INTERNATIONAL UNIVERSITY OF SARAJEVO
Internacionalni Univerzitet u Sarajevu

BOARD OF TRUSTEES

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RULES AND PROCEDURES
OF OFFICE OF SPONSORED PROJECTS
AT
THE INTERNATIONAL UNIVERSITY OF SARAJEVO

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Pursuant to the Article 55 paragraph 2 of the Statute of International University of Sarajevo no. IUS-SENAT-11-1980/2018, Board of Trustees of the International University of Sarajevo, at its regular session, which took place on March 12th, 2021, adopted the following

RULES AND PROCEDURES
OF THE OFFICE OF SPONSORED PROJECTS AT
THE INTERNATIONAL UNIVERSITY OF SARAJEVO

The Rules and Procedures define responsibilities, procedures, and guidelines of **OFFICE OF SPONSORED PROJECTS (OSP)** at the International University of Sarajevo. Moreover, the document consolidates most of the information related to sponsored projects into one document, which is meant to provide guidance to Project Coordinators in regards to the development and administration of sponsored projects at IUS. It informs Project Coordinators of their roles and responsibilities in sponsored project implementation and compliance as well as of the role of OSP in supporting their research efforts. Thus, this document is also meant to serve as a handbook, which is to be used as a common reference and provide guidance for the development and administration of sponsored projects at IUS.

DEFINITIONS

Sponsored Projects/Funded Research is a research project, program, or scholarly activity, financially supported by an external agency and confirmed with a formal written agreement. Grants, contracts, and cooperative agreements from all sources outside of the university considered to be sponsored projects/funded research are coordinated through the OSP. The University is bound by the grant agreement/contract, which is signed with a funding agency. The contract specifies scope of work, budget, performance period, deliverables, and a named representative (Project Coordinator).
Sponsored Project Characteristics:

- Sponsored projects fund research, scholarly, creative and/or entrepreneurial activity, which are the results of outcome-driven proposals submitted through competitive selection process;
- Each sponsored project agreement/contract contains terms and regulations, which specify the project coordinator, the period of duration, project's objectives, reporting, and budgetary rules and restrictions;
- Payment is contingent upon programmatic accomplishments and/or detailed reporting;
- Fiscal accountability, which includes the maintenance of necessary documents in order to ensure and support the allowability and reasonableness of all financial activities during the implementation of the project (e.g. financial reports, audit provisions, etc.). For any programmatic and/or fiscal changes, prior sponsor approval is necessary;
- The contract between the University and sponsor addresses intellectual property, patent, and publication and/or data rights and requires protection of confidential information;
- The sponsor can revoke funding and/or require that unused funds to be returned;

Research: a systematic investigation and creation of new knowledge and/or the application of existing knowledge in order to generate new concepts, methodologies and understandings. It encompasses basic and applied research and product development.

Project Coordinator (PC): A Faculty or administrative staff member is the Project Coordinator, who has responsibility for the intellectual direction, conduct, and overall implementation of the project and the integrity of all collaborative relationships. S/he is accountable to IUS for managing, monitoring and completing the project. Only one individual is named PC in order to ensure clear lines of responsibility for project management. However, based on the sponsor's guidelines, PC may be able to assemble a project team consisting of other faculty members, administrative staff, students, external experts, capable of making necessary contributions to the project. PCs have to pay attention to all aspects of externally funded grants, including obligations to the University and to sponsors.

Project Proposal: A project idea submitted to OSP by faculty of administrative staff member in order to apply for internal funding or to seek permission to apply for external funding to a sponsoring agency.

Project Application: A request for financial support of a project idea submitted to a sponsoring agency.

Grant Agreement: a contract between two or more entities, which specifies the competent parties, purpose of the contact, legal consideration, mutuality of agreement and mutuality of obligation, meaning the parties involved voluntarily enter the contract and agree to follow its terms and regulations.

