

SOP For Research Projects

1. Proposal Submission to External Funding Agency

All projects being submitted to any external funding body must be pre-approved by the Rector through ORIC. Following documents are required at the time of pre-approval

- 1.1. ORIC Project Submission Form (Annex- A) duly signed by faculty members and Director campus
- 1.2. Explicit statement of responsibilities, liabilities, and expectations from university
- 1.3. Time committed by faculty members
- 1.4. Resource and space requirements
- 1.5. Any special requirements by the funding body. All course load reduction applications must be separately submitted along with other documents
- 1.6. Complete proposal, including Technical Proposal, Financial Proposal/Budget Sheet, and HR Details/HR Proposal. Complete set of documents shall be submitted to ORIC office through Director Campus at least one week (5 working days) prior to the deadline for formal scrutiny.
- 1.7. Proposals with Incomplete documents shall be desk rejected.
- 1.8. After formal approval by the Rector, the ORIC office will submit all external funding proposals in consultation with the PI to the funding agency.

2. Project Commencement

2.1. On successful award of a project to a faculty member, the Principal Investigator will officially inform the ORIC office, Campus Accounts Office, Treasurer Office and Director Campus through a 'Project Commencement Letter'. The letter shall include the complete details of approved budget including the following:

- 2.1.1. Human Resource Budget
- 2.1.2. Titles of available positions, number of positions for each title, salaries, duration, Full-time/part time
- 2.1.3. Equipment Budget
- 2.1.4. Approved Equipment, budget
- 2.1.5. Travel Budget
- 2.1.6. Number of Travels, Mode of Travel, Purpose of Travel, Budget
- 2.1.7. Overheads
- 2.1.8. Any other budget heads

2.2. A project will only be considered as duly initiated once all relevant documents, including the bank account details, are submitted to the ORIC office. Opening of a separate bank account is mandatory unless explicit prior approval is taken to use University Accounts from the Treasurer Office with justification for not opening "New Account".

3. Project Execution and Monitoring

The projects must be ethically executed in line with the rules of the University and the funding agency. The rules of the funding agency shall supersede the University rules.

3.1. The Principal Investigator is the key person responsible for the correct execution of the project. The PI is responsible for maintaining auditable records of all project

activities, including, HR, procurement, financial, inventory, etc. The concerned offices and staff at the campuses shall support the PI in smooth execution of the project.

- 3.2. The ORIC office shall provide necessary guidance to PI as required.
- 3.3. The accounts shall be maintained in line with the guidance of the Treasurer's office.
- 3.4. The Principal Investigator must ensure that no conflict of interest situation arises during the execution of the project. In any such case, explicit guidance should be sought from ORIC office.
- 3.5. All expenses are to be incurred as per the approved budget heads. Any exception(s) need to have prior approval from the funding agency under intimation to the Rector through Director ORIC.

4. HR Procedures

All Full-Time human resource for the research project(s) would be treated as 'Research Project Employee' of the University. The hiring will be On-Contract basis for the duration of the approved position on the funded project.

4.1. Conflict of interest

It is fundamental for the PI and Co-PIs to adhere to the international norms of conflict of interest. For all 'conflict of interests' the PI shall inform the Director Campus with information to Director ORIC in writing and get clear directions. Conflict of interest arises while hiring of a spouse, sibling or immediate blood relative of PI / Co-PI on a research project. As a general rule, all such hiring should be discouraged. In any unavoidable circumstances, the PI / Co-PI shall not be a part of the hiring process in which a conflict of interest is involved.

4.2. Exclusive Service

All full-time employees of the project are not allowed to work any place else. No NUCES faculty or staff member shall be hired as a full-time employee on any research project without prior approval from Rector.

4.3. Hiring Procedure

PI may initiate the hiring procedure for the project positions approved in the budget/award letter. PI shall constitute a hiring committee to oversee the hiring process. The committee shall include at least three members. The members of the committee can be faculty members of the university or employees of research projects (Annex-B). During the hiring process, the committee members shall explicitly declare and resolve any conflict of interest with any of the candidates.

