



MBARARA UNIVERSITY OF SCIENCE AND TECHNOLOGY

GRANTS MANAGEMENT POLICY

Approval Level 1	Directorate of Research & Graduate Training Board	Approved
Approval Level 2	University Policies Committee	Approved
Approval Level 3	University Top Management	Approved
Approval Level 4	Finance, Planning & Development Committee of Council	Approved
Approval Level 5	Legal, Rules & Privileges Committee	Approved
Approval Level 6	University Council	Approved

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Abbreviations and Acronyms

DRGT:	Directorate of Research and Graduate Training
DTA:	Data Transfer Agreement
FOA:	Funding Opportunity Announcement
GAP:	Generally Acceptable Procedure
GMSC:	Grants Management Steering Committee
IDCs:	Institutional/indirect Costs
MGO:	MUST Grants Office
MUST:	Mbarara University of Science and Technology
PI:	Project Director/Principal Investigator
PD:	Project Director
PPDA:	Public Procurement and Disposal of Assets
SOP:	Standard Operating Procedure

Operational Definitions

Administrative costs: Expenses incurred for collective activities that cannot be clearly and unequivocally attributed to a specific project.

Central Administration: All non-teaching Units mentioned in this policy excluding Directorates, Institutes and Centers.

Conflict of Interest: Applies to individuals who evidently profit from a favorable outcome (e.g.co-applicants). Approving a request as part of a member's stewardship responsibilities within the University does not necessarily constitute a conflict of interest.

Department: A Unit of the University devoted to a particular discipline.

Direct Costs: Costs directly attributable to an activity.

Donation: Anything of value, such as goods or money volunteered to the university for charity and for a good cause.

Employees: Full-time and part-time employees (of all ranks and statuses), including support staff.

External Funding: Finances that the University receives from outside the Consolidated Fund.

Full Cost: Total of the direct and applicable indirect costs of a research activity.

Grant: Funds that are not refundable and provided to the recipient by a party, such as governmental agencies, corporations or foundations, like an individual, non-profit organization.

Grants Committee: A University Committee tasked with overseeing the Grants Office.

Grants Management: Includes Pre-award activities (grants searching and proposal development up to submission) as well as Post-award activities (Grants Administration).

Indirect costs (IDCs) or Institutional Costs or Facilities Costs: These costs represent expenditures related to a project that cannot be easily defined by reference to the specific funding award, contract or project function or activity, but are essential for the organization's overall functioning and the execution of its activities.

Internal Research Funds: Finances that the University receives from the Consolidated Fund.

MUST Unit: A university department, Center, Institute, Faculty or Directorate.

Post-award: Activities that are initiated after receiving a grant for the submitted application.

Pre-award: Activities prior to official funding notification of a submitted proposal.

Principal Investigator (PI): Responsible for proposal development and project execution. Connects the institution to donors and take responsibility for project success.

Research: The deliberate investigation and artistic production that broadens and deepens human understanding.

Solicitation: A document that provides the requirements and instructions for the submission of applications for funds to sponsors by eligible applicants.

Subcontractor: A firm or someone who is hired to carry out work according to an agreed scope of works

Citation

This policy may be cited as “the Mbarara University of Science and Technology Grants Administration and Management Policy, 2023.

1.0. The Introduction

Mbarara University of Science and Technology (MUST) as established in 1989 is committed to ensuring a favourable environment that supports research, infrastructure development and other University activities through resource mobilization whilst practicing the highest ethical standards of managing the acquired resources. This policy focuses on external funds. The administration of internal research funds is provided for in the Internal Research Grants Management Policy earlier approved on 24th June 2022.

2.0 Context of Policy and Problem Statement

The University Mission is “To provide quality and relevant education at national and international levels with particular emphasis on science and technology and its application to community development.” At the beginning, the MUST depended entirely on Government funding; however in order to achieve its mission, cope with the increasing staff and student population, the University expanded its source of funds to include privately sponsored students’ fees, donations, research and development grants necessitating a need for a strong grants management system.

3.0 Core Values

In order to achieve its Mission, MUST is guided by the following Core Values:

- i. Excellence
- ii. Innovativeness
- iii. Professionalism
- iv. Teamwork
- v. Respect for diversity.

4.0 Justification

Various Units of the University have been successful in soliciting and obtaining grants leading to substantial grants portfolio which offer great opportunity for research and training. The development of this policy is, therefore, intended to enhance the management of grants and contracts within the University as well as providing a supportive ecosystem for grants mobilisation and administration.

5.0 Goal

This policy sets the standards for development, implementation and maintaining meaningful grant oversight and coordination at the University.

6.0 Objectives

- i) To improve efficiency of grant related procedures through establishment of a framework for grants management.
- ii) To define procedures, requirements and Units/personnel responsibilities in the management of grants.
- iii) To promote external and internal transparency in the management of grants at MUST.
- iv) Provide information about the existing laws, guidelines and work protocols related to grant management.
- v) To establish a platform for grants monitoring within the University.
- vi) To describe the University procedures for subcontracting a grant.
- vii) To establish an effective and accountable framework for data transfer and use.

