

Uttar Pradesh University of Medical Sciences,
Saifai



Revised Standard Operating Procedure (SOP)

For

Departmental Research Committee,
Research Cell and
Investigators for Intramural & Extramural
Research Projects

2025

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Uttar Pradesh University of Medical Sciences, Saifai
Departmental Research Committee (DRC)
Standard Operating Procedures for Departmental
Research Committee (DRC)

Scope

There is a need to constitute a Departmental Research Committee for all Academic Departments by the Vice Chancellor, UPUMS, Saifai. The DRC will discuss all the projects requiring ethics/research cell/administrative approval (any type of project & funding) for scientific evaluation submitted by the investigators.

Constitution

- | | |
|--|----------|
| 1. Head of the Department | Chairman |
| 2. All the faculty members | Members |
| 3. Other faculty members from different departments, Co-opted Members (Mandatory) at least one from the Clinical and one from the Para / Pre-Clinical department | Member |
| 4. One biostatistician/Faculty member from the PSM department | Member |
| 5. One member nominated by the Hon'ble Vice Chancellor/ Research Cell | Member |

Frequency of DRC

The Departmental Research Committee will meet regularly in the Department and earlier if needed. The minutes of the DRC will be sent to Research Cell within two weeks along with a copy of the research projects discussed.

Quorum Requirements

- For a DRC meeting to be valid, the meeting must be attended by the followings, Chairman, at least 50% departmental faculty members (including PI, Co-PIs and the Guide), both co-opted members (one clinical and one para / pre-clinical), the biostatistician/ Faculty member from the PSM department and the VC/Research Cell nominated member. All the members who attended this meeting should sign on the proceedings.

Procedure

The DRC will forward all the approved projects to Research cell which will forward it to Institutional Ethics committee for ethical clearance. If no project to be discussed in DRC, a note stating it will be sent to the Research Cell by HOD. DRC will conduct departmental presentation of thesis/Intramural projects (funded and non-funded) before sending them to Research Cell. The research proposals (Thesis & Non-Funded Projects) approved by DRC will be forwarded to IEC directly by Research Cell. Intramural funded research projects received after approval of DRC will be evaluated by an independent committee formed by the research cell under the instructions of the Hon'ble Vice Chancellor through Power-point presentation given by the Principal Investigator.

Flow Chart for Departmental Research Committee

Proposals approved by the DRC will follow this flow:

- Thesis and non-funded projects → RC → direct forwarding to IEC for ethical clearance.
- Intramural funded projects → RC → evaluation by an independent committee formed by RC under the instructions of the Hon'ble Vice Chancellor through Power Point presentation by the Principal Investigator → IEC → final approval.

Format for Departmental Research Committee meeting

1. Title of the Research Project
2. Name of Principal Investigator
3. Name of Co-investigator (if any)
4. Date of Departmental Research Committee meeting
5. Specific Comments (on scientific merit/ethics related issues only)
6. Recommendations – Accepted/Modifications/Rejected
7. Reasons for Modifications/Rejections if any

(Signature of HOD)
Chairman

(Signature of Members)



Standard Operating Procedures for (RC) Research Cell, UPUMS, Saifai

Scope

With the dissolution of the Institutional Research Committee (IRC) and strengthening of the Departmental Research Committee (DRC), along with the increasing number of research projects, there is a need for proper tracking, documentation, and compliance monitoring at a centralized Research Cell, which will provide structured support to the University's research ecosystem.

Research Cell (RC) will act as nodal center for coordinating and management of research project for approval and disbursement and final submission of research at UPUMS, Saifai. It will facilitate all the projects requiring ethics/research cell/administrative approval (any type of project & funding) for scientific evaluation submitted by the investigators and the final management of research project.

Function of Research Cell

1. Research cell will issue notifications for the submission of new proposals, progress report and final report.
2. The PI will submit complete research proposals in the prescribed format along with Informed Consent Documents (in case of human studies) to Research Cell. The PI is also required to submit the filled Project information form.
3. The RC will forward all the projects approved by DRC to Institutional Ethics committee as required. If project is approved, it will be informed to PI/Co-PI/ Department.
4. RC will maintain a digital and physical repository of all research documents and timelines.
5. RC will keep information regarding funds received in UPUMS Research Account from funding agencies for approved Extramural funded projects.

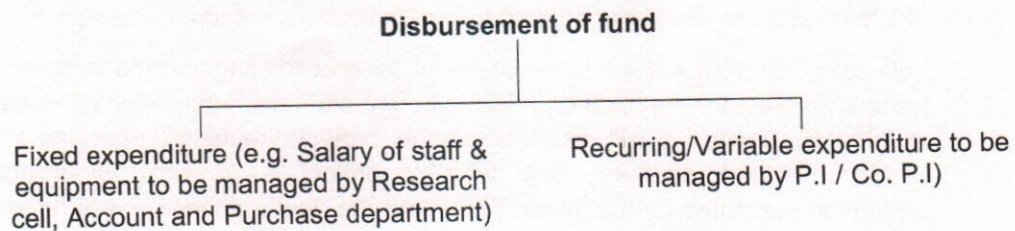
Constitution of Research Cell

The Vice chancellor, UPUMS, Saifai will constitute a Research Cell for smooth coordination of all activities pertaining to research. Research Cell may have the members as follows:

1. Faculty In-charge
2. Co-Faculty In-charge
3. Scientist
4. Accountant/ Account Officer
5. Office Assistants

Finance disbursement

1. After clearance of all approval (DRC, IEC), approved budget for each intramural project and grant received from the external agency will be transferred to bank account of Research Cell, UPUMS, Saifai.
2. The disbursement of funds will be allocated as shown below:



3. Prevailing GFR and all finance rules of Govt. of India will be strictly adhered to and followed for the disbursement of funds.