Project Engagement Agreement: a contract between IUS and faculty member. Once signed, a faculty member becomes the Project Coordinator for sponsored project/externally funded research.

The Project Proposal Review Committee for Internally Funded Projects: a committee, which reviews all project proposals submitted for IUS internal funding. Evaluation criteria examine the applicant's proposed idea, the project design, its potential impact and sustainability, and project team's relevant experience. Lastly, it evaluates at how well the proposed project idea supports the mission and vision of IUS.

ROLES & RESPONSIBILITIES

1. Office of Sponsored Projects

The Office of Sponsored Projects serves as a centralized management structure and an operational, support and service unit for all sponsored projects at IUS. As such, OSP provides information, administrative support and services.

The OSP is the primary administrative contact point for current and prospective Project Coordinators. The Office is headed by the Manager of the Office of Sponsored Projects, who reports directly to the Rector. The OSP advises and supports IUS community in securing funding and smooth execution of sponsored projects. More specifically, OSP:

- Acts as the University point of contact for all (sponsored and internal) projects:
- Serves as a resource and an information contact person for project opportunities, calls;
- Informs IUS faculty and staff about IUS application process and project implementation at IUS;
- Maintains expertise in preparing project proposals and organizes training sessions at IUS;
- Assists IUS faculty and staff in identifying and obtaining funding for research, training and scholarly activities;
- Guides faculty and staff through the project application process and gives full administrative support to the project team(s) in all project phases in order to enable them to focus on research/project activities;
- Submits received project applications and reports to the funding agency on the behalf of the project coordinator and IUS;
- Monitors the implementation of ongoing projects and ensures that the project is carried out within contract commitments;
- Maintains and augments University research portfolio, shares it with the community, industry, sponsoring organizations and other entities that may be interested in doing projects with university;
- Analyzes and proposes measures, which are meant to help university to have efficient and effective policy to attract sponsors and get employees interested in doing projects;
- Proposes policies, procedures, and guidelines in cooperation with the legal advisors and finance office in order to ensure compliance with IUS and state regulations;
- Communicates with the external partners;
- Provides timely and comprehensive flow of information and makes process of executing projects at university as smooth as possible for researchers and all parties involved;
- Consults with IUS Legal Department regarding the preparation of contracts, terms and conditions of sponsored projects;
- Consults with IUS Finance Office regarding sponsored projects budget and applicable national laws regarding payment procedures;
- Organizes training sessions and seminars on project phases, processes and certain grant opportunities;
- Conducts regular search for potential projects, available calls for domestic and international proposals, their guidelines and policies;
- Attends informational sessions and networking meetings organized by various organizations sharing information about funding opportunities;
- Maintains up-to-date database on all sponsored projects at IUS (i.e., keeps records, contracts, supporting documents)and keeps IUS management up to date on project progress;
- Maintains communication, disclosing outputs that may be commercialized on a timely basis and exercising due care in the protection of confidential information;
- Maintains the OSP website, which includes necessary information: IUS research policy documents and procedures;
- Performs other related duties as assigned by the Rector.

2. Finance Office

OSP works closely with the Finance Office to ensure financial compliance and proper accounting of externally sponsored funds.

Financial management responsibilities include:

- Informs OSP when funds are received from the funding agency/sponsor;
- Processes project payments and helps with payment calculations (i.e. Staff payments, registration fees, pays for project related travel and accommodation, issues invoices, etc.);
- Processes Travel Claims and Expense Forms;
- Assists with the equipment purchases;
- Prepares and provide documentation specific to the Finance Office, if requested by the sponsor;
- Ensures that all financial activities are in compliance with national financial regulations and informs OSP of any financial rules and regulations and/or changes related to financial reporting and payments;
- Tracks budget/book keeping and safe guarding of original receipts, as required by the law;

3. Legal Department

The OSP coordinates the contract review and negotiation process with Project Coordinators and legal advisors for all project related contracts.

