

Measure of the Director
of the Central European Institute of Technology of Masaryk University
No. 4/2018

Rules of Preparation, Implementation and Sustainability of Projects

(effective as of 1 August 2018)

Pursuant to Art. 4.6 of the Organisational Order of the Central European Institute of Technology of Masaryk University, I hereby issue the following measure:

Article 1

Subject Matter

- (1) This Measure regulates the methods and rules of preparation, implementation and sustainability of projects assigned to the Central European Institute of Technology of Masaryk University (CEITEC MU), whose investigators or co-investigators are employees of CEITEC MU.
- (2) This Measure stipulates the principles of the project implementation system with the aim of meeting the commitments and performing the planned activities defined in each project according to the time schedule, taking into consideration the rules and principles defined by the funding provider, and at the same time to spend the allocated funds in an efficient, effective and economic manner (hereinafter the "3E Rule") and in line with the internal guidelines of MU and CEITEC MU.
- (3) Pursuant to Annex No. 2 of the Director's Measure No. 3/2016, Organisational Structure of CEITEC MU, the co-ordination and methodical management associated with the preparation of projects and agreements with funding providers and partners belongs within the powers of the Grant Office Department (hereinafter the "GO") and the activities associated with the implementation and sustainability of projects fall within the powers of the Grant Administration Department (hereinafter the "GAD").

Article 2

Roles within the Project

- (1) The persons participating in the project preparation and implementation are usually the Project Investigator, Research Project Manager and/or Project Manager and/or Project Administrator, Financial Manager and/or Project Economist - operating costs and Project Economist - personnel costs or any other persons necessary, taking into consideration the content and needs of the particular project, for ensuring the project implementation (hereinafter the "Project Team").
- (2) The Project Investigator is a person responsible for the expert aspects of the project preparation and implementation and for the fulfilment of associated outputs. These activities include in particular the following:

- a) preparation of the Project Proposal in compliance with the documentation of the Call¹, where the Project Investigator is responsible for feasibility and relevance of the substantial content of the Project Proposal;
 - b) for the purposes of financial review, the Project Investigator usually performs the role of the Transaction Originator;
 - c) fulfilment of goals and substantial outputs in line with the Project Proposal;
 - d) submission of the project outputs to the Funding Provider² (dedication);
 - e) fulfillment of the project rules and publicity determined by the Funding Provider;
 - f) communication with the Project Team and their timely notification of the state and changes of the project affecting the project implementation;
 - g) project risk management in co-operation with the Project Team;
 - h) formulation of substantial parts of monitoring reports within pre-agreed deadlines;
 - i) spending of allocated funding in line with the project rules, 3E rules and internal guidelines of MU and CEITEC MU;
 - j) communication and cooperation in relation to project Audits and inspections.
- (3) The Research Project Manager (an employee of the Grant Office Department) is responsible for activities preceding the commencement of the project implementation stage. These activities include in particular the following:
- a) coordination of preparation of complex Project Proposals³;
 - b) compilation of non-scientific parts of applications and reviews of complete Project Proposals and communication of all essential information with the Heads of Departments in the Administration Section and with the Management of the Institute;
 - c) ensuring formal correctness of the submitted Project Proposals;
 - d) providing assistance to the Project Investigator with budgeting in line with the respective Call, including communication between the Principal Investigator and the Finance Department and HR Department and other departments of the Administration Section, as necessary;
 - e) searching for and active creation of opportunities for submitting Project Proposals;
 - f) informing researchers of the Calls and of the rules of participation and eligible costs.
- (4) The Project Manager / Project Administrator (an employee of the Grant Administration Department) is responsible for administrative management of the project in line with the terms and conditions of the Funding Provider and with internal guidelines of MU and CEITEC MU. Detailed allocation of the agenda and competences between the Project Manager and Project Administrator is determined by the Head of the GAD. These activities include in particular the following:
- a) methodological interpretation of the project rules determined by the Funding Provider;

¹The Call is a public tender with defined terms, conditions and requirements aimed at selecting projects to be provided financial support.

