



“University with Potential for Excellence”

GUIDELINES FOR OPERATION OF RESEARCH AND DEVELOPMENT GRANTS



PLANNING, MONITORING & EVALUATION BOARD

KARNATAK UNIVERSITY, DHARWAD
Guidelines for operation of R & D Projects

(vide Syndicate Resolution No.6 of 15th September 2011)

1. Administrative Approval/Sanction

- i) The Co-ordinator/ Principal Investigator (PI) should obtain a formal administrative sanction, for the item (head) wise expenditure of the grants (as awarded by the funding agency) for the entire duration of the project, i.e., from the date of implementation to the termination of the project, from the Vice-Chancellor. *There is no need to seek further administrative approval except for purchase of equipment wherein, the PI/Co-ordinator shall get the approval for the specifications and subsequent purchase.*
- ii) The Coordinator/ Principal Investigator may draw advances directly from the Finance Officer (F.O.), without seeking further administrative sanctions. The Finance Officer is authorized to release advances to the Co-ordinator/ Principal Investigator as and when requested. The Co-ordinator/ Principal Investigators should submit the proposed item wise expenditure and plan of action while applying for advance. The **Format-I** appended to the guidelines should be used for the purpose. Further, the advance taken should be settled by submitting bills directly to the Finance Officer.

2. Selection of Project Fellows/JRF/SRF/Project Assistants

For appointment of any research staff sanctioned in the research project a 'Selection Committee' be constituted, which shall consist of

- a) Co-ordinator/ Principal Investigator,
- b) Deputy Co-ordinator/ Co-investigator, if any,
- c) Chairman of the Department,
- d) Subject Expert from outside the University and
- e) Development Officer

should be constituted and the selection shall be approved by the Committee. The Co-ordinator/ Principal Investigator will convene the meeting. Wherever the Chairman himself is the PI/Co-ordinator, the Dean of the

concerned Faculty shall be in the Committee as the Chairman.
Attendance of the external subject expert is mandatory.

3. Purchase of Equipment and Consumables/ Carrying out Minor Civil Works

- i. The Co-ordinator/ Principal Investigator may spend upto **Rs.20,000/- (Rupees Twenty thousand only)** at a time on any item without calling for comparative quotations. This includes minor civil works related to renovation/alteration/ electric works/civil works pertaining to laboratory/ animal house, directly or through Resident Engineer.
- ii. For purchase of individual item (s) costing above **Rs.20,000/- and less then Rs.50,000/-** comparative quotations shall be called from at least 8-10 suppliers/dealers. However, there should be a minimum of 3 quotations while finalizing the purchase order. This will not apply for purchases that are covered under the Rate Contract. Approval of the Purchase Committee is not required for items costing less then Rs.50,000/-.
- iii. For purchase of items costing more than Rs.50,000/- and less than One lakh a 'Purchase Committee' consisting of a) Co-ordinator/ Principal Investigator, b) Deputy Co-ordinator/ Co-investigator, if any, c) Chairman of the Department, d) Finance Officer, and e) Development Officer should be constituted and the purchases shall be approved by the Committee. The Co-ordinator/ Principal Investigator will convene the meeting.

A technical expert or a person using similar equipment need to be additionally included in the Purchase Committee if Principal Investigator desires. Further, wherever the Chairman himself is the PI/Co-ordinator, the Dean of the concerned Faculty shall be in the Committee as the Chairman.

- iv. For Purchase of items of more than Rs. 1 Lakh the provisions of the Karnataka (Transparency in Public Procurement) Act, 2001 should be followed.

- v. Items whose prices are approved by the Government of Karnataka and or DGS and D, Government of India can also be directly purchased without calling for quotations.
- vi. For purchase of items directly from the sole manufacturers suppliers or distributors, of Indian/foreign materials in India, and from standard company show rooms, it is not necessary to obtain comparative quotations. The relevant provision of the KATTP Act. 2000 may be followed. The single quotation obtained from any of the above suppliers may be used to place orders with the approval of the Vice-chancellor.
- vii. The equipment and furniture procured under the research grants shall be first entered into Stock Register Book of the Department and then issued to the concerned Investigator. In addition, the investigator shall maintain a separate stock book of equipment / furniture for the purpose of operation of the individual grants. The consumables need not be entered into the Stock Register of the Department. The Principal Investigator shall also maintain a logbook documenting the use of the equipment. After retirement/ leaving the Department the Principal Investigator shall return all the equipment/ furniture to the COD who will in turn distribute the same among the faculty members of the department in consultation with the Departmental Council. All the equipment shall remain in the department to which the Principal Investigator belongs, irrespective of the Department to which a Co-Principal Investigator may belong. Formats in Appendix II/III/IV, as applicable, should be submitted alongwith the bills.

