UNIVERSITY FOR DEVELOPMENT STUDIES (UDS)

GRANTS MANAGEMENT AND ADMINISTRATION POLICY AND GUIDELINES

SEPTEMBER, 2023

FOREWORD

Universities are traditionally set up with the triple mandate of teaching, research and providing outreach services to the direct benefit of society. Through research, universities generate knowledge and innovations to promote evidence-based decision-making and policy formulations with the goal of making positive social, economic and environmental impacts. Thus, the University for Development Studies (UDS), which has a unique mandate to directly contribute to the holistic development of its catchment area and beyond takes the triple mandate of universities seriously. This is reflected in its pedagogy of blending theoretical teaching with field practical training in communities through the Third Trimester Field Practical Programme (TTFPP).

In pursuit of its mandate, innovative funding mechanisms and institutional structures are critical. This is particularly so given that the last two decades have witnessed exponential growth in the number of tertiary institutions in Ghana, with serious financial implications for the government. There are complaints of dwindling support by way of subventions from central government and the situation will only get worse with the conversion of polytechnics into technical universities and colleges of education into degree awarding institutions. Indeed, the private universities are also agitating for some level of public funding, arguing that they are helping government in its mandate of providing tertiary education for the citizenry. Thus, continuous reliance on government for funding of public universities including UDS is no longer a sustainable option. This is particularly so following the recent pronouncements by the Minister of Finance and Economic Planning that government plans to wean off public universities from its payroll.

The UDS in response to the changing dynamics in managing higher education institutions in Ghana has identified the need to build capacity for external resource mobilisations to support research and innovations with the goal of making direct contribution to inclusive sustainable development of Ghanaian communities and beyond. This Grants Management and Administration Policy (GMAP) is therefore intended to address the needs of internal and external stakeholders, such as research collaborators, funding agencies, or research clients, and to provide a framework for grantsmanship within the University. The Policy supports the overall vision of the UDS "to be the home of world-class pro-poor scholarship", and catalysing the University's purpose of building a conducive, student-centered, and friendly university community that supports teaching, research and community service.

Prof. Seidu Al-hassan
Vice Chancellor, UDS

PREFACE/ACKNOWLEDGEMENT

The Grants Management and Administration Policy Committee is grateful to Management for the opportunity to serve the University in such capacity, and for the support offered in preparing this document. The Committee is particularly grateful to the Office of the Vice Chancellor for initiating the idea of developing such a policy for UDS. The Committee is also grateful to the Pro-Vice Chancellor and Director of the West African Centre for Water, Irrigation and Sustainable Agriculture (WACWISA), Prof. Felix K. Abagale for his valuable inputs and support during the development of the document.

All members of the Committee are acknowledged for their commitment and selfless service in developing this document. They are Prof. Mamudu A. Akudugu (Chairman), Prof. Osman Ibrahim Adam (Member), Prof. Abdul-Mumin Alhassan (Member), Prof. Hamdiyah Alhassan (Member), Prof. Isaac K. Addai (Member) and Mr. Bernard Alando (Member-Secretary.

ABBREVIATIONS AND ACRONYMS

CRIPS   -   Centre for Research, Innovation and Partnership Services

FOA   -   Funding Opportunity Announcement

GSU   -   Grants Support Unit

GAMSC   -   Grants Administration and Management Steering Committee

GAP   -   Generally Accepted Procedures

GMAP   -   Grants Management and Administration Policy

IIR   -   Institute for Interdisciplinary Research

PI   -   Principal Investigator

MoU   -   Memorandum of Understanding

SOP   -   Standard Operating Procedure

UDS   -   University for Development Studies

VC   -   Vice-Chancellor

TABLE OF CONTENTS

OPERATIONAL DEFINITIONS

Affiliated Persons: These are persons working within organizations that have official working relations with the University for Development Studies or those with honorary/part-time/adjunct University appointments.

Centre: An establishment, which has the status of a department, but is oriented to research and/or providing services including teaching for extension and outreach purposes rather than formal academic awards.

Contractor: A funding agency which does not issue a grant solicitation but contracts a university unit or individual staff to perform specific tasks as outlined in a given term of reference.