²The Funding Provider means any institution providing financial resources for the activities of CEITEC MU in the form of a subsidy.

³A Project Proposal means any and all documentation submitted to the Funding Provider as an application for financial support for the project implementation.

- b) supervision over the fulfilment of the rules and principles determined by the Funding Provider in cooperation with the Project Team;
 - c) communication with the Funding Provider in relation to the implementation of the given project;
 - d) setting up and continuous reviews of fulfilment of the project time schedule in cooperation with the Project Investigator;
 - e) monitoring of the fulfilment of goals, outputs and indicators of the project in cooperation with the Project Investigator;
 - f) ongoing communication with the Project Team and their timely notification of the state and changes of the project affecting the project implementation;
 - g) coordination of project changes and their communication towards the Funding Provider;
 - h) keeping records of project risks and determination of measures for their elimination in cooperation with the Project Investigator;
 - i) maintenance of complete electronic and printed records of documents relating to the project;
 - j) coordination of the preparation and compilation of the required monitoring reports and review of their formal correctness in cooperation with other members of the Project Team;
 - k) obtaining of supporting materials for internal and external audits in cooperation with other members of the Project Team;
 - l) setting up the procurement plan/public tenders planned within the scope of the project in cooperation with the Operations Department of CEITEC MU;
 - m) participation in the finance inspections of selected costs of the project;
 - n) coordination of activities associated with the sustainability requirements of the project.
- (5) Financial Manager / Project Economist for operating costs (hereinafter "Project Economist - operating costs") ensures in particular the following activities in relation to operating costs:
- a) administration of spending of the given financial resources in line with the approved project budget and with the rules determined by the Funding Provider regulating the cost eligibility of the allocated funds, taking into consideration 3E rules;
 - b) for the purpose of financial inspections, they usually act as the Budget Administrator;
 - c) ongoing communication with the Project Team and their timely notification of the state and changes of the project affecting the project implementation;
 - d) informing the authorized GAD employee and the Project Investigator on spending the given resources on a regular basis, at least once every quarter;
 - e) initiation of changes relating to budget, preparation of supporting materials for changes of the budget and of the financial plan of the project;
 - f) preparation of supporting materials for the project accounts settlement to be submitted to the Funding Provider at the pre-agreed dates;
 - g) review of received / provided financial support in relation to the project;
 - h) obtaining and review of all supporting materials associated with spending of the allocated financial resources;
 - i) fulfilment of the rules regulating the use of the allocated funding resources at MU and CEITEC MU;

- j) preparation and obtaining of supporting materials relating to the operating costs for internal and external audit, communication with the auditor.
- (6) Project Economist - personnel costs ensures in particular the following activities in relation to salary costs:
- a) setting up of personnel costs for individual members of the project implementation team in line with the project budget and the rules determined by the Funding Provider regulating the eligibility of personnel costs within the scope of the allocated funds;
 - b) administration of the personnel costs spending, administration of changes and re-invoicing of non-eligible costs in line with the approved project budget and project rules;
 - c) ongoing communication with the Project Investigator and his/her timely notification of the state and changes of the project affecting the project implementation and spending of the given resources;
 - d) initiation of changes relating to personnel costs budget changes, preparation of supporting materials for changes of the personnel costs budget;
 - e) preparation of supporting materials for the project accounts settlement to be submitted to the Funding Provider at the pre-agreed dates;
 - f) methodological interpretation of the project rules determined by the Funding Provider in relation to personnel costs;
 - g) preparation and obtaining of supporting materials relating to the personnel costs for internal and external audit, communication with the auditor.