The Legal Department:
- Reviews the contracts and provides legal advice in order to ensure that legal terms and conditions of the contract are acceptable to the University and that risk to the University is mitigated;
- Helps prepare contracts and review any other legal document and offers its expert opinion (e.g. staff contracts, mandates, etc.);

OSP coordinates the process of signing official agreements.

Project Coordinator

The Project Coordinator needs to be capable of successfully fulfilling his/her role as an award recipient. S/he is primarily responsible for conducting and successfully implementing the project and is subject to the policies and procedures determined by IUS and the sponsor. Project Coordinator ensures compliance with all University and sponsor requirements pertaining to the sponsored project, including but not limited to:

- adherence to all University and sponsor rules and procedures applicable to sponsored projects;
- successful completion/implementation of all planned project activities;
- timely submission of progress reports;
- effective and responsible use of external funds (in accordance with the award's terms and conditions and University policies);
- ensuring that approved research protocols for the use of human and animal subjects, and/or special chemical hazards in research are followed;
- Informing project members of appropriate health and safety procedures necessary for that particular research project.

2.1. Eligibility to serve as Project Coordinator

Eligibility to serve as Project Coordinator for any specific award must be in accordance with IUS and sponsor's terms and conditions. The Project Coordinator must be a full-time employee at IUS.

- **Faculty:** To apply for a sponsored project and serve as a Project coordinator, an individual must have a current faculty appointment at IUS.
- **Administration:** University administrator in leadership roles (i.e. directors and managers) can serve as a co-coordinator or a project team member but need to have direct supervisor's consent (i.e. Director/General Secretary) and Vice-Rector's approval to serve as project co-coordinator on externally funded projects. Administration staff can participate in one project. To participate in more than one project, it will need a special approval from Rector. Project Coordinator (faculty member) will list administrative staff as their project co-coordinator/project team member in the OSP Project Proposal Form.
- **IUS Lifelong Learning Center (LLC),** as a separate center within IUS, can also apply for projects. The LLC staff can apply for projects with their direct supervisor's consent and Rector's approval.
- **Graduate students:** If graduate students wish to apply for specific grants available to graduate students, they can apply only under the direction of an advisor who holds a faculty appointment. The faculty member will be considered the Project Coordinator at IUS and the graduate student co-coordinator even if the student, according to sponsor's requirements, needs to be listed as the Project coordinator on the grant application.
- **Outside collaborators:** Non-IUS faculty members cannot be Project Coordinators. Outside collaborators may be included in the projects through collaborative proposals, subcontracts and consultancies, if their expertise is needed.

3. Project Proposal Review Committee for Internally Funded Projects

The Project Proposal Review Committee is driven by the principles of quality, transparency, equality of treatment, confidentiality, impartiality and efficiency. The Committee reviews graduate and/or individual research projects previously announced through an open call.

The evaluation committee:
- Meets two times per year (at the beginning of each semester) to discuss submitted project proposals;
- Contacts the applicant in cases when additional information or clarification is necessary;
- Retains all evaluation forms, materials and notes;
- Provides its review and recommendation to the Rector. Once Rector receives the committee's recommendation, Rector can make a final decision.

OFFICE OF SPONSORED PROJECTS - POLICIES

OSP PROJECT PROPOSAL SUBMISSION POLICY

The policy outlines the university's position regarding the submission of project proposals for externally funded projects.

Project Coordinators are advised to submit their project proposal form at least two weeks prior to a proposal's due date. The Project Coordinator needs to submit completed applications to OSP at least seven business days before the sponsor's deadline or the project coordinator's chosen target submission date (e.g. if the application deadline is not set and application are received on a rolling basis).

If multiple project coordinators submit proposals for the same external grant, OSP will follow a first come, first served rule. Since a project application represents an official request for external funding on behalf of IUS and needs to be prepared in accordance with the sponsor's instructions. The project applications cannot be submitted by project coordinators to any external sponsor without prior approval from Rector. The Project Coordinator submits the Project Proposal Request form (F-104) to OSP, which delivers it to Rector.

