

UNIVERSITY OF CALICUT

Rules and Regulations for Sponsored Projects & Consultancy Projects

1. Introduction.

The University of Calicut (CU), considers the need to facilitate the research and development activities systematically to lay strong foundation and register growth in research by generation of resources, research collaborations and establishing links with industry as well as with social organizations. The University will handle the project management aspects related to accounts, purchases, recruitment, audits, liaisons with sponsors, and prepare the status reports, by the following rules and regulations.

2. Scope The rules and regulations hereafter shall be called as “CU Projects Rules”, and applicable to all activities stated therein.

1. The proposals submitted by a Department/ Center/ Employee of the University or by the University as such, involving the following activities are termed as “CU Project activity:”
2. Sponsored Research Projects involving external funding sources
3. International Research Collaborations involving international funding sources or international collaborators
4. Industry/ Organization Sponsored Projects, Industrial Consultancy involving funding from industry
5. Organizing Workshops and Courses for dissemination of knowledge as part of the research projects.
6. MoU and Agreement with National/International Institution for Research having self-sufficiency nature.

3. Sponsored Projects

- A. Each sponsored project will have a Principal Investigator (PI) who will be responsible for the formulation of the project proposal according to the format prescribed by the concerned funding agency.

The project proposal may include:

- a) Planning of various project activities
 - b) Estimation of funds required for the project considering the following budget heads:
 - (i) Salary of the project staff (with designations),
 - (ii) Equipment
 - (iii) Consumables
 - (iv) Travel/Field work
 - (v) Contingency
 - (vi) Institutional overhead (upto 20%)
 - c) Identifying co-investigator(s).
1. All proposals for submission of research projects to the various funding agencies should be forwarded through the Head of the concerned Department/Director of the Center/Institute, who will certify that it would be possible/not possible for the Department/Centre/Institute to accommodate the Research Project work and staff within the existing Laboratory space. The PI of the proposed project shall clearly state the extra space that would be needed and HOD/Director of the Institute shall certify the availability/non-availability of the same. The proposals must be cleared by the Head of the Department/Director of the Center/Institute within three working days
 2. The project proposal containing the financial statement and summary of the Project

along with the submission form should be submitted to the Director of Research, and should be cleared within seven working days.

3. The project proposals to all agencies must ask for a minimum of 20 % Overhead Charges (of the Total Grant of the Project) for the University.
4. Teaching posts, viz. those of Professors, Associate Professor, Assistant Professor should not be asked for in the project proposals. However, posts of Research Scientists A, B and C, as per the UGC pay scales, may be included in the proposals. Other posts asked in the project proposal should carry scales of pay identical to those of the corresponding posts in the University. Post(s) on a consolidated salary, not exceeding the total emoluments at the minimum of the scale of the identical posts in the University, may also be included in the budget proposal.
5. If the project is with a non-government agency, a statement on terms and conditions of the project including the right of patents and royalties must be slept out clearl
6. If an MOU is to be signed later on, the exact terms and conditions of the MOU, including a summary of the finalized Project, should be submitted to the Director of Research.
7. The Directorate fo Research will examine the financial aspects of proposal prepared by the PI and process the same to obtain the approval of Director of Research before forwarding the proposal to the sponsoring agency. The same procedure will be followed for project proposal submitted to international agencies/ foreign organizations seeking foreign grants. A copy of the submitted project proposal has to be retained in Directorate. When the project is sanctioned, a copy of the sanction letter from sponsoring agency will be retained in the D o R. The Directorate will initiate the steps, and seek the permission of the Syndicate/Vice Chancellor to for implementation the of the project, immediately after the funding agency releases/ agrees to release the quantum of assistance.

