

A'Sharqiyah University Policy

ASU Rules and Regulations for operation and utilization of the Research Funds

Policy name	ASU Rules and Regulations for operation and utilization of the Research Funds (in Sponsored Research Grant and Contract Account/ Internal Grant)		
Policy number	RS0005		
Contact Person	Chair of University Research and Enterprise Committee (UREC)		
Approval Authority	Board of Trustees		
Date first approved	March, 2015	Last substantive review	Dec, 2018
Policy Review Cycle	Biennial	Next review	Dec, 2020

1. Definitions

Terms / Abbreviations	Definition
ASU	A'Sharqiyah University
The Grant	The amount of Grant that is given by The Research Council, Oman/other Funding agency under a bipartite agreement or the ASU Faculty Seed Fund for Research (ASU- FSFR).
TRC	The Research Council, Oman
UREC	University Research and Enterprise Committee
FSFR	Faculty seed fund for research (This is an internal grant from ASU)
PI	Principal Investigator who will be the Fund Manager of the project. PI should be full time faculty member of ASU.
Co-PI	Co-Principal Investigator
FA	Funding Agency
FD	Finance Director/In-charge of finance

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	department.
College	Any college under ASU
Sponsored Account:	An account established for the receipt and expensing of funds from TRC or other FA to the University or FSFR from ASU for the Project - specific purposes.

2. Purpose

As part of developing policies and regulations of all kinds of research activities at ASU, the University research committee is framing the rules and regulations of research fund utilization aiming to support and establish a strong research administration at ASU. Utilization of research fund at ASU follows the general rules and regulations pertaining to the financial affairs of ASU. Above it, for externally funded project, ASU will abide the rules and regulations of the Funding agency in the utilization of the fund. On behalf of ASU and the university council, Vice Chancellor is authorized to implement the policy.

3. Scope

This policy is aimed to regulate research funding operation at ASU. It also applies procedures and guidance which should be made by researchers to be funded.

4. Policy Statement

- 1- UREC need to inform the finance department to establish separate Research Fund for the approved grant/grants for both the internal and external research grants and Line item as per the specification of the approved project in the Research Account of ASU. UREC first approve the budget and the line items of the approved project and put a specific number for the project specifying the project type before informing the finance department.
- 2- The PI from respective college has to inform the UREC for winning the research project from the FA first.
- 3- The PI would be responsible for follow –up, collection, application and utilization of the Fund through UREC
- 4- As per the norms of TRC, for TRC funded projects the financial focal point of the institution would be the point of contact between TRC and ASU related to the financial matters.
- 5- In case the grant has been already been approved by TRC/FA, but waiting for disbursement, PI/Co-PI can apply for advance payment through UREC Chair, provided the application has been approved by VC/AVC. Advance can only be provided where research is of such a nature and require only specific time line, eg. seeding seasons, hatching seasons etc.

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6- In employing research staff or students within or outside the university, a contract has to be signed as per the rules of ASU, in conjunction with HR and approval from the PI through UREC. They need to produce a no objection certificate from their employer/department/college or institute for getting appointed as a member of the research team. Recruitment of project staff should be in accordance with the ASU policy and procedures for appointing project staff in sponsored research grants.

7- Transfer of funds from one budget line to another is allowed which should not exceed 5% of that budget head of account. Additional transfers should be approved by UREC and the authorized authorities. For externally funded projects, such transfers will be subject to the rules of FA.

8- At the end of the sponsored period, the residual balance lying in the Sponsored Account has to be transferred back to the sponsor by the Finance Department in accordance with the rules and regulations of FA and in case the conditions of the Grant stipulate such transfer.

9- Any intellectual property created during research will be considered as the property of ASU. However this may depend on the mutual agreement between the FA and ASU.

10- In case of resignation/ termination of contractual services of any person involve in research, complete reconciliation of funds spends and available should be made with UREC and FD.

11- UREC need to report all research related matters are to the VC/DVC. All final approval of items which needs to be considered by VC as per the authority manual is subject to the approval of VC. In absence of VC, DVC will look in to the matter.

12- ASU encourages the faculty members to apply for research funding through as many external funding agencies as possible. Having an approved research project from one funding agency does not restrict ASU faculty from applying for project through another funding agencies.

