Project Administration and Finance Booklet

Jawaharlal Nehru University New Delhi

Introduction

Introduction

- 1. The Purchase and Project Administration guidelines being presented in this book have been substantially drawn from the report submitted by the Prof. Prasenjit Sen Committee which was set up by the University.
- 2. The booklet relates to description of purchase procedures, and the project administration office with a revised structure. The Purchase booklet is modeled after the General Financial Rules (GFR) 2005 as amended from time to time with considerable innovation in its presentation. Thus an one-page 'GFR made simple' has been developed for the users to have a quick understanding of the relevant rules and a 'Purchase procedure at a glance' included as a guide for understanding the various steps involved in purchase of goods.
- The Purchase booklet has been designed entirely for the usage of JNU faculty with projects, and presented in a segmented manner for purchase within a price bracket, with detailed purchase procedures, forms etc. which are required to be followed.
- 4. For any clarification regarding financial matters, the original rule/order/circular should be seen.

- 5. Any subsequent change in the General Financial Rules/purchase procedures of the university should be intimated to all Project Directors/faculty members through the Deans of the Schools/Chairpersons of Special Centres.
- 6. Authorities competent to purchase goods and services: In order to reduce micromanagement, expedite administrative action, enhance productivity and inculcate innovation, micromanagement is to be reduced at all levels. An authority in the University, who is competent to incur expenditure within delegated limits, subject to availability of funds may sanction expenditure on goods/services required for use in JNU, its Laboratories/Schools and Centres. The different modes approved for purchase, financial powers, sanctioning powers are to be followed.
- 7. In case of a project, payment vouchers are to be signed by the Project Investigators (PIs) alone after following the procedure for procurement of goods and services.
- 8. Projects overhead (PI's share) may be utilized up to 2 years from the end of the project.
- 9. The project administration would be the responsibility of a Project Administration and Finance Office (PAFO) whose personnel need to be trained to carry out work description etc. provided in this document. The Student and the Project wing of the Finance would be headed by a separate AFO. If available, persons with finance/commerce qualifications may be posted in the project finance office. The PAFO shall be headed by a person with the rank of Deputy Registrar to integrate the finance and administration branches of the PAFO. Because of delays of paper movement from the Project finance and Admin, the sections should be located together in the same hall or at least in proximal rooms.
- 10. A check-list would be prepared for the following:
- i) A check-list for faculty to ensure all enclosures such as approvals/SLPC minutes copy etc, all original bills/invoices, bank papers/wire transfer request form etc.
- ii) A check-list for the Finance to examine bills- Does it conform to project budget allocation, whether all signatures and approvals are placed, whether debit entry has been made in the correct project/project head etc.
- iii) Check-list for the Project Administration- For forwarding of Project proposals to funding agencies- whether Dean/Internal screening committee approval is enclosed, whether Overhead charges have been included in the budget.

11. The following are the desired timelines for paperwork in the Project Administration/Finance Office:

Forwarding of Project Proposals after obtaining due clearance and the forwarding cover letter:

- For routine Government supported research schemes/grants such as from ICSSR, ICMR, DBT, DST, CSIR, DRDO, Welcome Trust-03 working days
- For Industry supported research schemes/grants- 05 working days
- · For International projects from world bodies such as EU, World bank, DFG, NIH, etc- 05 working days.
- Clearance of bills submitted to Project Finance- normally 05 working days; for any reason, if need be, bills should be returned to
 the PIs within this stipulated time by recording reasons.
- Issuance of Utilization certificate/ Statement of Expenditure- 05 working days after the request from PI;
 or as per terms and conditions of the project.
- 12. The publication of tender enquiries has been made mandatory on the Central Public Procurement (CPP) Portal. Therefore, along with publicity on the JNU website, it is now also mandatory to publish on the CPP Portal all Tender Enquiries, related corrigenda, details of contract awarded, requests for proposals, requests for expressions of interest, notice for prequalification/registration, or any other notice inviting bids or proposals in any form, whether they are advertised, issued to a limited number of parties or to a single party. In case of procurements made through DGS&D rate contracts, only the award details need to be published on the CPP Portal.

For the purpose of publishing on the CPP portal, the Project Director/Project Investigator should contact the Administrative Officer of his/her School/Special Centre. The Administrative Officer/official discharging the functions of the administrative officer at the School/Special Centre has been provided with the required user id/password and training in this regard by the CIS. In case any School/Special Centre has any difficulty in this matter, the same may be immediately taken up with the CIS.

The requirement of publishing on the CPP portal would not apply to procurement made in terms of GFR 145 (procurement of goods without quotation) and GFR 146 (purchase of goods by purchase committee).

