Laboratory or site relating to research work of the project should be treated on duty (provided this does not affect the teaching obligation) and will need the approval of the Chair ACRPM, on the recommendation of the concerned Dean / Director.

5.3.3 In case of any other specific project requirement as per the approved project, Dean/ Director may approve expenditure if adequate justification is provided by the PI.

**Note:** The Finance Division should make the University rules available to each PI in this respect.

## 6. RE-APPROPRIATION/REVISION OF BUDGET

For any re-appropriation within the approved Budget not in conformity with the Itemised Budget OR for general revision of the Budget, due approval would have to be sought through the ACRPM from the Vice Chancellor; 10% re-appropriation within approved budget heads may be permitted.

## 7. ADMINISTRATION OF THE PROJECTS

7.1 Principal Investigator (PI) is the operational head of the project. The PI is advised to keep the whole project team aware about the progress of the project and involve the Co-PI in all related project activities, to the extent possible.

7.2 Infrastructure: All expenses related to infrastructure, its maintenance and advertisement will be as per the rules of the University laid down by the GFR. Procedure laid down by GFR should be followed for assigning work to outside agencies. No structural changes can be made without the consent of the Vice Chancellor.

7.3 In view of the exigencies that may arise during project implementation, which are not covered under the approved provisions, the PI/Co-PI may, with prior approval of the Vice Chancellor through the ACRPM and in consultation with Finance Division, meet such expenditure as necessary for the smooth functioning of the Project.

## .8. SALARIES

Salary payable will be as per AUD norms.

8.1 **Settlement of Bills:** Guidelines/Checklist for submission of Bills/Accounts must be prepared and circulated by Finance Division to all Schools/Centres so as to clear the ambiguity and avoid delays in the processing of bills and advances.

8.2 The processing time of project related files involving payment of bills and clearance of accounts would be within 5 working days unless clarifications are required or issues are to be resolved. If Finance Division has procedural objections to a bill, it should be returned to the PI within 5 working days.

8.3 If any note-sheets/bills of purchase is sent to the Finance Division, concerned branch should acknowledge the receipt of notesheets / bills.

8.4 There will be monthly reconciliation of expenditure statement with Finance Division.

8.5 At both the PI and Finance levels, proper transit registers are required to be maintained in order to track movement of files.

## 9. MAINTENANCE OF STOCK REGISTERS

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

9.2 Separate account should be opened for each non consumable article purchase on separate page with full particulars, unless the transactions in respect of articles are small in number. In that 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.

9.3 All entries in the stock book should be initiated by the Project-in-charge.

9.4 Physical verification of stock should be conducted at least once in a year. The result thereof should be reported to the Controller of Finance.

## 10. INTERIM PROGRESS AND ACCOUNTS REPORTS OF THE PROJECT

The Finance Division should prepare the Quarterly Expenditure statement /SOE which should be submitted to the concerned PI who would verify it within a week of submission of the accounts.

A bi-annual progress report on the project activities may be submitted by PI to ACRPM for information and review and for compilation of all project reports for submission to the Academic Council in its quarterly meetings for information.

## 11. CLOSING OF THE PROJECTS

11.1 Closure of the project should be done within six months of the completion of the project. Statement of final accounts showing the year-wise receipts and expenditure and a list of articles (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-III**) and verified by the Internal Audit Officer of the University. These articles may be transferred to the School's / Centre's stock register except where the sponsoring bodies do not allow the Project

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 Estate Division of the University.

11.2 The list will be given to Dean/Director of the School/Centre for entering the permanent assets in the stock register of the School/Centre within four weeks of the submission of the list. After entry into the Stock Register of the School / Centre, the list with proper entry of the pages of the stock register in the Performa to be supplied by the Finance Division should be sent to Internal Audit Office for verification. It is mandatory for the School/Centre to enter all items in stock register and to reissue them to the researcher concerned for his/her research and to take back into the stores the items the PI does not want to use. It is also mandatory for the Dean /Director to move the papers for writing off of any items which none of the teachers/staff of the School/Centre is willing to take and has been returned to the stores from the project.

