

## Masaryk University Directive No. 6/2016

# Project Management

*(in the version effective from 1 December 2016)*

*In accordance with Section 10, paragraph 1 of Act No. 111/1998 Coll., On Higher Education Institutions and on Modification and Amendment of Other Acts, as later amended (Higher Education Act), hereinafter referred to as the "Act", I issue this Directive:*

### Article 1

#### Subject Matter and Competence Provisions

- (1) This Directive lays down rules for the submission of project proposals and project management at Masaryk University (MU). It is based in particular on Acts No. 130/2002 Coll. (Act on Support of Research and Development), No. 218/2000 Coll. (Budgetary Rules), Decree No. 367/2015 Coll. (Financial Settlement of Relations with the State Budget) and No. 320/2001 Coll. (Act on Financial Control in Public Administration), as later amended.
- (2) The persons listed in the Organisational Regulations of MU are responsible for co-ordinating the activities governed by this Directive, according to the competencies set out in Appendix No. 1.
- (3) At the MU level, the relevant MU departments coordinate and methodologically manage project-related activities according to the competencies set out in Appendix No. 1 and the classification of the Project Management Information System (PMIS), in the section Investors.
- (4) At the level of the economic unit, the responsible workplaces of the economic unit coordinate and manage project-related activities, which, in cooperation with the relevant MU departments, provide support in the preparation, implementation and sustainability of projects. Heads of economic units are responsible for establishing the workplaces at the economic unit and for ensuring their activities in the coordination, management and support of projects.

### Article 2

#### Definition of Terms

- (1) In the context of project management, the following terms are defined in this Directive:
  - a) A *project* is a self-defined summary of activities with unambiguously-allocated financial, human and other resources and with specified performance objectives and outputs achieved within the set time limits. The project has the following time phases: proposal, implementation, completion, and possibly sustainability.

- b) *Project outputs* are results according to the requirements defined by the provider in the tender documentation, in the contract or in the decision to provide a grant. They are described in detail in the project proposal.
- c) *The investor* allocates funds for the implementation of the project or its part.
- d) *The provider* is the investor who allocates funds for the implementation of the project or its part in the form of a grant on the basis of authorisation by valid legal regulations.
- e) *A grant project* is a project that is at least partially financed from a grant provided for it.
- f) *Assigned funds* are those provided by the investor for the pre-specified purpose of the project. They may be grant or non-grant. Non-grant funds may be, for example, endowments or donations.
- g) *An internal project* is a project whose sole investor and sole beneficiary is MU.
- h) *The applicant* is the entity applying for the provision of a grant. In all projects the applicant is always Masaryk University.
- i) *A contract* is a contractual relationship entered into by MU in connection with a project. For grant projects, the contract is a contract with the provider or partner or the provider's decision to provide public funds. In the case of an internal project, a contract means the decision of an authorised employee of MU, usually the Rector or the head of the economic unit, to implement the project.
- j) *The contractual partner* of all projects (legal entity, which is given in the contracts as the contracting party) is in principle MU. The person authorised to act on behalf of MU is the Rector or a person authorised by him. MU identification data is contained in Appendix 2.
- k) *The sustainability period of the grant project* (hereinafter referred to as the sustainability period) means the period following the completion of the project, during which the beneficiary is obliged to achieve the results and deliver the outputs specified in the project. The sustainability period and the related obligations are set by the provider.

**l) Possible roles in projects:**

**1. Masaryk University:**

- *The beneficiary-coordinator* has a leading role in the group of participants and is responsible to the investor for the project as a whole.
- *The beneficiary* is the only participant in the project.
- *The partner* participates in the implementation of a defined part of the project based on a contractual relationship. Another participant has a leading role in the project. The terminology may vary according to the type of provider (e.g. recipient, co-recipient, other participant).

**2. economic unit**

- *Main economic unit* = responsible to MU for the whole project.
- *Other economic units* = for projects in which several economic units are involved; it is only responsible for the part of the project that is implemented at the given economic unit under a written Cooperation Agreement.