Department: An establishment within a faculty, school or institute responsible for undergraduate and graduate level teaching, research as well as extension and outreach.

Donation: Something of value such as goods and services or money given freely to the institution for charitable purposes to benefit a cause.

External Funding: Finances that the University receives from outside sources.

Financial interest: Anything of monetary value whether or not the value is readily ascertainable.

Funding Opportunity Announcement: A document which provides the requirements and instructions for the submission of applications for funds to sponsors by eligible applicants.

Grant: A non-repayable fund received from a donor for research, capacity building and/or related purposes.

Grants Committee: A Committee of the University with the mandate to provide oversight responsibility over the Grants Support Unit.

Internal Funding: Finances from the University's internally generated funds disbursed for the purposes of research, capacity building and/or related activities.

Key Personnel: Principal Investigator/Project Director and any other person identified as key in the grant application.

Post-award: Activities after official funding of a submitted proposal.

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

Principal Investigator/Project Director: The lead person in the implementation of a project. He/she is the link between the University and the donor and takes responsibility for the success of the project.

Project Overheads /Administrative Costs: Funds allocated to cover institutional or indirect costs.

Section: Means a part of the non-academic division that is lower than a Directorate and higher than a Unit.

Unit: Means a part of an academic division of an Institute or Centre that maybe equivalent to Department of a Faculty or School and led by a Head or a part of a non-academic division lower than a Section and headed by a Coordinator intended to render a specialized, coordinating, or supporting service.

The University: Refers to the University for Development Studies

1.0 POLICY STATEMENT

This policy is for the creation and maintenance of a conducive environment for grantsmanship for revenue generation to support research, capacity building, community outreach, infrastructure development, and other activities of the University through adherence to the highest standards of accountability, transparency, effective and efficient administration and management of funds.

2.0 BACKGROUND

The University for Development Studies (UDS) has the mandate to facilitate teaching, research, and community outreach programmes to contribute to the socio-economic development of northern Ghana in particular and the country as a whole (PNDC Law 279, 1992). As the premier public University in northern Ghana with a unique focus on practically-oriented participatory approaches/pedagogy to teaching and learning, UDS recognises the importance of grantsmanship for scientifically rigorous, ethically compliant, and nationally relevant research, teaching, and practice. This implies there is a need to have a policy document to guide grants administration and management at the University. Therefore, this Policy is developed to guide and direct the grantsmanship process in the University.

This is important because of the dwindling funding from the Government of Ghana over the years, requiring universities to diversify their funding sources including fee-paying programmes (particularly at the graduate level), gifts, investments, grants, consultancies, and contract awards from various agencies.

In its strategic plan for the period 2017—2023, the University envisioned a strong grantsmanship portfolio by among other things identifying innovative grant-winning research teams and kick-starting a grantsmanship programme to develop grant-winning proposals. This will improve the visibility and financial stability of the University as a centre of excellence for development impact. This requires, among others, a robust grants administration and management system to support the implementation of the University's activities.

3.0 CORE VALUES

The core values of UDS form the foundation on which it delivers its services and defines the way in which the University interacts with its stakeholders to support its mission, shape its culture, and reflect what it stands for.

UDS Grants Administration and Management Policy 2023

The core values include the following:

- Integrity   –   We will demand the highest standards of ourselves to earn the trust of others
- Loyalty   –   We will demonstrate a strong resolve to give back selflessly to our university
- Excellence   –   We will strive to do things better, setting challenging goals and continuously improving and innovating to deliver the best possible outcomes
- Diversity   –   We will value diversity among our students and staff and we will be committed to the establishment of an atmosphere where individuals can get equal opportunities to challenge, self-develop, and learn for growth and leadership
- Commitment   –   We will be committed to knowledge generation that positively impacts the lives of those within and outside our university community

4.0 CITATION

This policy may be cited as the "UDS Grants Administration and Management Policy, 2023."

5.0 RATIONALE OF THE POLICY

The University has over the last decade seen significant growth in grantsmanship leading to a substantial grants portfolio and this offers a great opportunity for research, capacity building, and community outreach. The development of this policy is, therefore, intended to streamline the administration and management of grants and contracts within the University as well as provide a supportive ecosystem for grants mobilisation and management.

