

STANDARD OPERATING PROCEDURE (SOP)

Project Implementation & Fund Management



University of Lucknow

Lucknow

1. Objective

To define a standardized process for **project proposal submission, approval, fund utilization, and reporting** to ensure timely and compliant execution.

2. Scope

Applicable to:

- Principal Investigators (PI)
- Head of Department (HoD)
- Deans of Faculty
- Registrar & Administrative Staff
- Finance Officer & Accounts Officer & Staff
- Hon'ble Vice Chancellor

3. Responsibilities

- **Principal Investigator (PI):** Proposal preparation, uploads, execution, reporting
- **HoD/Dean:** Forwarding
- **Registrar:** Administrative and Financial Approval
- **Finance & Accounts:** Financial processing and payments
- **Dealing Assistants:** Bill processing and documentation

4. Procedures

Phase 1: Project Submission (PERT Chart 1)

1. PI will prepare project proposal
2. Proposal forwarded by HoD (1-2 days)
3. Endorsement/Declaration signed by Registrar (1-2 days)
4. Proposal submission to funding agency (Online/offline)

Phase 2: Project Sanctioned by Funding Agency (PERT Chart 1)

1. Sanctioned letter received from funding agency
2. PI will write to Registrar for Admin and financial approval through HoD and respective Dean of Faculty (2-4 days)
3. Request for approval will go to project section of Registrar for noting etc (4-6 days)
4. After receiving the approval from Registrar, PI will upload the sanction letter, Admin/Financial approval and fund details on SAMARTH (1-2 days)

Phase 3: Resource Procurement

1. Manpower selection (15–30 days)

PI will upload the advertisement with project details, eligibility criteria, date of interview (for walk-in) on University website through through IPPR (7-10 days)

The screening and the interview will be arranged by PI. Selection Committee will be as constituted by the University (**Annexure 1**).

1. Dean of faculty/Nominee
2. Head of Department
3. Principal Investigator
4. External Expert (approved by Dean)
5. Deputy Registrar, Projects

2. Other purchases: Equipments, Consumables, Contingency etc. (15–30 days) (**Annexure 2**).

Purchase-1 (DIRECT PURCHASE) Through GeM (Upto Rs. 50,000/-)

- PI will purchase the items through GeM
- **If not available on GeM, PI will provide a non-availability certificate.**

Purchase-2 (L1 purchase by comparison) by GeM (Rs. 50,000/- upto 10,00,000/-)

- Purchase to be done through the GeM from vendors having lowest price amongst the available vendors of at least three different manufacturers on GeM, meeting the requisite quality, specification and delivery period.
- PI will place order to the vendor with L1 price.

Purchase-3 (Purchase by Tender/Bid) Through GeM (above Rs. 10,00,000/-)

- From the Firm/Vendors having lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids, using online bidding provided on GeM.
- PI will prepare **tender** document and upload on GeM portal.
- On the due date the PI will call **purchase committee meeting (Annexure 3)** to open the technical bid of each tender received.
- The Minutes/Proceedings of the **Technical Bid** will be approved by committee and Hon'ble VC and then financial bid may be opened.
- The Minutes/Proceedings of **Financial Bid** will be approved by committee and Hon'ble VC.

- The purchase order will be placed by the PI to the selected vendor whose price is LI.

Note: In case one quotation is received in an item, the committee may allow purchase as per GFR rules (Annexure 4).

Phase 4: Billing & Payment Process (PERT Chart 2)

- **Fellowship bills of Project Fellows:**
- **Invoices/Bills from vendors:**
 - Signed by PI
 - Forwarding by HoD (1-2 days)
 - Uploading & receipt generation on SAMARTH by PI (1-2 days)
 - Submit the hard copies of bills along with receipt to Accounts Office.
 - Bill processing by Dealing Assistants (~7 days)
 - Approval by:
 - Accounts Officer (~3 days)
 - Finance Officer (~3 days)
- For bills below ₹50,000: Standard procedure
- Voucher preparation & payment (~7 days)
- Approval by:
 - Accounts Officer (~3 days)
 - Finance Officer (~3 days)
 - Hon'ble Vice Chancellor (~3 days)
- For bills above ₹50,000:
- Voucher preparation & payment (~7 days)

Phase 5: Reporting & Utilization Certificate (UC)/Statement of Expenditure (SE) (PERT Chart 3)

Before the completion of the financial year, Report will be prepared by PI

The UC/SE will be submitted to Accounts Office for verification after forwarding from HoD

- Dealing Assistants (3-4 days)
- Accounts Officer (2 days)
- Finance Officer (2 days)
- Registrar (2 days)

UC/SE duly signed by Registrar will be sent to funding agency at the end of financial year.

Phase 6: Next Funding Cycle

- Release of next instalment of funding.
- PI will upload the fund approval letter and Budget allocation details on SAMARTH.
- Payment process repeated (as per **Phase 4B**).

5. Timeline Summary

- Approval for proposal submission: ~3-5 days
- Receiving Admin/Financial Approval: ~10-12 days
- Recruitment of Manpower: ~15-30 days
- Procurement of resources: ~15-30 days
- Payment of fellowships to manpower: ~20-24 days
- Financial processing of other bills: ~20-30 days
- UC/SE processing: ~7-10 days

6. Key Systems Used

- **SAMARTH Portal** for:
 - Uploads
 - Receipt generation
 - Fund tracking

7. Records & Documentation

- Project proposal
- Sanction letter
- Bills & invoices
- Payment vouchers
- UC/SE reports
- Approval documents

8. Compliance & Notes

- All approvals must follow hierarchy.
- Timelines should be adhered to avoid funding delays.
- Hardcopy and digital records must both be maintained.