Purchases of Proprietary Chemicals / Consumables:

In the case of Purchase of Chemicals / Consumables on proprietary basis, the Purchase orders may be placed directly with the Manufacturers or their Sole Authorized Distributors after receiving the offers and obtaining the recommendations of the indenting officer and sanction of expenditure by the competent authority. However, it must be ensured by the indenter that such items being procured are required to meet the immediate needs and are not intended for stocking over a long period of time. The reasonability of prices and acceptability of other terms and conditions should normally be confirmed by the Indenting Officer/Project Leader before placement of Purchase orders. The PD/PI should furnish a Proprietary Article Certificate in the format prescribed in the Purchase Booklet.

Purchases on proprietary basis can be resorted to only when:

- (a) It is in the sure knowledge of the indenter that the item to be procured is manufactured only by a particular manufacturer and there is no other option except to Purchase this item as it is having unique feature which is essential for R&D activity and which is not available in any other similar item.
- (b) Spares, accessories, consumables etc need to be procured which are required to be compatible with the existing sets of equipment or for standardization of machinery.

The JNU Purchase Procedure

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Definitions

Definitions

DEFINITION OF GOODS (Refer Rule136 of GFR)

The term 'goods' includes all articles, material, commodities, livestock, furniture, fixtures, raw material, spares, instruments, machinery, equipment, industrial plant, etc., purchased or otherwise acquired for the use of the Institute but excludes books, publications, periodicals, etc. for a library.

"Competent Authority" means, in respect of the power to be exercised under any of these rules, the Vice Chancellor or such other authority to which the power is delegated by the Executive Council of the University or under the Jawaharlal Nehru University Act, 1966.

"Financial year" means the year beginning on the 1st of April and ending on the 31st of March following.

"Government" means the Central Government.

"GFR" means General Financial Rules, 2005 as amended from time to time by the Government.

"PI" means Project Investigator. "PD" means Project Director. The terms PI and PD have been used in the same sense in this booklet.

Some important rules (from GFR)

Rule 140. Powers for procurement of goods: The Ministries or Departments have been delegated full powers to make their own arrangements for procurement of goods. In case, however, a Ministry or Department does not have the required expertise, it may project its indent to the Central Purchase Organisation (e.g. DGS&D) with the approval of competent authority. The indent form to be utilised for this purpose will be as per the standard form evolved by the Central Purchase Organisation.

Rule 141. Rate Contract: The Central Purchase Organisation (e.g. DGS&D) shall conclude rate contracts with the registered suppliers, for goods and items of standard types, which are identified as common user items and are needed on recurring basis by various Central Government Ministries or Departments. Definition of Registered suppliers is given in Rule 142 below. The Central Purchase Organisation will furnish and update all the relevant details of the rate contracts in its web site. The Ministries or Departments shall follow those rate contracts to the maximum extent possible.

Rule 142. Registration of Suppliers:

- (i) With a view to establishing reliable sources for procurement of goods commonly required for Government use, the Central Purchase Organisation (e.g. DGS&D) will prepare and maintain item-wise lists of eligible and capable suppliers. Such approved suppliers will be known as "Registered Suppliers". All Ministries or Departments may utilise these lists as and when necessary. Such registered suppliers are prima facie eligible for consideration for procurement of goods through Limited Tender Enquiry. They are also ordinarily exempted from furnishing bid security along with their bids. A Head of Department may also register suppliers of goods which are specifically required by that Department or Office.
- (ii) Credentials, manufacturing capability, quality control systems, past performance, after-sales service, financial background etc. of the supplier(s) should be carefully verified before registration. (iii) The supplier(s) will be registered for a fixed period (between 1 to 3 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 afresh for renewal of registration. New supplier(s) may also be considered for registration at any time, provided they fulfill all the required conditions. (iv) Performance and conduct of every registered supplier is to be watched by the concerned Ministry or Department. The registered supplier(s) are liable to be removed from the list of approved suppliers if they 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 Government, is not in public interest.

Rule 143. Enlistment of Indian Agents: As per the Compulsory Enlistment Scheme of the Department of Expenditure, Ministry of Finance, it is compulsory for Indian agents, who desire to quote directly on behalf of their foreign principals, to get themselves enlisted with the Central Purchase Organisation (eg. DGS&D). However, such enlistment is not equivalent to registration of suppliers as mentioned under Rule 142 above.

Rule 144. Reserved Items: The Central Government, through administrative instructions, has reserved all items of handspun and handwoven textiles (khadi goods) for exclusive purchase from Khadi Village Industries Commission (KVIC). It has also reserved all items of handloom textiles required by Central Government departments for exclusive purchase from KVIC and/or the notified handloom units of ACASH (Association of Corporations and Apex Societies of Handlooms). The Central Government has also reserved some items for purchase from registered Small Scale Industrial Units. The Central Departments or Ministries are to make their purchases for such reserved goods and items from such units as per the instructions issued by the Central Government in this regard.

Rule 145. Purchase of goods without quotation: Purchase of goods upto the value of Rs. 15,000/- (Rupees Fifteen Thousand) only on each occasion may be made without inviting quotations or bids on the basis of a certificate to be recorded by the competent authority in the following format.

