

Checklist for Research Projects at SACS level

S.N.	Step	Content
1	Technical Resource Group on Research & Evaluation for technical approval of research proposal	<p>a. Format for proposal submission to NACO</p> <p>b. Presentation to TRG</p> <p>c. Template letter from TRG to researcher/ Principal Investigator (PI) with technical comments indicating recommendation or non-recommendation</p> <p>d. Revised proposal from PI with cover letter from PI addressed to Project Director, SACS</p>
2	Ethics Committee approval for ethical clearance of research proposal	<p>a. Format for proposal submission to Ethics Committee along with detailed technical and financial proposal</p> <p>b. Presentation to Ethics Committee</p> <p>c. Template letter from Ethics Committee to researcher/ Principal Investigator with comments indicating recommendation or non-recommendation</p> <p>d. Revised proposal from PI with cover letter from PI addressed to Project Director, SACS</p> <p>e. Administrative approval from competent authority from SACS and IFD concurrence</p> <p>f. Standard MoU template to be shared with PI (Two original copies on Rs 500 stamp paper – one for researcher/PI, one for SACS records) – to be signed with Head of the institution only and by SI-R&E Head</p> <p>g. Payment terms are only 40%-40%-20% (40% at the time of signing of the MoU, 40% after complete data collection is done and data analysis process has begun (reports of which need to be shared with SACS) and 20% to be only released after submission and acceptance of final report, submission of raw and final data sets for both quantitative and qualitative. Refer to 5. Payment terms and Deliverables section in the MoU for more clarity.</p> <p>g. Pre receipt invoice, mandate form, bank details from PI</p> <p>h. Sanction order generated by SACS</p> <p>i. PFMS sanction generated by SACS for payment</p> <p>j. Release of 1st installment to research institute</p>
	<i>*For more clarity documents required for admin and IFD approval are provided below</i>	
3	Administrative approval and IFD concurrence	<p>a. Checklist for Programme Divisions/DDOs for sanction of contingent expenditures – to be submitted by SACS SI-R&E nodal officer to SACS Finance Division</p> <p>b. Checklist/ ready reckoner for information on documents and number of copies to be submitted to SACS Finance Division for release of payment of every installment</p> <p>c. Note for 1st Instalment</p> <p>d. Standard MoU mail to PI</p> <p>e. Mail for pre receipt invoice and mandate form to PI</p> <p>f. Pre-Receipt Invoice</p> <p>g. Mandate form</p>

		h. Indemnity Bond template required only for Non-Government Organisation, to be submitted with every installment by NGO research institute (<i>as payment is released as advance</i>). For government research institute, it is not required.
		i. Sanction order generated by SACS
	<i>Only after release of first installment to the research institute</i>	
4	Letter of Support	a. Letter of Support with cc to all nodal heads of facilities covered under the study and Head, SI-R&E, PO (SI-R&E) and TO (SI-R&E)
5	2nd Instalment related documents (<i>follow same steps as highlighted above under point 3. admin approval and IFD concurrence section</i>)	a. Mail to PI for submission of documents required for release of 2nd Installment - both technical and financial documents
		b. Quarterly Progress Reports in excel and word
		c. Template for detailed progress report on work undertaken so far under the project
		d. Utilisation certificate and Statement of Expenditure audited by C.A. submitted by research institute/ PI
		e. Pre-Receipt Invoice
		f. Mandate form
		g. Indemnity bond template (required for every installment release)
		h. Note for 2nd Installment
6	Deliverables at completion	a. Submission of written topline findings to SACS
		b. Presentation on topline findings to SACS
		c. Inputs from SACS on topline findings
		d. Format for final report
		e. Final report with cover letter
		f. Inputs from SACS on detailed final report
		g. Revised report from PI to SACS
		h. Process on file for approval by competent authority
7	Return of unspent amount by Principal Investigator, if that is the case scenario	a. Cover letter from PI to NACO
		b. Challan format
		c. Note for approval by competent authority, SACS and SACS Finance Division
8	Final settlement and release of 20%	a. All audited UC/SoEs (for every payment released)
		b. Datasets – raw and final for both quantitative and qualitative component
		c. Final presentation
		d. Final report
		e. Plan for publication
		f. Manuscript to be shared by PI with SACS which has joint ownership and authors from SACS included
	#SACS needs to ensure that all technical and financial documents/ deliverables are submitted to SACS by PI/research institution before final payment is released and project is closed	
9	Dissemination of project results	a. Technical brief
		b. Meeting organised by SACS or PI on presentation of study findings with all stakeholders incl. NACO, SACS,

		partners, civil society and community representatives, where technical brief can be released

Additional documents for reference in case SACS needs to refer to these documents for process and for information:

1. SI-R&E Framework
2. SOPs on Ethics Committee
3. National Guidelines on HIV/AIDS research