



**EXTERNAL RESEARCH GRANT**  
**PROPOSAL SUBMISSION AND GRANT CONDUCT**  
**GUIDELINES**

• **PRE-SUBMISSION GUIDELINES**

- Any external grant proposal submitted to the funding agency under Shiv Nadar University's aegis may require endorsement from the University before submission. The following documents have to be submitted to the Research Office at least two working days in advance before the Registrar can issue the endorsement letter.
  - External Grant forwarding form with signatures
  - Approvals from the Head of the Department and the School of Dean are required for the submission of grant proposals. (This will be applicable once the online system is activated)
  - Soft copy of the proposal with the budget requested (please include overhead of 15% if there is no restriction by the granting agency)
  - Draft of endorsement letter required by the granting agency

• **POST-GRANT GUIDELINES**

- Once the granting agency has favorably decided on the proposal, the Principal Investigator (PI) shall forward the sanction letter received from the agency to the Research Office and Finance office. Any agreement or letter required (if required) for activating the grant will be provided upon receipt of the sanction letter.
- Any communication received by the PI from the granting agency regarding the release of funds shall be forwarded to the finance and research office. Once the finance office receives the funds in the extramural account, it shall intimate the same to the principal investigator and the research office. The project is deemed active once the funds are received.
- The list of funds received but unclaimed shall be circulated to faculty members on regular basis.
- **Budget Utilization**

- The budget utilization and approval for the same shall be under the purview of the respective PI, the Schools, and their Dean.
- Utilization of funds shall be as per the budget head approved in the sanction order. Approval from the funding agency has to be taken before the readjustment of funds across budget heads.
  - The sanction order and any other approvals shall be forwarded to the finance and research office.
- Finance and Purchase processes set by the respective department shall be followed for the utilization and procurement process.
- Manpower appointments shall be facilitated by the research office as per policy.
- Utilization of overheads shall be as per the policy set by the finance office.
- All efforts shall be made by PI to keep their grant account current. In case there is a delay in the release of funds from the funding agency, an appropriate loan may be approved by the Dean from the research budget of the respective school. The loan is to be adjusted once the fund is released by the funding agency.
  - The PI should request such a loan on the grant with a detailed explanation including proof of timely submission of documentation to the funding agency.

- **MONITORING OF RUNNING GRANTS**

- The research office shall liaise with the finance office on a monthly schedule to discuss the status of research projects.
- The Principal Investigator shall submit a utilization certificate to the granting agency every year. The process (online, physical, or PFMS system) shall depend on the granting agency. The Finance Office will provide the same after consultation with the Principal Investigator. The Research Office shall have oversight over the process and provide support.
- The Principal Investigator should forward the following documents to the Research office at regular intervals for central record keeping
  - a. Sanction order mentioning the budget details and duration
  - b. Release order (1<sup>st</sup> and all subsequent release orders).
- The head of the departments and the School Deans shall biannually monitor the overall progress of each project.

- **GRANT COMPLETION**

- After the completion of the project, the principal investigator shall submit the final/closing report to the respective granting agency after discussion with Finance and Research office.
- The research office shall follow up with Principle Investigator to provide the support required for submission.
- A copy of the closing report is to be forwarded to the research office for record-keeping.