Article 3

Project Initiation Phase

- (1) The head of the Grant Office (GO) appoints the Research Project Manager to support the preparation of the Project Proposal, provided that the Grant Office is notified of the intention to submit the project at least 8 business days prior to the closing date of the respective Call, unless a special deadline has been determined by the head of the GO. If the Project Proposal submission needs to be approved by the Board for the Research Infrastructure Development (RRVI) of MU or by the Management of the Institute or if the Project Proposal includes any investment costs to be approved by the Instrumentation Committee of MU or by the Board of Trustees of MU, then the Research Project Manager shall be appointed to carry out the preparation only if the head of the GO is informed of the Project Proposal preparation at least 8 business days prior to the scheduled date of respective authorization deadline, unless a special deadline has been determined.
- (2) Projects of institutional significance are in particular projects that require a significant pre-financing from a separate project bank account or co-financing or that assume significant participation of the Administration Section employees during the project implementation phase or that are classified as strategic projects implementing co-operation in the sense of institutional strategic partnership or the implementation of which is associated with higher risks. Proposals of such projects, submitted in the form of Annex No. 1 hereof (Project Card), are approved by the Management of the Institute prior to the commencement of the preparation phase. The Head of the GO ensures the involvement of all the relevant departments of the Administration Section and the Director's Office impacted by the proposed project in the preparation process of the Project Proposal. Heads of the relevant departments of the Administration Section and the Director's Office shall cooperate with the Head of the

GO within the scope necessary for assessing the impact of the proposed projects on their respective agenda.

- (3) With respect to each Call of GACR and AZV, the GO shall prepare, no later than within 5 business days after the announcement of the Call, a methodologic guideline for submitting the application at CEITEC MU, summarizing the rules of costs eligibility and dates of internal inspections. The GO will consult the guideline prior to its issuance with the Heads of the Finance and HR Departments and the Grant Administration Department.

Article 4

Project Submission Phase

- (1) The Head of the GO shall ensure consultations of the Project Proposal with all the stakeholders at CEITEC MU that may significantly contribute to its implementation and/or that could be materially affected if the financing is granted to the given project. The Heads of the relevant departments of the Administration Section and the Director's Office, as well as other stakeholders at CEITEC MU, shall cooperate with the Head of the GO within the scope necessary for assessing the impact of the proposed projects on their respective agenda.
- (2) The Project Investigator shall consult the project budget with the assigned Research Project Manager no later than 8 business days prior to the closing date of the respective Call. The assigned Research Project Manager shall promptly forward the consulted data to the Head of the Finance Department. The Project Investigator shall consult personnel costs with the HR Department and submits the approved version to the appointed Research Project Manager to be incorporated in the project budget. The involved departments of the Administration Section and the Director's Office and the Project Investigator shall ensure finalization of the operating budget and personnel costs no later than within 4 business days prior to the closing date of the respective Call, unless the Head of the GO determines another deadline.
- (3) The appointed Research Project Manager shall generate the "Evidence Sheet of the Project Proposal" and the Head of the GO shall notify the Head of the Director's Office and the Heads of the Administration Section departments via e-mail of the Project Proposal to be submitted, with the version of the Project Proposal containing the final budget and the almost final description of the substantive intention of the project being attached to such e-mail, no later than 3 business days prior to the submission of the Project Proposal.
- (4) By signing the "Evidence Sheet of the Project Proposal":
 - a) the Project Investigator confirms that the proposed project is feasible within the given time period and with the given budget;
 - b) the Head of the worksite confirms that the Project Proposal complies with the activities of the given worksite and that the worksite is prepared to allocate the necessary infrastructure, premises and/or other resources for the implementation of the proposed project. If the Project Investigator is not the Head of the worksite, then the Head of the worksite confirms with their signature that they agree with the submission of the Project Proposal by the Project Investigator;
 - c) the Head of the GO confirms that the project does not present any significant risks in terms of formal commitments or pre-financing or co-financing issues, that the project budget complies with the rules of the respective Call and that the project budget has been discussed with Heads of the relevant departments of the Administration Section;

- d) the Head of the Finance Department confirms that the budget of operating or investment costs in the Project Proposal has been set up in compliance with the rules of the Call;
 - e) the Head of the HR Department confirms that the budget of personnel costs in the Project Proposal has been set up in compliance with the rules of the Call;
 - f) the Director of CEITEC MU agrees with the submission of the proposed project and confirms that the proposed project complies with the strategy of CEITEC MU.
- (5) The appointed Research Project Manager will upload the complete electronic documentation of the Project Proposal in the ISEP system and archive all hard copies of such documentation no later than within 5 business days after submission of the Project Proposal.