5. Key Stakeholders

Faculties, Deans

6. Procedures and Guidance

1. Once the application of Funds had been made to the FA, a copy of the application has to be forwarded from the UREC to the Finance Department for opening the File in respect of that project, specifying the project code, budget, time line break- up of the expenditure along with the rules of FA.

2. The finance department will open a separate file for each project.

3. The PI responsible for applying for release of a particular Grant needs to submit a copy of the approved budget along with the timeline schedule of disbursements to the

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UREC chair through proper channel who will forward to the finance department after approval of the same.

4. The PI has to apply for release of grant under various heads through proper channel in the stipulated forms.

5. The Finance Department on receipt of such application will release the funds as advance in the name of the applicant.

6. After actual expenses had been made the original copies of the bills / invoices / vouchers along with, the summary of expenses made has to be submitted to the office of Research by the PI within the period of one month of the advance. The originals will be sent to Finance Department.

7. The PI has to submit a quarterly report on expenditure to the UREC and finance department. For short term projects of less than 6 months, the PI should submit the report within one month of the completion of the project.

Rules for purchasing items under different Heads

1. All purchasing shall be initiated and supervised by the PI.

2. Purchase of items(s) up to OMR 200 can be made by the PI without calling quotations.

3. Purchase above OMR 200 should be made strictly by following ASU authority manual and as per ASU regulation unless otherwise specified by the FA.

4. Supply order/ purchase order can only be prepared once complete RFP (Request for Proposal) is made. RFP should be detailed and approved by PI and UREC.

5. Supply order will be signed by the PI and the authorized signatories according to the authority manual after scrutiny of the quotations obtained from various suppliers. The orders will be normally placed with the supplier whose quotations are lowest, unless for some technical reasons which should be clearly stated and defended by the PI. In case of any discrepancy, the matter shall be referred to the UREC whose decision shall be final.

6. All items purchased in respect of project (including bills for advance) are to be checked and verified by the PI in conjunction with the concerned departments and sent to the finance office duly completed in all respects for payment. It will be the responsibility of the PI to see that the bills are complete in all respects and that they are in order. If he fails to submit the same, the amount will be adjusted from his allowance.

7. Advances will be paid, after approval from the UREC chair to the PI by cheque. The PI will be responsible for rendering the account of such advances. The account of advances taken should be rendered within the period of 30 days from the date of drawing the advance.

8. Salary/fellowship of all project staff will be made by cheques in the name of the concerned employees after the recommendation from the PI and the approval from UREC Chair.

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9. The travel allowance/ daily allowance in the project for field work and visit outside Oman (abroad) or within Oman can be paid as per rules of the University or as per the guidelines of the funding agency to the PI, Co-PI and project staff as well as working on jobs related to the project work upon justification by the PI and approval by UREC chair.

10. The period spent by the project staff on field work or collaborative work in another laboratory related to research work of the project (in Oman or Abroad) should be treated on duty (provided this does not affect the teaching obligation) and will need the approval from UREC chair and the VC on recommendation by the concerned Heads and the College Dean.

11. In case the FA makes ad-hoc payments of the installments, the PIs may provide the break –up under different heads of the project. If amounts are received without any specification then clarification needs to be obtained from FA. However, re-appropriation within different heads, which was provided by PI himself, can be adjusted by PIs with the approval of the UREC chair within the total overall budget given by the FA.

12. For externally funded project all purchase shall be subjected to the conditions of funding agency also.

7. References

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2. University Of Delhi, Revised guidelines for sponsored research projects for all university departments, Centers and Institutes, Retrieved from:
<http://www.du.ac.in/du/uploads/research/ordinances%20and%20guidelines/Guidelines-for-Sponsored-Research-Projects.pdf>
3. SCG Corporate Governance (December, 2017), Retrieved from:
<https://www.scg.com/pdf/en/CG-Principle.pdf>
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8. Revision History

Version	Author/ Reviewer	Revision(s) made and justification	Date
1	Chair UREC	Annual review -no changes.	17 July 2018
2	Chair UREC	Substantive Review-no changes.	23 June 2019

Forms and Templates

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