

नागालैण्ड
NAGALAND



विश्वविद्यालय
UNIVERSITY

(संसद द्वारा पारित अधिनियम 1989, क्रमांक 35 के अंतर्गत स्थापित केन्द्रीय विश्वविद्यालय)

(A Central University Established by the Act of Parliament No.35 of 1989)

मुख्यालय : लुमामी, जिला : जुन्हेबोटो, पिन कोड - 798 627

Headquartrs: Lumami, Dist: Zunheboto, Pin Code - 798 627

NO.NU/RDC-1/Project/2013-

Date: 24/01/2014

NOTIFICATION

In pursuant to 17th Academic Council Resolution No. AC:17:10, this to notify that "Regulations on Externally Funded Research Projects" will be in force with immediate effect.

Sd/-

(G.T.Thong)

Dean, RD&C

Date: 24/01/2014

NO.NU/RDC-1/Project/2013- 4487

Copy to:-

1. The Secretary to VC, NU, Lumami for information to the Vice Chancellor.
2. The P.A to Pro-Vice Chancellor, Kohima Campus, Meriema, NU for information to the P.V.C. and necessary circulation in the respective campus.
3. The P.A to Pro-Vice Chancellor, SASRD, Medziphema, NU for information to the P.V.C. and necessary circulation in the respective campus.
4. The P.S. to Registrar, NU, Lumami for information to the Registrar.
5. The Dean, School of Social Sciences, School of Sciences, School of Humanities & Education, SASRD, SETAM for kind information and necessary circulation in respective Schools.
6. The Finance Officer, NU, Lumami for information.
7. The Controller of Examinations I/C, NU, Lumami.
8. Head of the Academic Departments, Lumami for for kind information and necessary circulation in respective Department.
9. Office copy.

(Yanfenthung Ezung.)

DR(Academic)

REGULATIONS ON EXTERNALLY FUNDED RESEARCH PROJECTS

Nagaland University encourages the submission of research/extension project proposals by faculty to various funding agencies. Externally funded projects are time-bound programmes where proper implementation is essential for success. Thus the following guidelines are proposed for their successful implementation. These regulations may be called the **Regulations on External Research Projects (RERP)** and the procedures laid down hereunder shall apply to all externally funded research/extension projects.

The University shall have a Research, Development & Consultancy (RDC) Cell headed by a **Dean** and assisted by a **Deputy Registrar**, an **Assistant Registrar**, an **Assistant**, a **UDC/LDC** and a **Peon**. One **Assistant/UDA** of the Finance Section shall be engaged for all project related matters.

The following matters need attention in the implementation of these guidelines:

1. A separate Savings Bank account for each project shall be maintained by the University. The RDC Cell shall maintain up-to-date accounts of all projects. Interest accrued will be the income of the project grant and shall be reflected in the SE/UC as desired by the Funding Agencies. On receipt of remittance from the Funding Agencies the same will be deposited into the project account.
2. General financial rules (GFR) 2005 are to be adhered to, taking also into consideration the guidelines, if any, of the Funding Agencies.
3. Utilization Certificates of projects will be prepared in the format of the Funding Agencies.
4. All necessary documents including bills/vouchers shall be verified and Utilization Certificates signed by the Finance Officer and countersigned by the Registrar of the Nagaland University.



A. Submission of Project Proposal

Sponsored research projects are proposed to Funding Agencies. A project proposal by the prospective Principal Investigator (PI) shall be routed through proper channel to the RDC Cell. However, routing authorities shall refrain from commenting on the proposals as Funding Agencies have their own mechanism for affecting changes, if necessary. One copy of the proposal is retained by the RDC Cell for its record. On approval of project and receipt of sanction letter from the Funding Agency, the PI shall submit copies of the approved project proposal and sanction letter to the concerned Head of Department (HoD) and Dean of School for information and record.

B. Initiation of Project

On receipt of sanction order the PI may apply to the Vice Chancellor, through proper channel, for an advance of up to ₹ 25,000/- towards preliminary expenditure. The same shall be recovered by the University on receipt of funds.