GUIDELINES & FLOW OF INTRAMURAL FUNDED RESEARCH PROJECTS:

Guidelines:

- Call for the intramural funding will be generated once a year only.
- **Categories:** Under graduate students (UG), Postgraduate students (PG), and Faculty members from the fields of Medical, Dental, Nursing, Pharmacy, and Paramedical Sciences.
- **Funding limits:**
 - UG: up to ₹10,000/- per project
 - PG: up to ₹25,000/-per project
 - Faculty: up to ₹5,00,000/-per project
- **Project limits per year:**
 - UG: Medical (10), Dental (05), Pharmacy (05), Nursing (05), Paramedical (05)
 - PG: Medical (10), Dental (05), Pharmacy (05), Nursing (05), Paramedical (05)
 - Faculty: Maximum 10 projects (Assistant & Associate Professors only). This limit may be relaxed at the sole discretion of the Hon'ble Vice-Chancellor in case of exceptional or high-impact proposals. Additional professors and Professors must apply for Extramural grants.
- **Approval flow:**

Department → DRC → RC → Presentation before Independent Committee (formed under the instructions of Hon'ble VC) → IEC → RC → Principal Investigator
- RC will maintain accurate and comprehensive records and timelines of all intramural funded research projects for tracking and future reference.

FLOWCHART FOR SUBMISSION & APPROVAL OF INTRAMURAL-FUNDED PROJECTS

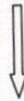
Call for intramural funded projects notified by Research Cell to Faculty members



Interested Faculty members (i.e. Principal Investigator [PI]) should get a copy of the minutes and recommendations of the Departmental Research Committee to be attached with the project proposal.



Then submit the complete Intramural Project proposal in the prescribed format, along with the Informed Consent Documents (in case of human studies), and filled Project information form to the Research Cell. Also, attach minutes and recommendations of DRC.



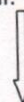
After receiving 01hard copy and soft copy of the documents, the Research Cell provides a provisional Project code and put it before an Independent Committee formed under instructions of the Hon'ble VC for review (The PI will have to make a presentation of their project before this committee).



After this presentation, the Research Cell will communicate the recommendations of independent review Committee to the PI and forward the research proposals to Institutional Ethical Committee (IEC) for ethical clearance.



After approval from IEC, the Research Cell will issue a Permanent Project code for the record. A letter for the sanction of a grant for an intramural research project will be provided to the PI by the Research Cell.



Information regarding the sanction of the projects will be conveyed to the Office of the Medical Superintendent, the purchase section, and the account section for the start of the project under zero billing or/and procurement of the materials and reagents for the respective project.

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GUIDELINES AND FLOW OF APPROVAL OF INTRAMURAL NON-FUNDED RESEARCH PROJECTS

- Previously, intramural non-funded research projects requiring ethical clearance were reviewed and presented before the Institutional Research Committee (IRC).
- With the dissolution of the IRC, it is now necessary to establish a direct and simplified approval process to avoid delays and maintain accountability.
- The flow of intramural non-funded research projects will be as follows:- after evaluation by DRC, proposals will be sent to RC from there it will be forwarded to Institutional Ethics Committee (IEC), IEC report will come to RC and the information will be conveyed to the Principal Investigator.
- The flowchart of approval of intra mural non-funded research projects: Department → Departmental Research Committee → Research Cell → Institutional Ethics Committee → Research Cell → Principal Investigator
- The Research Cell (RC) will serve as the central coordinating and communication point between departments and the Institutional Ethics Committee (IEC).
- IEC decisions will be communicated to the Principal Investigators and concerned departments through RC.
- RC will maintain accurate and comprehensive records of all intramural non-funded research projects for tracking and future reference.

GUIDELINES AND FLOW OF APPROVAL OF EXTRAMURAL FUNDED RESEARCH PROJECTS

- Extra mural funded research projects must be monitored carefully to ensure proper approvals and compliance.
- Extramural projects will follow the same routing through Research cell (RC) and IEC as other research proposals.
- The flow of approval of extramural funded research projects will be as follows:- after evaluation by DRC proposals will be sent to RC from there it will be forwarded to Institutional Ethics Committee(IEC), IEC report will come to RC and the information will be conveyed to the Principal Investigator.
- Flowchart of approval:
 - Department → DRC → RC → IEC → RC → Principal Investigator/Department
- RC will track compliance and provide updates to investigators and departments.
- RC will maintain accurate and comprehensive records of all extramural-funded research projects for tracking and future reference.
- The University in curs administrative and infrastructural costs while supporting externally funded research projects.
- The University will recover over heads based on the source of external funding.

Funding Source	Overhead Charge
Government Agencies	5% of the total sanctioned funds
Private Companies/Industry	25% of the total sanctioned funds

- RC will coordinate with the Finance Department for deductions and record keeping.

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**CONFIDENTIALITY STATEMENT UNDERTAKING BY MEMBER OF
THE RESEARCH CELL**

Name:

Designation:

Address:

I understand that as a Member of the Research Cell, I may receive documents containing confidential or privileged information about research activities related to the study.

I agree not to disclose or discuss such information or minutes of the meeting with persons not entitled to have them.

Date

Signature

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ONE PAGE CV FOR MEMBERS OF THE RESEARCH CELL

Last Name	Middle Name	First Name
Date of Birth(dd/mm/yyyy):		Sex:
Permanent Mailing Address:		
Telephone (Office):		Mobile No:
Telephone (Residence):		E-mail:
Academic Qualification (Most Current Qualification First)		
Degree/Certificate	Year	Institution, Country
Professional Experience		
Month and Year	Title	Institution/Company, Country
Signature		Date:

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SEPARATE IEC MEETINGS FOR UG, PG AND FACULTY RESEARCH PROJECTS

Scope

Dedicated review sessions improve focus and efficiency during ethics evaluations.

Background

Currently, Institutional Ethics Committee (IEC) meetings review mixed categories of projects, which can slow decision-making.

Overview

Separate sessions will streamline IEC reviews and provide specialized attention to each category.

Guidelines

- As far as possible IEC will hold separate meetings for:
 - UG student projects.
 - PG thesis and other research projects
 - Faculty research projects
- RC will assist with scheduling and documentation.



Uttar Pradesh University of Medical Sciences, Saifai

Standard Operating Procedure (SOP) for Principal Investigator for Intramural Funded Research Proposal Submission

Scope

The project should be developed with well-defined objectives that can be completed in 12 months (one year) and can be extended up to 2 years. These are specifically meant to generate pilot data or innovative technology development. These projects will help the investigators to generate extramural grants on a larger sample size.

Period for submission of project

The project proposal will be invited from Under graduate students (UG), Post graduate students (PG), and Faculty members (Assistant & Associate Professors only) from the fields of Medical, Dental, Nursing, Pharmacy, and Paramedical Sciences once a year. The Research Cell will review the projects. The Principal Investigators are encouraged to submit the project even before the invitation is sent so that they can be taken in the upcoming meeting.