4.4. Advertisement

For all hiring positions, a proper advertisement needs to be placed in relevant circles. Following guideline should be used:

- 4.4.1. In case of hiring of BS/MS/PhD Students on studentship/scholarship, at the minimum, an ad on a display on notice board and circulation on student mailing lists is required
- 4.4.2. For all other positions, public dissemination of ad is required
- 4.4.3. For funding from government funding agencies, ad in newspapers and website is required

4.5. Shortlisting of Candidates

The Principal Investigator (PI) will form a committee of relevant experts for short-listing, interview and selection of candidates. The PI will head the committee. The committee will form a short-listing criterion, conduct interviews and prepare a merit list along with brief particulars of candidates and submit it to ORIC to sought final approval from the Rector.

4.6. Offer Letter and Appointment Contract

For all positions, the appointment as full-time or part-time will be determined based on the project award letter, agreement with the funding agency or the submitted proposal for the project. Based on the merit list, an appointment contract/offer letter will be issued by the university to the project employees (Sample Offer Letters are included in Annex C & D). The duration of the contract will be as per the award letter. Project employment should not create an entitlement or expectation of full-time regular employment at the university.

4.7. Attendance

Daily attendance of all employees is to be maintained by the PI. This should be kept up to date throughout the duration of a project and submitted to ORIC office on the completion of a project. The project employees are entitled to leaves as per the rules of the funding agency or as specified in the contract.

4.8. Termination of Employment

The PI may terminate the employment contract on one month's prior notice. The employee may resign with one month's prior notice. The notice should be in writing and communicated to the ORIC office. By 10th of each month, PI shall confirm HR on the payroll of the project through Director Campus. Any resignation / new hiring data must be immediately to ORIC office with intimation to Campus Director.

4.9. HR Operations

At the end of each month, ORIC will prepare a salary sheet of the project employees and share it with the PIs and respective account offices of the campuses. The PIs are required to submit any change of HR by the 10th of each month. Any unpaid leave applications shall be sent to ORIC as soon as these are received by the PI, so that proper adjustments in salary of employee can be made.

5. Procurement Procedures

5.1. The rules of the funding agency shall be followed for all research project specific procurements.

5.2. In case, the funding agency does not explicitly specify the procurement procedures, the university rules are to be followed.

5.3. The Campus Director, PI, and Accounts Manager shall make sure that the equipment purchased is within the approved budget limits as per the award letter.

5.4. In case PPRA rules are to be followed, a technical and a financial committee has to be formulated and notified by the Campus Director, constituting the following members:

- PI
- Procurement Officer/Manager Admin
- Head of Dept

- Manager IT
- Manager Accounts
- Relevant experts

6. Financial Procedures

Following financial procedures are to be followed for all projects:

6.1. Pre-approval of all Payments

All payments made from the project accounts are to be pre-approved by the Director Campus and the PI. For salaries, the payments are to be made after a salary sheet is received from ORIC office.

6.2. Project Bank Account

Following are the rules for opening and operating Bank Account for the Research Projects:

6.2.1. For all external funded projects, a separate account needs to be opened specific to the research project. The title of the account should reflect/contain the title of the project. The Director Campus, Manager Accounts, and Principal Investigator of the project shall be the three signatories of the project.

6.2.2. As a general rule, no account transaction shall be permissible without the explicit approval of the Director Campus on the designated university vouchers.

6.2.3. The Accounts Office shall keep complete records and shall regularly submit the financial documents to the Treasurer, ORIC office, and as required to the funding agencies.

6.3. Quarterly Report

For all research projects, the PIs are responsible to submit quarterly financial reports to the ORIC office containing the following documents:

6.3.1. Approved Budget vs Utilized Budget Report

The report contains details of all the heads and line items approved for the project (as per the award letter) along with the utilized budget in the given quarter. It should include the project deliverables required in the respective quarter. The template for the report is provided as Annex E.