"I, ______, am personally satisfied that these goods purchased are of the requisite quality and specification and have been purchased from a reliable supplier at a reasonable price."

Rule 146. Purchase of goods by purchase committee: Purchase of goods costing above Rs. 15,000/- (Rupees Fifteen Thousand) only and upto Rs. 1,00,000/- (Rupees One lakh) only on each occasion may be made on the recommendations of a duly constituted Local Purchase Committee consisting of three members of an appropriate level as decided by the Head of the Department. The committee will survey the market to ascertain the reasonableness of rate, quality and specifications and identify the appropriate supplier. Before recommending placement of the purchase order, the members of the committee will jointly record a certificate as under.

"Certified that we ______, members of the purchase committee are jointly and individually satisfied that the goods recommended for purchase are of the requisite specification and quality, priced at the prevailing market rate and the supplier recommended is reliable and competent to supply the goods in question. "

Rule 147. Purchase of goods directly under rate contract:

- (1) In case a Ministry or Department directly procures Central Purchase Organisation (e.g. DGS&D) rate contracted goods from suppliers, the prices to be paid for such goods shall not exceed those stipulated in the rate contract and the other salient terms and conditions of the purchase should be in line with those specified in the rate contract. The Ministry or Department shall make its own arrangement for inspection and testing of such goods where required.
- (2) The Central Purchase Organisation (e.g. DG5&D) should host the specifications, prices and other sallent details of different rate contracted items, appropriately updated, on the web site for use by the procuring Ministry or Department.

Rule 148. A demand for goods should not be divided into small quantities to make piece meal purchases to avoid the necessity of obtaining the sanction of higher authority required with reference to the estimated value of the total demand.

Rule 149. Purchase of goods by obtaining bids: Except in cases covered under Rule 145, 146 and 147(1), Ministries or Departments shall procure goods under the powers referred to in Rule 140 above by following the standard method of obtaining bids in:

- (i) Advertised Tender Enquiry;
- (ii) Limited Tender Enquiry;
- (iii) Single Tender Enquiry.

Rule 150. Advertised Tender Enquiry.

- (i) Subject to exceptions incorporated under Rules 151 and 154, invitation to tenders by advertisement should be used for procurement of goods of estimated value Rs. 25 lakh (Rupees Twenty Five Lakh) and above. Advertisement in such case should be given in the Indian Trade Journal (ITJ), published by the Director General of Commercial Intelligence and Statistics, Kolkata and at least in one national daily having wide circulation.
- (ii) An organisation having its own web site should also publish all its advertised tender enquiries on the web site and provide a link with NIC web site. It should also give its web site address in the advertisements in ITJ and newspapers.
- (iii) The organisation should also post the complete bidding document in its web site and permit prospective bidders to make use of the document downloaded from the web site. If such a downloaded bidding document is priced, there should be clear instructions for the bidder to pay the amount by demand draft etc. along with the bid.
- (iv) Where the Ministry or Department feels that the goods of the required quality, specifications etc., may not be available in the country and it is necessary to also look for suitable competitive offers from abroad, the Ministry or Department may send copies of the tender notice to the Indian embassies abroad as well as to the foreign embassies in India. The selection of the embassies will depend on the possibility of availability of the required goods in such countries.
- (v) Ordinarily, the minimum time to be allowed for submission of bids should be three weeks from the date of publication of the tender notice or availability of the bidding document for sale, whichever is later. Where the department also contemplates obtaining bids from abroad, the minimum period should be kept as four weeks for both domestic and foreign bidders.

Rule 151. Limited Tender Enquiry.

(i) This method may be adopted when estimated value of the goods to be procured is up to Rupees Twentyfive Lakhs. Copies of the bidding document should be sent directly by speed post/registered post/courier/ e-mail to firms which are borne on the list of registered suppliers for the goods in question as referred under Rule 142 above. The number of supplier firms in Limited Tender Enquiry should be more than three. Further, web based publicity should be given for limited tenders. Efforts should be made to identify a higher number of approved suppliers to obtain more responsive bids on competitive basis.

- (ii) Purchase through Limited Tender Enquiry may be adopted even where the estimated value of the procurement is more than Rupees Twenty five lakhs, in the following circumstances.
- (a) The competent authority in the Ministry or Department certifies that the demand is urgent and any additional expenditure involved by not procuring through advertised tender enquiry is justified in view of urgency. The Ministry or Department should also put on record the nature of the urgency and reasons why the procurement could not be anticipated.
- (b) There are sufficient reasons, to be recorded in writing by the competent authority, indicating that it will not be in public interest to procure the goods through advertised tender enquiry.
- (c) The sources of supply are definitely known and possibility of fresh source(s) beyond those being tapped, is remote.
- (iii) Sufficient time should be allowed for submission of bids in Limited Tender Enquiry cases.