7.0 Scope

This policy applies to all grants for research, infrastructure, consultancies, training programs and service delivery applied for by MUST Faculty and persons affiliated to MUST.

This policy covers all aspect of grants including but not limited to: identification/solicitation of funding opportunities, proposal development and submission, award negotiation and acceptance, financial account set-up, award management, award close out; sub contracting; data transfer and use, and overhead or indirect costs.

8.0 Policy Environment and Legal Framework

8.1 Legal Framework

This policy is in compliance and must be read and applied alongside the following, but not limited to, Laws and policy frameworks of Uganda:

- i) Constitution of the Republic of Uganda (1995), as amended (2018).
- ii) Universities and Other Tertiary Institutions Act 2001 as Amended in 2003 and 2006.
- iii) Uganda Public Finance Management Act 2015.
- iv) National Standards Indicators.
- v) National Development Plan.
- vi) Other laws, policies and regulations governing the University including Acts of Parliament, Ministerial Policy Instruments and Government Circulars.

8.2 Related Policies and Documents

- i) MUST Overhead Policy 2010.
- ii) MUST Finance and Accounting Manual 2010.
- iii) MUST Intellectual Property Policy 2018.
- iv) MUST Innovations Policy 2018.
- v) University Research Policy 2019.
- vi) MUST Strategic Plan 2020/2021 – 2024/2025
- vii) MUST Human Resources Manual.
- viii) Relevant statutes enacted by the University Council.

9.0 Policy Interpretation

- i) The University Council shall determine and approve the policy.
- ii) The University Council's definition, interpretation, application of these rules and the decision on any policy matter shall be final.

10.0 Policy Implementation Framework

10.1 Standard Operating Procedures (SOPs)

- i) All grants shall be declared to MUST Grants Office (MGO) to be captured into its database.
- ii) MGO shall declare new grants to Minister of Finance and Solicitor General of the Ministry of Justice and Constitutional Affairs.

- iii) Grants shall be declared to University Council for approval and inclusion into the University off-budget estimates.
- iv) MGO shall be the custodian of the inventory of grant assets and those to be taken up by the University shall be entered into MUST Assets Register at the closure of the grant.
- v) MUST shall be recognized in all publications from grants.
- vi) The MUST Intellectual Property Policy shall be applied in all grants-related Copyrights and or intellectual properties.
- vii) Council shall consider the grant closure report.

10.2 MUST Grants Office (MGO)

- 1) The MUST Grants Office (MGO) established by University Council (2010) followed the need for a centralized grants office to manage grants awarded to MUST, to allow researchers devote time towards the science of their projects. MGO shall perform the following functions:
 - i) Identify the funding opportunity announcements, share with the Faculty as well as updating the database of the call for proposals.
 - ii) Register MUST on the platforms of relevant agencies providing funding and be the custodian of the registration numbers including but not limited to (DUNS: 8504524030000; FWA: FWA00007740; EIN: 1900217143A1, etc)
 - iii) Check eligibility and assist in formation of teams to respond to the calls for proposals.
 - iv) Support in budgeting process taking care applicable administrative/ indirect costs.
 - v) Securing relevant clearance and support documents in advance necessary before or at submission.
 - vi) Provide support in proposal submission.
 - vii) Coordinate the grant negotiation process.
 - viii) Ensure University policies, national laws and project specific requirements are adhered to.
 - ix) Provide guidance in consultation with the University Accounting Officer regarding setting up a dedicated project account.
 - x) Oversees the finance administration of awards through tracking project expenditure, financial reporting and verification of accountabilities.
 - xi) Oversees the procurement function of projects in collaboration with the University Procurement Unit.
 - xii) Manage the projects' personnel including recruitment, appraisal and maintaining their contracts.
 - xiii) Manage projects assets including tracking dates of acquisition, engraving and periodical stock taking.
 - xiv) Ensure PIs comply with the provisions of the signed grant contracts.
 - xv) Ensure that project closure follows the approved Standard Operating Procedure.
 - xvi) Regularly update the grants database.
 - xvii) Be the Secretariat to the Grants Management Steering Committee.
 - xviii) Perform monitoring and evaluation during project implementation.
 - xix) Submit reports to University Management in accordance to the existing regulations..
 - xx) Submit financial reports to funders as per the schedule in the signed agreement.