**3. individual**

- *The proposer* represents the future investigator in the phase preceding the decision on the acceptance of the project and fulfils all their

relevant functions. He/she is responsible for preparing the project proposal according to the investor's rules. The project proposer presented by Masaryk University is a MU employee or a MU student. If the proposer is a MU student, a professional guarantor who is an MU employee must always be listed as the obligatory co-investigator in the project.

- *The investigator* is a MU employee or a MU student who is responsible for the project as a whole on the basis of authorisation, or for the corresponding part of a project in which MU is a partner. If the investigator is a MU student, the professional guarantor who is an employee of the MU must always be listed as the obligatory co-investigator in the project.
- *Another investigator* is a MU employee or a MU student who participates in the investigation of the relevant part of the project, which is being investigated in cooperation with several economic units. Another investigator is responsible for solving a partial part of the project to the head of the economic unit.

- (2) For the purposes of the financing of the project, the following terminology is introduced for the purposes of this Directive:
- a) *Project pre-financing* means temporary coverage of the project costs from MU resources in a situation where the project costs at the beginning or during its investigation temporarily exceed the income from funds transferred by the investor to the MU account.
  - b) *Project co-financing* means the participation of MU in the financing of a grant project or a special-purpose non-grant project. Another entity may participate in the project co-financing.
  - c) *Project costs* are funds that will be spent on the project at the time of payment and are already established in the accounts.
  - d) *Project expenditures* are the costs incurred by MU for a project that has already been paid.
  - e) *Eligible costs of a project* are expenditures or costs that meet the conditions set by the investor.
  - f) *Project order* means the separate monitoring of costs and revenues of the project or its part in the accounting of MU. The order number is assigned by the accounting department of the economic unit where the order is executed.

### Article 3

#### Project Documentation Management

- (1) The basic evidence tool for the registration of documents and files is the University Information System (IS). Documents and files for registration are transferred to the IS MU through the Project Management Information System (PMIS, or ISEP in Czech), which is the exclusive tool for the registration of project data at MU, for project planning and for storing the electronic part of the project documentation.
- (2) All proposals and implemented projects must be recorded in the PMIS, for which a guide to the project proposal and a guide to the implemented project must always be submitted, signed by the relevant persons, or approved electronically, unless the methodology for the given programme framework states otherwise. Guides are entered into the PMIS by the relevant MU departments, except for guides for projects under the responsibility of the economic unit.

- (3) Electronic originals and copies of all documentation related to the design, implementation, completion and eventual sustainability of the project must be stored in the PMIS, unless otherwise specified in the methodology for the programme framework. Part of the documentation can also be stored in paper form at the relevant MU departments or at the economic unit.
- (4) Documentation of the project must be kept in accordance with the MU Directive Filing Regulations, which lays down uniform rules for document handling.
- (5) The project investigator is responsible for the correctness and completeness of the project documentation.
- (6) The PMIS is connected to the Control System, within which internal project audits are carried out and recorded, and external audits and project audits are registered at MU. The records of internal audits at individual economic units and RMU are provided by authorised persons, records of internal audits and external audits of projects and audits are ensured by the department with the competence for internal audits at MU.
- (7) Collective access rights to the PMIS for projects at a given economic unit are approved by the bursar in the case of faculties, or in the case of non-faculty economic units by their head. Individual rights for a specific project are assigned by the project investigator.

#### Article 4

#### **Project Proposal**

- (1) Proposal submission process:
  - a) The proposer creates the project proposal in the PMIS, fills in all required information in the PMIS and enters in it the final version of the project application including all attachments required by the investor.
  - b) Closing the proposal in the PMIS initiates the approval process.
- (2) Approval process:
  - a) Approval takes place through a paper or electronic guide from the PMIS:
    4. By signing the project proposal guide, the proposer confirms the professional and financial feasibility of the project in the required quality and by the deadlines with the given financial resources.
    5. The head of the economic unit (or other persons authorised by him/her) confirms with his/her signature the obligation to ensure that the proposer within the internal working competencies of the economic unit has the conditions for successful investigation of the project within the scope of the project proposal. He/she is also responsible in all cases for the correct assessment of the sources of project financing and for arranging property relations to the project results in the manner required by the contract or grant decision and the tender documentation.
    6. At MU level, the proposal is approved by the responsible official, who, by signing the guide, expresses his consent to the submission of the project proposal to the Rector for signature. This does not apply to projects where the signature of the responsible official on the guide and the Rector's signature on the project proposal are not required. Documentation in paper form shall be submitted for approval and signature. The relevant MU departments are responsible for ensuring the signature of the responsible official on the guide. If the investor does not require submission of the proposal in paper form with