6.0 SCOPE OF THE POLICY

This policy applies to all grants for research, training, programmes, consultancies, infrastructure, and service delivery in the University. The funding can take the form of gifts, consultancies, contract awards from various agencies, grants, or cooperative agreements, and donations. For the avoidance of doubt, the policy shall cover the following:

a) Identification of funding opportunities;

b) Proposal development and submission;

c) Award negotiation and acceptance;

d) Financial account set-up;

e) Award management; and

f) Award closeout.

7.0 OBJECTIVES OF THE POLICY

The overall objective of the policy is to streamline grants administration and management in the University. Specifically, the policy seeks to:

a) Establish a framework for grants mobilisation and management within the University;

b) Create a platform to track and monitor grants within the University;

c) Establish strategic global partnerships with other institutions with the intent to solicit funds for scholarships, research, and infrastructure development;

d) Provide guidelines through which projects funded by grants link to existing laws, policies, and regulations governing UDS as a Public University;

e) Define the roles of different University officials in the mobilisation, management, and administration of grants in the University.

8.0 STANDARD OPERATING PROCEDURES/GUIDELINES

The management of grants at the University shall not contradict policies and the relevant legal provisions governing the operations of the University as well as public finance management. The following Standard Operating Procedures (SOPs)/Guidelines shall be adhered to:

a) All grants expected in a financial year shall be communicated to the University Council on the basis of which the Vice-Chancellor shall sign grant contracts as and when they are due;

b) Each grant shall have an operation, monitoring and closure plan to fit within the overall University plan;

c) Grant assets shall form part of the University assets;

d) A University employee attached to a given grant or project shall be issued a letter to that effect by the University;

e) The staff who has a grant or project in the process of approval shall declare it to the University so that it is included in the budget estimates of the University;

f) A member of staff who is part of a consortium that wins a grant shall declare the grant to the Vice-Chancellor through the Grants Support Unit;

g) Publications arising out of grants shall have a recognition of UDS;

h) Copyrights and intellectual properties from a grant shall be guided by the existing Intellectual Property Policy of the University;

i) Proceeds from a grant innovation by a member of staff shall be shared between the University and the innovator in the ratio of 80 %: 20 %;

j) Royalty sharing after commercialization of grant innovation shall be in the ratio of 20 % and 80 % for the University and the innovator (after the innovator ceases being a member of staff of the University);

k) The grant closure report shall be submitted to the Vice Chancellor through the Grants Support Unit.

9.0 ESTABLISHMENT OF THE GRANTS SUPPORT UNIT (GSU)

9.1 Functions of the GSU
There shall be a Grants Support Unit under the Institute for Interdisciplinary Research with the following functions:

a) Undertake regular mapping and maintain an up-to-date database of grants and funding opportunities and ensure that these opportunities are communicated to faculty and staff in a timely manner;

b) Ensure that UDS is registered with various funding agencies wherever necessary;

c) Support faculty and other staff of the University in the preparation of grants applications including the following:
   - Eligibility checks for grant opportunities;
   - Proofing adherence to application guidelines;
   - Appropriate formatting of proposals;
   - Compliance with University regulations;
   - Clearance from relevant University departments and officials;
   - Securing necessary support documents such as audit reports, registration certificates, and other required information that may be available;
   - Advising on budget requirements and supporting the budget processes including ensuring that applicable administrative fees as well as staff and auditing costs are provided for;

d) Support award winners in the grant negotiations and coordinate with relevant University authorities for the signing processes;

e) Liaise with relevant University authorities for project account set-up wherever necessary;

f) Follow-up with Principal Investigators to ensure timely compliance with grant contract conditions and University policies;

g) Ensure that concluded projects are appropriately closed out in accordance with the University policies and guidelines;

h) Create a database of expertise and areas of specialisations of all faculty and staff;

i) Maintain a database of all grants in the University;

j) Ensure that all projects comply with the laws and policies of the University;

k) Be the Secretariat to the Grants Administration and Management Steering Committee (GAMSC);

l) Undertake monitoring, evaluation, and quality assurance in the execution of grants at the University;

m) Liaise with the University Public Affairs Directorate to publicise grants, projects and consultancies on the website and all media handles; and,

n) Prepare quarterly reports in accordance with the provisions of this policy.