If the project proposal is approved by Rector, OSP will help project coordinators with the administrative part of the application for the funding agency, prepare any supporting documents, and secure authorized signature. OSP submits the project application to the sponsor using their preferred submission method (i.e., electronic or paper). Submitting project applications before the deadline will minimize the risk of proposal rejection due to procedural issues. Any unauthorized submission may not be accepted and will require an explanation from the Project Coordinator to the Rectorate.

TRAVEL POLICY

The International University of Sarajevo (IUS) acknowledges the need for project-related travel in the performance of sponsored projects by Project Coordinator and/or other project team members. Project-related travel is defined as travel that is necessary and expected as a condition of fulfilling project objectives and requirements (i.e. project meetings, conference attendance, etc.). It must be justified, well documented and in compliance with the grant requirements.

Prior to making any travel arrangements and taking any project related trips, Project Coordinators are required to obtain approval for absence from work by filling out the Form F121 and submitting it to Human Resources. In addition, IUS Project Coordinator needs to submit to OSP: Travel Claim and Expense Report - Putni Nalog to the Office of Sponsored Projects and OSP Travel Request Form (F-144), which contain specific information related to the project and travel payments.

The faculty or administrative member, who needs to travel for project related activities, in order to be absent from work must seek previous approval from the head of his/her academic or administrative unit. Moreover, in order to ensure that all travel needs are met, the request should be submitted to the Office of Sponsored Projects four weeks prior to travel (if at all possible) in order to find and book affordable tickets and accommodation. When project

funding to subsidize a trip is requested, full disclosure of all trip details must be provided in order to process the request.

The Project Coordinator must provide original travel related receipts and other adequate documentation to support the accuracy of these expenses. The signature of the Project Coordinator confirms the accuracy of the information provided, including an attestation that travel expenses attached to the Travel Claim and Expense Report are all inclusive and applicable for the project and carried out in accordance to the Grant's terms and conditions and IUS Travel Policy that has been provided by the Finance Office. If the requestor is someone other than the Project Coordinator, the Project Coordinator needs to also sign his/her Travel Request Form (F-144). For any information related to the "Travel Claim and Expense Report - Putni Nalog", the Finance Office should be contacted.

Airline and Hotel Reservations
All airline and hotel reservations need to be booked ahead of time via the most direct route and the least expensive logical coach fare. Reservations will be booked by the IUS Finance Office once the Project Coordinator provides necessary information to OSP. Travel request forms need to get approved prior to reserving/booking any tickets and/or accommodation.

Conference registration
Conference registration needs to be paid through the Finance Office. Thus, requests for prepayment of conference registration fees need to be submitted 3-4 weeks in advance of any deadline, which will ensure that OSP and Finance Office have enough time to process the request, register the Project Coordinator and/or other project team members, and/or get any early bird registration discounts.

EQUIPMENT PURCHASE POLICY

IUS is committed to obtaining quality goods and services at the lowest reasonable cost, and operating at the highest standards of ethical conduct when using project funding. In order to request the purchase of necessary equipment, the Project Coordinator fills out the OSP Equipment Purchase Request Form (F-145). Equipment purchased with project funds or given to a project by the sponsor is assigned an inventory number. A physical inventory of all project equipment is taken every year and maintenance will keep the equipment in good condition.

Intended equipment purchases have to be included in sponsored project budget and budget justification. The terms and conditions of the sponsored project will dictate the allowability of equipment charges. Prior sponsor approval may be necessary in the event of an audit. If Project Coordinator determines that s/he needs additional equipment, which was not originally budgeted for, IUS, on behalf of the project coordinator, will formally contact the funding agency/sponsor and request an approval to purchase the requested equipment. Only if the purchase is approved by the sponsor, IUS will purchase the additional equipment.