6.3.2. Bank Book

The bank book of the project account is to be maintained by the Account Office of the respective campus. The bank book contains details of the cheques issued and received for the project along with the total current balance as per bank book. The template for the bank book is provided as Annex E.

6.3.3. Copy of all checks and relevant vouchers

The Account Office of the respective campus shall maintain a copy of the all checks issued and their corresponding approvals, including vouchers. All the cheques and relevant approvals issued in a quarter shall be submitted along with the quarterly project report.

6.3.4. Fixed Asset Inventory

The PI shall upon “Inspection Satisfactory Acceptance” of the purchased equipment shall ask the Campus’s Store In-charge to place on the “University Fixed Assets / Campus Inventory (Stock In / Out Register)”. He shall take the equipment issued in his name for the duration of the project. Upon successful closure of the project, he must return the equipment on the “Campus Charge” that may subsequently be issued to the concerned lab through respective HoD with knowledge of the Director Campus. In his personal capacity, PI should maintain an inventory list of all fixed assets procured issued in his name in the project and submit it as part of the “Quarterly Report”. All physical assets are to be tagged through Campus Store In-charge, to be nominated by the Director Campus. A template for the inventory is provided in Annex E. Fixed Assets shall be recorded into the University Fixed Assets Register under ORIC location.

6.3.5. Quarterly Bank Statement

A bank statement of the project account issued by the bank for the relevant quarter shall be submitted along with the quarterly report.

6.4. Internal Audit

An audit by the Internal Auditor of the university may be conducted at any time during the execution of the project to evaluate that the execution of the project is in line with the rules of the funding agency and the university.

6.5. Personal Advance and Cash

As a general rule, no cash payment shall be made from the project account. Also, the PI or any other employee of the project is not entitled to receiving any advance on the behalf of the project, unless explicit approval is received from the funding agency and ORIC office.

6.6. Bridge Funding and Loan

The University may allow bridge funding/loan for the research project on the request of the funding agency or PI. The loan for salary related expense will be released on monthly basis on the request of the PI. The honorariums for PI/Co-PI who are university employees cannot be paid from the university bridge funding. The bridge funding would be routed through the ORIC Office to the Rector. Equipment cannot be purchased using bridge funding (Annex F).

7. Project Final Report Submission

- 7.1. PI must submit the draft final report along with funding agency’s required codal formalities e.g. Budget Utilization Report, Codal Formalities Proforma, License Agreement, where required etc. at least 14 working days in advance to ORIC for seeking input of the Internal Auditor / other University officials.
- 7.2. The Budget Utilization Report must be substantiated with Budget versus Actual Report, Bank Book, Inventory Record and verified entries of the Stock (Inward / Outward) Register. All these documents must be duly signed / stamped by the Accounts Office and other campus representatives.
- 7.3. PIs must prepare the hard copies and submit through Director ORIC to the funding agency through surface mail and also email to the concerned representative of the funding agency.
- 7.4. Any and all observations, if arisen by the funding agency through their representative (surface mail or email or telephonically), must be communicated to the ORIC.

Annex A**Appendix I to Annex A**

Project Details (for NUCES-ORIC Approval)	
Name of Faculty Member	
Department/Campus	
Name of Project	
Funding Agency	
PI Name	
Role of Faculty Member	
Other Collaborators (if any)	
Start date of Project	
Duration of Project (in months)	
Total Funding Amount	
Funding Amount to be received by NUCES/PI	
Percentage of Time Committed of Faculty Members	
Project Bank Account (if any)	

Appendix II to Annex A

Equipment	Quantity	Duration (months)
chairs	5	12
Desks	2	12

File No.

Date

Internal Note**Appointment of Contract Staff for Research Project “Title” funded by “Funding Agency”**

1. Following positions/ contract appointments are required for the project won by Principal Investigator (PI) ‘Dr. _____’ Designation at _____ Campus.