the signature of the statutory representative of MU, the proposer submits in paper form only the cover note of project proposal and further follows the instructions for the given programme framework.

7. Completion of the approval process is a condition for ensuring the signature of the statutory representative and sending the proposal to the provider.
  8. Proposals for projects to be signed by the Rector are submitted via the relevant MU department. They must be delivered at least 3 working days before the deadline for sending to the investor, unless another deadline is specified in the methodological instructions of MU for submitting the application for the given type of project.
- (3) The proposer is responsible for the timely delivery of the signed project proposal to the investor, unless otherwise agreed with the relevant MU department.
  - (4) The rules for approving and signing a project proposal are governed by the provider's requirements, internal regulations of the relevant economic unit and the MU Statutes.
  - (5) The project proposal documentation consists of the following parts:
    - a) project proposal guide
    - b) and final version of the project proposal including attachments.

#### Article 5

#### **Project Implementation**

- (1) The given economic unit will convert the project proposal in the PMIS into implemented projects on the basis of the Decision on Allocation of a Grant/Subsidy, Agreement on Provision of a Grant, Grant Agreement or other document, or the promise of the provider that the provision of the grant for the project is certain. The project proposal budget must be revised by the provider before the transfer.
- (2) Approval is given through the guide to the implemented project in the PMIS:
  - a) The investigator confirms by signing that he/she is familiar with the complete contractual documentation and undertakes to investigate the project according to the submitted proposal, in accordance with valid Czech legislation, internal MU standards, contract, concluded contracts and rules for using allocated funds.
  - b) The economic unit head (or another person authorised by him/her) confirms by his/her signature that he/she will provide the authorised investigator with the necessary conditions within the economic unit and will determine the responsibilities for ensuring supporting activities during the project investigation.
  - c) At the MU level, the project is approved by the responsible official, who by his/her signature expresses his/her consent to the submission of the contractual documentation for signature to the Rector. The relevant MU departments are responsible for the formal checking of the submitted documentation and ensuring the signature of the responsible official. This does not apply to projects where the signature of the responsible official on the guide and the Rector's signature are not required.
  - d) The completion of the approval process is a precondition for securing the signature of the contractual documentation by the Rector. The relevant MU departments are responsible for securing the signature of the statutory representative.
- (3) The head of the economic unit authorises the investigator to investigate the project. By signing the authorisation, the investigator accepts responsibility for the professional and administrative aspects of the project investigation and its management in accordance with the investor's conditions and the internal

regulations of MU. The investigator's authorisation is generated from the PMIS. A specimen authorisation with specified duties is given in Appendix No. 3. A copy of the signed authorisation must be saved in the PMIS. The types of project for which the investigator's authorisation does not need to be documented (typically internal projects) can be determined by the relevant MU department or the head of the economic unit. In the case of termination of employment of the investigator within the duration or sustainability of the project or in case of withdrawal of the investigator from the project, the head of the economic unit authorises a new investigator. If a new investigator is not authorised, the duties of the project investigator are transferred to the head of the economic unit.

