

# Standard Operating Procedure on Research/Projects/Consultancies Registration and Financial Transaction

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This SOP provides, in a very simple and concise manner, the procedures involved in registering and monitoring research/projects/consultancies (hereafter abbreviated as R/P/C) and the requirements in financial transactions related to R/P/C. It was developed by drawing heavily from the College Research Management and Guidelines and the University Research Policy document ZhibTshol. In order to keep the SOP simple and concise, footnotes and citations from these sources are omitted.

## 1. Registration, monitoring, and completion of Research/Projects/Consultancies

- 1.1. No R/P/C will be allowed to be conducted without the prior approval of the CRC.
- 1.2. All R/P/C proposals should be submitted to the CRC, preferably from the time of conceptualization.
- 1.3. The R/P/C proposals must contain the following: (i) Topic, (ii) Objective(s), (iii) Name of the funding agency, (iv) Cost details including F&A cost, (v) Work plan, and (vi) Number of outstanding R/P/C of the PI and Co-I(s), if any.
- 1.4. All R/P/C costing must include an F&A fee of at least 10%. In instances where the F&A cost is not permitted by the funding agency/partner, then prior approval of the CRC must be sought.
- 1.5. If the proposal is approved and funding agency agrees to fund the R/P/C, the concerned PI should register the R/P/C with the DRIL office by filling in the R/P/C form (available on the website).
- 1.6. After registration, the DRIL will issue an R/P/C approval Office Order, which will contain amongst others the following: (i) title of the R/P/C, (ii) Registration number, (iii) R/P/C start and end dates, (iv) Centre under which the R/P/C is registered, (v) the total fund awarded, (vii) PI and Co-PIs and (vi) reminder on the progress and completion report submission.
- 1.7. Prior approval shall be sought from the Management for engagement of short-term Research Assistants, enumerators, etc. duly verified by DRIL.
- 1.8. Progress report, both financial and work progress, must be submitted to the DRIL office after every six months or mid-way through the R/P/C period or whichever is the earlier. (Progress report form is available on the website.)
- 1.9. The DRIL office maintain database of all R/P/C and provide a summary of the record every quarter to the CRC and other members of the College.
- 1.10. Completion report must be submitted to the DRIL office at the end of the completion of the R/P/C, and the submission of this report would also simultaneously close any fund that is left, unless otherwise a prior notice is given to the CRC with a copy to the Finance Section to keep the fund balance active.

## **2. Procurement and Financial Transactions related to R/P/C**

- 2.1. For any procurement and financial transactions related to the R/P/C, the concerned PIs must submit and get the notesheet verified by the DRIL. (Registration number of the R/P/C must be mentioned in the notesheet.)
- 2.2. Procurement of goods and services related to R/P/C shall be as per the existing rules in force.
- 2.3. Based on the request and on behalf of PI, the Finance Section shall raise invoice for any fund transfer related to R/P/C with a copy to the DRIL.
- 2.4. Advance R/P/C money, if required, shall be provided to implement specified activities, but the same has to be utilized within 10 days of the release of the fund.
- 2.5. The settlement of the advance fund availed shall be done within three weeks after the completion of the specified activity or activities. Subsequent release of advance fund shall be contingent upon the settlement of the previous advance taken related to the R/P/C.
- 2.6. To avail the final payment after the completion of the R/P/C, the concerned PIs must submit R/P/C completion report to the DRIL who in turn shall endorse for final payment and close the R/P/C.
- 2.7. Unless otherwise informed to the CRC, the submission of R/P/C completion report would automatically also close any fund that is left. This fund will be transferred to the College account.
- 2.8. Every quarter, the Finance Section shall report to the CRC on the funds related to R/P/C.