

UNIVERSITY OF DELHI

REVISED GUIDELINES FOR SPONSORED RESEARCH PROJECTS for all University Departments, Centers and Institutes

(Ia) Submission of the project proposals

Ia.1 The Project Principal Investigator (PI) will complete the project submission form (Annexure I).

Ia.2 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/Center/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.

Ia.3 The project proposal containing the financial statement and summary of the Project along with the submission form should be submitted to the PVC in North Campus and Director South Campus by the Finance Branch and should be cleared within seven working days.

Ia.4 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.

Ia.5 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.

Ia.6 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 spelt out clearly.

Ia.7 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 PVC in the North Campus and Director in the South Campus.

(Ib) Sanction of the Projects

Ib.1 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. Before the start of Project PI must fill up the project initiation form. (Annexure II).

Ib.2 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.

Ib.3 The PIs of research projects may be provided with EPBAX 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 EPBAX extension, shall however be met out of the P. I. share of overhead charges.

(II). Operation of the Projects

(IIa) 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 PVC/DSC shall be constituted in the beginning of the Project and would serve the entire duration of the project.

IIa.1 (i) Purchase of item(s) up to 15,000/- can be made by the PI/Co-PI without calling quotations.

(ii) Purchases above Rs. 15,000/- should be made strictly by following General Financial Rules 2005 approved by EC vide its resolution number 79 dated Oct 19, 2006 (Annexure III) unless and otherwise specified by the funding agency.

IIa.2 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 procedure to be followed is outlined in Annexure -III.

IIa.3 Purchase order up to Rs. 1, 00,000/- can be placed by PI/Co-PI after following the procedure outlined in Annexure-III. Purchase above 1, 00,000/- shall require approval of PVC/DSC prior to placing the order.

IIa.4 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 PVC/DSC and his decision shall be final.

IIa.5 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.

IIa.6 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.

IIa.7 Payment of bills should be made through the PI by cheques drawn in favour of the parties concerned.

IIa.8 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.

IIa.9 The TA/DA in the project for field work and visits outside Delhi (in India or Abroad) or within Delhi 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.

IIa.10 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 PVC/DSC and on recommendation by the concerned Head of the Department.

IIa.11 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 PVC/DSC within the total overall budget given by the funding agency.

(II b) Annual statement of Expenditure and Utilization Certificate.

The PI 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 Finance Office within 15 days of the said date for confirmation/reconciliation for onward transmission to the funding agency, or vice-versa.

(II c) Management of Overhead Charges

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 PVC/DSC. 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:

IIc.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 PVC/DSC and such changes can be made after certification by the University Engineering Dept.

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

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

IIc.4 Hiring manpower including secretarial assistance (typing/computer operator/accounting, etc.) subject to approval by the Pro-Vice-Chancellor or Director, South Campus, 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 PVC/DSC.

IIc.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 (PVC/DSC).

IIc.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 PVC/DSC.

IIc.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.

IIc.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.

IIc.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 PVC/DSC 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.

(II d) Provisions for Posts

Prior approval for all the appointments against the sanctioned posts in respect of various projects shall be obtained from PVC/DSC. The qualifications and scales of pay/consolidated pay (as specified in Ia.5) 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 PVC/SDC. Creation of the posts of Professors, Associate Professors and Assistant Professors will not be accepted by the University.

(II e) Appointments

IIe.1 For appointments to the posts under the Project, applications should be invited after giving wide publicity regarding the vacancies.

IIe.2 (i) The cases where the vacancies are for less than 6 months, such posts need not be advertised but should be circulated in the Departments of the University of Delhi.

(ii) 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 of Delhi.

(iii) 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.

(iv) The ad-hoc appointments against different posts shall normally not continue beyond 6 months.

IIe.3 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 of Delhi from the contingency or travel head of the project provided sufficient funds are available.

IIe.4 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/Director of the Centre; 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 PVC/SDC 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 VI B dated 31/07/2008 and guidelines for registration for Ph.D. vide letter no SPA/R/2008/2655 dated April 28, 2008). As regards to the posts of Research Scientists A, B and C, Research Associates and PDF, PVC/DSC or his 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 PVC/SDC.

IIe.5 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 Registrar/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.

IIe.6 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.

IIe.7 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.

IIe.8 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.

IIe.9 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.

IIe.10 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.

IIe.11 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.

(II f) 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 PVC/DSC. Rates of

fellowship approved by the various sponsoring bodies may be paid to Research Fellows employed in Research Projects.

(II g) Settlement of bills

IIg.1 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. 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 PVC/DSC.

IIg.2 If any note-sheets/bills of purchase are sent to the Finance Office, concerned branch should acknowledge the receipt of note- sheets/bills.

(II h) Maintenance of Stock Registers

II h.1 Each project should have separate stock register for assets, accession, consumable and non-consumable articles.

II h.2 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.