Article 5

Preparation of Agreements for a Project with Allocated Financing and Forwarding the Project to the Grant Administration Department

- (1) If any funding is allocated to the project, the appointed Research Project Manager shall be responsible for the preparation and/or negotiation of the Agreement with the Funding Provider⁴ and/or with partner institutions. No later than 5 business days after being informed by the Funding Provider or by the Project Investigator, the Head of the GO notifies the Management of the Institute and the Heads of the Administration Section departments of the funds allocation. The Heads of the Administration Section shall decide without undue delay of the Project Team staffing and shall forward this information to the other managing employees at the nearest meeting of the Heads of Administration.
- (2) If any material changes occur in the project budget, rules of financing or subject matter of the project during the preparation of the Agreement with the Funding Provider, the appointed Research Project Manager shall discuss these changes, prior to the agreement conclusion, with the Project Investigator, Secretary of CEITEC MU and all relevant Heads of the Administration Section departments and of the Director's Office.
- (3) The appointed Research Project Manager shall transfer the project in ISEP to the section of implemented projects and shall generate the "Evidence Sheet of the Implemented Project" and submit it for signatures together with the Agreement with the Funding Provider and/or the project partners. By signing the "Evidence Sheet of the Implemented Project":
 - a) the Project Investigator confirms that the project is feasible within the given time period and with the given budget and that any potential changes occurring in the course of the preparation of the agreement with the Funding Provider and/or with the project partners will not affect such feasibility;
 - b) the Head of the worksite confirms that the project complies with the scientific and personnel strategy of the given worksite and that the worksite is prepared to allocate the necessary infrastructure, premises and/or other resources for the implementation of the project;
 - c) the Head of the GAD confirms that they have been informed of the risks and rules of the project financing and that these do not present a material risk for the project feasibility;

⁴The Agreement with the Funding Provider means a bilateral or multilateral agreement concluded between the Funding Provider and the recipient(s) or an unilateral decision of the Funding Provider on allocating the funds, as the case may be.

- d) the Head of the Finance Department confirms that any changes made in the project budget in terms of operating or investment costs in the course of the preparation of the Agreement with the Funding Provider and/or the project partners comply with the rules of the Call;
 - e) the Head of the HR Department confirms that any changes made in the project budget in terms of personnel costs in the course of the preparation of the Agreement with the Funding Provider and/or the project partners comply with the rules of the Call;
 - f) the Director of CEITEC MU confirms that the project complies with the strategy of CEITEC MU.
- (4) Subsequently, the appointed Research Project Manager generates the "Authorization of Principle Investigator". By signing the "Authorization of Principle Investigator":
- a) the Director of CEITEC MU delegates responsibility for the management of scientific aspects of the project and for the distribution of funds in line with the project budget and any changes approved by the Funding Provider onto the Project Investigator and undertakes that CEITEC MU will provide assistance and support to the Project Investigator for the implementation of any other responsibilities specified in the "Project Investigator Appointment Letter";
 - b) the Project Investigator assumes responsibility for the management of scientific aspects of the project and for the distribution of funds in line with the project budget and any changes approved by the Funding Provider and undertakes to provide outputs necessary for the implementation of any other responsibilities specified in the "Project Investigator Appointment Letter" with respect to the appointed employees of the Administration Section.
- (5) The preparation of agreements relating to the project, including consortium and partnership agreements, is carried out by the Research Project Manager in line with the Methodology of Preparation, Conclusion and Recording of Agreements at CEITEC MU.
- (6) No later than within 5 business days after the delivery of the signed Agreement with the Funding Provider to the GO, the appointed Research Project Manager will upload the signed documentation in the ISEP system and hand all hard copies of such documentation over to the GAD.