9.2 Composition of the GSU

The Grants Support Unit shall comprise the following:

a) The Unit Head shall be appointed by the Vice-Chancellor upon recommendation of the Director of the Institute for Interdisciplinary Research (IIR);

b) Such other staff as may be determined by the University Management as necessary for the effective operations of the Unit, such as Accountant, Monitoring Evaluation and Learning Officer, Legal and Compliance Officer, and Administrator, among others.

c) The Unit Head shall report to the Director of IIR.

9.3 The Grants Administration and Management Steering Committee (GAMSC)

There shall be a Grants Administration and Management Steering Committee (GAMSC) with the following responsibilities:

a) Consider and approve work plans for the Grants Support Unit;

b) Consider and approve reports of the Grants Support Unit before they are submitted to the Vice Chancellor through the Director of IIR;

c) Provide leadership and advice on mechanisms to improve monitoring, benchmarking, and reporting performance under grants;

d) Support the University to build linkages with funders including Government, the private sector/industry, civil society, and other research institutions to strengthen the grants portfolio;

e) Consider and approve events to facilitate the exchange and dissemination of research and innovations under grants;

f) Provide an arbitration mechanism for any conflicts that may arise within grants administration and management within the University;

g) Advise the University management on research, innovations, and grants management issues that may arise

9.4 Composition of the GAMSC
The GAMSC shall be composed of the following:

a) The Pro-Vice-Chancellor who shall be the Chairperson

b) Director of IIR shall be the Vice Chairperson

c) The Administrator of the GSU or IIR who shall be the Secretary

d) The Accountant of the GSU or IIR

e) Three (3) members appointed from science-based Faculties/Schools

f) Two (2) members appointed from Humanities/Arts-based Faculties/Schools

g) Dean of Graduate School; and

h) The Head of the Grants Support Unit.

9.5 Grants Limits
A Grant that exceeds One Million United States Dollars (US$1,000,000.00) may have a specific Grant Steering Committee. Such a Committee shall be responsible to the University's GAMSC specified in Section 9.3.

10.0 UNIVERSITY GRANTS MANAGEMENT STRUCTURE
Subject to the provisions of the relevant financial management, procurement, and internal audit acts, laws, and regulations of Ghana (e.g., Public Financial Management Act 2016, Act 921; Internal Audit Agency Act, 2003, Act 658; Public Procurement Act, 2003, Act 663 as amended with Act 914, etc.), grants and donations to the University shall be received by the Director of Finance and shall be managed by GSU. The structure shall comprise:

a) University Council

b) Vice-Chancellor

c) Grants Administration and Management Steering Committee (GAMSC)

d) Director of IIR

e) Head of Grants Support Unit

f) Grants Working Groups (Humanities and Social Sciences, Health Sciences and Basic and Applied Sciences) to be chaired by persons of professorial ranks