- **Funding limits:**

- UG : up to ₹10,000/- per project
- PG: up to ₹25,000/- per project
- Faculty: up to ₹5,00,000/- per project

- **Project limits per year:**

- **UG:** Medical (10), Dental (05), Pharmacy (05), Nursing (05), Paramedical (05)
- **PG:** Medical (10), Dental (05), Pharmacy (05), Nursing (05), Paramedical (05)
- **Faculty:** Maximum 10 projects (Assistant & Associate Professors only). This limit may be relaxed at the sole discretion of the Hon'ble Vice-Chancellor in case of exceptional or high-impact proposals. Additional professors and Professors must apply for Extramural grants.

Number of copies

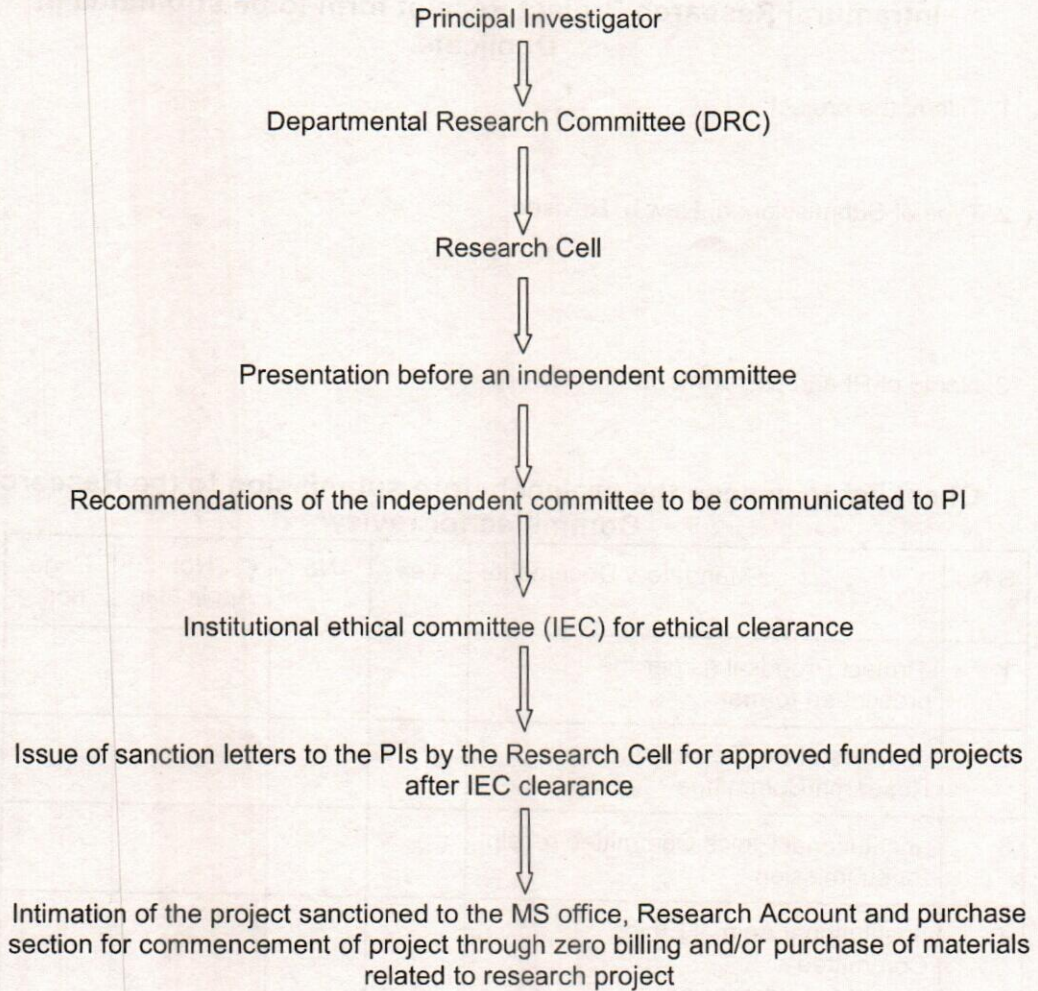
01 hard copy & a soft copy should be submitted by the Principal Investigator to the Research Cell.

Procedure for application of intramural funding

1. Principal Investigator should apply for only one intramural project.
2. The project should be discussed in the Departmental Research Committee meeting and a copy of the minutes should be attached with the project proposal prior to the submission to the Research Cell for its placement in an independent research Committee.
3. The projects which are submitted by the Principal Investigator for intramural funding will be sent to the Institutional Human Ethics by the research cell after evaluation by an independent research Committee. For the studies involving animals, approval from the Animal Ethics committee must be obtained prior to the submission to the Research Cell.
4. The duration of each project is ordinarily limited to 12 months period after sanction of the intramural grant, and can be extended maximum for another one year, if needed.
5. The budget shall not ordinarily exceed Rs. 5 lakhs. Under exceptional circumstances, the budget for Rs. 7 lakhs maximum may be considered by the committee only for outstanding, innovative projects after due sanction by the Hon'ble Vice-Chancellor.
6. The budget should be given in detail with full justification for all items in a separate sheet under various heads. **Please do not tailor the budget to make it around 5 lakhs. Contingency should not be asked separately.**
7. The funds will be utilized only for the purchase consumables: chemicals, kits, disposables, travel expenses for field-based studies, etc. All items covered under the Learning Resource Allowance Scheme will not be allowed under this scheme. Stationary (office and computer), photocopying will not be allowed. Expenditure for attending conferences for presenting the paper of the approved projects will not be allowed.
8. Funding will not be utilized purchase of any permanent items like instruments, machines, equipment, computer, books etc. which are not of consumable nature.
9. For the field based /community-based study, data collectors can be hired on a daily basis. The minimum wages and other monetary benefits will be decided as per the guidelines of the central and state labour employment act.
10. Senior and Junior Residents, PhD students, Research Associates, Undergraduate and Postgraduate students, and Paramedical staff cannot be co-investigators. PhD projects will not be allowed to utilize this intramural funding. Registration of Ph.D. students will not be allowed under this scheme and employment staff will not be allowed.
11. Collaborative projects involving more than one department should be discussed with all participants. Only those actually involved in the work should be co-investigators. The co-investigator from outside the institute may be approved by the Research Committee depending upon the need & merit of the project. His/her one-page CV should be attached.
12. If the project involves direct intervention or interaction with patients, the Principal Investigator should be a clinical faculty member, similarly, if the project involves Research work on human subjects with no direct intervention then the co-investigator should be from the concerned Department where the samples are collected.
13. For faculty members approaching superannuation, the remaining service period of the Principal Investigator should be longer than the duration of the project at the time of submission.
14. At any given period of time, no faculty member should have more than TWO