Article 6

Project Implementation Phase

- (1) The project implementation phase means the time period when the project negotiation phase with the Funding Provider has been completed and activities have been commenced aimed at the fulfilment of the project goals and achievement of its outputs. At the same time, it is possible to commence spending the allocated project budget. The decision on the provision of funding is usually issued or Agreement with the Funding Provider is concluded during this phase. Precise time specification of the implementation stage is always based on the Project Proposal or, as the case may be, on the Agreement / Decision on Funding Provision and on the conditions determined by the Funding Provider.
- (2) The phase of the project closure follows the completion of the implementation phase and submission of the final report. The project is considered to be finally closed upon approval of the final report by the Funding Provider, when all the defined goals of the

project have been fulfilled and all the allocated funds have either been properly spent or returned back to the Funding Provider.

- (3) The project sustainability phase is a time period defined by the Funding Provider that follows the completion of the project implementation phase. The closed project continues to be monitored and reported at pre-defined intervals to the Funding Provider.

Article 7

Project Implementation and Monitoring Principles

- (1) Prior to the commencement of the implementation phase, the project is submitted by the appointed Research Project Manager who is responsible for the preparation of the Project Proposal and for the project negotiation, to the appointed employee of the GAD. The appointed Research Project Manager submits the final Project Proposal approved by the Funding Provider, together with all associated documentation and materials, including internal and external communication relating to the project.
- (2) With respect to each project implemented at CEITEC MU, there is an appointed Project Manager and/or Project Administrator, Finance Manager and/or Project Economist - operating costs and Project Economist - personnel costs.
- (3) The GAD employee shall ensure, in cooperation with the appointed Research Project Manager, the following kick-off meetings to be held with respect to the given project: Administration kick-off meeting and kick-off meeting for the Project Investigators. If decided by the head of the GAD, a single administration kick-off meeting and kick-off meeting for the Project Investigators may take place as a common meeting for all projects financed within the same Call, e.g. GACR and AZV. The kick-off meeting usually has the form of a personal meeting, but it may be replaced with electronic communication, for example via e-mail.
- (4) The administration kick-off meeting is intended for employees of the Administration Section and its primary goal is setting up the project implementation, including in particular:
 - a) introduction of employees of each respective department of the Administration Section who comprise the Project Team and ensure the project implementation;
 - b) setting up the project account(s) and the related documentation;
 - c) setting up the financial control of the project;
 - d) introduction of the planned positions within the project, proposal of their personal composition and presentation of requirements regarding personnel documentation of the project (description of work activities, declarations, timesheets, etc.);
 - e) definition of the project dedication;
 - f) clarification of any ambiguities and answering any questions relating to the project setting in the implementation phase.
- (5) At the kick-off meeting for the Project Investigator, the Project Investigator receives in particular the following information:
 - a) final design of the project, i.e. project goals, time schedule, outputs and indicators, project budget, etc.;
 - b) introduction of the Project Team;
 - c) introduction of the rules for the project dedication;
 - d) rules and principles of the project determined by the Funding Provider: changes of the project, cost eligibility, project publicity, etc.;

- e) clarification of any other issues relating to the project implementation setting;
 - f) setting up of further internal and external communication within the project;
 - g) setting up of project deadlines and methods of project monitoring.
- (6) The Project Team is further responsible, in line with the defined responsibilities pursuant to Art. 2 hereof, for proper monitoring of the project implementation progress within the internally determined deadlines based on the requirements of the particular project.

Article 8

Communication within the Project

- (1) In order to ensure proper preparation and implementation of the project, it is necessary to communicate on an ongoing basis within the Project Team by means of regular meetings or in electronic form, as necessary for the given project.
- (2) Each member of the Project Team is obliged to promptly notify the other members of the Project Team of any significant facts affecting the preparation and implementation of the project that may result in non-fulfilment of the project goals and commitments, representing deviations from the determined time schedule or from the project budget.
- (3) During the project implementation phase, the GAD employee acts as the primary contact person, responsible for proper internal and external communication within the determined deadlines. He/she is further responsible for distributing the communication to the other members of the Project Team.
- (4) The GAD employee is primarily responsible for external communication relating to the project administration towards the Funding Provider, other partners involved in the project and towards control bodies. The GAD employee is obliged to keep the other members of the Project Team informed of the outcomes of such communication. If the communication is being conducted by another member of the Project Team, it is necessary to always copy such communication to the appointed GAD employee, so as to ensure proper archiving of such communication.
- (5) Communication among researchers dealing with scientific aspects of the project across the project partners is not affected by this provision in any manner.
- (6) The appointed employee of the GAD is responsible for archiving communication associated with the administrative aspects of the project.