11.3 The PI and Dean of the School / Director of the Centre should ensure that all pieces of equipment which are obsolete/beyond repair are written off after following due process. The PIs/project should give this in writing as soon as situation arises. In case of any missing item/component of the items falling under this category, the cost may be recovered from the PI/project (on issue of no dues certificate) and will be decided by ACRPM in consultation with Dean of the School / Director of Centre and Finance Division.

\*\*\*\*\*

**AMBEDKAR UNIVERSITY DELHI**

**PROJECT INITIATION FORM**

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

1. Name of the Investigator
2. Designation
3. Date of Birth
4. School /Center
5. Name of the Co-Investigator
6. Designation
7. Date of Birth
8. School /Center
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 –(10 % of the total cost of the project)
  - 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 and the PVC.

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 (with date)

Signature of the Co – Investigator (with date)

(Draft circular to be issued by the Finance Division)

**AMBEDKAR UNIVERSITY DELHI**  
Finance Division  
(Internal Audit Cell)

To

1. All the Deans of Schools
2. The Directors- University Computer Centre.
3. The Librarian
4. The Dy. Registrars/Assistant Registrars

**Subject: Applicability of revised General Financial Rules, 2005 in the Ambedkar University, Delhi in respect of procurement of goods and services.**

Sir/ Madam,

1. It has been decided that in the cases of procurement of goods and services, inventory/asset management and contract management in the Ambedkar University Delhi. the relevant provisions of general Financial Rules, 2005 issued by the Government of India, Ministry of Finance (Department of expenditure) shall be applicable except otherwise modified by separate Board resolutions adopted from time to time.

2. In accordance with the aforesaid decision, the following guidelines for procurement of goods and services are issued for adherence by all the Schools, Research Centers, Libraries, and all other establishment/units of the Ambedkar University Delhi.

3. Notwithstanding anything on the above, the procedure prescribed by the concern sponsoring body of a particular project shall be applicable and procurement of services/goods will be governed by the respective sponsoring bodies stipulations.

Yours sincerely,

Deputy Registrar (Finance)

Copy to:

- 1) Office of the Vice Chancellor
- 2) Office of the Registrar
- 3) Office of the Finance Officer
- 4) Chairperson, ACRPM



**A. PROCUREMENT OF GOODS**

**1. Procedure for procurement of goods**

The procedure of procurement of goods shall be shown in the ANNEXURE.

**2. Procurement of goods on DG&D rate contract registration of suppliers by the School/Centres etc.**

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 /Centers/ Libraries/ etc., may procure these items on rate contracts with the suppliers registered with the Central Purchase Organization i.e. Directorate General of supply & Disposal (DSG&D). 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 /Centers/Libraries/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 are 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 department etc. is not in public interest.

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

**3. 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, 2005. 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).

4. **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.
- (c) 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.
- (d) The Technical bids are to be 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.
- (e) 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.

5. **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.

6. **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 the Central Purchase Organization / School or University (refer Para 2(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.

**7. Advance/Part payment to suppliers**

**7.1 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 turnkey 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 department may, however, relax the aforesaid ceilings including the percentage for advance payment to private firms) in consultation with the Finance Department 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.

**8. 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 for large value procurement..
- (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 turnkey 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.

## 9. 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 funding agency /PVC should be obtained before engaging consultant(s), if not part of approved budget. For short term technical assistance to the project team for specific tasks such as for analysis of data, documentation of records, etc. junior level consultancies may be approved by Dean/Director.

### 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 mere 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 wed 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 envelops 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 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 / Centre.

## **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 contractors on the basis of formal or informal enquiries from other organization involved in similar activities, „yellow Pages., trade journal, wed 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

Sl. 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 Delhi University.

### 4. Receipt and evaluation of 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.

### 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 Department. 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.