S.No.	Position Title	Salary (as approved by funding agency)
i.	Research Assistant	Rs. ----/-
ii.	Research Associate	Rs. ----/-
iii.	PhD Fellowship	Rs. ----/-

2. The positions were advertised on ‘date’ in ‘The News/NU website/Slate’ etc.
3. The Interviews were conducted on ‘Date’ by a following committee members:
- a)
 - b)
 - c)
4. Number of applicants, shortlisted, interviewed by Committee and recommended for Appointment is as stated below:

Total Applicants	Shortlisted Applicants	Applicants Interviewed	Position to be filled
-	-	-	-

5. Candidates with relevant qualification and expertise were shortlisted. A brief is as follows:

Table-1: Interview Score-Candidates for the Post of ‘Research Assistant’

Name & most recent job experience	Highest Qualification	Interview Score (50)
1. ABC (Selected Candidate)		-
2. ABC (Reserved candidate)		-

Table-2: Interview Score-Candidates for the Post of ‘Research Associate’

Name & most recent job experience	Highest Qualification	Interview Score (50)
1. ABC (Selected Candidate)		-
2. ABC (Reserved candidate)		-

Table-3: Interview Score-Candidates for the Post of ‘PhD Fellowship’

Name & most recent job experience	Highest Qualification	Interview Score (50)
1. ABC (Selected Candidate)		-
2. ABC (Reserved candidate)		-

6. Therefore, following candidates are being selected.

S.No.	Post	Name	CNIC #	Duration of Contract
1.	Research Assistant	-	-	-
2.	Research Associate	-	-	-
3.	PhD Fellowship	-	-	-

7. In view of above, it is recommended to hire the selected candidates mentioned in para 6 ante, please.

Checklist of the attached documents for selected candidate(s)

S.No.	Attachments	Y/N
1.	Copy of Advertisement	
2.	Signed HR Report	
3.	Copy of all Degrees and Transcripts (Matric and onwards)	
4.	Copy of Experience Certificate (if any)	
5.	Resume	
6.	Copy of CNIC	
7.	Any other	

Prepared and forwarded by

_____ *Signatures*

Name of PI

Designation, Deptt

_____ Campus

Date

8. The documents are verified and being forwarded. Recommended appointments and letters may be issued, please.

Verified by

Ms. Seemab Siddique
Research Officer, ORIC
Date

Verified by

Name
Manager ORIC
Date

Endorsed by

Dr. Muhammad Uzair Khan
Director ORIC
Date

Recommended (for appointment)

Dr. Waseem Ikram
Registrar
Date

Approved by

Dr. Aftab Ahmed Maroof
Rector
Date

<<File>>

<<Date>>

Subject: Hiring Committee for the Precision Medicine Lab

It is my great pleasure to constitute the hiring committee for the Precision Medicine Lab for a period of 6 months starting from 1st February 2020. The hiring committee will be required to facilitate the whole process of hiring for the Precision Medicine Lab. The hiring committee will constitute of the following members.

1. Dr. XYZ (convener)
2. Dr. ABC
3. Mr. XYZ

Yours Sincerely,

Dr. XYZ

PI, Project Name

CONFIDENTIAL

<<File #>>
<<Date>>

<<Mr/Ms/Dr>> << Name>>
C/o Director <<Campus Name>>

Subject: Contract appointment as «Designation» for the project <<Project Title>>

Dear <<Ms/Mr/Dr>> <<Name>>

I am pleased to inform about your contract appointment as **«Designation» for the project <<Project Title>>** from the date of your joining to <<Contract End Date>> or <<Project End Date>> (whichever is earlier) at the <<Campus Name>> of National University of Computer and Emerging Sciences (hereinafter referred to as "The University").

You monthly gross salary shall be <<Salary>>.

This offer is valid for **one month**, or as agreed upon.

Following are the terms and conditions of your employment:

University has the right to accept a resignation earlier than the notice period depending upon the availability of work on the project.

The University may terminate this agreement in accordance with the rules and regulations of the University on one month's notice or in case of disciplinary action, the University has the right to terminate your services with immediate effect.

You shall not be entitled to any other monetary benefits. In accordance with the projects rules, you will be entitled to Leaves only.