- 2) The MGO shall be comprised of the following:
 - i) The Unit Head who shall be the Grants Manager.
 - ii) Other staff as determined by the University as necessary for the Unit to effectively operate, specifically: Senior Finance Officer, Human Resource Officer, Monitoring and Evaluation Officer, Finance Officers Grants Officers (Pre-Award Officer and Post-Award/Compliance Officer), Information Technology Officer, Administrative Assistant, Assistant Grants Administrator -Procurement, Accounts Clerk, etc (Annex 1). Additional staff may be recruited for specific projects if provided for in their budgets.
- 3) The Grants Manager shall report to Director, DRGT. Other staff within MGO shall report to the Unit Head through the established reporting pathways.
- 4) There shall be a Grants Management Steering Committee (GMSC) to perform the following:
 - i) Consider and recommend MGO Budgets and work plans.
 - ii) Consider and recommend MGO reports before they are submitted.
 - iii) Advise on monitoring and reporting performance of grants.
 - iv) Advise Management in establishment and maintenance of collaboration with research institutions and other stakeholders to enhance the MGO grants portfolio.
 - v) Provide guidance in resolving conflicts arising from grants.
 - vi) Advise Management on grants managed outside MGO.
- 5) The GMSC shall be comprised of the following:
 - i) One (1) representative from the University Planning Department.
 - ii) One (1) representative from the University Legal Department.
 - iii) Two (2) DRGT Board Members
 - iv) One (1) External representative from another University or Research Institution/Organization
- 6) The Grants Manager shall be Secretary to the Committee.
- 7) The Committee shall have a Chairperson who shall be nominated amongst the members at the first sitting. The nominee shall be forwarded to the Vice Chancellor for Appointment.
- 8) The quorum shall be three (3) members.
- 9) The Committee shall serve four (4) years that is renewable once.

10.3 University Grants Management Structure

All grants and donations shall be received by University Secretary who is the Accounting Officer and shall be managed as depicted in Annex 1.

10.4 Roles and Responsibilities of different Units in Grants Management

i) The University Council

The University Council shall approve the governing policies and appropriate all grants and donations at the University.

ii) Vice Chancellor

The Vice Chancellor shall in charge of:

- a) Policy implementation.
- b) Grants management oversight.
- c) Grants Management Steering Committee Appointment.

iii) Deputy Vice Chancellors (DVCs)

- a) DVC (AA) shall be responsible for the Vice Chancellor in the oversight role of research outputs.
- b) DVC (F&A) shall be responsible for the Vice Chancellor in the oversight role of grants and donations in the University.

iv) The University Secretary

- a) Accounting Officer of all grants and donations.
- b) Sign grant agreements, contracts and memoranda of understandings with funders on the advice of GMSC.

v) The University Bursar

- a) Open dedicated project Accounts (where necessary).
- b) Review project ledgers and confirm accuracy.
- c) Provide support during audits.

vi) Principal Investigator (PI)

- a) Reports to MGO early in the process of responding to FOA to ably get support in a timely manner.
- b) Leads the research team in developing the proposal until submission.
- c) Prepares or contributes to the budget preparation ensuring that appropriate administrative or indirect costs are taken into consideration.
- d) Requests from the University Secretary for dedicated project account set up (where necessary).
- e) Initiates grant negotiation and implement project activities based on work plan.
- f) Ensures the project implementation procedures are consistent with internationally recommended standard research designs.
- g) Ensures compliance with University policies and regulations, local and international laws.
- h) Directly or indirectly gets involved in data or material transfer to collaborating partners.
- i) Is the point of contact with the funding agency.
- j) Supervises and manage of the project implementation team.
- k) Ensures timely and accurate reporting to funder and the University Management.
- l) In consultation with MGO, requests for budget redirection, carryovers and project extensions (cost and no-cost).
- m) Follows standard operating procedure for project close out.

vii) The Legal Unit

Reviews legal instruments, documents, material and data, identifying issues of legal concerns that require clarity and proposes amendments.

viii) Internal Audit Unit

Provide independent assurance on risk management and ensures that internal control processes effectively operate.

ix) Procurement Unit

- a) Provide guidance through which investigators may procure goods and services using grant funds.
- b) Ensure that purchases are in compliance with national laws and as specified in the contract.
- c) Prepare fair market value assessment.

10.5 Unpermitted Grants

MUST shall not accept grants/donations from the following agencies:

- i) Agencies planning to promote social disorder.
- ii) Terrorist organizations or those linked them.
- iii) Agencies planning to promote discrimination.
- iv) Agencies not allowed to conduct activities in Uganda.

10.6 Grant pre-award processes

All activities performed before the grant is awarded to MUST that is starting with searching for available Funding Opportunity Announcements to proposal submission.

10.6.1 Registration on funding platforms

Some funding agencies require new and or returning institutions to register on their portal before submitting a new application. MGO shall register MUST on such funding portals and shall share the login details with the Faculties through the institutional platforms.

10.6.2 Solicitation

- i) MGO shall notify all University staff about the availability of the FOAs.
- ii) MGO shall guide those interested in responding to the call to constitute team as a strategy to prevent multiple submissions from MUST.
- iii) MGO shall share with the writing teams the information required to submit the proposal.

