



## **Extramural Research Grants Policy**

Approved by the Executive Council at its 45<sup>th</sup> Meeting held on 13<sup>th</sup> March 2026

Extramural Research Grants refer to the funds received by the employees and eligible scholars of the Uttarakhand Open University from the external sources or agencies for conducting research work or development projects. The external sources shall include government bodies, industry organisations, international organizations, NGOs, or private funding agencies for carrying out research, consultancy, or development projects.

### **Objectives**

The main objective of the Extramural Research Grant Policy is to foster high quality research and innovation in the university. The policy also intends to streamline the procedure regarding funds received from external agencies. Accordingly, policy also aims to promote and support faculty and researchers to collaborate with external funding agencies.

### **Eligibility**

- Regular employees including faculty members, research officers, and eligible scholars of the institution may apply.
- The Principal Investigator (PI) must be a regular employee of the institution unless otherwise permitted by the funding agency. However, Co-Investigator(s) may be employees working on a contractual basis.
- Co-Investigators may include internal or external collaborators as per agency guidelines.

### **Process of Proposal Submission and Implementation**

Faculty members, and researchers will actively seek out appropriate funding organizations and programmes that match with their areas of research expertise.

The researcher shall prepare the proposal as per the guidelines and format prescribed by the funding agency. Notifications issued by the funding agencies shall be complied with, and employees must prepare proposals as per the requirements and guidelines of the concerned funding agency. The proposal shall be submitted through the proper channel to the Directorate of Research and Innovation, and the same shall be forwarded to the Vice-Chancellor through the Registrar for final approval. The researcher(s) shall ensure that no proposal is submitted directly to any external funding agency without prior information and approval from the Directorate of Research and Innovation.

The researcher must secure approval from the Institutional Ethics Committee (IEC) or relevant regulatory authorities as necessary. Further, researchers must also ensure that the proposal adheres to the bioethics regulations, plagiarism standards, and principles of research integrity. Upon approval by the funding agency, the sanction letter shall be submitted to the Directorate of Research and Innovation for record and further necessary action. It is further expected from the Principal Investigator or the researcher that the research work is conducted as per approved methodology, research design and timeline. Timely completion of such research projects shall be the responsibility of the researchers. Further, it shall be the responsibility of the researcher(s) that the required manpower, equipment, and resources are arranged as per the university norms within the stipulated time frame.

Periodic progress reports shall be submitted to the funding agency as as when instructed by the funding agencies , however the same shall be forwarded through the Directorate of Research and Innovation. Further, it shall be the responsibility of the researcher to submit periodic progress reports along with the financial utilization to the Directorate of Research and Innovation. Any communication received from the funding agency regarding modification, extension, or closure of the project shall be duly communicated to the Directorate of Research and Innovation.

### **Funds Utilisation**

The project amount shall be transferred to the University's account as identified by the Accounts Section for the purpose. After receipt of the funds, the researcher shall initiate the procurement of materials, equipment, and other project-related items required for the study in accordance with the University procurement norms. The expenditure incurred shall be met from the funds received for the project. The note sheet shall clearly specify whether the expenditure is capital in nature or otherwise, and shall also indicate whether it is recurring or non-recurring.

After completion of the project, the final utilization shall be submitted through a note sheet requesting final settlement of the accounts. The competent authority shall issue the Utilization Certificate and approval of the final utilization statement.

The researcher shall ensure that all expenditures are supported by valid bills, vouchers, and approvals, and that records of procurement, utilization, and stock maintenance are properly maintained.

In case if the project is for more than one year then the funds shall be utilised in two installments a year. The first installment shall be utilised along with the sanction letter. It would include the grant for purchase of equipment, material, etc. and the second installment shall include expenditure which are recurring in nature or required for the special purpose. Notwithstanding the above provisions, in exceptional circumstances, funds may be released with the prior approval of the Vice-Chancellor, subject to due justification and compliance with institutional norms. Steps to procure the approved equipment should be initiated immediately following the prescribed norms. For the subsequent years, the funds will be utilised accordingly. In case the funding agency releases funds in installments, the same shall be processed and utilized in accordance with the terms and conditions specified by the funding agency and institutional norms.

In cases where the funding agency prescribes specific guidelines or norms, procurement, utilization, and implementation of the project shall be undertaken strictly in accordance with the provisions of the concerned funding agency. The Principal Investigator shall ensure that he or she must comply with funding agency requirements and University procedures.

Re-appropriation of expenditure under different sub-heads within the sanctioned budget and utilization of unspent balance if available shall be carried out as per the provisions of the funding agency then the same shall be initiated with the prior approval of the University.

However, it shall be the responsibility of the Accounts Section to facilitate smooth and uninterrupted implementation of the project activities. All assets procured shall be entered in the University's stock register, appropriately tagged, and maintained as per the institutional policy. The Maintenance Section shall be responsible for the upkeep and servicing of such assets, while all procurement and maintenance records shall be maintained for compliance purposes.

### **Final Submission**

The researcher shall submit the final project report along with the documents to the Directorate of Research and Innovation and the concerned funding agency. All research outcomes, including publications, patents, copyrights, technology transfers, research reports, conference presentations, or any other related works that emerge wholly or partially from the project, must properly recognize the financial and institutional support provided by the relevant funding agency and the University. This acknowledgment must comply with the guidelines set forth by the funding agency.