- intramural projects running. The third project will be considered only when at least one of the currently running two projects has been completed and reviewed by the Research Committee or and Principal Investigator has submitted a manuscript/acceptance/ published paper from the project.
15. The intramural project **should not** be sent to the extramural funding agency simultaneously.
 16. Statistical inputs from the Expert (Biostatistician) may be taken if needed.
 17. For those faculty members who have already completed two or more intramural projects, further projects will be sanctioned only if they have published a paper in an indexed journal from at least one of the last two completed projects or have generated an extramural research grant from the inputs derived from the intramural project.
 18. All the presentations for the new projects should be made before an independent Research Committee and the PI should present the project consisting of 10-12 slides.
 19. The PI should send the project per the prescribed format with each section starting on a new page and all the points should be addressed.
 20. If a faculty wants to use his/her intramural project for funding a DM/M.Ch. project, the student may be a Co-investigator after approval of the Research Committee.
 21. Till such time that the institute develops a mechanism for the provision of insurance cover for the trial subjects, no drug/device/procedural trials will be allowed either for the intramural project, independent projects, DM/M.Ch./MD projects, or for investigator initiated trials. It is allowed only when there is a provision of sufficient insurance cover for compensation of trial subjects, for e.g. in extramural/drug/device trials funded by industries.
 22. If an investigator conducts a drug/device/procedural trial and if any problem arises for the compensation to the subjects as per the DCGI guidelines and Gazette of India, the institute will not be responsible in any manner. This will be applicable even if the project has been cleared by the Institutional Ethics Committee, UPUMS, Saifai.
 23. No projects will be allowed to go through the IEC/signatures for higher authorities of the institute unless the minutes of the Departmental Research Committee are attached thereof.
 24. Outsourcing of any investigations will not be permitted from intramural projects. If there is a strong justification, it has to be discussed in the Research Committee meeting of the Institute and will have to be approved explicitly.
 25. For all the projects, there should be at least one co-investigator in each project preferably from the same department and there should be an undertaking by the co-investigator that he/she will take the responsibility to complete the project and financial matters related to it. In case PI is unable to complete the project due to unavoidable circumstances (resignation, superannuation etc.).
 26. All the investigators are requested to provide a copy of the published papers/submitted manuscript or a write-up explaining why the paper has not been published for all previous closed/completed intramural projects.

Flow chart for submission of funded research projects by the Principal Investigator



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Uttar Pradesh University of Medical Sciences, Saifai

Intramural Research Project Receipt form to be submitted in Duplicate

1. Title of the project:

2. Type of Submission: a. New b. Revised

3. Name of PI and Department:

Checklist to assess the project before submission to the Research Committee for review

S.No	Mandatory Documents	Yes	No	Not Applicable	Page nos.
1	Project Proposal as per the prescribed format				
2	Minutes of the Departmental Research Committee				
3	Institutional Ethics Committee receipt for submission				
4	Institutional Animal Ethics Committee receipt for submission				
5	Undertaking by the PI				
6	CV of new or co-investigator(s) outside UPUMS, Saifai.				

Documents submitted

a) Complete

b) Incomplete, will submit on: _____

Receivers Name:

Signature & Date (with stamp)

Project submitted by Name & Signature:

Uttar Pradesh University of Medical Sciences, Saifai

PROFORMA FOR PROJECT PROPOSALS RESEARCH GRANT PART (I): GENERAL INFORMATION

1. Project Title:
2. a. Broad Area: Basic/Translation/Clinical/Systems research /Community/ Education / Behavioral
b. Specific Area:
c. Key words (maximum three)
3. Duration:
4. Total Cost:
5. Principal/Co-Investigator(s)

Investigators	Name	Designation	Department	Signature
PI				
Co-PI				
Co-PI				
Co-PI				
Co-PI				

6. Project Summary (maximum 500 words) (Attach separate sheet):
7. Copy of the Departmental Research Committee Recommendation (attached)
8. Ethical clearance form attached (Yes/ No)

(Head of the Department will be responsible for periodic monitoring of the project)
9. Is radio tagged material proposed to be used in the project either for clinical trials or experimental purposes? If so, clearance from Nuclear Medicine Committee, Bhabha Atomic Research Centre, Mumbai, indicating should be attached.
10. Projects involving recombinant DNA/Genetic engineering work should be examined and certificate by the Institutional Bio safety Committee (IBSC) to be enclosed. Guidelines for constitution of IBSC can be obtained from Secretary, Department of Biotechnology, CGO Complex, Lodhi Road, New Delhi-110003.
11. Documents of the institutional ethics committee (IEC) should be enclosed. Guidelines for IEC for animal experiments should follow CPCSEA requirements and for human studies should follow ICMR guidelines.
12. PI and Co-PIs should ensure that that there is no financial conflict of interest by the investigators.

PART II: TECHNICAL DETAILS OF PROJECT

(Project proposal to be submitted in the format mentioned as below. The total pages should be within ten A4 papers in 1.5 space, letter size 11, Times New Roman)

1. Introduction

2.1 Origin of the proposal

2.2

- (a) Rationale of the study supported by cited literature
- (b) Hypothesis
- (c) Research questions.