10.6.3 Developing the proposal

- i) The PI shall lead the constituted team in proposal preparation in consideration of the call guidelines and University policies.
- ii) He/she shall ensure quality and completeness of the different proposal sections

- iii) MGO shall provide additional support to the team through constructing the proposal development checklist, edits, contacting officials to get support documents and collecting them into one folder, identifying and sharing the required budget and budget justification templates that comply with the funder and national/institutional legal requirements.
- iv) Grant project budgets shall be made to include all appropriate administrative costs (indirect costs).
- v) The University Council shall approve any cost sharing commitments where necessary.

10.6.4 Submission of the Proposal

MGO shall support the PI to review all the sections of the proposal as outlined in the call guidelines before submission. These include: general completeness, budgets and budget justification, accuracy of the information, legal appropriateness (with support of the Legal Unit where necessary), institutional administrative/indirect costs.

10.6.5 Sub-contracting

Some projects may be complex by design necessitating to hire experts in specialized fields in partner institutions (Subcontractors) while the PI retains the overall responsibility for project implementation including closure (see subcontracting guidelines).

10.7 Post Award Management Processes

Refer to actions that take place after signing the contract and the agreement is made. It entails implementing the grant while adhering to the terms and conditions specified in the contract and starts with the award notification to close-out.

10.7.1 Negotiating the Contract and Accepting the Award

This stage includes activities taking place following proposal submission through signing of the award until account set-up. The PI shall take the lead in negotiating the contract and shall be assisted by MGO in consultation of the Legal Department. The Contract shall be signed by the University Secretary in consideration of the Funding Agency Terms and Conditions following National Laws and University Policies as guided by the Legal Department. The grant shall be included in the off-budget estimates after Council approval.

10.7.2 Implementation of the Project

The PI shall be the leader in implementing the project from initiation to its successful completion as outlined in section 10.4(vi).

10.7.3 Sub-award Considerations

When necessary, MGO shall prepare the sub-award agreements that shall be signed by the designated officials (see section 11.0: Subcontracting Grants).

10.7.4 Procurement

The Assistant Grants Administrator in charge of procurement resident at MGO shall assist in all projects procurement-related procedures working with the University Public Procurement and Disposal Unit (PPDU) as stated in see section 10.4(ix).

10.7.5 Management of Project Equipment

Projects shall acquire and use equipment as per the signed contract. At the closure of the project, all equipment shall revert to the University. Equipment shall be disposed off as per the Public Procurement and Disposal of Public Assets Act (PPDA).

10.7.6 Funds Management

Management of grant funds shall follow the existing University procedures coordinated by the MGO as guided by the approved budgets. MGO in consultation with the PI shall prepare requests for budget modifications that may include carry-over, re-budgeting, redirection and extensions.

10.7.7 Compliance Requirements

Compliance ensures that grant funds are properly used guided by the signed contract. Although there are generic compliance standards, each grant may have some unique requirements that may include but not limited to scientific/activity and financial reporting as well as handling data described in sections 10.7.8 and 10.7.9.

MGO shall:

10.7.8 MUST Reports

- a) Principal Investigators shall submit quarterly reports to MGO that include the following:
 - i) Progress on the execution of the planned activities.
 - ii) Achieved deliverables.
 - iii) Difficulties encountered and alternative strategies to solving them.
- b) The MGO shall consolidate and submit the quarterly reports to the University:
 - i) Progress on the execution of the planned activities. The report shall include the project title, funder, study objectives/purpose, study period, total budget, achieved deliverables, Principal Investigator and Faculty/Unit of Principal Investigator.
 - ii) Difficulties encountered and alternative strategies to solving them.
 - iii) The comprehensive financial reports in consultation with the Principal Investigator.
 - iv) Grants management indicators in totality: FOA circulated to the University community, proposals successfully submitted, current grants portfolio, new grants received and updated into the Grants database.
- c) MGO shall submit the report to University Secretary through the GMSC.

10.7.9 Funder Reports

The MGO is the custodian of projects' signed contracts and the database of sponsored grants at MUST. The Unit shall be enhanced to automate the project reporting schedules to ably signal the approaching deadlines. The signals shall be relayed to the PIs and their Project Coordinators. All reports shall comply with the signed contracts. The Principal Investigators shall submit the Scientific/Technical reports to the funder and copy to MGO. MGO shall submit the financial reports to the funder after consultation with the Principal Investigator.

10.8 Grant Closeout

Closeout takes place before or at the end of the project or project termination. Depending on the funder, an Awardee may receive a notification to closeout within 30 days before the project official end date. The closeout process shall be guided by the University SOP to ensure that: the final report is submitted to the funder and assessed accordingly, all allowable costs are assessed, funds due to the funder or investigator are considered and project properties are accounted for.