Rule 152. Two bid system: For purchasing high value plant, machinery etc. of a complex and technical nature, bids may be obtained in two parts as under:

- (a) Technical bid consisting of all technical details along with commercial terms and conditions; and
- (b) Financial bid indicating 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 duly superscribed. The technical bids are to be opened by the purchasing Ministry or Department at the first instance and evaluated by a competent committee or authority. At the second stage financial bids of only the technically acceptable offers should be opened for further evaluation and ranking before awarding the contract.

Rule 153. Late Bids: In the case of advertised tender enquiry or limited tender enquiry, late bids (i.e. bids received after the specified date and time for receipt of bids) should not be considered.

Rule 154. Single Tender Enquiry.

Procurement from a single source may be resorted to in the following circumstances:

- (i) It is in the knowledge of the user department that only a particular firm is the manufacturer of the required goods.
- (ii) In a case of emergency, the required goods are necessarily to be purchased from a particular source and the reason for such decision is to be recorded and approval of competent authority obtained.
- (iii) For standardisation of machinery or spare parts to be compatible to the existing sets of equipment (on the advice of a competent technical expert and approved by the competent authority), the required item is to be purchased only from a selected firm.

Note: Proprietary Article Certificate in the following form is to be provided by the Ministry/Department before procuring the goods from a single source under the provision of sub Rule 154 (i) and 154 (iii) as applicable.

(Signature with date and designation of the procuring officer

Some of the other relevant provisions of GFR are as follows:

- Rule 157 Bid security: This provision deals with Earnest Money Deposit (EMD) which is normally 2% to 5% of the value of
 goods, and is obtained to safeguard against the withdrawal or alteration of a bid by the bidder during the validity period of
 the bid. Applicable only in the case of Limited Tender Enquiry and Advertised Tender Enquiry. However, as per Rule 142,
 registered suppliers are exempt from furnishing EMD.
- Rule 158 Performance Security: This provision deals with ensuring due performance of the contract after it is awarded to
 the successful bidder and is 5% to 10% of the value of the contract, tenable for the duration of the warranty of the goods.
- Rule 159 Advance payment to Suppliers/part payments: This provision provides rules for payment of advance and limits
 thereof such as in the case of private firms(not more than 30%) and for Annual Maintenance Contract (not beyond 6
 months) and safeguards such as bank guarantee to be obtained.
- Rule 160 deals with transparency, competition, fairness and elimination of arbitrariness in the procurement process.
- Rule 161 deals with efficiency, economy and accountability in public procurement system.
- Rule 162 Buy-back offer: This provision deals with the rules for replacement of an existing item with a new one or a better
 version, by trading the old item while purchasing the new one. Suitable provision may be kept in the bidding document to
 enable the purchaser either to trade or not to trade the old item while purchasing the new one.

Saving clause: The purchase rules from GFR have been referred to in this booklet (in some places in brief) in order to give an overall idea to the users. In case further information/clarification is required, the detailed provisions of the General Financial Rules (GFR) may be referred to and the GFR will prevail in case of any anomaly/ambiguity with the purchase rules mentioned in this booklet.



Some Important Notes/Rules

Rule 141. Rate Contract: The Central Purchase Organisation (e.g., DGS & D) shall conclude rate contracts with registered suppliers, for goods and items of standard types, which are identified as common user items and are needed on recurring basis by various Central Government Ministries or Departments.

The rate contract suppliers as per GFR 141, are registered suppliers identified solely by the DGS & D.

Vice Chancellor JNU, is empowered to register suppliers of goods specifically required by the University on the basis of recommendations made by Schools/Special Centres. But JNU cannot have a rate contract with them. "Such registered suppliers are prima facie eligible for consideration for procurement of goods through Limited Tender Enquiry. They are also ordinarily exempted from furnishing bid security along with their bids" (GFR142).