2.3 Current status of research and development in the subject

- (a) International Status
- (b) National status

2.4 The relevance and expected outcome of the proposed study

2.5 Preliminary work done if any. (New ideas are welcome.)

3. Specific objectives

4. Work Plan: should not exceed **three pages**

- 4.1 Detailed methodology including study design and outcome measures
- 4.2 Data analysis plan

5. Timelines:

Activities	Duration

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Part IV: BRIEF BIODATA OF PRINCIPAL INVESTIGATOR/Co-PIs

1. Updated CV including List of Publications for last 5 years and honors /awards of the Principal Investigator /Co-Investigators (Attach Separate sheets)
2. List of current projects being handled including source and amount of funding

PART – 4(A): PROFORMA OF DETAILS OF PREVIOUS INTRAMURAL PROJECTS

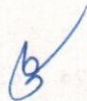

S.No.	Title of the project	Duration	Budget	Complete/Not Complete	Final Completion Report Submitted	Manuscript Published /submitted (Provide details)	Abstract Presented at Conference


PART – 4(B): PROFORMA OF DETAILS OF PREVIOUS EXTRAMURAL PROJECTS


S.No.	Title of the project	Duration	Budget	Complete/Not Complete	Name of Funding Agency

PART – 4(C): CV OF OUTSIDE CO-INVESTIGATOR(S)

Last Name	Middle Name	First Name
Date of Birth(dd/mm/yyyy):		Sex:
Study Site Affiliation (e.g. Principal Investigator, Co-Investigator, Coordinator)		
Permanent Mailing Address: (Include institution name)		Study Sited Address (Include institution name)
Telephone (Office):		Mobile No:
Telephone (Residence):		E-mail:
Academic Qualification (Most Current Qualification First)		
Degree/Certificate	Year	Institution, Country
Current and Previous 4 Relevant Positions Including Academic Appointments(Most current position first)		
Month and Year	Title	Institution /Company, Country
<p align="center">Brief Summary of Research Experience related to the project:</p> 		
Signature		Date:


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PART V: DECLARATION AND ATTESTATION

- i. I/We have read the terms and conditions for UPUMS Intramural Research Grant. All necessary departmental facilities will be provided if the research project is approved for financial assistance.
- ii. I/We agree to submit within one month from the date of termination of the project, the final report and a list of articles, both expendable and non-expendable, left on the closure of the project.
- iii. I/We agree to submit statement of accounts for the project to the Director Finance, UPUMS, Saifai for official audit before the end of financial year.
- iv. It is further certified that the equipment(s) required for the project will not be purchased from the funds provided by UPUMS, Saifai for another project(s) in the department.
- v. **I/We agree to submit (online) all the raw data (along with descriptions) generated from the project to the UPUMS Data Repository within one month from the date of completion / termination of the project.**

Signature of the:

- a) Principal Investigator _____
- b) Co-Investigator(s) _____
- c) Head of the Department _____

Date:

(SELF DECLARATION)

I.....(Name)(Designation)
..... (Department) do hereby
affirm the following:

- 1. I will strictly abide by the rules and guidelines of Research Cell as per SOP.
- 2. The fund allotted will only be utilized for purchase of items required as per SOP of Intramural funding.
- 3. I will acknowledge the institute in my publications made under the above-mentioned proposal.
- 4. I will inform the Research Cell when the Manuscript is accepted / published.
- 5. No Senior/Junior Residents, PhD Students, Research Associates, Undergraduate or Postgraduate students and Para-Medical staff are Co-Investigator in the above mentioned Proposal.

.....
Signature of the Principal Investigator

UNDERTAKING

I.....in the Department of

State that simultaneously the proposal will not be sent for funding to any other agency (extramural funding)

Name and Signature of the Principal Investigator

UNDERTAKING

Dr..... is a Co-PI from the same department as PI and He / She will take the responsibility to complete the project titled
.....
.....
.....

Name and Signature of the Co-Principal Investigator

Name and Signature of the Principal Investigator

CHECKLIST

S. No	Particulars	Tick
1.	Complete Intramural form on prescribed format	
2.	IEC Forms	
3.	Participant Information Sheet and Informed Consent Form in Both English and Regional Language	
4.	Clearance from Departmental Research Committee.(Attach Minutes)	
5.	Detailed Budget on a given format	
6.	An undertaking stating the proposal will not be sent for funding to any other agency(extramural funding)	
7.	Undertaking from the Co-PI of same department stating that he/she will take the responsibility to complete the project due to unavoidable circumstances.	
8.	CV of all the Investigators	
9.	Copy of clinical trial protocol (if applicable)	
10.	GANTT Chart	
11.	Any Other, if required	

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Standard Operating Procedures (SOP) for submission of Annual Progress Report by the Principal Investigator

1. The Principal Investigator will submit the annual progress report in the prescribed format for research progress and utilization of funds after the expiry of one year from the date of release of the grant.
2. The investigator should clearly highlight the target of sample size as per the sanctioned protocol.
3. Any change in the objective or the design of the protocol, the PI should clearly mention in the report.
4. The Principal Investigator should justify in the report that the project will be completed in the remaining one year period of the project.
5. If the PI found that the project is not completed within the sanctioned duration, he should clearly justify for extension of the project with duration.
6. Only Principal Investigator/Co-investigator will present the annual progress report of the project in the Research Committee meeting.

PROFORMA FOR PROGRESS REPORT OF INTRAMURAL FUNDED PROJECT PART I:

GENERAL INFORMATION

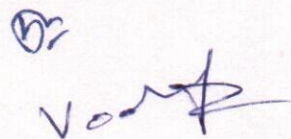
1. Project Title
2. a. Broad Area: Basic/Translational/Clinical/Systems research/Community/Education/Behavioral
b. Specific Area:
3. Project Started on
4. Duration:
5. Funds
 - a. Sanctioned
 - b. Utilized so far
6. Principal Investigator
7. a. Co-Investigator-I
b. Co-Investigator-II

PART II: TECHNICAL REPORT

8. Specific objectives
9. Work done so far (objective-wise)
- 10.1. Timelines: (Achieved)

Milestones	Targets achieved

11. Detailed results
12. Summary of the results (250 words)
13. Publications out of the project work



SIX MONTHLY PROGRESSREPORT OFRESEARCH PROJECT

PART I: GENERAL INFORMATION

1. Project Title:
 - a. Broad Area:
Basic/Translational/Clinical/Systems research/Community/Education/Behavioural
 - b. Specific Area: (Kindly specify)

3. Project Started on:
4. Approved Duration:
5. Funds
 - a. Amount Sanctioned:
 - b. Amount Utilized till date:
6. Principal Investigator
7. A. Co-Investigator-I
B. Co-Investigator-II