General

During the course of your service, working elsewhere is not permitted.

Your employment under this letter of appointment will be governed at all times by the current rules of the University and rules of the funding agency of the project, and as amended from time to time.

Except in the proper course of your duties, you must not divulge to any person whomsoever, any secrets or any information concerning the office activities or finances of the University, or any of its dealings, transactions or affairs that come to your knowledge during the course of your employment with the University. Breach of confidence will make you liable to disciplinary action, which may amount to termination of your services without notice or any compensation in lieu thereof.

Please intimate acceptance of this offer and the terms and conditions of your employment (in writing) at the earliest to the Director of the campus.

Kindly submit the following documents:

1. Attested copies of Degrees + Transcripts (**highest acquired degree should be attested by Higher Education Commission**) and Experience Certificate(s).
2. Two recently taken photographs of yourself (size 4 cm x 6 cm).
3. Two copies of your valid CNIC.

Yours Truly,

Dr M. Ayub Alvi
Rector

Distribution:

1. Director, <<Campus Name>>
2. Accounts Office, <<Campus Name>>& NUCES Headquarters
3. HRMS Department, NUCES Headquarters
4. Personal File of the Employee, NUCES Headquarters
5. Project File, ORIC, NUCES Headquarters
6. Principal Investigator <<Project Name>>

Appendix II to Annex C

TO BE FILLED BY THE EMPLOYEE

Acceptance of Offer

I hereby confirm that I have read and accepted the terms and conditions of my employment with the University under the project, as stated in my appointment letter.

2. I plan to join NUCES, _____ campus on DD/MM/YYYY. I agree to abide by the Rules and Regulations of the University.

3. I hereby confirm that I am not engaged with any other organization under any other contract during the official working hours.

Name _____

Valid CNIC/ Passport number _____

Date _____

Signature _____



CONFIDENTIAL

«Contract_Date»

«Name»

C/o Director «Location» Campus

Subject: Studentship appointment as «Title» for the project «Project»

Dear «Name»

I am pleased to inform about your contract appointment as «Title» for the project «Project» from the date of your joining «Project_End_Date» to «Project_End_Date» at the «Location» campus of National University of Computer and Emerging Sciences (hereinafter referred to as 'The University').

You monthly gross stipend shall be «Salary_Per_Month».

This offer is valid for **one month**, or as agreed upon.

Following are the terms and conditions of your employment:

University has the right to accept a resignation earlier than the notice period depending upon the availability of work on the project.

The University may terminate this agreement in accordance with the rules and regulations of the University on one month's notice or in case of disciplinary action, the University has the right to terminate your services with immediate effect.

You shall not be entitled to any other monetary benefits. In accordance with the projects rules, you will be entitled to Leaves only.

General

During the course of your studentship, working elsewhere is not permitted, however, you can continue to undertake your studies at National University of Computer & Emerging Sciences.

Your position under this letter of appointment will be governed at all times by the current rules of the University and rules of the funding agency of the project, and as amended from time to time.

Except in the proper course of your duties, you must not divulge to any person whomsoever, any secrets or any information concerning the office activities or finances of the University, or any of its dealings, transactions or affairs that come to your knowledge during the course of your employment with the University. Breach of confidence will make you liable to disciplinary action, which may amount to termination of your services without notice or any compensation in lieu thereof.

Please intimate acceptance of this offer and the terms and conditions of your employment (in writing) at the earliest to the Principal Investigator of your project.

Kindly submit the following documents:

1. Attested copies of Degrees + Transcripts (**highest acquired degree should be attested by Higher Education Commission**) and Experience Certificate(s).
2. Two recently taken photographs of yourself (size 4 cm x 6 cm).
3. Two copies of your valid CNIC.

Yours Truly,

Dr.