g) Thematic Grants Committees

Below is the diagrammatic representation of the structure:

```
                          ┌──────────────────────┐
                          │  University Council  │
                          └──────────────────────┘
                                    ↕
                          ┌──────────────────────┐
                          │   Vice Chancellor    │
┌─────────────────────┐   └──────────────────────┘
│ Grants Administration│             ↕
│ and Management       │←→ ┌──────────────────────┐
│ Steering Committee   │   │   Director of IIR    │
│ (GAMSC)             │   └──────────────────────┘
└─────────────────────┘             ↕
          ↕               ┌──────────────────────┐
                      →   │   Head of Grants     │  ←
                          │   Support Unit       │
                          └──────────────────────┘
                                    ↕
┌──────────────┐      ┌──────────────┐      ┌──────────────┐
│ Humanities   │      │ Health       │      │ Basic and    │
│ and Social   │ ←→   │ Sciences     │ ←→   │ Applied      │
│ Sciences     │      │ Grants       │      │ Sciences     │
│ Grants       │      │ Working      │      │ Grants       │
│ Working Group│      │ Group        │      │ Working Group│
└──────────────┘      └──────────────┘      └──────────────┘
          ↘               ↕               ↗
                  ┌──────────────┐
                  │  Thematic    │
                  │  Grants      │
                  │  Committees  │
                  └──────────────┘
```
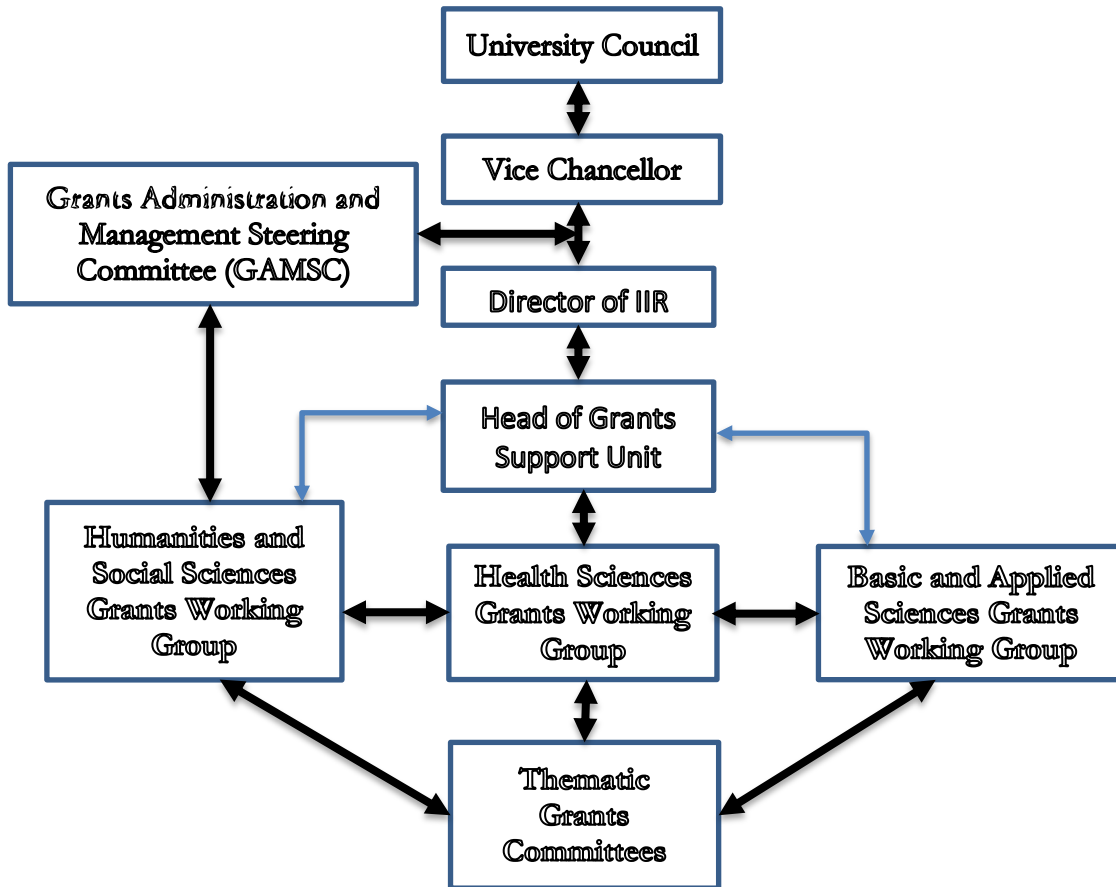
Each Grants Working Group shall be chaired by a person of professorial rank and preference given to individuals with substantial experience or track record in winning grants. Thematic Grants Committees shall be organised around Faculties/Schools/Institutes/Directorates/Centres and chaired by at least Senior Lecturers/Research Fellows, preferably those with experience and track record in grantsmanship.

11.0 ROLES AND RESPONSIBILITIES OF DUTY BEARERS

11.1 University for Development Studies Council

The UDS Council shall, through the Office of the Vice-Chancellor, be responsible for the appropriation of all grants and donations received by the University and for the formulation of governing policies.