PART II: TECHNICAL REPORT

8. Specific objectives
9. Work done so far (objective wise)
- 10.1. Timelines: (Achieved)

Mile stones	Targets achieved

11. Detailed results
12. Summary of the results(250 words)
13. Publications out of the project work

PROFORMA FOR FINAL PROGRESS REPORT OF INTRAMURAL FUNDED

PROJECT

PART I: GENERAL INFORMATION

1. Project Title
2. a. Broad Area:
Basic/Translational/Clinical/Systems research/Community/Education/Behavioral
- b. Specific Area:
3. Project Started on
4. Duration:
5. Funds
 - a. Sanctioned
 - b. Utilized
6. Principal Investigator
7. a. Co-Investigator-I
7. b. Co-Investigator-II

PART II: TECHNICAL REPORT

8. Specific objectives
9. Work done Methods Results Discussion Conclusions
Implications/Outcomes
12. Summary of the results
(1000 words in "background, objectives, methodology, results and conclusion" format)
13. Publications
14. State the translational value of the study.
15. Please mention if the targets proposed have been achieved or not.

Target proposed	Targets achieved	Reasons there of

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File No..... Received on Date...../...../20.....Acknowledgement issued on
Date...../...../20.....

Submitted to Sub Dean(Research) on Date...../...../20.....

Presentation on Date...../...../20.....

Intimation letter sent on Date...../...../20.....

Project: Approved

 Sent for resubmission

 Rejected

For Approved Projects: Project Code-.....

Date for first half yearly report: /...../20.....Date for second half yearly report:
...../...../20.....Date for third half yearly report: /...../20.....Date for final report:
...../...../20.....

Signature of Dealing Assistant

Faculty In-Charge
(Research Cell)

Dean

FORMAT FOR ANNUAL PROGRESS REPORT

1. Project title:
2. PI (name & address):
3. Co-PI (name & address):
4. Date of start:
5. Duration:
6. Objectives of the proposal:
7. Methodology:
8. Interim modification of objectives/methodology (with justifications)
9. Summary on progress (during the period of report)
10. Applied value of the project
11. Research work which remains to be done under the project
12. Any publications.
13. Any patents applied for
14. If additional budget or staff is required for the remaining part of the research work, please give justifications and details.

Date :

Name of PI: _____

Signature of PI: _____

Designation of PI: _____

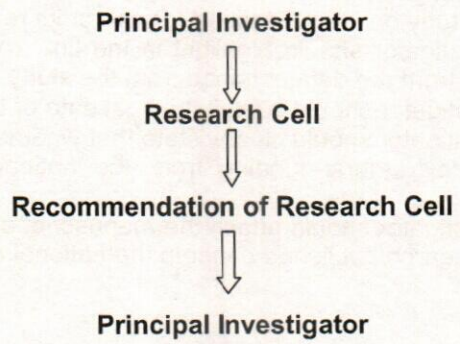
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**Flow chart for submission of annual progress reports by the
Principal Investigators**



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Standard Operating Procedures (SOP) for submission of Final Progress Report by the Principal Investigator

1. The Principal Investigator should submit the final report of the project after the completion of the study on the prescribed format for its review by the Research cell.
2. The Principal Investigator should highlight in the final report regarding the result & discussion derived from the data obtained from the study.
3. The Principal Investigator should submit the final data of the completed study.
4. The Principal Investigator should clearly state that whether this project can further be extended for the extramural funding from the national or international funding agency.
5. The Principal Investigator should attach the manuscript along with the report or copy of the accepted research/published paper in the national or international journals.

Intramural Final Progress report Receipt form

1. Title of the project:

2. Name of the Principal Investigator:

3. Department:

Checklist to assess the project report before submission to the Research Committee for review

S.No.	Mandatory Documents	Yes	No	Not Applicable
1	Copy of the approved project			
2	Final Report on Prescribed Format			
3	Copy of the manuscript			
4	Copy of the published paper in indexed international/national journals with impact factor			
5	Copy of abstract presented in the international/national conferences			
6	Final Statement of Expenditure in prescribed format			

Documents submitted

a) Complete

b) Incomplete, will submit on _____

Receiver's Name:

Signature & Date (with stamp).

Project submitted by:

Name & Signature:

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RESEARCH CELL
UTTAR PRADESH UNIVERSITY OF MEDICAL SCIENCES, SAIFAI
 Intramural Assessment Form

Title of the Project:
 Principal Investigator: Department:

SCORE SHEET

S. No.	Criteria	Full Mark	Score	Comments
1.	A) Is this an innovative proposal?	5		
	B) Does this research address an important or neglected area of health care delivery?	5		
2.	A) Is the research plan well-described (Significance, overall strategy, methodology, Analysis) with defined and measurable outcomes?	8		
	B) Is the plan feasible within the time limits of the funding program (2 years)?	2		
3.	A) Is the proposed research specifically related to quality and patient safety in academic medical centres? **	5		
	B) Whether materials or procedures proposed are potentially hazardous to research personnel and/or the environment, and if needed, determine whether adequate protection is proposed.	5		
4.	A) Is the proposed research generalizable to multiple services or venues of care delivery within the academic medical centres?	5		
	B) Is there adequate inclusion of subjects from both genders, all racial and ethnic groups (and subgroups). And children, as appropriate, for the scientific goals of the research?	5		
5.	A) Are the plans for publication and dissemination of results acceptable? (Plans must be in addition to a yearly presentation at the National / International Research Conference)	5		
	B) Are the investigators qualified to conduct this research? (Previous work done by the PI/ Co-PI, as per CV Attached)	5		
6.	A) Is the proposed budget justified?	5		
	B) Whether all Ethical issues duly addressed?	5		
Total Score			60	

** If it involves vertebrate animals, is it justified in terms of proposed use of the animals, and species, strains, age, sex, and numbers to be used; adequacy of veterinary care; and procedures for limiting discomfort, distress, pain and injury to that which is unavoidable in the conduct of scientifically sound research including the use of analgesic, anaesthetic, and tranquilizing drugs and/or comfortably restraining devices.