Cost of goods in rupees	Requirement of quotes or bids	Sanctioning authority	Local Purchase Committee	School Level Purchase Committee	Process steps
Up to Rs. 15,000	No	PI or PD	No	No	Obtain prices Individual writes a declaration No declaration for DGS&D rate contracted goods
15,001 - 40,000	No	PI or PD	Yes	No	Obtain prices (survey market) Committee writes a declaration No declaration/LPC for DGS&D rate contracted goods
15,001 – 100,000	No	Dean	Yes	No	Obtain prices (survey market) Committee writes a declaration No declaration/LPC for DGS&D rate contracted goods
100,001 – 25,00,000 Limited Tender Enquiry	Yes	SLPC recommends, VC approves	No	Yes	Obtain quotes / bids, minimum four Quotes via post/fax/email and through JNU website and CPP portal If One – bid system (technical and price bids in a single quote),L1 to be chosen. Alternatively, two-bid system (as per GFR 152) to be used for purchasing items of complex nature with Technical Committee. In emergency, VC approves; to be recorded in subsequent SLPC
Above 25,00,000 Limited Tender Enquiry (special)	Yes	Technical Committee + SLPC recommends, VC approves	No	Yes	Urgent basis, to be justified Advertisement not in public interest Known sources, unlikely other suppliers Obtain quotes / bids, minimum four Quotes via post/fax/email and through website (JNU and CPP) Two – bid system (technical and price bids in 2 separate parts, to comprise quote) as per GFR 152 with Technical Committee.
Above 25,00,000 Advertised Tender Enquiry	Yes	Technical Committee + SLPC recommends, VC approves	No	Yes	Request Dean/Chairperson to form Technical Committee out of the Standing Technical Committee approved by the VC; set specifications Tender enquiry in Indian Trade Journal + 1 national dally + JNU website + CPP portal
Single Tender Enquiry	Yes (single)	PI/Dean/(SLPC & VC), Based on sanctioned financial powers	No	Yes, based on cost of goods	Obtain Technical Committee consent (if above Rs.One lakh). Obtain bid + CPP portal Write a declaration for proprietary nature of goods In emergency, VC approves, to be recorded in subsequent SLPC

GFR 145 Purchase without qu	uotation. Goods up to a value Rs. 15000	
	ent. It must be approved by the Principal Investi ovisions and issue the indent number for placing	
Procedure Description / Form	nat etc.	
Items of value upto Rs.15,00	nat etc. 00/- (Rs. Fifteen thousand only) on each of of a certificate to be recorded in the following	the contract of the contract o

Principal Investigator

GFR 146 Purchase by Purchase Committee. Goods in the value range Rs. 15000 – 40,000

GENERAL RULE

Any employee can raise the indent. It must be approved by the Principal Investigator / Project Director.

The PI will check the budget provisions and issue the indent number for placing order.

Procedure Description / Format etc.

Items of value more than Rs.15,000/- and upto Rs. 40,000/- (Rs. Forty thousand only), the PI should avail of the services of the Standing Purchase Committee (SPC) of the School (a 5 member committee + AO/Finance representative) from which a Local Purchase Committee with 3 members will be constituted (1. PI; 2. SPC member and 3. A.O./finance representative) who will survey the market, to ascertain the reasonableness of rate, quality and specifications and identify an appropriate supplier. Before recommending placement of the purchase order, the members of the committee will jointly record a certificate as under:

"Certified that we, _(names of committee)_, members of the procurement committee are jointly and individually satisfied that the _(goods)__ recommended for purchase are of the requisite quality and specifications, priced at the prevailing market rate and the supplier recommended is reliable and competent to supply the goods in question."

GFR 146 Purchase by Purchase Committee. Goods in the value range Rs. 40,001 – 100,000

GENERAL RULE

Any employee can raise the indent. It must be signed by the Principal Investigator and approved by the Dean.

The PI will check the budget provisions and issue the indent number for placing order after approval of the Dean.

Procedure Description / Format etc.

Items of value more than Rs.40,000/- and upto Rs. 100,000/- (Rs. One hundred thousand only), the PI should avail of the services of the Standing Purchase Committee (SPC) of the School (a 5 member committee + AO/Finance representative) from which a Local Purchase Committee with 3 members will be constituted (1. PI; 2. SPC member and 3. A.O./finance representative) who will survey the market, to ascertain the reasonableness of rate, quality and specifications and identify an appropriate supplier. Before recommending placement of the purchase order, the members of the committee will jointly record a certificate as under:

"Certified that we, _(names of committee)_, members of the procurement committee are jointly and individually satisfied that the _(goods)__ recommended for purchase are of the requisite quality and specifications, priced at the prevailing market rate and the supplier recommended is reliable and competent to supply the goods in question."

GFR 147 Purchase of Goods under Rate Contract

GENERAL RULE

Any employee can raise the indent. It must be signed by the Principal Investigator / Project Director and approved by the Dean (if above Rs. 40,000 but up to Rs. 1,00,000) or approved by the PI (if up to Rs. 40,000), or recommended by SLPC and approved by VC (if more than Rs.1,00,000).

The PI will check the budget provisions and issue the indent number for placing order after approval of competent authority.

Procedure Description / Format etc.

Registered Suppliers of DGS&D shall be considered. However, the prices of goods shall not exceed those stipulated in the DGS&D rate contract.

Award details need to be published on the CPP Portal (refer point 12 on page 4)

Purchase through bids GFR 151 Limited tender enquiry

GENERAL RULE

Any employee can raise the indent. It must be signed by the PI and counter signed by the Dean, and recommended by the SLPC & approved by the VC or in case of urgency approved by the VC, and reported in a subsequent SLPC meeting.

The PI will check the budget provisions and issue the indent number for placing order after approval of competent authority.

Description / Format etc.

Items of value up to Rs.25,00,000/- (Rs. Twenty five lakhs only), the indentor should invite limited tender enquiries. A committee approved by the Vice Chancellor will open and evaluate the quotations.