11.2 Vice Chancellor:

The Vice-Chancellor shall be responsible for:

a) The implementation of this policy;

b) Providing oversight to the Grants Support Unit;

c) Appointment of the Head of the Grants Support Unit;

d) Signing all grant agreements, contracts, and MoUs with funders on the advice of the Grants Support Unit in consultation with the Directorate of Legal Affairs;

e) Appointing the Grants Administration and Management Steering Committee; and,

f) Constituting other grants-specific steering Committees in line with this Policy.

11.3 Pro-Vice-Chancellor

The Pro-Vice-Chancellor shall:

a) Chair the Grants Committee; and

b) Be responsible to the Vice-Chancellor for the overall coordination of all grants and donations in the University.

11.4 Director of Finance

The Director of Finance shall:

a) Be a member of the University Grants Administration and Management Steering Committee;

b) Be the Accounting Officer of all grants and donations and ensure the following:

- The establishment of project-specific accounts/ledgers;
- Processing of payments in accordance with the principles governing the grant;
- Ensuring timely accountability of disbursed funds;
- Submission of financial reports; and
- Supporting financial audits of projects funded by grants;

11.5 Principal Investigators (PI)

The PI is responsible for:

a) Ensuring successful initiation, negotiation, execution/implementation and closeout of the project;

b) Review of the contract/notice of award in its entirety and paying close attention to all elements of the agreement in accordance with this policy and the limitations under this policy;

c) Initiating project activities, payment schedules, and work plans;

d) Ensuring that new and existing staff are aware of grant conditions;

e) Be the main point of contact with donor representatives for the specific grant;

f) Compliance with UDS and funders requirements;

g) Supervising and management of the project implementation team;

h) Ensuring timely and accurate reporting;

i) Initiating budget modifications e.g., redirection, carryovers, and project extensions (cost and no-cost); and

j) Preparing and submitting relevant reports in accordance with the provisions of this policy.

11.6 Head of Legal Affairs

The Legal Affairs unit shall:

a) Review contracts/notice of award documents for compliance with university policies and regulations before signature by authorised officials;

b) Advise on the content of sub-award contracts/memoranda of understanding in cases where the University subcontracts third parties.

11.7 Director of Internal Audit

The Director of Internal Audit will have overall responsibility for the audit of Grants.

11. 8 Director of Procurement

The Director of Procurement shall be responsible for undertaking grants related procurements.

11.9 Director of IIR

The Director of IIR shall:

a) Be responsible for the implementation and completion of all grants related research activities across the university.

b) Have oversight responsibility over the Grants Support Unit.

11.10 Head of the Grants Support Unit

The Head of Grants Support Unit shall:

a) Be responsible for the day-to-day running of the Unit.

b) Ensure compliance with the Grants Management and Administration Policy at all times.

c) Report on activities of the Unit to the Vice-Chancellor through the Director of IIR.

d) Perform any other duties as may be assigned by the Director of IIR, the Vice-Chancellor, or the Grants Administration and Management Steering Committee.

12.0 STAFFING OF THE GRANTS SUPPORT UNIT

a) There shall be a Head of the Grants Support Unit.

b) The Unit shall have such other staff as may be determined by the University Management as necessary for the effective operations of the Unit, such as Administrator, Accountant, Monitoring, Evaluation and Learning Officer, Legal and Compliance Officer, among others.

c) The Head of Unit shall be at a minimum rank of Senior Lecturer

d) Where a specific project provides for staffing for its implementation and has budgetary provisions for this purpose including job specifications, such staff shall be recruited in accordance with the terms and conditions of the project.

13.0 PERMISSIBLE GRANTS

For compliance with National practices guiding research and grants, the University shall not solicit for or receive grants and donations under the following categories:

a) Grants from terrorist organisations or from organisations linked thereto;

b) Grants from organisations prohibited from operating in Ghana by the Government of Ghana;

c) Grants that are targeted at promoting social disorder in whatever form; and

d) Grants which promote ethnic/tribal, racial, religious, gender or any other type of discrimination.

14.0 PRE-AWARD MANAGEMENT PROCESSES

This covers all the activities that take place prior to obtaining a grant. It commences with identification of an appropriate funding opportunity to submit a proposal.