Signature of Reviewer

Name of Reviewer:

Name of Institute:

FORMAT OF RESEARCH PLAN

1. **Title of the proposed research project:** should be **concise** and yet sufficiently descriptive and informative. Title may include study design such as randomized controlled trial; an observational study; a case-control study etc
2. **Summary (up to 250 words):** A structured summary should contain the following subheadings: *Background, Novelty, Objectives, Methods, and Expected outcome.*
3. **Keywords:** Six keywords separated by comma which best describe your project may be provided.
4. **Abbreviations:** Only standard abbreviations should be used in the text. List of abbreviations maximum of ten may be given as a list.
5. **Background (up to 500 words):** State the background information to adequately present the problem, mention how the research question addresses the critical barrier(s) in scientific knowledge, technical capability, and/or programmatic/clinical/lab practice and its relevance to local, national and international context.
6. **Literature review (up to 1000 words):** Review to be written cohesively to build justification for the research question to be addressed with reference of key publications in the field. Reference up to 30 in Vancouver style may be provided at the end of literature review.
(References will not be included in the word count)
7. **Novelty/Innovation (up to 250 words):** Describe how the proposal challenges and seeks to shift the current research/knowledge/clinical practice paradigms etc. by utilizing novel theoretical concepts, approaches or methodologies, instrumentation, or interventions etc. Mention if there is a refinement, improvement, or new application of theoretical concepts, approaches or methodologies, instrumentation, or interventions in the proposed study.
8. **Study Objectives:** Define the objectives clearly and in measurable terms; mention as primary and secondary objectives if necessary. Do not write too many objectives.
9. **Methodology (up to 2000 words):** **Include the following subheads**
 - i. **Study Design :** Proposed study design should be appropriate to fulfill all the objectives; details of study design whether descriptive, analytical, experimental, operational, a combination of these or any other; and adequate description of study population should be provided. Explain the rationale of selection of the research participants and controls (human or laboratory animals), whether chosen randomly, consecutively etc. with inclusion and exclusion criteria, rules for discontinuation, definitions of cases, controls and lost to follow up etc.; in case of Intervention studies a detailed description of Intervention (drug/device/behavioral intervention) should be given. The use of quantitative and qualitative methods may be specified if any.
 - ii. **Sample Size:** Details of sample size and/or power calculation should be described with references where needed. *[Please note: the sample size calculation should provide adequate power to the study to satisfactorily answer all the primary*

objectives, data from pilot studies can also be used for sample size calculation]. Operational definitions for key variables should be presented. A flow chart indicating study design with number of participants should be given where applicable.

iii. Project Implementation Plan: Describe the overall strategy for enrollment of participants including collaboration with other departments where applicable, process of enrollment of participants – how, where and by whom will the participants be enrolled, how and when and where will they be followed up; collection, storage and testing of samples; if new tests are being done describe the process of standardization etc. Describe quality assurance processes to accomplish the study objectives.

iv. Ethics Review: Address review requirements including ethics review [human or animal], approval for use of stem cells, biological etc. and other regulatory reviews/approvals as applicable. Details of obtaining informed consent and its documentation should be described along with risks and benefits to the participants. [Ethics and other regulatory guidelines related to Bio-medical research are available on ICMR website]

v. Data collection & statistical analysis plan: Describe the key variables of the study, how will they be measured and unit of measurement. Specify comprehensively the data collection methods and tools are relevant to the study objectives and study design and provide structural components like data entry and analytical platforms to be used for analysis. Present data analysis plan comprehensively mentioning appropriate statistical methods to be used in order to answer/achieve the study objectives.

10. Expected Outcomes (up to 100 words)

11. Limitations of this study (up to 100 words)

- 12. Timelines:** Details of activities to be carried out along with timelines during preparatory phase, data collection, analysis & report writing to be provided.
- 13. Institutional Support:** Mention the efforts made to achieve inter-departmental or inter-institutional collaboration needed for study implementation, details of coordination between clinical, laboratory and data management procedures, mention the institutional resources such as equipment and other physical resources available for use in the project proposed.
- 14. Budget:** Should be appropriate and as per ICMR guidelines available on the website. Justification for staff along with their roles and responsibilities in the project to be provided.

Format for Annual Statement of Accounts to accompany request for release of First Installment. (Year means Financial Year i.e. 1st April to 31st March of next year)

1. Sanction letter No. :.....

2. Total Project Cost : Rs.....

3. Sanction /Revised Project cost (if applicable) :Rs.....

4. Date of Commencement of Project :.....

5. Statement of Expenditure :.....

S.No	Sanctioned Heads	Funds Allocated	Expenditure incurred	Balance as on 31 st March	Requirements	Remarks
1.	Salaries					
2.	Supplies & materials					
3.	Travel					
4.	Contingencies					
5.	Overhead Expenses					
6.	Total					

Signature of Principal Investigator

with date:

Signature of Accounts Officer

with date:

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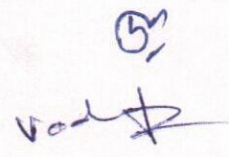
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FORMAT FOR UTILISATION CERTIFICATE (ANNUAL/FINAL)

Certified that out of Rs..... of grants-in-aid sanctioned during the year
..... in favor of under Vide official Letter
No..... and Rson account
of unspent balance of the previous year, a sum of Rs has been
utilized for the purpose of for which it was sanctioned and
that the balance of Rs (in words.....
..... remaining unutilized at the end of the
year has been surrendered to UPUMS (vide cheque No.....
Dated..... /will be adjusted towards the grants-in-aid payable during the next
year.e

Signature of PI With date

Signature of Accounts Officer with date



SOP for Procurement of Consumables for Research Work

BUDGET FLOW FOR INTRAMURAL RESEARCH GRANT

ACCOUNT: An account in the name of Research Cell may be opened.

- Signatory of the Account will be (Any two of the Three):
 - a. Dean of the Institute
 - b. Faculty In-charge, Research Cell.
 - c. Accounts Officer.
- Amount approved against the respective project proposal will be transferred to this account for hassle-free maintenance of accounts.
- Cash book against this Account to be maintained and verified by Accounts Officer.

PROCUREMENT OF CONSUMABLES

- Indent/Proposal to be given by the PI through file.
- Separate stock register to be maintained by the PI which can be verified at the time of payment.
- **NOC** from central store for non-availability of Goods is not required.
- **Rate Contract** – if available at the Institute, PI may give the supply order after the approval from the Research Cell.(Flow chart is attached for reference.)
- If there is no Rate Contract available, the PI may follow GFR rules as stated below.