4. *Purchase of Books*

The books may be purchased directly from the suppliers/dealers without calling for quotations with at least 15% discount except in case of publications of Government / Scientific organizations. In case of foreign books, the bills should accompany the price proof and GOC conversion rate applicable at the time of supply.

5. Field Work

In projects where fieldwork is a component, the Co-ordinator/ Principal Investigator is encouraged to take up field works as far as possible on **holidays and weekends**. Where fieldworks are carried out for less than 5 days, the Co-ordinator/ Principal Investigator may undertake the fieldwork under prior intimation to the concerned Chairman of the Department. The Principal Investigator is authorized to sanction duty leave and TA/DA to the personnel (e.g. JRF, SRF, project assistants, postdoctoral fellows, research associates, etc.) working under the project, with an intimation to the Chairman of the concerned department. The teachers working in the coordinated projects may undertake field trips under intimation to the concerned COD for field works not exceeding 5 days. For fieldwork of 6 days and above prior permission of the Registrar should be obtained. However, the investigators should plan their field works without affecting the departmental works i.e., teaching, conduct of examination works etc.

The field investigators/ Local field investigators may be appointed by the PI/co-ordinator and they may be paid the actual TA, admissible DA and remuneration equivalent to the daily remuneration given to the Class-C employees of the University. However, the local field investigators are eligible only for remuneration. Wherever there is a provision for payment of remuneration to the informants, a separate approval need to be taken for the same, from the Vice-Chancellor. Further, these items need to be specifically asked for in the proposal itself.

6. Library Reference Work/Laboratory outside the University/Attending Conferences/Workshops/Seminars:

- i. The Co-ordinator/Principal Investigator and all the personnel working under the sanctioned project are permitted to visit institutions for the above purposes under prior consent of the concerned COD without affecting Examination. University and Department works/ functions etc.

The registration fees for seminar/Symposium/ Conference/ Workshop may be claimed out of the project grant, if permitted by the funding agencies.

- ii. The Principal Investigator is authorized to **sanction TA/DA to the respective project personnel** (e.g. Co-investigators JRF, SRF, Project Assistance, Postdoctoral Fellows, Research Associates, etc.) for travels (listed under the serial numbers 4 and 5 (i) above) related to the project, out of the project funds. In case of the project personnel, the Principal Investigator is authorized to sanction duty leave beyond 5 days also. For leave beyond 5 days teachers should obtain permission from the Registrar.
 - iii. **Attendance Certificates:** The faculty members are exempted from compulsorily submitting the attendance certificates in respect of travels undertaken by them for attending meetings, reference works, research works, conferences and symposia etc. However, the concerned faculty member shall certify himself/ herself regarding the work undertaken.
7. **TA/DA to Project Personnel:** TA/DA to project personnel will be as per rules of the University. However, those drawing a salary (fellowship) of Rs.10,000/- or more per month are eligible for, II AC rail/Air fare. The PI /Coordinator is authorized to sanction TA/DA for undertaking activities related to item 5 and 6 above, to research personnel (e.g. JRF, SRF, project assistance, postdoctoral fellows, research associates. Co-investigators, etc.) and teachers participating in the Project.

The Principal Investigator/ Co-ordinators are authorized to sanction TA/DA to teachers participating in the Project. The Principal Investigator / Co-ordinators are eligible to claim actual expenses on boarding and lodging provided they have to produce valid receipts.

8. **Vehicle Hiring:** The Co-ordinator/ Principal Investigator may hire taxi whenever needed for conduct of fieldwork or other project related work. In case of car, the current rate admissible by the University (per km) and payment for minimum of 300 km per day is allowed. In cases involving fieldworks in interior areas like forests, hills etc., a higher taxi fare may be allowed by the Registrar on special request. Hiring of jeep/ tempo is permitted as per the existing market rates.

However, a formal approval from the Vice-Chancellor is necessary in such cases where hiring charges exceed the rates approved by the University. In case of short distance field works or other project related work (*less than 150 km each way*) the investigators may also use own cars and claim *Rs.6.00 per km. However, for the use of own cars, the maximum permissible travel shall be 300 kms per day, at a time.*

9. Photocopying and Typing Charges

In order to obtain quality service in photocopying and typing works, the prevailing market rates as certified by the Co-ordinator/Principal Investigator are allowed.