**3. Applicability of guidelines on procurement of goods as outlined in Para 2[A] in the cases of sponsored research projects**

Existing Para of E.C. resolution No. 134 dated 14.11.1997	Existing monetary limit	Revised monetary limit
IIa.2 (i) & IIa.5	Up to Rs. 10,000/-	(a) Rs. 15,000/- without calling quotations. (b) Above Rs. 15,000/- and up to Rs. 1, 00,000/- through duly constituted Purchase Committee.
IIa.2(ii) & IIa.5	Above Rs. 10,000/-	Above Rs. 1, 00,000/- However, there shall be no approval by the competent authority and the procedure.

## AMBEDKAR UNIVERSITY, DELHI

## 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 Investigator
2. Designation
3. School/Center
4. Name of the Co-Investigator
5. Designation
6. School /Center
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 submitted and closed. If not, reasons thereof.
13. Amount of the unspent balance
14. Whether the unspent balance is to be returned to the sponsoring body.
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<br>Details thereof |
|-------|---------|------------------|--------------------------|-------------------|--|
|-------|---------|------------------|--------------------------|-------------------|--|
18. Whether all the advances have been rendered and reconciled with the Finance Division, If not, reason thereof:

Signatures of the Investigator (with date)

Signatures of the Co-Investigator (with date)

(if any)

Name: Dean of the School/Director of Center

Signature (with date)

Seal

## AMBEDKAR UNIVERSITY DELHI

School/Centre \_\_\_\_\_

To  
Ms/Mr/Dr \_\_\_\_\_

Subject: Offer of engagement

Dear Ms/Mr/Dr \_\_\_\_\_,

This is to inform you that the University has decided to engage you as a **full time/part time** Research Assistant / Research Associate for the ..... Project at the School of ..... / Centre of ..... on contractual basis with effect from (start date) ..... (or from the date of your joining whichever is later) to (end date) .....

2. You will receive a consolidated monthly remuneration of Rs...../- p.m.
3. Your engagement shall be specifically for the aforesaid project and the terms and shall be governed by the terms of grants laid down by the grantee institution/funding agency and the extant rules of the University.
4. This engagement will not confer any right on you to be considered for regular appointment in the University. No further extension beyond the project period shall be granted.
5. You will be expected to do research, field, administrative and any other work that may be assigned to you from time to time.
6. You are entitled to leave and other benefits as per the rules/policies, applicable to project staff prescribed by the University from time to time.
7. You are required to maintain absolute confidentiality of the information related to the project coming in your way during the course of work and shall not share it in any form with outsiders.
8. This engagement can be terminated at any time by giving seven days' notice from either side or notice pay in lieu of notice period during the above period, without assigning any reasons. However, no notice period shall be applicable in the event of termination due to misconduct, misappropriation etc.

This issues with the approval of the Competent Authority.

Yours faithfully

Project Investigator

Copy to:

- (1) Dean of School (for Schools)
- (2) The Chairperson, ACRPM
- (3) Office of the Registrar
- (4) Office of the Controller of Finance
- (5) Office Copy

No. AUD/

Dated: .....

---

---

**Dr. ...**

School of .... / Centre for .....  
Ambedkar University Delhi  
Delhi – 110 006

Madam,

This has reference to the ..... proposal for .... on “.....” that you submitted for consideration of the University.

I am directed to inform you that the University has decided to approve the above grant proposal with the budget of **Rs. ..../-** submitted with the proposal, subject to the following.

1. Dr. .... will be the Principal Investigator. The other member of the Team would be as proposed in the Project document.
2. The duration of the Project will be .... months w.e.f .....
3. The appointment of Project staff will be made as per AUD norms and with the approval of the Vice-Chancellor.
4. Proper accounts of the expenditure incurred in accordance with budget approved may be submitted to the Controller of Finance on completion of the Project.
5. The Project team will abide by the rules and regulations of the University for administration of the Project.

Yours sincerely,

Chairperson, ACRPM

Copy for information to:

1. Office of the Vice-Chancellor
2. The Dean, School ..... / Director, Centre for .....
3. The Controller of Finance