B . Sanction & Implementation of the Projects

8. The letter of sanction and details of the amount sanctioned under different budget heads, duration of the Project and other terms and conditions should be communicated to the Finance Branch along with a copy of the Project, if sanctioned, after revision/changes by the funding agency.
9. Before the start of Project PI must fill up the project initiation form.
10. The date of start of project will be the date of actual receipt of first installment of the grant sanctioned or as specified by the funding agency.
11. The PIs of research projects may be provided with Telephone extension by the University during the tenure of the Project if funds sanctioned by the funding agency exceed Rs. 25,00,000/- to facilitate smooth functioning of the project work (only one extension for each PI, irrespective of the number of Projects). The charges on shifting and installation of extension connection , shall however be met out of the P. share of overhead charges.
12. The University normally requires the cost of the project to be deposited by the sponsoring agency, before the work commences. The University will deposit the fund in CUF, and assign a budget head for the disbursement of the money. The PI may be permitted to withdraw the money which is earmarked for equipments, consumables, travel/ filed work and contingency, and keep in an interest earning bank account or as may be directed by the funding agency and keep its accounts. The PI shall give recommendations to the Director regarding expenditure from the project funds. The project expenditure for equipment and consumable will be maintained in a separate stock register by PI.

13. The statement of expenditure and utilization certificate will be prepared at every financial year end by the Registrar.
14. The project file will be closed with the submission of the final technical and financial project report and transfer of the non- consumables and consumables to the Department/Centre stock register.
15. All purchases shall be supervised and handled by a committee called the “Project Purchase Committee (PPC)”, for each project consisting the PI (Convener), Co-PI and two members (out of which one may be from the Teaching Faculty of any allied Department). This committee, proposed by the PI and approved by the DoR/VC shall be constituted in the beginning of the Project and would serve the entire duration of the project.
16. The State Purchase manual procedures shall be followed in every purchase.
17. Consumables may be purchased from standard Indian firms or foreign companies on the basis of rate contracts approved by the University. In case of consumables for which rate contracts are not available, quotations will be invited from all the known firms and the normal procedure for purchase shall be followed.
18. Purchase above 1, 00,000/- shall require approval of DoR/VC prior to placing the order.
19. Supply order will be signed by the Project-in-charge after scrutiny of the Tenders/ quotations obtained from various suppliers. The orders will be normally placed with the supplier whose quotations are the lowest, unless for some technical reasons which should be clearly stated and defended by the PPC. In case of any discrepancy, the matter shall be referred to DoR/VC and his decision shall be final.
20. 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 drawing the advance. However, this shall not apply in cases of LCs where the money is always with the bank. LCs should be cleared within 30 days of receipt of equipment/material.
21. All bills in respect of project (including bills for advance) will be signed by the Project- in-charge and sent to the Finance Office duly completed in all respects for payment. It will be the responsibility of the Project-in-charge to see that the bills are complete in all respects and that they are in order.
22. Payment of bills should be made through the PI by cheques drawn in favour of the parties concerned
23. In respect of salary of all part time, ad-hoc, regular, daily-wage based honorarium and consolidated salary based employees of project, it will be made 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 and Project-in-charge.
24. The TA/DA in the project for field work and visits outside Kerala (in India or Abroad) can be paid as per rules of the University or as per guidelines of the funding agency to the PI, Co-PI and Project staff as well as Ph.D. students working on jobs related to the Project work upon approval and justification by the PI. *Note: The Finance Office should make the University rules available to each PI in this respect.*
25. 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 by DoR and on recommendation by the concerned Head of the Department.

26. In case the funding agency makes ad-hoc payments of the installments, the PIs may provide the break-up under different heads of the project. However, reappropriation within different Heads, which was provided by PI himself, can be affected by the PIs with the approval of the DoR, within the total overall budget given by the funding agency.

Management of Overhead Charges .

27. From the overall overhead charges, 50 % of it will be given to the University towards the development fund or for paying the University utilities bills and engaging required contractual staff for the efficient maintenance of the project accounts with the approval of the DoR
28. Fifty percent of the overhead charges shall be at the disposal of the PI. The funds under this head could be utilized by the PI up to six months beyond the tenure of the project. Any unspent amount from the fifty percent share of PI after this period shall be transferred to the miscellaneous account maintained by the University. The following expenses can be made by the PI from her/his share of the overhead charges:

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

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

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

4. **Hiring manpower** including secretarial assistance (typing/computer operator/accounting, etc.) subject to approval by the Director, 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 DoR

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 University

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

DoR/VC

7.Provision of communication facilities, including installation and periodical bill payment of telephone, intercom, fax and E-mail in office/Laboratory of the PI/Co-PI. In addition to above, charges on calls made from the residential telephone of PI and Co-PI or public call office and E-mail charges including cell phone charges for project work may be paid from this head up to a ceiling of Rs. 12,000 per financial year.