10. Appointment of Secretarial Assistant/ Lab cum Field Attendant:

In case there is a provision to appoint secretarial assistant/ Lab-cum-field attendant they may be paid out of Hiring charges. The said personnel may be appointed after obtaining *approval from the Registrar.*

The remuneration for the various personnel shall be as follows:

Secretarial Assistance: Maximum Rs. 800 p.m subject to availability of funds

Peon/Attender : Rs. 300 per month

The payment shall be made only to personnel working in Departments and only in case of departmental projects.

In case of full time secretarial assistance the *wages as paid to the Class-C employees working on contract basis in the University (Rs.164 as on 18-7-2011) shall be paid.* Prior approval of the Registrar should be obtained for such appointments as well as payments.

11. Overhead Charges.

Some R and D agencies provide overhead grants for providing the necessary infrastructure for the project work. This includes maintenance of equipment and benefits to the personnel employed in the project without reference to the funding agencies for clarification. The funds may be used to procure the equipment and accessories, air conditioner, stabilizer, UPS, exhaust fan, fan, animal cages, aquarium, dust free cabins, computer and its peripherals, printer, scanner, photocopier (Xerox machine), Fax Machine,

phone, electrodes, optical/electronic components, photographic equipment, spares, consumables (chemicals, glassware, insecticides, fungicides, farm yard manure, pots for growing plants, thin sections of rocks), books, scientific journals and for payment of reprint charges, block and page charges for publication and postage. The overhead funds may also be utilized for alteration of laboratory facilities, purchase of furniture, and any other expenditure related to the project including travel. However, a valid justification need to be furnished for the above said expenditure. The University will utilize 10 per cent of overhead charges as handling charges as soon as the funds are received. ***20 percent of sanctioned overhead charges shall be paid to the PI/Co-ordinator as an incentive, from the year 2011-12 onwards.***

Appendix I

Format for obtaining sanction of advance

- 1) I request you to sanction me an advance of Rs. _____ towards the expenditure of items needed for the furtherance of project work out of _____ research grant sanctioned to me under letter No. _____ dated _____.
- 2) I am to state that no advance is pending against me for settlement.
- 3) I will submit the detailed accounts in respect of the above amount within one month from the date of Completion of the activity. The unspent balance amount, if any, will be deposited to the University within 8 days of completion of the activity.
- 4) If the accounts are not settled the within stipulated time, the University may recover the same from my salary without information.
- 5) I may please be sanctioned an advance of Rs. _____ from _____ grant.

Director/PI/Co-ordinator

APPENDIX-II

KARNATAK UNIVERSITY, DHARWAD
DEPARTMENT OF _____
PROJECT No. _____

I. PURCHASE OF MATERIALS/EQUIPMENT

1. Certified that the materials mentioned in the invoice /bill No. _____ dated _____ are received in good working condition.
2. The same has been entered in the concerned stock register book on page No. _____
3. The rate charged in the bill is reasonable with respect to the quality of the goods.
4. The rate charged in the bill was accepted by the University as per our office order No. _____ dated _____. Order copy is enclosed.
5. The materials mentioned in the bill and in the order are one and the same.
6. This expenditure is in furtherance with the research work of the project.
7. The expenditure may be debited from the budget Head _____ of the Project.
8. The amount of Rs. _____ only may be reimbursed to _____ as payment is already made by him/her.
9. The amount of Rs. _____ only may be reimbursed to _____ research fellow as payment is already made by him/her.
10. The amount mentioned in the bill has not been claimed previously.

Director/PI/Co-ordinator

APPENDIX-III

PURCHASE OF SPARES TO VEHICLES/ SPARES TO MACHINERY

1. I/We certify that the spares purchased have been accounted for in the logbook of the concerned vehicle/Machinery vide page no _____ and the released spares have been accounted for in the “Register of Released spare parts” vide page No. _____.
2. I/We certify that the vehicle has covered the prescribed distance of _____ km since the date of purchase/last renewal of Tyres/ Tubes.
3. Purchase of spares to vehicles/machinery is recorded in the Register book on Page No. _____.