In case of items where technical complexities are expected the involvement of a Technical Committee is required for technical evaluation as per two bid system. The indentor should request the Vice-Chancellor to comprise a Standing Technical Committee## and from time to time, constitute a Technical Committee to finalise the technical specifications of the items. The indentor should invite limited tender enquiries in accordance with a two bid system as laid out in GFR 152 and also publish on the CPP Portal (please refer to point 12 on page 4). The Technical Committee should have one expert, external to JNU.

NOTE: Generally this rule is used when value is more than Rs.100,000/-. Limited Tender enquiry should be sent to as many vendors as possible to get response from more the 3 suppliers, in the prescribed format through mail/e-mail/fax and web-based publicity, with instructions that the sealed quotations should be addressed to P.I. A copy of enquiry letter along with a list of vendors and proof of dispatch, should be kept in safe custody.

The Standing Technical Committee of the School can also be used to constitute the Technical Committee.

Purchase through bids :

GFR 154 Single tender enquiry

GENERAL RULE

Any employee can raise the indent. It must be (a) approved by the PI for purchase up to Rs. 40,000 or (b) signed by the PI and counter signed/approved by the Dean for purchase beyond Rs. 40,000 and up to Rs. 100,000, otherwise (c) recommended by SLPC & approved by VC, or in case of emergency, approved by the VC and reported to the SLPC in the subsequent meeting.

The PI will check the budget provisions and issue the indent number for placing order after approval of competent authority.

Procedure Description / Format etc.

Items of proprietary nature or for specific applications based on technical grounds, where single tender enquiry is mandated, the indentor should request the Vice-Chancellor (where cost is more than Rs.1,00,000) to constitute a Technical Committee which will recommend the procurement from a single source in the prescribed format (see below). Where cost is upto Rs.40,000 the certificate will be furnished by the PI, and where cost is more than Rs.40,000 but up to Rs.1,00,000 the certificate shall be signed by the PI and the Dean, and it should also be published on the CPP Portal (please refer to point 12 on page 4).

Proprietary Article Certificate in the following format is to be provided before procuring the goods from a single source under the provision of sub **Rule 154 (i) and 154 (ii) as applicable.**

- "(i) The indented goods are manufactured by M/s.....
- (ii) No other make or model is acceptable for the following reasons :
- (a); (b); (c)......
- (iii) Concurrence of finance wing to the proposal vide :
- (iv) Approval of the competent authority vide :.....

(Signature with date and designation of the procuring officer)"

Outsourcing of services and payment, e.g., for service charges for sequencing, nextgen sequencing, mirco-arrays, peptide synthesis etc.

Rule 178. Outsourcing of Services: A Ministry or Department (here any PI in a project) may outsource certain services in the interest of economy and efficiency and it may prescribe detailed instructions and procedures for this purpose without, however, contravening the following basic guidelines.

Step 1: Identify the party from where services will need to be outsourced. Keep this in a roster (similar in concept to Registration Suppliers and get this approved by the VC). This can be done under GFR 179.

Rule 179. Identification of likely contractors: The Ministry or Department (here any PI in a project) should prepare a list of likely and potential contractors on the basis of formal or informal enquiries from other Ministries or Departments and Organisations involved in similar activities, scrutiny of 'Yellow pages', and trade journals, if available, websites, scientific journals, etc.

Step 2 :Call for quotations from the Registered suppliers of services. The specifications etc. will have to spelt out, like in a limited tender enquiry.

Rule 180. Preparation of Tender enquiry: Ministry or Department should prepare a tender enquiry containing, inter alia:

- (i) The details of the work or service to be performed by the contractor;
- (ii) The facilities and the inputs which will be provided to the contractor by the Ministry or Department;
- (iii) Eligibility and qualification criteria to be met by the contractor for performing the required work/service;

And (iv) The statutory and contractual obligations to be complied with by the contractor.

Rule 181 (a). Invitation of Bids (for jobs worth less than Rs. 10 lacs):

For estimated value of the work or service upto Rupees ten lakks or less: The Ministry or Department should scrutinise the preliminary list of likely contractors as identified as per Rule 179 above, decide the prima facie eligible and capable contractors and issue limited tender enquiry to them asking for their offers by a specified date and time etc. as per standard practice. The number of the contractors so identified for issuing limited tender enquiry should not be less than six.

Rule 181 (b). Invitation of bids (for jobs worth above Rs. 10 lacs)

For estimated value of the work or service above Rupees ten lakhs: The Ministry or Department should issue advertised tender enquiry asking for the offers by a specified date and time etc. in at least one popular largely circulated national newspaper and web site of the Ministry or Department.

Rule 182. Late Bids: Late bids i.e. bids received after the specified date and time of receipt, should not be considered.

Rule 183. Evaluation of Bids Received: The Ministry or Department should evaluate, segregate, rank the responsive bids and select the successful bidder for placement of the contract.

