



Office of the Vice-president for Research Affairs

Haramaya University

Guidelines for Administering Externally Funded Projects

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Preface

Management of externally funded projects becomes more effective when it is based upon clear guidelines. Carefully formulated guidelines facilitate proper administration of ongoing as well as future project works and support the university's interest to promote the generation, advancement, preservation and dissemination of knowledge and enhance its commitment toward advancing the public interest. Therefore, the purpose of this document is to establish a framework for proper management of externally funded projects. The document ensures systematic and transparent management of externally funded projects, consolidates the university's collaboration with national and international partners, addresses the overall demand for accountability, and creates a greater sense of trust between the university and funding organizations. Moreover, the guidelines enhance effective and efficient utilization of project-related resources and grants and contribute toward maintaining the university's institutional reputation and image in the face of funding organizations.

Section I: General Provisions

Section 1.1: Title

These guidelines may be cited as “Haramaya University Guidelines for Administering Externally Funded Projects.”

Section 1.2: Objectives

These guidelines are prepared to:

1. facilitate smooth and transparent management and administration of externally funded projects;
2. ascertain accountability in project execution;
3. ensure that project activities are performed to the highest standard;
4. enable proper documentation and reporting of project activities;
5. enhance university’s profile in partnerships and networking;
6. create conducive environment for university staff to participate in the effort to attract externally funded projects;
7. align project activities with the university’s core strategies and objectives; and
8. establish a system of recognition for project initiators/winners/writers.

Section 1.3: Definition of Terms and Concepts

For the purpose of these guidelines, the following terms and concepts are to be interpreted as defined below:

1. 'The University' shall mean Haramaya University.
2. 'The top management' shall mean the president and vice-presidents of the university.
3. 'Administrative council' shall mean the top administrative body of the university, chaired by the president and entitled to pass decisions on administrative matters of the University.
4. 'Project' shall mean any program or set of activities implemented for a defined period of time and is wholly or partly funded by external funding organization (s) and is jointly or exclusively implemented by the University.

5. 'External fund' shall mean any fund secured from individuals or organizations or persons or groups outside the university. This does not include projects run with standing agreement with government offices such as Ethiopian Institute of Agricultural Research (EIAR).
6. 'Project budget' shall mean funds secured from external source(s) or jointly from the external source(s) and the University.
7. 'Project property' shall mean tangible assets such as vehicles, buildings, machines, and equipment, and intangible assets such as intellectual properties.
8. 'Project staff' shall mean personnel fully or partly employed to accomplish project activities.
9. 'Principal Investigator' shall mean an individual who is responsible for initiating, leading, and managing a project.
10. 'Project Team Member' shall mean an individual who is involved in project initiation, development, and execution of project tasks.
11. 'Project output' shall mean the result/product of a project undertaking. It could be a written report, a published article, developed software, a released variety, or a chemical formulation. It can also be toolkits, manuals, policy briefs or fact sheets.
12. 'Project winners' shall mean a staff or group of staff who worked on a particular project proposal and those whose names are indicated on the final version of the project document.

Section 1.4: Scope of Application

1. The guidelines shall be applicable solely to projects that are wholly or partly funded by external partners.
2. The guidelines have been developed to improve administration and management of the University's externally funded projects. As deemed necessary, project managers or sponsors may implement other governance and documentation structure at their discretion, but they shall be required to consider the minimum administrative requirements set in these guidelines.

Section II: Project Administration Procedure

1. All project agreements shall be signed by the university's president or his/her delegate/designee, except those for which the university has standing agreement with the concerned partners such as EIAR;

2. The respective vice-presidents, the colleges, departments/schools to which the project is closely associated and the Research Groups and Partnerships Directorate shall facilitate proper execution of all projects by carefully attending to all requirements and provisions specified in each project document;
3. In case the PI of an ongoing project resigns from his/her position, he/she shall make necessary arrangements to change the PI in consultation with the vice president, the colleges, departments/schools to which the project is closely associated and such changes should be recorded at the Research Groups and Partnerships Directorate to enable smooth handover of the project and all responsibilities associated with it;
4. For a project whose PI has resigned, the office of Research Groups and Partnerships Directorate in consultation with the PI, the vice-president; Top Management, the college, the department/schools to which the project is closely associated and the funding organization shall make appropriate replacements following the University's existing rules and regulations; and
5. According to the project agreements, projects shall be placed under the respective units of the university.

Section III. Project Registration

1. Projects shall be registered using Project Registration Template of the university;
2. Upon approval of a project proposal by the funding agency and after the concerned parties have signed the contracts, the PI shall register the project at the office of Research Groups and Partnerships Directorate;
3. The university shall not administer projects that are not registered;
4. After registration; it shall be communicated to the respective college or vice-president;
5. The purposes of registering projects are to:
 - i. increase the visibility of projects to the University community and wider public;
 - ii. raise awareness and understanding of the scope of project works undertaken by the University;
 - iii. improve monitoring and management of projects ;
 - iv. enable the university to compile project outputs; and

- v. exchange information on the history and status of projects and ensure appropriate scoping of future projects.
6. As part of project registration, the PI shall specify minimal metadata fields to allow meaningful searching of key terms and contact person and create project web link for the institution that leads or sponsors the concerned project.