Director/PI/Co-ordinator

APPENDIX-IV

SERVICES

1. I/We certify that the Equipment/ Machinery (_____) has been got repaired from Authorized Firm/Professionally Trained personnel _____ and that the service rendered is satisfactory.
2. I/We certify that the charges are as per the prevailing market rates.

Director/PI/Co-ordinator

APPENDIX-V

TAXI HIRING BILL

Received Rs. _____ (in words _____)
from _____
_____ towards taxi charges for transport from Dharwad on
_____ to _____ and
back on _____. The charges are made at the rate of
Rs. _____ per kilometer and for a minimum of 300 km per
day i.e. Rs. _____ per day.

Date:

Signature of taxi driver

Vehicle/Car Number _____

Certified that I/project personnel have/has availed the above taxi
services for carrying out fieldwork/other travel related to the project
work. The payment is made by me/project personnel
_____.

Date:

I. DECLARATION OF USING OWN CAR BY THE CO-ORDINATOR / PRINCIPAL INVESTIGATOR.

This is to certify that I have used my own car (No. _____)
for the fieldwork carried out at _____ and return to Dharwad
on _____. The total distance traveled is _____ km
and therefore Rs. _____ is claimed [@ of Rs. 6.00 per km.]

Date:

Signature

(Strike out which is not applicable)

Director/PI/Co-ordinator

Addresses of Some R & D Funding Agencies

- * All India Council for Technical Education (AICTE), Indira Gandhi Sports Complex, I.P.Estate, New Delhi-110002. (www.aicte.ernet.in)
- * Board of Research in Nuclear Sciences (BRNS), BRNS Secretariat, Central Complex, BARC, Mumbai-400085. (www.barc.ernet.in)
- * Council of Scientific and Industrial Research (CSIR), Human Resource Development Group, CSIR Complex, Opp. Institute of Hotel management, Library Avenue, Pusa, New Delhi-110012 (www.csir.res.in)
- * Department of Biotechnology (DBT), Ministry of Science & Technology, Block-2 (6th-8th Floor), CGO Complex, Lodhi Road, New Delhi-110003 (www.india.nic.in)
- * Department of Science & Technology (DST, Ministry of Science & Technology, Mathematical Sciences Office, Technology Bhavan, New Mehrauli Road, New Delhi-110016 (www.dst.gov.in)
- * Department of State Educational, Research and Training (DSERT), No.4, 100ft Ring Road, Banashankari, IIIrd stage, Bangalore-560085. (www.dsert.kar.nic.in)
- * Indian Council of Agricultural Research (ICAR), National Agricultural Technology Project, Project Implementation Unit, Krishi Anusandhan Bhavan-II, Pusa, New Delhi-110013. (www.icar.org.in)
- * Indian Council of Historical Research (ICHR), 35, Ferozeshah Road, New Delhi-110001 (www.ichrindia.org).
- * Indian Council of Philosophical Research (ICPR), Darshan Bhavan, 36, Tughlakabad Institutional Area. M.B. Road (Near Batra Hospital), New Delhi-110062. (www.icpr.nic.in)
- * Indian Council of Social Science Research (ICSSR), Post Box No. 10528, ArunaAsafAli Marg, New Delhi-110067. (www.icsr.org)
- * Ministry of Environment and Forests (MOEF), Paryavaran Bhavan, CGO Complex, Lodhi Road, New Delhi-110003. (www.envfor.nic.in)
- * Ministry of Human Resource Development (MHRD), Jeevan Deep Building, Sansad Marg, New Delhi-110001. (www.education.nic.in)
- * National Commission for Women (NCW), 4, Deen Dayal Updhyaya Marg, New Delhi-110002 (www.new.nic.in)
- * National Council of Educational Research and Training (NCERT), Department of Educational Research and Policy Perspective, Sri Aurobindo Marg, New Delhi-110016 (www.ncert.nic.in)
- * Science and Engineering Research Council (SERC), Ministry of Science and Technology, Department of Science and Technology, Technology Bhavan, New Mehrauli Road, New Delhi-110016 (www.serc-dst.org)
- * University Grants Commission (UGC), Bahadurshah Zafar Marg, 35, Feroz Shah Road, New Delhi-110002 (www.ugc.ac.in)

Dr.S.T.Bagalkoti, Development Officer _____

Smt. S.Rajashri, Finance Officer _____

Dr.H.M.Maheshawaraiah _____

Dr.S.T.Nandibewoor _____

Dr.S.S.Benchalli _____

Dr.C.A.Somashekharappa _____

Registrar _____

Vice-Chancellor _____