Situation where there is only one facility to outsource, the following applies:

Rule 184. 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 Ministry or Department may do so in consultation with the Financial Adviser. In such cases the detailed justification, the circumstances leading to the outsourcing by choice and the special interest or purpose it shall serve shall form an integral part of the proposal.

Rule 185: The Ministry or Department should be involved throughout in the conduct of the contract and continuously monitor the performance of the contractor.

It is also necessary to publish on the CPP Portal (please refer to point 12 on page 4 for details).

The JNU Project Administration booklet

Project Administration Guidelines

Preamble

Research sponsored by various funding agencies form a crucial component of the research fabric of any institution or University. Such funds are beyond those which are provided through the University's research grants. Sponsored research thus allows for focused, and area specific research by a faculty member. This calls for a project administration with attendant protocols which delivers a balance between, (a) compliance, whereby an individual faculty will have to conform to norms and regulations set by the University and the funding agencies and, (b) independence, whereby a faculty member has sufficient freedom to carry out time — bound and targeted research.

The following suggested / recommended guidelines are intended to maximize these goals.

Proposals

An application for a sponsored project from an external funding agency is done through a proposal. This describes the project aims and objectives, staff requirement, core competence and requirement of funds.

All proposals towards award of sponsored projects must be processed through the Projects Administration and Finance Office (PAFO) of the University. This is because faculty members are not supposed to submit proposals, negotiate the terms of an award (if necessary), accept grants or execute contracts on behalf of the University. All project proposals should go through a research body of the School to identify and qualify various aspects of the project. This will be required to be filled through a format during the project submission process. The PAFO should provide such assistance to the PI that which he may require during the project submission process.

Role/responsibility of the project investigator (PI):

- (1) The PI of a sponsored project is directly and totally responsible for adhering to the applicable funding source restrictions;
- (2) The PI writes the proposal using assistance provided by his or her School;
- (3) The PI will review the content of the technical or project description part of the proposal, which deals with specific areas of knowledge, unique to each project and School and requires in-depth knowledge of the field;
- (4) The PI should ensure that the proposal consists of a narrative or technical section, an administrative section or document, and a budget. The narrative or technical section should be clear with concise explanation of the planned research including specific goals and methodologies;
- (5) The PI should ensure that the budget is the best estimate of support needed to perform the research proposed and should accurately reflect how the money will be spent. It should detail and justify each item of cost;

(6)) The administration of the project, during the project term, is handled by the PI and the School to which the PI belongs. Consultants and subcontractors or service providers (see page 21) can be hired by the PI and such details included in the project application. Awards and stipulations for such matters will be governed by norms already in place under GFR.

Role of the project administration and finance office (PAFO):

- (1) The PAFO provides assistance to the PIs in submission of project proposals, helps to interpret funding agency guidelines and provide administrative support by reviewing the completed proposal; the PAFO will not review the content of the technical or project description, unless the project has compliance issues which are ethics-related or involves use of animals, dangerous materials etc; (a compliance form should have all the 'yes no' questions which must be examined by the PAFO).
- (2) The PAFO should provide the basic format for proposal submission, if the agency does not have a format.
- (3) The PAFO will review budgets, gather necessary signatures, and check the proposal to make sure that all necessary forms have been included and comply with agency, governmental and university guidelines. The PAFO will conduct all necessary grant and contract negotiations, e.g., IPR issues, and assist in the preparation of any additional documents requested by the funding agency during the course of those negotiations;
- (4) Once award of the project is notified, the PAFO will examine the grant award for all the conditions of acceptance and will release the award for setting up accounts. The accounting section will monitor expenditures and receivables (cash) and is responsible for assisting the PI in developing and submitting the financial reports (on yearly basis). Fiscal oversight is provided by a combination of the PAFO and the individual faculty department and is intended to ensure that money is spent for the purpose for which it is given in accordance with University norms and funding agency guidelines;
- (5) During the project term, the administration of the project is handled by the PI and the School to which the PI belongs, unless some problem arises with the funding agency. The PAFO is considered the liaison between the PI and the funding agency for all issues except the technical ones. The PAFO shall consider for approval all requests for modifications and/or no-cost extensions to existing agreements provided it is agreed upon by the concerned funding agency. The PAFO will provide assistance in interpretation of rules, regulations and other legal issues in consultation with the legal cell wherever required;

(6) The PAFO will help the PI and his/her School in the closing period of the project term.