All equipment purchased on grants and contracts is titled to IUS. IUS purchases equipment for the project when:
- Per Project Coordinator's request when the equipment purchase is clearly specified as necessary for project implementation and its cost included in the project proposal's budget;
- The project will be negatively impacted by not purchasing and having the equipment and
- The cost for the equipment is reasonable and in accordance with approved project budget.

The project coordinator will sign out the necessary project equipment from IUS at the beginning of the project implementation and return it to IUS after the project ends.

UNIVERSITY DIRECT - INDIRECT COST POLICY

Every sponsored project has Direct and Indirect Costs.

Direct Costs are specifically and easily identified with a particular project or activity and are allowable under the sponsoring organizations guidelines. Examples: personnel (salaries and wages, fringe benefits) and non- personnel components, such as: equipment, travel, materials and supplies, publication costs, subcontracting, external consultants, and tuition remission.

Indirect/overhead Costs are those costs that are incurred for common or joint objectives, and cannot be easily and specifically identified with a particular sponsored project, an instructional activity, or any institutional activity. They are indirectly be attributed to various activities and costs in the project (e.g. rent for labs, offices and facilities; office supplies, use and maintenance expenses of general office equipment (i.e. copiers, printers, computers, phones, fax machines), internet and telephone usage; HR and legal services; library services; research support; and general administration, institutional advertising), which cannot be claimed as direct costs. Administrative costs can then be both direct and indirect costs. Therefore, they are also referred to as "facilities and administrative costs (F&A)" or "overhead." The terms indirect costs, overhead costs, and F&A costs are synonymous. Please keep in mind that Indirect Costs are not meant to provide profit. They are the real costs of implementing the externally funded project.

Many sponsoring organizations provide indirect costs in addition to the direct costs of a grant or contract award.

For research projects, distribution of earnings will follow the "Decision on Establishment of Project Principles" and cannot be separately negotiated.

The number of personnel, recruitment of researchers, wages and starting and ending procedures should be initiated by the Project Coordinator and coordinated by OSP and Finance Office. General Secretary and HR Office also can be involved in this process if it is necessary. Priority must be given to engagement of the graduate students in realization of projects.

STAFF ENGAGEMENT AND PAYMENT POLICY

When preparing the project application and estimating the project personnel cost as well as all other project expenditures that project may incur during project implementation, the faculty/administrative staff member needs to calculate the gross amount, which covers the total cost, including the flat salary and all benefits and taxes.

Personnel must be employed under finite contract corresponding to the terms and conditions described in the Main contract of the project, and must begin the work only after all legal procedures are completed and all contracts prepared on time. No back-payments should be made in the project unless allowed and specified in the grant agreement.

Temporary personnel, who need to be hired for up to six months, will be employed with contracts prepared by the OSP with Legal Department and HR's guidance.

Temporary personnel deployed for up to six months will be employed with contracts prepared by the OSP with Legal Department and Human Resources' guidance. If the project is tied to a contract that binds IUS, a Confidentiality Statement is included in the Project Engagement Agreement, as well as signed with all contracted researchers/consultants working on the project.

Even in the case when faculty member receives no compensation for the time dedicated to the project, the time spent for the project shall be tracked for the resources utilization.

TUITION AND STIPEND POLICY FOR THE UNDERGRADUATE/GRADUATE STUDENTS ENGAGED IN PROJECTS

Payment of tuition and stipends are only allowed if there are specific activities included in the scope of work as proposed and awarded by the sponsor to students.

If external funding agency permits involvement of undergraduate/graduate students, the student work that is not identified explicitly as "stipend" will be considered "compensation" and should carry indirect costs. A sponsor may not allow tuition as a direct expense. Thus, it needs to be carefully checked and secure sponsor's approval first.