The schema for movement of files for this purpose is as follows:

PI → HoD → (PVC/Dean SETAM) → Dean (RDC) → VC → Dean (RDC) → FO

C. Appointment of Project Staff

1. The PI shall notify all project posts in the University website and email the same to the other Universities in the Northeast and beyond. A copy of the same shall also be displayed in the Notice Board of the concerned department.
2. The PI should also initiate, well in advance, for constitution of the Selection Committee for JRF/SRF, Project Fellow, etc., which shall consist of the following Members:
 - a. Dean of the School : Chairman
 - b. Vice Chancellor's nominee : Member
 - c. HoD : Member
 - d. PI : Convener
3. The Selection Committee for RA, Scientist, Pool Officer, etc. shall consist of the following Members:
 - a. Dean of the School : Chairman
 - b. Vice Chancellor's nominee : Member
 - c. Funding Agency's nominee (if any) : Member
 - d. Head of the Department : Member
 - e. PI : Convener

Note: When guidelines for appointment of Project Staff are provided by the Funding Agency, the same shall be strictly followed.

Constitution of the Committee for the selection of Project Staff shall be notified by the Office of the Dean (RDC). The Committee constituted shall remain valid for the project tenure. The recommendations of the Selection Committee shall be put up by the Office of the Dean (RDC) for approval of the Vice Chancellor. Appointment orders shall be issued



by the Office of the Registrar. The staff appointed shall submit a Joining Report to the Office of the Dean (RDC) duly forwarded by PI and HoD.

4. A Departmental Selection Committee for other staff such as Driver, Project Assistant, Project Attendant, etc. shall consist of the following Members:
 - a. HoD : Chairman
 - b. One Faculty of the Department : Member
 - c. PI : Convener

Note: If the HoD is the PI another faculty member shall be nominated as Chairperson of the Committee.

The constitution of the Departmental Selection Committee shall be intimated to the Dean (RDC). The recommendations of the Committee shall be submitted to the Dean (RDC). The staff appointed shall submit a Joining Report to the Office of the Dean (RDC) duly forwarded by the PI and HoD.

5. Daily wage employees may be engaged by the PI for smooth functioning of the project with information to the Dean (RDC). Attendance sheet of such employees shall be maintained by the PI. On payment of wages, receipts should be obtained.

D. Release of Funds

1. The PI/Coordinator shall apply to the Dean (RDC) for an advance of up to ₹ 1.0 lakh. Sanction will be in favor of the PI/Coordinator with a copy to the Finance Officer (FO) for release of funds. If the advance required is above ₹ 1.0 lakh the PI shall apply to the Vice Chancellor through proper channel. The approval of the Vice Chancellor will be communicated by the Dean (RDC) to the PI and FO. On receipt of approval the FO shall release the funds.

For an amount below ₹ 1 lakh the movement of files will be as follows:

PI → Dean (RDC) → FO

The movement of files for an amount above ₹ 1 lakh will be as follows:

PI → Dean (RDC) → VC → Dean (RDC) → FO

2. In case of **emergency** the PI may spend up to ₹ 20,000/- (rupees twenty thousand only) and immediately communicate the same to the Dean (RDC) with justification. Any expenditure beyond ₹ 20,000/- should be routed through the Departmental Purchase Committee (DPC).
3. Request of the PI for advance against recurring grants such as Contingency, Travel, Consumables, etc. shall, as far as possible, not exceed 35% of the annual budget under those heads at a time for four months. The total grant under a particular head should be judiciously spent over the entire project year.
4. The PI, RDC and Finance Section shall independently keep an up-to-date record of the financial position of the project to ensure that no funds above that sanctioned is requested nor granted. In the event funds beyond the sanctioned budget is claimed by

the PI and erroneously released by the University, the same should be returned within two months failing which the amount will be recovered from the salary of the PI without any further notice.

5. In case of projects running in campuses other than headquarters of the Nagaland University, the funds shall be sanctioned to and received by the Registrar. On entry into the University ledgers maintained by the Office of the FO the same shall be transferred to the University account of the concerned campus. Thereafter the PVC / Dean (SETAM) shall regulate all financial matters.

E. Salary / Fellowship Claims

1. Project staff shall submit the monthly salary/fellowship Claim Form duly filled, through the PI and HoD, to the Office of the Dean (RDC).
2. Fellowship claims should reach the Office of the Dean (RDC) latest by the last day of month.
3. Fellowship claims should be accompanied by attendance up to 26th of that particular month and signed on or after 26th by the PI and concerned HoD.
4. Attendance for Project Staff shall be monitored from 27th of a particular month to 26th of the next month.
5. On approval of the Dean (RDC), salary will be electronically transferred to the account of the Project Staff by the Office of the FO.