As evident, for smooth running of projects, several offices need to be integrated under one head, identified here as the Project Administration Office. The structure of such an office is perceived as below:

Deputy Registrar (Project Coordinator) for overall administration of projects within the University. The other operations require personnel for

- 1. Account maintenance (Finance personnel)
- 2. Cost reimbursement (Finance personnel)
- 3. Specialist, Compliance and Rules
- 4. Specialist, Project Research Administration
- 5. Project Analysts, for interfacing with various Schools and Centres in the University. Each Project Analyst will have 3-4 units in their portfolio and carry out the work outlined in the description above. This will help communication between the PI and the PAFO, as described below (page 26)
- 6. IPR and legal expert for IPR and Patent policy

Policies to be formulated:

Travel Policy

- I. Policy Statement
- II. Guiding principles:

Support the productivity and safety of those traveling
Ensure compliance with external and internal requirements
Use resources wisely

III. General considerations:

Travelers should neither gain nor lose personal funds as a result of travel to carry out project related work.

All necessary approvals and travel documents to be in order prior to travel. PAFO should ensure this.

Airline tickets to be booked as far in advance as possible (at least 14 days) in order to obtain advance purchase discounts and optimal travel times. If possible a travel help desk/designated official may facilitate the booking of air tickets through the Government authorised booking agents like M/s Balmer Lawrie and M/s.Ashok Tours & Travels.

The terms of sponsored research agreements for travel are to be accorded priority unless Government rules are applicable e.g. air travel by Air India is required where funds from Government and Government funded institutions are used.

Salary

Subject to the provisions of the project as agreed with the funder, the salaries paid to project employees may follow the following broad guidelines:

1. Post-Doctoral Fellow/ Research Associate

 Project employment at consolidated salary for those candidates holding a doctoral degree in the relevant discipline/ specialisation may not exceed the gross salary paid to entry level Assistant Professors under the UGC salary scales.

2. Research Assistant

- Candidates with a Master's degree may be paid a consolidated project salary (not exceeding the UGC-JRF amount by 20% plus HRA where admissible).
- Candidates with an MPhil degree or with at least 2 years' research experience may be paid a
 consolidated project salary (not exceeding the UGC-SRF amount by 20% plus HRA where
 admissible)

Other Project Employees

- Other project employees' consolidated salary be recommended at a suitable level in accordance with the above guidelines and in consonance with their functional specialisations and provision in the grant.
- As far as possible, project employees' salary should be a consolidated amount in accordance with the above cited principles and subject to existing guidelines of the funding agencies.

Project Employment

Full Time Contractual Project Employment

- Invite applications providing full requirements by wide advertisement, including JNU website
- Selection Committee approved by VC to include Pl, Chair/ Dean, External subject expert and VC's nominee
- Committee to be proposed by PI suggesting 3 names for VC to choose from (draft at Annex X)
- Minutes of Selection Committee (draft at Annex XX) to be approved by VC before appointment
- Contractual appointment for one year at a time
- May be renewed for another period of one year on certification of satisfactory performance from PI and on her/his request
- Tenure of contractual appointment in accordance with project requirements and PIs satisfaction, until the date of project expiry

Interim Project Employment (Maximum period of 3 months)

- PI recommends such contractual employment for 3 months with full CV of the prospective employee
- The tenure of ad-hoc appointment cannot be extended. Subsequent appointment should be after advertisement and a selection committee.

Ad Hoc Payment for Services

- Small payments for specific services (typing, data entry, leger maintenance, lab cleaning, equipment maintenance, etc.) may be made to persons identified by PI to have the relevant skills
- The aggregate of such payments to one person should not exceed Rs.5,000 per month and to three or more persons should not exceed the limit of Rs. 15,000/- per month
- Such payments will require agreement of the Chair/ Dean for specific purpose to be recorded in writing
- Should a one-time payment for specialized services be required (for instance, higher levels of dataprocessing) at a amount higher than this, sanction must be obtained clearly stating reasons and research relevance. Such sanction may be considered in the research interest of the project.

Constitution of Technical/Financial bid Evaluation Committee

 On the recommendation of the Dean/Chairpersons, VC constitutes a Standing Technical/Financial Bid Evaluation Committee, whose constitution includes faculty experts from Schools/Centres of JNU and from outside JNU, drawn from diverse specialization representing the research areas of the School/Centre.

On the recommendation of the PI, Dean/Chairpersons approves a Technical/Financial Bid Evaluation Committee consisting of at least three members from the Standing Committee. PI would be a member as well. The Finance Representative of the School/Centre will look into the finance aspect of the evaluation.

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Standard Operating Procedure for Maintaining Project Records by each PI

- For each project, the PI will create and maintain the following:
- Finance Component
 - Stock Register- Consumables
 - Stock Register- Non-consumables.
 - Advance Register- To record Advance money drawn and adjusted within a month
 - Asset Control Register
 - Dispatch Register
 - Photocopies of all Purchase Orders/Supply orders and Prior approvals
 - Photocopies of all submitted bills
 - All Tender documents/ call for tenders-advertisements/ web page/CPP copy
 - · History Sheet- to record repair/service history of equipments
- Administration Component
 - All advertisements for project appointments
 - Office orders
 - Selection committee minutes copy
 - Copy of Utilisation Certificate/ Statement of Expenditure