FINANCIAL REPORTING/BUDGET REALLOCATION & PAYMENT POLICY

The International University of Sarajevo, as the official recipient of sponsored funding, is required to keep accurate and complete financial records. When accepting extramural funding, IUS agrees to comply with the terms and conditions set forth by the sponsor. Therefore, all IUS faculty and staff involved with the project must comply with the policy and assure that received funds are appropriately expended. Allowable costs are those that are reasonable and allocable to the sponsored project and allowable under University and sponsor policy.

While the management of sponsored awards represents a shared responsibility, Project Coordinators have overall responsibility for the programmatic objectives of the research and making sure that they comply with all sponsors' terms and conditions. When preparing financial reports, the project coordinator must follow the sponsor's rule and use the forms they provide. If the sponsor does not provide its own budget spread sheet template or forms, the OSP can provide its own budget templates and forms. Therefore, the budget justification needs to explain how the budgeted costs relate to the project. It should include a detailed justification of the expense/service, its purpose and benefit for the project, cost, time period and any other information that might be useful for the sponsor. The project coordinator must follow the sponsor's policy regarding the unused funds.

Project Coordinator requests all payments and purchases by filling out and submitting the Payment Request Form (F-60) to OSP. The Finance Office processes payments, purchases equipment, keeps track of project finances/expenditures, which are also followed by OSP.

BUDGET REALLOCATION POLICY

Budget reallocation consists of moving funds from one budget category to another without increasing the total amount of the award. After a grant has been awarded, the project coordinator may determine that the approved budget allocations are not consistent with actual project needs. In this case, Project Coordinator contacts the Office of Sponsored Projects and fills out the Re-allocation of Funds Request Form (Form F-143). If sponsored awards allow revisions, the OSP will seek permission from the sponsor for the budget reallocation. After receiving an official approval from the sponsor, PC can use the reallocated funds.

OSP CODE OF ETHICS AND PROFESSIONAL CONDUCT

By accepting sponsored research awards, IUS and its Project Coordinators and other members of the project team agree to respect and follow the terms and conditions set forth in the contract. Project Coordinator and other members of the project team recognizes that each sponsored project is governed under the sponsor's terms and conditions and IUS internal policies.

Project Coordinators and other project staff involved in projects are expected to:

- Comply in good faith with all legal requirements applicable to IUS;
- Comply with IUS Rules and procedures and IUS Code of Ethics;
- Efficiently use external project funding and IUS resources;
- Carefully implement projects and regularly record and report results;
- Avoid conflicts of interest and respect Intellectual Property of others;
- Exercise caution in research (e.g. when using human subjects, animals, controversial topics, etc.); approval for these types of projects must be obtained in advance from IUS Ethics Committee;

Misconduct in project management is forbidden and represents a serious breach of the rules and procedures of the University and the terms and conditions set forth in both, the Grant agreement and IUS Engagement Agreement. For any uncertainty about the application and/or interpretation of relevant laws and policies, including the requirements in terms of compliance and reporting, OSP will seek legal and financial advice from IUS Legal Department and Finance Office. OSP will keep IUS Rectorate informed.

CLOSEOUT POLICY

In order to successfully implement sponsored projects, the project closeout policy must be followed. The policy provides guidelines to facilitate the timely and accurate closeout of a sponsored project in accordance with the sponsor's and IUS requirements.

Sponsors require a basic set of reports and supporting documents to be submitted in the previously agreed timeframe, which is stated in the terms and conditions of the sponsored award. The policy ensures, prior to sponsored award closeout, that all required work of the

sponsored award have been completed, including narrative and financial reports, as required by the terms and conditions of the sponsored award.

Before the sponsored project ends, the Project Coordinator must:
- Ensure all project activities are completed and project costs are incurred by the project end date;
- Determine whether the project will end with an unexpended balance and if that is the case, review terms and conditions of the award and act accordingly;
- Review project expenses for allowability, allocability, and reasonableness;

- Verify all payroll charges; ensure all terms and conditions of the grant agreement have been successfully fulfilled;
- If there is a possibility for project extension, the Project Coordinator must seek upper management's approval through OSP;
- Prepare the Final Project Report;
- Fill out the OSP Project Closure Form (F-146).