14.1 Registration on Funding Platforms

A number of funders require that institutions register on their grants platforms before allowing electronic submission of proposals. Registrations to donor platforms will be managed by the Grants Support Unit which will provide grant submission credentials to all the Grants Offices. In cases where registration is initiated by the Grants Offices at Schools or faculties, login credentials should be shared with the Grants Support Unit. Registrations peculiar to a given faculty may be maintained at the faculty Grants Office however the Grants Support Unit needs to be informed.

14.2 Solicitation

The Grants Support Unit shall share appropriate funding opportunities with students, faculty and other staff. Faculty and authorized affiliated persons will submit proposals to sponsors including Government, private institutions, foundations, non-profits, educational institutions and other organizations for support.

All intending applicants shall notify their Faculties/Schools Grants Offices of their intention to respond to a given funding opportunity or to participate in any sponsored partnership. The immediate Grants Office shall then inform the Grants Support Unit of this intent to apply. This allows Faculties/Schools Grants Offices to avoid multiple applications within the institution where they are not acceptable to the donor.

The Grants Support Unit shall provide support right from pre-proposal contact with donors where applicable to submission of the proposal.

14.3 Proposal Development

The individual designated as the Principal Investigator (PI) is responsible for preparation of the proposal following University policies and procedures as well as guidelines issued by the anticipated funding agency, The PI shall be assisted by a team composed of internal and external participants to develop the proposal. The PI shall be responsible for ensuring quality and completeness of the proposal as well as appropriateness of the proposed project team.

The Grants Support Unit shall support the proposal developer in various ways including developing a checklist for proposal development, editing proposal documents, compiling relevant support documents, providing the required templates, budget, and budget justification development. In addition, the Grants Support Unit shall coordinate with procurement and legal offices where necessary. Grant project budgets shall be made to include all appropriate costs such as direct project costs as well as institutional facilities and administrative costs (indirect costs). Any cost sharing commitments shall be made with approval of the University Council. Project budgets shall comply with all the legal requirements of Ghana.

14.4 Proposal Submission

Prior to submission to the funder, applicants for grant proposals will receive the support of the GSU in areas such as administrative and budgetary review of the proposals for completeness, accuracy of information, legal appropriateness, inclusion of the appropriate institutional administrative costs and adherence to the sponsor's guidelines and the laws of Ghana.

14.5 Partnerships and Sub-contracting

University staff or students may apply for grants in partnership with other institutions when required. The University may partner with relevant and complementary institutions when applying for grants. The University shall carry out due diligence on its partners and ensure that teaming agreements are put in place and signed by the authorized officers of the University.

14.6 Relationship with Other University Policies

This Policy shall be implemented jointly with other laws, policies and regulations governing the University.

15.0 POST AWARD MANAGEMENT PROCESSES

Post award processes entail all grant management activities following receipt of the award. The post award processes include implementing the grant, reporting progress and its ends at grant close-out when the final report including other deliverables are submitted to and accepted by the funder.

15.1 Negotiating and Accepting the Award

Contract negotiation and acceptance of the award shall be done by the Principal Investigator of the project and shall be communicated by the Head of GSU to the Vice-Chancellor for approval. The Vice-Chancellor shall ensure that any grant contract to be signed is part of the grants or donations declared to the University Council. Negotiation will include a thorough review of the award terms and conditions by the University legal office before an award is signed.

15.2 Project Implementation

The PI shall be responsible for the overall implementation of the project and ensuring its success. The PI shall be responsible for project initiation - bringing all key stakeholders on board, requesting account set-up, and obtaining ethical approvals. It is also the responsibility of the PI to ensure that the right staff or researchers are hired following existing procedures set out by the Appointments and Promotions Board, and all the necessary supplies and equipment are acquired through the existing procedures.

15.2.1 Opening of a project account

In cases where funders require a project specific bank account or an interest-bearing account, authority to open an account will be obtained from the University Council through the Vice-Chancellor following existing laws, policies and regulations on account opening.

15.2.2 Setting up sub-award recipients

Where an awarded grant requires the participation of sub-recipients, the GSU in consultation with the Principal Investigator will prepare sub-award agreements and ensure that they are signed by the sub-awardees.

15.2.3 Procurement

Subject to the provisions of Ghana's Public Procurement Act, 2003, Act 663, procurement for funded projects will be done by the Procurement Directorate of the University. All procurements must follow both the University and funders regulations.