10.8.1 Funding Agency closeout requirements

Following the Funder's notification to closeout, the PI will work with MGO and other relevant MUST Units/Departments for a smooth closeout process. Financial closeout shall focus on the finalization of the total expenditure and the remaining funds, meeting the cost sharing arrangements (where specified in the contract) and final audit. Administrative (including storage of documents) and human resource closeout as well as final performance report shall be considered. In the case of unutilized funds, the PI shall work with MGO to request for no-cost-extension if the funder allows.

10.8.2 MUST considerations in grants closeout

The MGO shall notify the GMSC and other stakeholders of an upcoming closeout exercise for a project coming to an end. The closeout exercise shall follow the University Closeout SOP.

11.0 Subcontracting Grants

11.1 Background

Subcontracting is a situation when considerable project activities are to be carried out in a partner Organisation/institution. The activities involved must constitute a significant portion of the sponsored research program and require leadership and direction of a responsible investigator located at the worksite of the partnering institution.

11.2 Objective

To streamline and institutionalise the subcontracting processes at MUST

11.3 Subcontracting process

a) Need for a sub contract

During the proposal writing phase, the research team may require a subcontractor/consultant to bring in an expertise that is not available at MUST. The PI shall determine the need for a subcontractor.

b) Conflict of interest

PIs shall declare that there is no conflict of interest in the third-party subcontracting process. Subcontracts should not be awarded to third parties where the PI has ownership or substantial equity, and where he/she will receive individual gain from the arrangement. If this is the PI's desire and these conditions exist, any subcontracts should be brought to the attention of the Director DRGT to seek guidance from the GMSC.

11.4 Subcontractor Identification and Approval

a) Obtaining Sponsor Approval for a Subcontract

The Funding Agency approval is required in virtually all cases for subcontracting. In the most desirable way, the request should be included in the proposal at the submission stage, where it can be approved along with the project. The proposal should include a scope of work for the subcontractor, the subcontractor selection criteria and a justification for the use of the subcontractor. A letter of support indicating the subcontractor organization's willingness to participate and fully signed by an official authorized to commit the organization should be submitted before finalization of the project proposal. The estimated funds to be spent on the subcontractor shall be included in the proposal budget.

i. For those cases where a subcontract is not requested at the proposal stage:

Prior written approval of the proposed Sub Awardee may be required from the funder before a subcontract can be issued. In such an instance, all of the information required at the proposal stage should be submitted to the funder / lead partner in a letter requesting approval for subcontracting.

ii. When the PI Cannot Identify a Subcontractor: Issuing a Request for Proposal (RFP)

If work must be subcontracted and the PI cannot identify a subcontractor, a Request for Proposals should be prepared, in conjunction with MUST Procurement Office to competitively identify organizations that are technically qualified to do the work in line with the PPDA Act.

iii. Subcontractor assessment

MGO in collaboration with the PI shall assess the technical and financial capacity of the subcontractor. The following information may be requested: audited financial statements for the last two years, evidence of similar work performed of at least five projects or if not present, a justification be done by the PI as to why that subcontractor has been identified; curriculum vitae of relevant personnel to be involved in the project including finance and administration personnel.

11.5 Responsibility for policy implementation

When MUST receives an award containing provisions for a subcontract, MGO shall prepare the subcontracting agreement. MGO shall require confirmation that the project PI has evaluated and approved the subcontractor's budget and scope of work.

Terms and Conditions: The prime grant, contract or cooperative agreement is the guiding document in determining the terms and conditions that must be included in the subcontract. MGO will discuss the subcontract agreement with the subcontractor. In cases where a subcontractor was identified at the proposal writing stage, such a subcontractor shall be informed that the grant has been awarded. The relevant rules and requirements of the grant or contract document shall be shared with the subcontractor. The subcontracts should meet all legal, financial and reporting requirements. A formal agreement will be executed between the parties and shall cover the following: timelines of reports, quality and quantity of the work performed, the cost and results of the work, the methods used in performing the work and any other project requirements.

11.6 Subcontract Monitoring

a) Subcontract Administration: Monitoring and Compliance

MGO shall be responsible for the subcontractor's performance, both programmatic and administrative. Adequate administration must be maintained during the period of performance to ensure conformance with (1) technical terms, conditions and specifications, (2) cost performance and payment provisions, and (3) audit requirements.

Regular meetings with the subcontractors should be organized as need arises. This ensures that the PI is clear about the implementation of the activities. The meetings should be held at least once per quarter.

The subcontractor will be provided with the required materials for the successful implementation of the work as provided for in the agreement.

All subcontracted organizations shall comply with the grant agreements maintaining the following information:

- i) Accounting records, documentation and data that accurately indicate the use of the resources received. These include but not limited to the general ledger reflecting all accounting transactions as well as the third party supporting documents as evidence of payments.
- ii) Detailed budgets for the resources received and used i.e. maintain budgets versus actual incurred. In circumstances where the subcontractor has an invention, patenting, copyright and other intellectual properties will be done according to MUST policies in consideration of donor regulations on such issues.