QUALITY ASSURANCE

IUS faculty and staff engaged in IUS projects are required to follow the terms and conditions set by funding agency, IUS Policies and Procedures, which include the OSP Code of Ethics and Professional Behavior.

For research involving humans, animals, genetic materials, personal information, health and safety, researchers should be committed to research ethics and need to obtain the appropriate approval from the Ethics Committee.

Confidential information will be clearly marked and protected. A Confidentiality and Intellectual Property Agreement will be signed with all members of the project, including students.

PROJECT MANAGEMENT PROCESES AND PHASES

The project management consists of countless processes, which consists of five phases covering both pre-award to post-award processes. In order to successfully implement project activities and complete the project, the University takes into consideration the guidelines provided by the external sponsors.

PROJECT MANAGEMENT PHASES FOR EXTERNALLY FUNDED/SPONSORED PROJECTS

While OSP supports project coordinators in all project phases, it follows a strict procedure, consisting of the following phases:
  a) Initiation phase
  b) Planning phase
  c) Implementation phase
  d) Monitoring and controlling phase
  e) Closure phase.

A. The Initiation phase
Submission of the Project Proposal Form to OSP

Any members of the University faculty who wish to submit proposals for externally funded grants and contracts should first contact OSP and submit the Project Proposal form (Form F-104) explaining the grant for which they would like to apply. Project coordinators must clearly state the type of benefits IUS would get from this project. By filling out this form, the faculty member guarantees that s/he has the necessary skills to perform the proposed work if the project gets selected.

All project proposals must obtain the appropriate approvals through OSP. For more information, please read the Project Proposal Submission Guidelines.

B. The Planning phase

The OSP delivers the Project Proposal form (Form F-104) to the Rector, who decides which project(s) will be submitted to funding agency. The OSP informs the faculty member whether his/her project has been approved. All project proposals require Rector's approval before submission to the sponsor.

After receiving an approval from the OSP, faculty member meets with the OSP and begins the application process. Faculty member has to provide the application to the OSP office seven business days before the sponsor's deadline.

OSP submits all project applications to the sponsors.

C. The Implementation Phase

If the faculty member is informed that s/he got an external grant, s/he must immediately inform OSP and provide the proposed contract from the funding organization.

The OSP and the Legal Department evaluate the sponsor's contract, terms and conditions. The Legal Department provides its legal expertise and informs the Rectorate and the OSP of any specific or unusual terms and conditions are included in the contract.

The Legal Department together with the OSP creates the Project Engagement Agreement, which is an agreement between the Project Coordinator and IUS.

D. The Monitoring and Controlling Phase

In addition to the progress reports defined in the project contract (e.g. quarterly, biannual, final - as specified in the contracts), Project Coordinators are obliged to submit project status reports to the OSP office when requested (Form F-142).

Project Coordinators, the Finance Office and OSP will work together to ensure that all financial rules have been followed and payments justified.

For project staff payments, the Project Coordinator fills out the OSP Payment Request Form (Form F-60) and submits it to OSP.

At any point, Rectorate and OSP can request the Project Status Report (Form F-142) from the Project Coordinator.

If Projector Coordinator needs to reallocate funds, with Sponsor's approval, s/he needs to fill out the OSP Reallocation of Funds Form (Form F-143).

For project related travel, project coordinator needs to follow the OSP Travel Policy, fill out the OSP Travel Request Form (Form F-144) and submit it to OSP.

If project requires the purchase of equipment, project coordinator needs to complete the OSP Equipment Purchase Form (Form F-145) and submit it to OSP.

If the Project Coordinator fails to meet his/her contractual obligations (i.e., provide reports on time, budget, and implement scheduled activities), the OSP Office reports to the Rectorate.