II h.3 All entries in the stock book should be initialed by the Project-in-charge.

II h.4 Physical verification of stock should be conducted at least once in a year; the result thereof should be reported to the Finance Officer.

II h.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.

(III) Interim progress and accounts reports of the Project

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 PVC/DSC to get the matter sorted out.

(IV) Final Technical, Fiscal report of the Project

IV Closure of the project should be done within six months of the completion of the project. 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 PVC/DSC.

(V) Closing of the projects

V.I 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 (Annexure-IV) and verified by the Internal Audit Officer of the University. 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.

V.2 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.

V.3 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 PVC/DSC in consultation with Head of the Department and Finance Officer.

UNIVERSITY OF DELHI
PROJECT SUBMISSION FORM

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

1. Name of the Investigator
2. Designation
3. Date of Birth
4. Department/Center/Institute
5. Name of the Co-Investigator
6. Designation
7. Date of Birth
8. Department/Center/Institute
9. Title of the project
10. Tentative Duration of the Project From: To:
11. Funding Agency
12. Details of Funding requested:
 - a. Salaries
 - b. Consumables
 - c. Equipment
 - d. Contingency
 - e. Overhead –(20 % 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 Engineering Department and the PVC/DSC. 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:

Date:

Signature of the Co – Investigator:

Date:

Name: Head of the Department/Director of Center/Institute

Signature:

Date:

Seal

Notes:

1. Faculty member should be allowed to work as a Project-in-charge (PI) only up to the age of Superannuation i.e. 65 years.
2. “when a PI attains the age of 60 years, then all documents/bill/utilization certificates etc. retaining to his/her project should be signed by both i.e. PI as well as the Co-PI (a permanent teacher of the Department). The Co-PI will be responsible for all the assets, pending advances and subsequent transactions under the project”.
3. “The PI should stop signing all the financial documents at least six months before the due date of his/her superannuation in order to facilitate issuance of No Dues Certificates to him”.
4. “No Project proposal should be forwarded by the University to the funding agency if two or more tenure expired projects are pending for closure by the concerned PI.

**UNIVERSITY OF 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. Department/Center/Institute
5. Name of the Co-Investigator
6. Designation
7. Date of Birth
8. Department/Center/Institute
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 –(20 % 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 Engineering Department and the PVC/DSC. 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:

Date:

Signature of the Co – Investigator:

Date:

ANNEXURE-III

University of Delhi Internal Audit Wing

To

1. All the Heads of Department
2. All the Provosts of Halls/Hostels
3. The Directors- University Computer Centre/USIC/Sports Council.
4. The Librarian
5. The C.M.O., W.U.S Health Centre/S.M.O. (In-Charge), SDC
6. The Dy. Registrar (South Campus)
7. The Executive Engineer
8. The Assistant Registers (estate)/ (General)
- 9.

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

Sir/ Madam,

1. In suppression of earlier Resolution No. 245 dated 05.03.2001 and Para IIa & IIa.5 resolution No. 134 dated 14.11.1997 (Guidelines for sponsored research Projects), the Executive Council in its Resolution No. 79 dated 19th October, 2006 has decided that in the cases of procurement of goods and services, inventory/asset management and contract management in the University of 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 E.C. resolutions adopted from time to time.

2. In accordance with the aforesaid decision, while the instructions on maintenance of stores accounts and physical verification of stores (assets management) have already been issued vide circular No. IA-I/Inv/ Mgt./2006-07/2483 dated 13th November, 2006 the following guidelines for procurement of goods and services are issued for adherence by all the Departments, Research Centers, Libraries, General Branch / Press and all other establishment/units of the University of Delhi.

[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 department /centers 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 departments/Centers/Libraries/General Branch /Press 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.

Departments/Centers/Libraries/general Branch/Press 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 department 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.

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.

The Technical bids are to 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.

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/Department 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

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 turn key 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.
- (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 turn key 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 competent authority should be obtained before engaging consultant(s).

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

SI. 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 web 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 envelopes 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 department/unit.

[C] OUTSOURCING OF SERVICES

The following basic guidelines should be adhered to while outsourcing.

1. Identification of likely contractors

The concerned department/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, web 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

SI. No	Estimated cost of work/service	Procedure for Identification
(i)	Up to Rs. Ten lakhs	<ul style="list-style-type: none"> - 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 department/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.

UNIVERSITY OF 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. Department/center
4. Name of the Co-Investigator
5. Designation
6. Department/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 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 Department
Details thereof |
|-------|---------|------------------|--------------------------|-------------------|--|
|-------|---------|------------------|--------------------------|-------------------|--|
18. Whether all the advances have been rendered and reconciled with the Finance Office.If not, reason thereof:

Signatures of the Investigator : Date

Signatures of the Co-Investigator : Date
(if any)

Name: Head of the Department/Director of Center/Institute

Signature : Date:

Seal