8.Life membership or annual membership of the academic societies directly related to the activities of the project may be claimed by PI / Co-PI.

9.Expenditure towards entertainment/hospitality/snacks/lunch etc. be allowed from the fifty percent share of the PI from the overhead grant. 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 prior approval of DoR and in consultation with Finance Office, meet such expenditure as may be necessary for the smooth functioning of the Project from the P. I. share of the overhead charges of the project.*

Provisions for Posts

29. Prior approval for all the appointments against the sanctioned posts in respect of various projects shall be obtained from DoR.
30. The qualifications and scales of pay/consolidated pay for all the posts will be the same as those prescribed for the corresponding posts in the University. Any relaxation will require the prior approval of DoR. Creation of the posts of Professors, Associate Professors and Assistant Professors will not be accepted by the University.
31. Appointments : For appointments to the posts under the Project, applications should be invited after giving wide publicity regarding the vacancies. The cases where the vacancies are for less than 6 months, such posts need not be advertised widely. In cases where the vacancies are for more than 6 months but less than one year, such posts need not be advertised in the newspaper but circulated in various institutions in India including Departments of the University. In case the posts are for more than one year, the posts should be advertised in at least one national newspaper. The post should be displayed on the website of the University for at least three weeks. The ad-hoc appointments against different posts shall normally not continue beyond 6 months.
32. The applications will be processed by the Project-in-charge and persons will be called for interview before selection committee. Traveling allowance/ dearness allowance may be paid to the outside candidate for interview for employment in the project as per rules of the University from the contingency or travel head of the project provided sufficient funds are available.
33. There will be a regular Selection Committee for selection of the candidates. This committee, called the "Project Appointment Committee (PAC)", for each project shall consist of PI (Chairperson), V. C.'s nominee, Head of the Department, Co-PI (if any), and two members of the teaching faculty of the concerned department (1 Professor, 1 Associate Professor). This committee shall be constituted in the beginning of the project by PI with the approval of DoR and shall serve throughout the duration of the Project. The PAC shall recommend the appointments to the posts

of Junior/Senior Research Fellows, Project Fellows, Research Assistants and all other Technical and non-technical staff. The PAC shall also recommend at the time of appointment whether or not JRF/SRF should be considered by DRC for registration for Ph.D. in the Department, if requested so by the candidate and the proposed supervisor (as per the revised ordinance on rules and regulations of for Ph.D).

34. For recruiting Research Scientists A, B and C grade,, Research Associates and PDF, VC's nominee shall be the Chairperson of the Selection Committee. Other members of Selection Committee for the scientific positions mentioned above shall be the Head of the Department concerned (or his nominee), the PI, Co-PI and two members, one from the Department and one from same field to be suggested by the PI and approved by the DoR,
 35. The appointment letters shall be issued to the selected candidates by the Project-in-charge except in the case of project in respect of which the appointment letters to the candidates are to be issued by the sponsoring bodies. A copy of the appointment letter should be sent to DoR/Finance Office. All appointment letters should clearly indicate the terms and conditions of appointment. In case wherein approval of the funding agency is required, the appointment letters should be issued only when the clearance in writing is received from the funding agency.
 36. 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.
 37. 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.
 38. The services of specialists on deputation from Government Research Institutions or public or private sector can be obtained. Wherever services of such persons are acquired on deputation basis, the conditions of services may be regulated according to the standard terms of deputation with the approval of sponsoring body.
 39. 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.
 40. The Project-in-charge will be competent to sanction leave to the extent admissible.
 41. The joining report of the selected candidates should be countersigned by the Project-in-charge and forwarded to the central office. A copy may be retained by the Project In charge.
 42. Such Project Fellows/Assistants whose work has been judged meritorious by the Project Appointment Committee may be allowed to draw fellowship amount that the NET qualified candidates are entitled, unless otherwise specified by the funding agency.
 43. Fixation of Pay The pay of employees will be fixed by the Project-in-charge at the minimum of the scale of pay. If, however, a higher initial pay is to be given for reasons to be recorded, the PAC may recommend not more than five advance increments for the approval of the VC. Rates of fellowship approved by the various sponsoring bodies may be paid to Research Fellows employed in Research Projects.
- Settlement of bills**
44. The payment of bills and clearance of accounts is one of the most important aspects of smooth running of Projects. If Finance Office has procedural objections to a bill,