Section IV. Monitoring, Evaluation and Reporting

1. The Research Group and Partnership Directorate, in consultation with the research theme, college, department/school, and project PI shall publicize projects on the university's website and/or via other appropriate news outlets;
2. The Research Group and Partnership Directorate, in consultation with research theme and project PI, shall make continual updating of project activities and progresses on the University's online research database;
3. As deemed necessary, the Research Groups and Partnerships Directorate in collaboration with associated themes, college, and department/school shall provide a supportive supervision to ensure that project goals and expectations are met;
4. PIs shall report project achievements quarterly to the Research Groups and Partnerships Directorate, and to the closely associated theme, college, and department/school;
5. PIs shall present his/her project achievements on the University's research review workshops, and other stakeholders meeting as required;
6. PIs shall formally communicate completion of the project to Research Groups and Partnerships Directorate, and to the closely associated theme, college, department/school; and
7. The Research Groups and Partnerships Directorate shall facilitate certification of individuals for successful completion of their projects.

Section V: Budget Administration and Incentives

1. Matters related to the financial details of the project shall be handled as per the project document;

2. Unless otherwise an explicit per diem rate is fixed in the project document, only the per diem rates set by the MoFEC shall be effected;
3. Any project with full or partial external fund sources shall transfer the agreed upon overhead cost to the university finance system;
4. Overhead costs of all projects shall be pooled into a separate account/ledger within the university finance system;
5. The university's top management shall authorize use of the pooled overhead costs for encouraging initiation of new projects, as incentives for project winners, and to compensate individuals involved at different levels of the project management;
6. The university shall welcome and implement projects that do not have overhead costs in so far as the project activities contribute to the attainment of its strategies and goals;
7. The project staff (including finance and administrative staff) shall be entitled to payments and benefits specified in the project document;
8. The university shall incentivize project winners by paying them 25% of the overhead cost of the projects if the project has allocated such a cost, but for projects without overhead costs the university shall pay up to 2% of the project budget from the pooled overhead costs;
9. If the project winners are more than one, the aforementioned incentives shall be fairly distributed among them by taking into consideration the level of contribution of each member during project development;
10. Payment of the allocated incentives shall be made by installments, maintaining specified proportions, and be effected following the phase by phase release of the project fund;
11. The assigned university finance personnel or that employed by the project shall handle project finance following the existing rules and procedures; and
12. In consultation with Finance Administration Directorate and Others, the university's top management shall ensure fair distribution of allotted payment/remuneration for finance and procurement personnel involved in the handling and execution of project matters provided that provisions are made in the project document.

Section VI: Auditing and Financial Report

1. All projects shall be subject to internal auditing (both financial and performance) in addition to such audits to be performed by the funding organizations or its delegates; and

2. The University Project Finance shall provide financial statements to PIs whenever requested.

Section VII: Human Resource Management

1. Employing personnel for projects shall be based on the University's rules and regulations;
2. Project staff recruitment shall be done jointly by PIs, the externally/partners, and appropriate representative(s) from the university's Human Resource Management and Development Directorate as deemed necessary;
3. In case the university is invited to participate in the implementation of an externally directed project, the university's top management shall assign/recruit based on merit an appropriate PI;
4. Assignment of finance and procurement staff in a project work shall be decided by the office of Vice-president for Administration and Students' Affairs in consultation with project coordinators and the Directorate for Finance Administration;
5. Suspension and/or dismissal of any project staff shall be conducted as per the agreements specified in the employment contract of the university; and
6. Any complaint lodged against any act of dismissal and suspension shall be handled as per the university's existing rules and regulations.

Section VIII: Property Administration and Ownership

1. Project properties shall be utilized primarily for project purposes;
2. Upon completion of a project, project properties such as vehicles, laboratory equipment, and machineries shall be channeled into the university resources pool for appropriate utilization;
3. Upon completion of a project, properties like laptops, computer accessories, and video/photo cameras shall remain with the handler provided that the handler is a permanent employee of the university to support his/her other duties, but if the property handler is a contract staff, he/she shall be required to return all fixed properties registered in his/her name to the university's property administration. If the he/she resigns he/she shall return the properties to the university's property administration;

4. The university shall cover expenses required to ensure the security, administration, and maintenance of the properties in case such expenses are not specified in the concerned project's budget breakdown;
5. As deemed necessary, the nature of facilities and supports required from the university shall be clearly indicated in the project document;
6. Projects shall cover costs of the university facilities used for project purposes as indicated in the project document and, where this is not the case, the PIs shall request for the approval of use of the desired facilities without payment;
7. All tangible assets of a project shall remain the property of the university unless a different condition of ownership and entitlement is explicitly mentioned in the project agreement;
8. Any intellectual property rights derived from the project implementation processes shall be owned by the project members and the university, unless a different condition of ownership is explicitly mentioned in the project agreement; and
9. Project members shall register scientific publications which have emanated from the project process with the university's Research Extension and Publication Directorate.

Section IX: Amendment

The university senate shall get the guidelines revised as deemed necessary.

These guidelines shall come into force as of August 2, 2017.

University President