A. Purchase of consumables up to Rs. ≤ 25000/-

- i. This type of procurement should be under GFR Rules – 154.
- ii. Single quotation is required for this type of purchase.

Documents required for Payment

- a. Quotation as per GFR.
- b. Copy of Purchase/Supply Order by Principal Investigator.
- c. Details mentioning the entry of bills in stock register. (Photocopy of the particular page of stock register)
- d. Declaration for GFR's.

B. Purchase of consumables amounting to Rs. >25000/- and ≤ 250000/-

- i. This type of procurement should be under GFR Rules – 155.
- ii. Three quotation is required for this type of purchase.
- iii. Purchase order will be given to the one offering the least amount.
- iv. One person from Research Cell is mandatory In the Purchase Committee for this type of Procurement.

Documents required for Payment

- a. Quotation as per GFR.
- b. Copy of Purchase/Supply Order by Principal Investigator.
- c. Challan mentioning the receipt of goods. (Exempted for purchase up to Rs. 25000/-)
- d. Details mentioning the entry of bills in stock register. (Photocopy of the particular page of stock register)
- e. Declaration for GFR's.

C. Purchase amounting to Rs. >250000/-

- i. All purchases will be done by Procurement department as per suitable GFR as per UPUMS Saifai Procurement Procedure, which includes tender, proprietary based purchase, TEC, Price Bid Evaluation, Supply order, Receipt of Goods through challan, Bills, Stock entry of bills etc.
- ii. The goods will be received in Central Store and the Principal Investigator will receive the same from Central Store.

Payment Procedure

- a. The file for payment of this type of purchase will be initiated by Central Store after the goods are received.
- b. The Payment will be done according to the payment process of UPUMS Saifai after taking the approval of the Competent Authority.

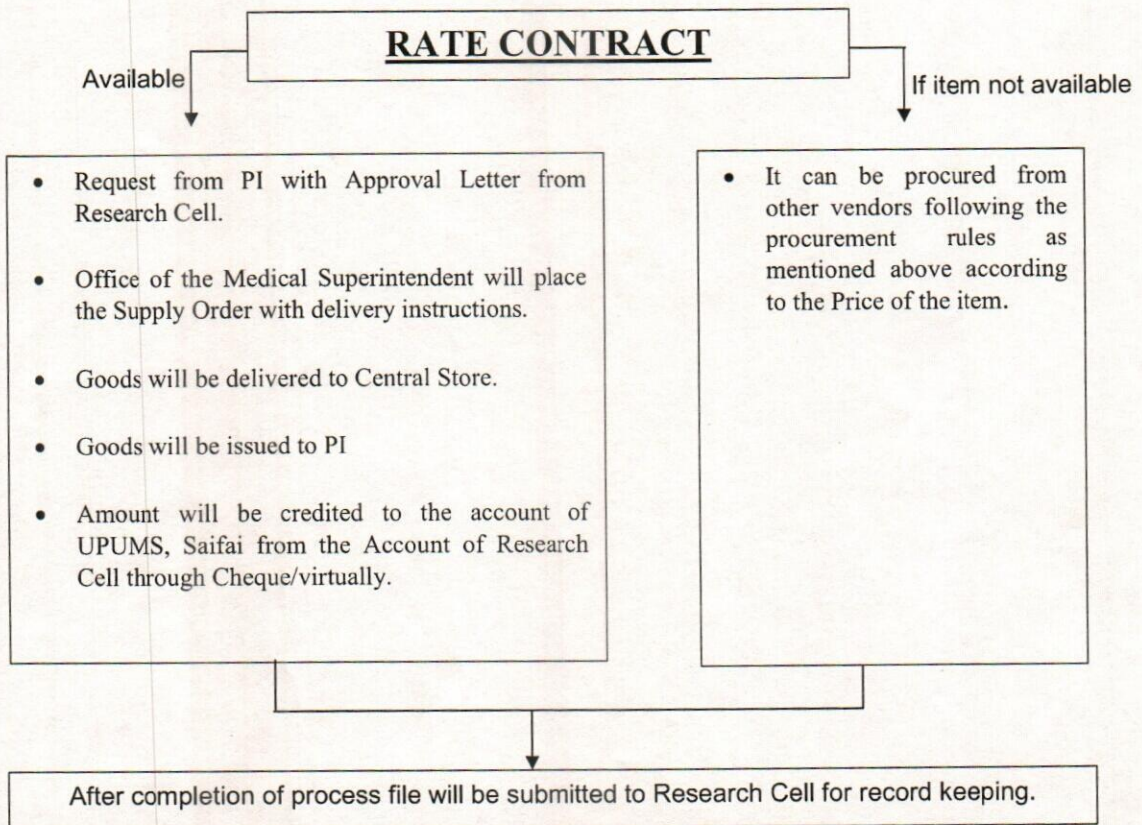
INVESTIGATIONS

- Investigations may be allowed as per the rate list of UPUMS Saifai by giving virtual fund against the code of the project. This fund will be adjusted against the sanctioned fund.

GENERAL INSTRUCTIONS

- Purchase/Supply order will be placed by the Principal Investigator after taking prior approval from the IRC/ Research Cell as Vice-Chancellor is the Chairman of the IRC. (In case of purchases above Rs. 250000/- the Procurement Cell of UPUMS Saifai will Place the order)
- Purchase/Supply Order should be in standard format available with Research Cell, and should be used by PI to place the order.
- The PI will receive the goods and a verified bill may be placed for payment through Research Cell.(In case of purchases above Rs. 250000/- the Central Store will receive the goods and verified bills will be placed for payment.)
- Payment will be done through Research Cell after approval of the Competent Authority.
- Final settlement of all the bills against the sanctioned amount has to be submitted at every six months and/or completion of the project along with Utilization Certificate.
- All the related bills, vouchers, files and registers has to be maintained and kept by the PI in his custody for audit purpose in future and for giving Utilisation Certificate.
- Accounts Officer will verify and issue Utilisation Certificate after taking approval from FA/ F&CAO. And this file should be routed through Research Cell.
- The Utilization Certificate for the items purchased by the PI should be issued by Accounts Officer of the Research Cell after submission of all required documents.

FLOW CHART



① In downloads.
→ SOP & Guidelines.

→ Remove old SOP
& update from
both tabs.

② Research → Research promotion policy →