F. Purchases

Comparative statements shall be approved by the DPC, which will be convened by the PI and chaired by the HoD. On completion of the project all equipment and other assets including vehicles, etc. shall be dealt with as stipulated by the Funding Agency. If the Funding Agency is silent on the matter the PI shall remain the custodian of the instruments/equipment on behalf of the Department.

The following procedures shall be followed:

1. For all purchases above ₹ 20,000/- the PI shall invite three quotations. The DPC will opt for the best prices. However, if the quotation is from a Manufacturer, Sole/Direct Distributor or Empanelled Firm, the DPC shall approve the purchase from a single quotation.
2. If the cost of equipment is above ₹ 1 lakh the PI may go for limited tender by advertising in the University website with a time limit of at least 15 days. If the item is from an authorised manufacturer or approved by the Funding Agency, the quotation of the Manufacturer (even email copy) shall be presented to the DPC for consideration and approval. On approval the PI shall place necessary orders.

3. The items supplied shall be entered in a separate Stock Register, which will be in the custody of the PI.
4. The original vouchers, in duplicate, with necessary stock entries shall be forwarded by the PI through proper channel to the Office of the Dean (RDC) for onward transmission to the Office of the Registrar for release of payment.
5. For purchase of major equipment not specified by the Funding Agency, prior permission should be obtained from the Funding Agency.

G. Expenditure

1. Project funds are granted for a few years on an annual basis, for one Project Year at a time which may not necessarily be on Financial Year basis.
2. The date of receipt of funds by the Nagaland University shall be the date of commencement of the project.
3. The PI should therefore show utilization of funds within the sanctioned year.
4. In some cases funds reach the University in the middle of the Financial Year.
5. In such cases the PI shall show utilization of funds at the end of each Financial Year for the amount spent till then.
6. The rest of the funds shall be carried over and spent within the Project Year for which it is granted. Permission to carry over funds within the same Project Year is not required.
7. The PI shall initiate for another Utilization Certificate for funds used till the end of the Project Year.
8. Any unspent balance shall be refunded to the Funding Agency.
9. However, the PI may initiate and obtain permission from the Funding Agency to carry forward the unspent balance to the next Project Year.
10. The PI shall ensure that expenditure is incurred within budgetary allocation under the various heads of the Funding Agency. Prior approval shall be obtained from the Funding Agency for adjustment of expenditure amongst the various heads.
11. Certified vouchers for the exact amount within budgetary provisions shall be submitted for processing Utilisation Certificates.

H. Utilization Certificate

1. The PI shall submit all bills duly certified along with Statement of Expenditure / Utilization Certificate to the Office of the Dean (RDC).



2. The Dean (RDC) shall forward the same to the FO for verification, which will then be countersigned by the Registrar.
3. For those projects in the various campuses other than headquarters, the campus audited accounts at the end of the Financial Year / Project Year shall be transferred along with all original vouchers to the Office of the Dean (RDC) for necessary action and verification by the Office of the FO for issuing Utilization Certificates.

I. Overhead

1. The University shall deduct 50% of the Overhead of the project for facilities extended. The other 50% may be used by the PI for renovation of laboratory, purchase of minor equipment not approved by the funding agency but required for execution of the project, partial travel support for national and international conferences, membership of professional societies, purchase of books, etc.
2. The PI should justify the purchase of minor equipment. All financial regulations should be observed even in such purchases.
3. The PI shall apply to the Dean (RDC) for Overhead grants.

J. Constructions

If provisions exist for construction of buildings, the following guidelines shall be followed:

1. The PI may initiate the work if the amount is below ₹ 1 lakh and accordingly apply to the Dean (RDC) for release of funds.
2. If the amount is above ₹ 1 lakh but below ₹ 5 lakh the PI shall apply to the Vice Chancellor through the Dean (RDC) for release of funds with a proposal duly certified by the University Engineer.
3. If the cost of construction is above ₹ 5 lakh the PI shall put up the proposal with design details, budget, etc. to the Building Committee for necessary approval. On approval the PI may take up the work under direction of the Dean (RDC).