MGO is mandated to provide guidance to the subcontractor organization by monitoring the grantee performance and progress as well as ensuring the following:

- i) That the grantee monitors and evaluates impacts of their own activities.
- ii) Continuous review of the grantees financial management and segregation of duties.
- iii) Obtaining financial reports and review for compliance with the grant financial plan and budget.
- iv) Maintaining all files for the subcontractor in good order.
- v) Monitoring the cost-sharing contribution if applicable.
- vi) Conducting site visit as and when required

b) Suspension or Termination of a Subcontractor

In cases where the technical monitoring reports that the subcontractor has not achieved the performance standards or if the financial review or audit identifies major deficiencies, MUST may suspend and or terminate the subcontractor. The subcontractor shall be informed in writing on the specific actions that must be implemented in a given period. In serious situations such as misuse of funds, termination shall be done immediately. The terms and conditions for suspension, debarment or termination shall be stipulated in the grant agreement. In cases where funding is reduced, interrupted or terminated, the subcontract agreement will be revised accordingly.

c) Invoicing

The subcontract agreements shall specify that invoices from the subcontractor be sent to MGO. On receipt, the invoices shall be reviewed for adherence to the subcontract agreement and budget, and payment process will begin in line with the MUST Finance and Accounting Procedures.

d) Internal policies

Subcontractors are required to have robust internal policies to ensure compliance with legislative undertakings and general good practice and make certain that policies are regularly updated and effectively implemented, the requirements of which are identified in the contract.

e) Sub contract Closeout

The subcontracting agreement shall specify the administrative requirements for completing the work in line with MUST closeout SOP.

12.0 Agreement on Data Transfer and Usage (DTA)

Provider:	Recipient:
Mbarara University of Science and Technology	Institution:
Provider Scientist:	Recipient Scientist:
Name:.....	Name:
Email:.....	Email:.....
Agreement Term:	Project Title:
Start Date: Date of last signature below
End Date: 1, 2, 3, 4etc years after Start Date	Attachment Type:

12.1 The aim of the Data Transfer and Usage Agreement.

To prevent misuse of data and to facilitate early dialogue between partner institutions on data handling and usage.

12.2 Terms and Conditions

- i. Provider will provide the datasets listed in Appendix 1 ("Project Data Specific Information") to Recipient for the specified research purposes.
- ii. Provider retains ownership of all rights it has in the Data, and Recipient shall have no rights in the Data other than those set forth herein.
- iii. In Appendix 1, the reimbursement of expenses for data preparation, editing and transmission is provided to recipients, if necessary.
- iv. Recipient may not use the Data except as permitted by this Agreement. The data will be used only to carry out the project and will be provided to Recipient scientists and Recipient personnel (faculty, staff, fellows, students and Recipient representatives) and associates who need to use or provide the data (defined in Appendix 2) only. Services referencing data related to the Project and obligations to use it are subject to the terms of this Agreement (collectively, "Authorized Parties").
- v. Except as permitted by this Agreement or required by law, Recipient will retain control of the Data and may not disclose, share, sell, rent, or disclose the Data to third parties to permit it to do so..
- vi. The Recipient must maintain suitable administrative and technical measures to prevent unauthorized usage or access of the Data and to comply with other protection requirements as outlined in Annex 3
- vii. All applicable laws, regulations, and professional standards must be followed by the recipient in their use of the data.

- viii. The Provider will review the proposed manuscript (within 30 days) or abstract (within 10 days) before the Recipient submits it for publication or publicly discloses results of the project.
- ix. The Recipient agrees to recognize the contribution of the Provider as the source of the Data in all written, visual, or oral public disclosures concerning Recipient's research using the Data, as appropriate in accordance with scholarly standards and any specific format that has been indicated in Attachment 1.
- x. Unless terminated earlier in accordance with this section or extended via a modification in accordance with Article 13, this Agreement shall expire as of the End Date set forth above. Either party may terminate this Agreement with thirty (30) days written notice to the other party's Authorized Official as set forth below. Upon expiration or early termination of this Agreement, the Recipient shall follow the disposition instructions provided in Attachment 1, provided, however, that the Recipient may retain one (1) copy of the Data to the extent necessary to comply with the records retention requirements under any law, and for the purposes of research integrity and verification.
- xi. Except as provided below or prohibited by law, any Data delivered pursuant to this Agreement is understood to be provided "AS IS." The provider makes no representations and extends no warranties of any kind, either expressed or implied. There are no express or implied warranties of merchantability or fitness for a particular purpose, or that the use of the data will not infringe any patent, copyright, trade mark, or other proprietary rights. Notwithstanding, the Provider, to the best of its knowledge and belief, has the right and authority to provide the Data to the Recipient for use in the Project.
- xii. Except to the extent prohibited by law, the Recipient assumes all liability for damages which may arise from its use, storage, disclosure, or disposal of the Data. The Provider will not be liable to the Recipient for any loss, claim, or demand made by the Recipient, or made against the Recipient by any other party, due to or arising from the use of the Data by the Recipient, except to the extent permitted by law when caused by the gross negligence or willful misconduct of the Provider. No indemnification for any loss, claim, damage, or liability is intended or provided by either party under this Agreement.
- xiii. Neither party shall use the other party's name, trademarks, or other logos in any publicity, advertising, or news release without the prior written approval of an authorized representative of that party. The parties agree that each party may disclose factual information regarding the existence and purpose of the relationship that is the subject of this Agreement for other purposes without written permission from the other party provided that any such statement shall accurately and appropriately describe the relationship of the parties and shall not in any manner imply endorsement by the other party whose name is being used.
- xiv. Unless otherwise specified, this Agreement and the below listed Attachments embody the entire understanding between the Provider and the Recipient regarding the transfer of the Data to Recipient for the Project:
 - a) Attachment 1: Project -specific Information
 - b) Attachment 3: Identification of Permitted Collaborators (if any)
 - c) Attachment 2: Data-specific Terms and Conditions