it should be returned to the PI in a week's time.

45. All the defects, errors, omissions etc shall be notified to the PI in a single objection note. Bills which are in order should be cleared and the whole process including the issue of cheques should be completed within three weeks of submission of the bills. If the bill is not settled within three weeks from the date of submission, PI should report to the DoR.
46. If any note-sheets/bills of purchase are sent to the Finance Office, concerned branch should acknowledge the receipt of note- sheets/bills.

Maintenance of Stock Registers

47. Each project should have separate stock register for assets, accession, consumable and non-consumable articles.
48. Separate account should be opened for each article purchase on separate page with full particulars unless the transactions in respect of articles are small in number, in which case a page may be utilized for recording receipts and issue for more than one article provided the accounts in respect of different articles are not mixed up on that page.
49. All entries in the stock book should be initialed by the Project-in-charge.
50. Physical verification of stock should be conducted at least once in a year; the result thereof should be reported to the Finance Officer.
51. 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.

Interim progress and accounts reports of the Project

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

Final Technical, Fiscal report of the Project

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

Closing of the projects

55. Statement of final accounts showing the year-wise receipts and expenditure and a list of articles (consumables and non-consumables) left over at the time of termination of the project and purchased out of the project funds should be sent in triplicate to the Finance Office in the prescribed Performa and verified by the Internal Audit Officer of the University.
56. These articles may be transferred to the Department stock register except where the sponsoring bodies do not allow the Department to retain the articles without paying them the book value of the articles. In case the Department does not want these articles, the same will be auctioned through the Engineer's office.
57. The list will be given to Head of the Department for entering the permanent assets in

the stock register of the Department within four weeks of the submission of the list. After entry into the Stock Register of the Department, 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 Department to enter all items in stock register and to reissue them to the teacher concerned for his research and to take back into the stores the items the PI does not want to use. It is also mandatory for the Head of the Department to move the papers for writing off of any items which none of the teachers of the Department is willing to take and has been returned to the stores from the project.

58. The PI and Head of the Department should ensure that all pieces of equipment which are obsolete/beyond repair are written off after following due process. The PIs/teachers should give this in writing as soon as situation arises. In case of any missing item/component of the items falling under this category, the cost to be recovered from the PI/Teachers (when he needs no dues certificate) will be decided by DoR in consultation with Head of the Department and Finance Officer.

4. Consultancy Projects

1. The consultancy project is initiated through a faculty member or by the Director of Research, University of Calicut. When a faculty member is approached by Industry or Research Organization for the consultancy work, he will be identified as the Principal Consultant. If he does not wish to be the Principal Consultant or if the project is referred to the DoR,, Principal Consultant would be identified through appropriate discussion and appointment will be made by the Director..
2. The consultancy project therefore has a Principal Consultant who will be responsible for formulating the project proposal which may include:
 1. planning of the work
 2. estimating costs according to guidelines
 3. identifying other consultants, if necessary
 4. execution of work
 5. handling all communications with clients after a project has been accepted
 6. writing of intermediate and final reports according to project proposal
 7. making recommendations to Director regarding expenditure from the project funds and disbursement of funds to participants in the consultancy project
3. The university normally requires the cost of the consultancy project to be deposited by the client, in full, before the commencement of work. However, based on the needs of the client and circumstances, the Institute may permit commencement of work with payment to be made as per agreed upon milestones.
4. All payments from clients will be received by the University and expenditure and disbursements made through normal University procedures.