K. Other Matters

1. The PI shall be the controlling officer for all administrative and research matters related to the project. In the absence of the PI / Co-PI, a faculty member nominated by the PI shall look after all project-related matters.
2. In case of collaborative projects the funds are assigned to the PI unless there are specific instructions from the Funding Agency. However, if the PI is of the opinion that funds are required by other investigators of the project from other department(s), prior approval of the Vice Chancellor should be obtained. In such cases funds will be released to the PI who will make necessary payments for purchases / expenditure of



the Co-PI. It shall be the responsibility of the PI for submission of details for final adjustment.

3. During travel, fieldwork, etc. related to projects the PI may certify in cases where bills are not available. However such certification is restricted to a maximum of ₹ 10,000/- per annum.
4. Such programmes as UGC-SAP, DST-FIST, etc. have specific guidelines of operation and hence, the guidelines of the Funding Agencies shall be followed.
5. Publication costs of research outcome of the research projects may be claimed from Overhead (PI's share) or Contingency of the project.

L. Communication Channel

1. The PIs at Lumami Headquarters shall communicate with the Dean (RDC) through the concerned HoD.
2. In the case of Medziphema and Meriema campuses, all communications shall be through the concerned HoD and PVC.
3. For PIs at SETAM all communication shall be made through the concerned HoD and Dean.

M. Miscellaneous

Medical Facilities

Only Nagaland University Medical facilities shall be extended to the Project Staff.

Holidays and Leave Rules

1. Project Staff shall normally follow the Nagaland University holiday list. This will however, depend on the nature of the project.
2. Project Staff are not entitled to semester break and vacations.
3. The PI should ensure that all Project Staff obtain prior permission before leaving station, even during holidays.
4. Leave shall be approved by the concerned HoD on recommendation of the PI.
5. A separate attendance register shall be maintained for Project Staff and kept in the custody of the concerned HoD.
6. Types of Leave:
 - a) 30 days leave is admissible to project personnel in a calendar year. Un-availed leave shall not to be carried over to next calendar year.

- b) 90 days Maternity Leave is permissible for Female Project Fellows (only once).
- c) 10 days Paternity Leave is permissible for Male Project Fellows (only once).
- d) Any specific leave rules additionally granted by the sponsoring agency will be followed.

Fieldwork / Laboratory visit by Project Staff

1. Fieldwork and visits to outside laboratories shall be considered as Duty.
2. In such cases leave will not be deducted from leave account of Project Staff.

Contingency Expenses

Contingency expenses will normally cover the following where not specified by the Funding Agency:

1. Purchase of books and journals, membership fees of professional societies, registration fees for conferences, etc.
2. Typing and photocopying charges and office work to outside agencies.
3. Mobile / Telephone / Internet bills subject to a maximum of ₹ 750/- per month. This should not be part of mobile / telephone bills of Deans, Heads, etc.
4. Postage.
5. Hiring charges related to the project.
6. Daily wages (need based).
7. Computer and printer repairs, etc.
8. Unforeseen miscellaneous items.

Consumables

1. Stationery, printer cartridges, etc.
2. Glassware, chemicals, etc.


Travel by PI and Project Staff

1. TA/DA of the PI and Project Staff including field visits shall be governed by the Nagaland University rules. JRF/SRF, Project Fellows and others of similar grade may be treated as equivalent to Section Officer for TA/DA entitlement, that is Grade Pay



of ₹ 4600/-. Research Associates, Scientists, Pool Officers, etc. may be treated as equivalent to Assistant Registrar / Assistant Professor.

2. Travel may be undertaken for site visits, fieldwork, experiments in other institutes, meetings within and outside the University and participation in conferences, workshops, seminars, etc. in India. Travel abroad may be permitted if guidelines of Funding Agencies permit.
3. Project Staff are entitled to public transport for undertaking fieldwork, etc. and hence, shall not be permitted the use of personal car.
4. In case public transport is not available the PI may hire vehicle(s) for project related fieldwork.
5. The PI may use personal car while undertaking fieldwork in person and may take along Project Staff. However, TA claim will be admissible to PI only.
6. All memos/vouchers shall be certified by the PI.


(G.T. THONG)
Dean, RDC