Article 9

Project Changes

- (1) Changes in the project are governed by the rules of the Funding Provider.
- (2) A change request within the project may be initiated by any member of the Project Team, by the Funding Provider or by any other partner of the project.
- (3) The reason for the need to make changes in the project, the form and scope of such changes must always be communicated with the appointed GAD employee who is responsible for the change preparation and for its formal correctness. If necessary, the other members of the Project Team assist in formulating the justification of the change for the Funding Provider and in preparing any other supporting materials for the change implementation.

- (4) The change is subsequently communicated to the Funding Provider by the appointed GAD employee who also informs the Project Team of the change submission and its approval/non-approval.
- (5) The appointed GAD employee is responsible for the change archiving, including communication with the Funding Provider and keeping records evidencing both the previous and current versions of the project documentation.

Article 10

Project Audits and Inspections

- (1) The Project Team notifies each other of any announced inspections/audits immediately after having received such information.
- (2) The appointed GAD employee ensures notifying the Deputy Director for Administration and the Secretary of the Institute, as well as Heads of the Administration Section departments and the project partners. In the case of external audits and inspections, the appointed GAD employee also informs the Head of the Internal Audit Department of the Chancellor's Office of MU.
- (3) The coordination of inspections and audits at CEITEC MU, including communication with the auditors, always falls within the powers of the appointed GAD employee.
- (4) The appointed GAD employee, in cooperation with the other members of the Project Team, ensures the preparation and submission of the requested supporting materials.
- (5) Any and all statements, explanations and formulated subsequent measures must be communicated by the appointed GAD employee who shall ensure their review, completeness and compliance with the internal policy and guidelines of CEITEC MU.
- (6) After the inspection completion, the appointed GAD employee notifies all involved persons of the inspection outcomes and of the adopted measures that will be subsequently reflected, in cooperation with the heads of individual departments of the Administration Section, in the internal procedures of the Administration Section.

Article 11

Archiving of Project Documentation

- (1) The main tool for keeping records of documents relating to the project is the Information System for Project Records (ISEP). In the ISEP, it is necessary to keep complete project documentation relating to the given project in electronic form.
- (2) The originals of the documents are archived at the Chancellor's Office of Masaryk University or, if applicable, at the GAD.
- (3) The project documentation must be kept in compliance with the MU guideline "Files Registration Rules" and with guideline no. 6/2016, on Project Management.
- (4) During the phase of the project initiation and submission and during the phase of agreements preparation, the appointed Research Project Manager is responsible for archiving project documentation. During the implementation and sustainability phase, the appointed GAD employee assigned to the project is responsible for archiving the project documentation. There is an archiving file created with respect

to each project, containing the list of documentation pertaining to the project that needs to be archived, as well as the place of the document archiving.

- (5) The Project Investigator or Co-investigator is responsible to submit all documentation pertaining to the project to the appointed GAD employee for filing.

Article 12

Final Provisions

- (1) The review, interpretation and updates of this Measure shall be performed by the head of the Project Administration Department (Art. 6-11) and by the head of the Grant Office Department (Art. 3-5).
- (2) This Measure follows the Guideline of Masaryk University No. 6/2016 on Project Management.
- (3) This Measure shall become valid as of the execution date hereof.
- (4) This Measure shall become effective as of 1 August 2018.