Rector

Distribution:

1. Director, «Location» campus
2. Accounts Office, «Location» campus & NUCES Headquarters
3. HRMS Department, NUCES Headquarters
4. Personal File of the Employee, ORIC, NUCES Headquarters
5. Project File, ORIC, NUCES Headquarters
6. Principal Investigator: «Project_PI»

Project Name: <<Add Project Name>>
Budget vs Actual Report

Budget Head	Activity	Total Budget	Quarterly Disbursement	Units	Unit Cost	Quarter Actual	Variance
		PKR	PKR		PKR	PKR	
Equipment	Desktop					-	
	<<add line item>>					-	
						-	-
Technical HR Deployment	Principal Investigator					-	
	Co-Principal Investigator					-	
	Research Assistants					-	
	Research Associates					-	
	PhD students					-	
	MS Students					-	
	BS Students					-	
	<<add line item>>					-	
						-	
Sub Total: Technical HR Deployment			-			-	
Support Staff	<<add line item>>					-	
Sub Total: Support Staff			-			-	
Total:			-			-	0
University Overhead							0
Contingency						-	

Travelling			-				0
Boarding & lodging			-				0
Miscellaneous	Tuition Fee for two MS Students						0
	US Patent Filing Cost						
	Conference/Journal paper registration		-				
	Equipment Repairs						0
			-			-	0
Audit Charges						-	0
		-	-			-	-

Date:

Project Name:
Bank Book

Type	Date	Ref #	Name	Cheque #	Debit	Credit	Balance	
					PKR	PKR	PKR	0.00
								-
								-
								-
								-
								-
								-
								-
								-
								-
								-
								-
								-
								-
								-
								-
								-

Project Name:

Inventory (Fixed Assets)

Date of Purchase	Voucher Ref #	Asset	Assets Specification	Vendor	Price/Unit	Qty	Cost	PO Ref#	Project	Donor	Asset Code	Location	
					PKR		PKR						
Total								-				-	

Prepared by:

Reviewed by:



National University
of Computer and Emerging Sciences
Loan Request Form

**Requisitioner**

Name	Designation
Emp ID	Campus
Project name	
Funding agency name	
Budgeted amount (Rs)	
Project start date	Bank account details
Purpose of loan	Loan request month

Previous loan details (if any)

S #	Period	Amount	Loan status	
			Returned	Not returned
1				
2				
3				
TOTAL				

Current loan breakdown of salaries for the month of

S #	Name	Designation	Period	Net Pay
1				
2				
3				
4				
TOTAL				
Date				Signature

Campus Accounts

Attachments (Please check relevant box)			
Verified	<input type="checkbox"/>	Not Verified	<input type="checkbox"/>
1) Salary Verification	<input type="checkbox"/>		
2) Bank Statement	<input type="checkbox"/>		
3) Remaining Project Balance	Rs		
4) Recommended Amount	Rs		
Prepared & forwarded by			Designation
Date			Signature

Campus Director

Remarks	Recommended	<input type="checkbox"/>	Not Recommended	<input type="checkbox"/>
Name				
Date	Signature			

NUCES-HQ

ORIC

Remarks	Recommended	<input type="checkbox"/>	Not Recommended	<input type="checkbox"/>
Verified by				
GMO				
Date	Signature			
Recommended by (Dir)				
Date	Signature			

Internal Auditor

Remarks	Recommended	<input type="checkbox"/>	Not Recommended	<input type="checkbox"/>
Name				
Date	Signature			

Treasurer

Remarks	Recommended	<input type="checkbox"/>	Not Recommended	<input type="checkbox"/>
Name				
Date	Signature			

Rector

Remarks	Approved	<input type="checkbox"/>
	Not Approved	<input type="checkbox"/>
Name		
Date	Signature	

Revision History

Revised on	Description	Approved by
February 16, 2021	Minute Sheet floated	Manager (Research Management)
February 17, 2021	Approval	Rector
February 22, 2021	Approved SOPs issued vide ORIC IOM No. 6-ORIC/21 dated February 22, 2021	Director ORIC
May 24, 2023	Two new forms are incorporated Annex B – Sample Internal Note for Hiring of Project Employees Annex F – Loan Request Form	Manager (Research Management) RO (ORIC)