- xv. No modification or waiver of this Agreement shall be valid unless in writing and executed by duly-authorized representatives of both parties.
- xvi. The undersigned Authorized Officials of Provider and Recipient expressly represent and affirm that the contents of any statements made herein are truthful and accurate and that they are duly authorized to sign this Agreement on behalf of their institution.

By an Authorized Official of Provider:	By an Authorized Official of Recipient:
.....
Signature	Signature
Name:.....	Name:.....
Title/Role in project:.....	Title/Role in project:.....
Address:.....	Address:.....
.....
Email:.....	Email:.....
Tel:.....	Tel:.....

13.0 Overheads/ Administrative Costs Consideration in Grants

Overheads also known as Indirect Costs (IDCs) or Facilities Costs or Administrative Costs are incurred for common or joint objectives and cannot be easily and specifically identified with a particular project of institutional activity. Therefore, the terms indirect cost, overhead costs, facilities and administrative costs are synonymous.

These IDCs relate to the use of institution's facilities and administrative support but cannot be claimed as direct costs. IDCs are critical to implementation of institutional activities and are important for the success of institutional projects as well as for the institution hosting the project as they are incurred for common objectives within the institution.

While some funders prescribe the percentage of IDCs to be charged on a grant, others allow for institutions to use their own rates, yet others simply do not allow overhead on a grant. In order for MUST to be competitive, an overhead cost of 15% as approved by Council in 2010 will be charged on grants. Where the above percentage is not applicable and or require a waiver, the University Council's decision shall be sought through the Vice Chancellor.

13.1 Project IDCs distribution and Use

Where overheads are allowable on a grant, the collectable overheads shall be distributed as indicated in the table below. However, special consideration shall be where specific funders stipulate what the overheads in the supported project may cover. This distribution formula shall be reviewed any time as Council finds it necessary.

Unit	%	Justification
MGO	50	MGO personnel wage, compliance requirements including audits, memberships and subscriptions (research platforms), Anti-plagiarism software license and recurrent expenditure.
Faculty/Institute/Center/ Directorate	10	Support Capacity Building in Research in the Faculty
Department	15	Support Dept research infrastructure
Central Administration	10	Pay utilities, equipment operation and maintenance expenses and other operational costs
Research team	15	To support research and academic work

14.0 Policy Evaluation

This will be done through combining data from the routine monitoring system for key indicators, complemented by in-depth studies (both quantitative and qualitative).

15.0 Review

Periodic review of the policy is key to staying compliant with regulations and in alignment with current practices. This policy may be reviewed every five (5) years or any time Council finds it necessary basing on evaluation reports.

16.0 Notification

DRGT shall inform all persons subject to this policy of its terms after its adoption and at regular intervals thereafter.

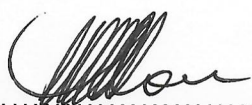
17.0 Funding

Where the funders permit, funds will be acquired from the IDC collections.

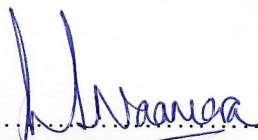
18.0 Approval

This policy has been approved on the 20th day of December the year 2023.