Annexes: No. 1 – Project Card
 No. 2 – Simplified Scheme of Project Preparation Process
 No. 3 – Scheme of Project Implementation

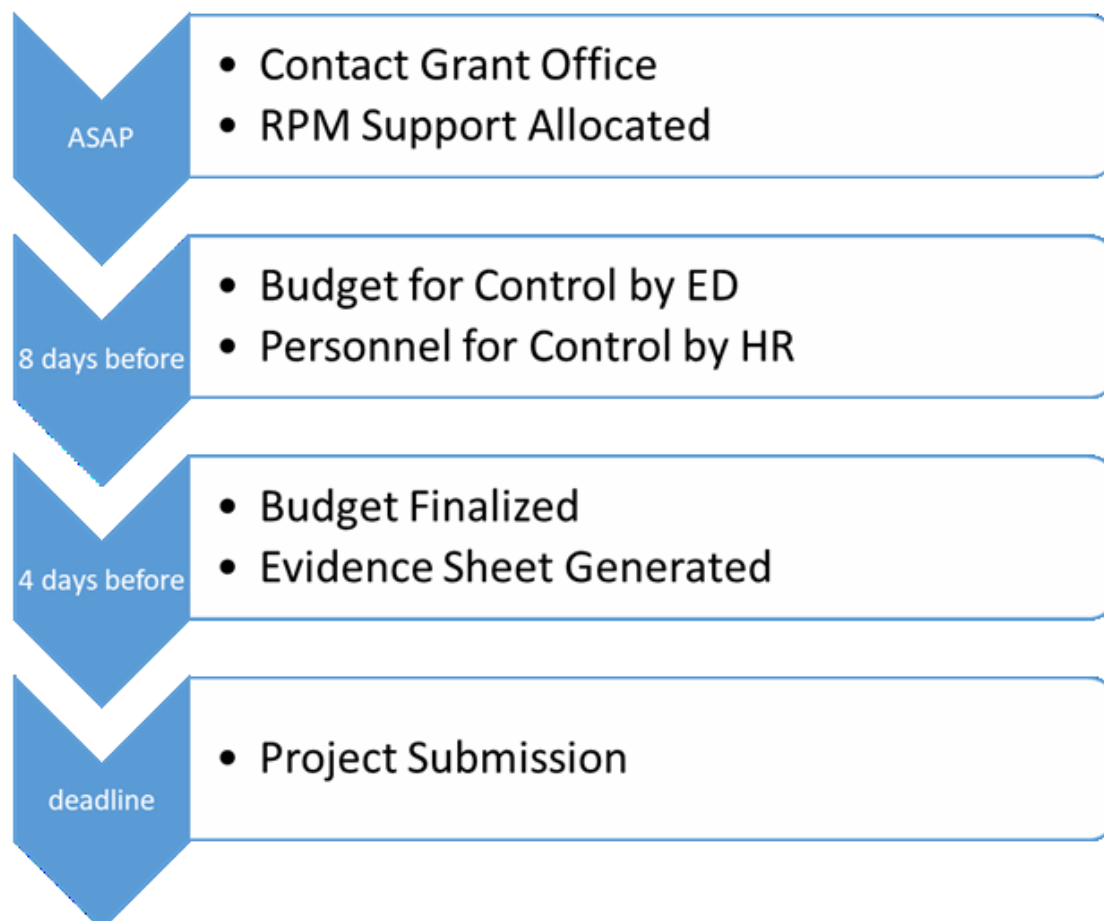
In Brno, on 23 July 2018

Jiří Nantl
Director of the Institute

Annex No. 1: Project Card

PROJECT TITLE – 1-page proposal	
PROGRAMME/CALL FOR PROPOSALS:	ID
Expected Duration:	MM/YYYY-MM/YYYY
Principal Investigator:	Name
Background and motivation: text	
Role of CEITEC MU: text	
Objectives: <ol style="list-style-type: none"> 1. text 2. text 3. text 	
Activities (Work Packages): <ol style="list-style-type: none"> 1. text 2. text 3. text 4. text 5. text 	
Synergies and links to CEITEC MU Strategy: text	
Budget (and expected efforts per staff category): text	
Key risks: text	
Project preparation team: names	

Simplified Scheme of Project Preparation Process (deadlines may be set by Head of GO differently)



Scheme of project implementation