- (4) Implementation of the project is carried out in accordance with the conditions of the provider. In the case that the project documentation (changes, interim reports, final reports, partnership contracts, amendments, etc.) of the implemented project requires the signature of the statutory representative, it is necessary to provide an approved project implementation guide with the completed specification of the purpose of the guide. Situations where it is necessary to deliver a cover note will be regulated in the methodologies for the given programme frameworks.
- (5) In case of a change that changes the basic parameters of the project, the investigator is obliged to give notification and have the change approved by the relevant economic unit.
- (6) Exceptional situations during the project:
  - a) In the event of a change in the conditions for the investigation of the project that makes it impossible to meet its objectives and outputs, the Rector/head of the economic unit may terminate the project prematurely, either on his/her own authority or at the request of the investigator. In cooperation with the relevant MU department, the investigator will discuss the possibility and method of early termination of the project with the investor.
  - b) In case of non-fulfilment of project objectives, breach of budget management rules or other shortcomings proven by the investor or superior control, the relevant provisions of the Labour Code on employee liability for damage apply to the authorised investigator. The extent of damage is assessed according to the valid MU Directive on Claims Proceedings.
  - c) If any of the persons involved in the project management finds unauthorised or incorrect drawdown of the project funds or the risk of such a situation, he/she is obliged to inform the investigator and the head of the economic unit/Rector without delay.
  - d) Financial fulfilment of the requirement to return unauthorised or incorrectly used funds, including assessed penalties and fines, are fully charged and paid from the budget of the relevant economic unit, unless the error was demonstrably caused by a mistake of one of the relevant MU departments.
- (7) Specific project management rules for a given economic unit may be regulated by a standard issued by the economic unit Head, the provisions of which are in accordance with this Directive.
- (8) Project monitoring and control:
  - a) Continuing supervision of project management mechanisms and procedures is carried out by the relevant MU department and, within its competencies and duties, also by the department responsible for internal audits at MU.
  - b) At each stage of the project, the project investigator is obliged to document the drawdown of funds in cooperation with the economic unit accounting department.
  - c) Inspections of individual projects may include planned or extraordinary internal and external audits and inspections as required by the investor or at MU

discretion. The Bursar is responsible for the selection of the external auditor, the audit is ordered by the relevant economic unit at their own expense or as a project expense.

- d) In the case of all external and internal controls and audits on projects, the investigator is obliged to ensure without delay the submission of the required documents. If so determined in advance by the inspection body or auditor, the investigator and, where appropriate, other team members shall take part in the relevant meetings.
- (9) The project documentation consists of the following parts:
- a) a guide to the implemented project,
  - b) authorisation of the investigator,
  - c) all contractual documentation related to the project (with the provider, partners, etc.),
  - d) applications for and decisions on changes to the project,
  - e) interim and final reports,
  - f) interim and final accounts,
  - g) minutes of physical and financial controls and audits and evaluations of projects carried out by the provider
  - h) and other documents related to the project.

#### Article 6

#### **Project Completion**

- (1) The project is completed by the fulfilment of its objectives, approval of the final report and termination of funding. At the same time, all project contracts are concluded and the authorisations issued in relation to the project are cancelled, except when sustainability of the project is required or the project results are being implemented. The decision on the duration of the sustainability period or any post-project review or new authorisations is the responsibility of the economic unit head.
- (2) Completed project documentation includes:
- a) complete documentation of the implemented project, which was current at the date of its completion,
  - b) final statement,
  - c) a final report, if required by the investor,
  - d) final evaluation, respectively minutes of the final inspection, if any,
  - e) records of audits and external controls where audits have been carried out
  - f) and monitoring reports in the sustainability period prescribed by the provider.

#### Article 8

#### **Final and Transitional Provisions**

- (1) This Directive repeals the Rector's Directive No. 4/2009 "Project Management and Administration at Masaryk University".

- (2) Instructions and methodological materials for individual programme schemes will be issued on an ongoing basis to the provisions of this Directive.
- (3) I authorise the Head of the Office for Research and Development of the MU Rector's Office to interpret the individual provisions of this Directive.
- (4) This Directive falls within the area of methodological management of "Project Support".
- (5) Compliance with this Directive is checked by the relevant MU departments.
- (6) This Directive shall enter into force on the day of its publication.
- (7) This Directive comes into effect on 1 December 2016.

**Appendices:** No. 1 Competences at MU  
No. 2 MU Identification Data  
No. 3 Authorisation of the Investigator

In Brno, 29 November 2016

*Mikuláš Bek*  
*Rector*