Signed

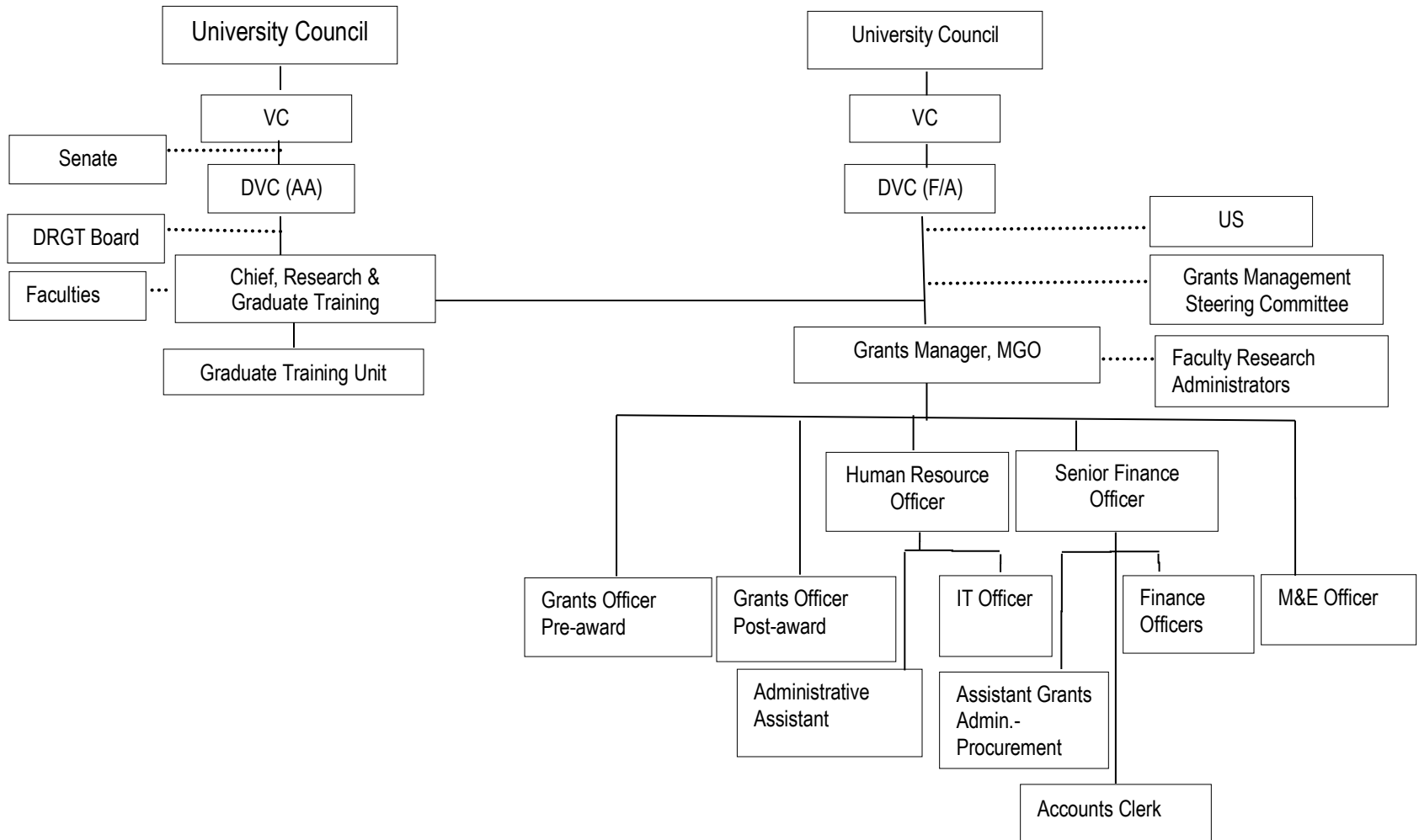


Professor Celestino Obua
VICE CHANCELLOR



Dr. Warren Naamara
CHAIRPERSON, MUST COUNCIL

Annex 1: MGO Organization chart



Annex 2: MUST Grants Office Structure

MBARARA UNIVERSITY OF SCIENCE AND TECHNOLOGY
MUST GRANTS OFFICE
STRUCTURE

TITLE	Salary Scale	Establis hment	Filled	Vacant	Monthly Salary	Annual Wage
Grants Manager	MGO 1	1	1		7,108,137	85,297,644
Senior Finance Officer	MGO 2.1	1	1		7,108,137	85,297,644
Human Resource Officer	MGO 2.1	1	1		5,581,170	66,974,040
Grants Officer (Post Award)	MGO 2.2	1	1		5,581,170	66,974,040
Grants Officer (Pre Award)	MGO 2.2	1		1	5,581,170	66,974,040
Monitoring & Evaluation Officer	MGO 2.2	1		1	5,581,170	66,974,040
Finance Officer	MGO 2.2	4	3	1	5,581,170	267,896,160
IT Officer	MGO 2.2	1	1		5,581,170	66,974,040
Grants Assistant Procurement	MGO 3	1	1		4,395,647	52,747,764
Administrative Assistant	MGO 3	1	1		4,395,647	52,747,764
Assistant Administrative Secretary	MGO 3	1	1		4,395,847	52,750,164
Accounts Clerk	MGO 4	2	1	1	3,475,275	83,406,600
		16	12	4		
TOTAL	1,015,013,940					
NSSF 10%	101,501,394.00					
GRAND TOTAL	1,116,515,334.00					