E. The Closure Phase

Project Coordinator ensures that the project is successfully completed according to the Sponsor's requirements and that it submits all project documentation to the OSP office. S/He needs to also complete the OSP Project Closure Form (Form F-146). Filling out the OSP Project Closure form and ensuring that the financial and narrative reports are submitted to the sponsor according to his/her requirements, represents an official closure of the project.

A project closure form is completed as it ensures that all project activities are finalized and project balances settled with Finance Office. Agreed amounts are then transferred to IUS or returned to the sponsor as specified in the contract.

PROJECT MANAGEMENT PHASES FOR INTERNALLY FUNDED/SPONSORED PROJECTS

IUS recognizes the importance of research. Thus, the University provides annual grants for faculty and their graduate students. Internally funded projects are limited to graduate student research projects. At the beginning of each academic year, the budget for internally funded projects is determined by the Board of Trustees and announced by Rector.

The approved project funding can be used for purchasing consumables (e.g. chemicals, analyzers, funnels, sample cups and containers, test tubes/caps, reagents, etc.), testing, and shipping.

Project Management Phases for Internally Funded Projects:

A. The Initiation phase

IUS faculty members submit the Project Proposal form (Form F-104) together with the proposed budget to OSP. Each faculty member can request funding for up to a) two Master thesis project and one PhD thesis, b) three Master thesis projects or c) two PhD thesis projects. If a study program does not have a Master program, academic members of the study program can request funding equal to the limits of Master thesis projects. Faculty member cannot apply for additional internally funded projects until the already approved projects are completed.

OSP checks whether the form was filled properly and contains all relevant information.

B.   The Planning phase

The OSP delivers the form to **the Project Review Committee for Internally Funded Projects,** which consists of three members: the Dean of the Faculty, one member of the IUS Faculty, and third member (i.e. a member of Board of Trustees or another Faculty member). The Project Review Committee will evaluate the submitted project ideas and determine which projects will be internally funded (Form F-147).

If the full amount asked is not approved, the faculty member will need to submit a modified budget to the OSP office.

Faculty member who gets an internally funded project is considered a Project Coordinator. Thus, s/he ensures compliance with all University and OSP's requirements.

C.   The Implementation phase

Project Coordinator ensures compliance with all IUS requirements pertaining to the internally funded project, including but not limited to:

- adherence to all IUS procedures applicable to internally funded projects;
- successful completion/implementation of all planned project activities;
- timely submission of progress reports for projects longer than six months;
- effective and responsible use of approved funds, meaning: expenditures need to be reasonable, necessary, and limited to the funds awarded for the project.

The awarded grant can only be used under previously specified conditions and any changes related to the use of the grant will be subject to prior approval by the Rector.

D.   The Monitoring and Controlling Phase

Project Coordinators are obliged to submit the Project Status Report to the OSP office every six months (Form F-142). At any point, Rectorate and OSP can request the project status report from the Project Coordinator.

Project Coordinators have to keep a detailed budget expense sheet and share it with OSP.

E.   The Closure phase

 Project Coordinator submits either the OSP Project Closure Form (Form F-146) or a Master/PhD thesis with updated budget consisting of all project expenditures.

This Rulebook supersedes and replaces all previous policies and procedures which regulated the subject items from this Rules and Procedures.

PRESIDENT OF BOARD OF TRUSTEES

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Prof. Dr. Sevgi Kurtulmuş

FORMS

1. OSP Payment Request Form (F-60)
2. OSP Project Proposal Form (F-104)
3. OSP Project Status Report (F-142)
4. OSP Reallocation of Funds Form (F-143)
5. OSP Travel Policy and fill out the OSP Travel Request Form (F-144).
6. OSP Equipment Purchase Form (F-145)
7. OSP Project Closure Form (F-146)
8. OSP Project Proposal Evaluation Form (F-147)