15.2.4 Equipment and property management

As stipulated in the University policies, all procured equipment will be registered in the asset register. Unless otherwise specified in the funding agreement, all property procured using grants awarded to UDS will remain the property of the University. Disposition of acquired equipment

and property will be done according to the University's asset management and disposal procedures.

15.2.5 Financial management of grant funds

Financial management of grant funds will be done based on approved budgets included in the funding agreements. Requisition of funds will be done according to the University financial management procedures. In consultation with the Principal Investigator, the GSU will prepare and submit requests for budget modifications including carry-over, redirection, re-budgeting, and no cost extensions.

14.2.6 Compliance and reporting

Grant compliance refers to the process of ensuring that all activities and expenses related to a grant follow the terms and conditions of a grant award. This includes following the Generally Accepted Procedures (GAP), proper procurement procedures, as well as strong internal controls. Hence, having proper policies and procedures in place as well as strong internal controls is key in mitigating the risk of misuse of funds.

The GSU shall provide the following:
   a) Monitor the grants budgets for proper use of funds and ensuring that fund guidelines on procurement and inventory are met;
   b) Preparing regular monitoring and evaluation meetings with Principal Investigators and Project Teams to review performance and guide on the necessary adjustments within approved budgets;
   c) Facilitating the preparation of reports and documentation required by donors by providing a one-stop reporting centre for all awarded projects; and,
   d) Coordinating the audit responses and other project related activities.

15.2.7 UDS reports
   a) Every PI shall submit a quarterly report to the Grants Support Unit including the following:
      i.   physical performance of the project including progress on implementation of the project, quantifiable outputs and outcomes, challenges experienced and mitigation measures;

ii.   financial report including bank reconciliations and statements, summary of income & expenditure statements;

b) The GSU will prepare a consolidated quarterly report on grants within the University including:

i.   physical performance of the projects including progress on implementation of the projects, quantifiable outputs and outcomes, challenges experienced and mitigation measures;

ii.   financial report including bank reconciliations and statements, summary of income & expenditure statements;

iii.   key grants management indicators including the number of funding opportunities shared, number of submitted proposals, number of grants and total amount awarded, updated schedule of PI's, number of active grants including their duration and the number of successfully closed out grants and budget performance reports per grant;

c) The report from GSU will be submitted to the Vice-Chancellor.

15.2.8 Funder reports

The GSU shall maintain a summary of all funders' reporting guidelines and a schedule of all reporting dates for all running grants. GSU shall be responsible for sending out reminders of approaching reporting dates to PIs and ensure compliance. Funder reports shall be submitted in compliance with guidelines set out by the funders.

16.0 GRANTS CLOSE-OUT

Grant closure is a critical stage in the grant life cycle that must begin before the grant end date. It is GSU's responsibility to ensure the proper completion of all funded projects within the University.

16.1 Funder's Requirements for Grant Close-Out

Before the grant period ends, the PI shall receive a notification from the funder indicating the expected date of project close-out. The PI will work with GSU and other key offices such as the Finance and Procurement offices to ensure that all grant obligations are taken care of. Depending on the amount of funds left and the remaining project activities, the project may seek a no-cost and no additional obligation extension to allow additional time for completion of project activities. In case of any additional obligations, GAMSC approval shall be obtained. In

circumstances where there is no additional time required, the final required reports i.e., technical and financial reports shall be prepared. Additionally, a final audit will be carried out and a report submitted to the funder with a copy to GSU. The GSU shall ensure that all project documents are archived for a duration of time that is stipulated by both the funder and University guidelines.

16.2 University Requirements for Grant Close-Out

The GSU shall ensure that a grant coming to an end provides information through a UDS grants close-out template that will include the list of assets and their location, a copy of the final reports including funder technical and financial reports and a copy of audit report. GSU shall ensure that all University requirements are met before signing the project off.

17.0 SALARIES AND RELATED COSTS CONSIDERATION IN GRANTS

Salaries for grants must be determined by the level of efforts of the staff concerned for the specific project. Compensation from grants is normally paid as a portion of the Institutional Gross Annual Salary (IGAS) for actual work performed on the grant from which the salary is paid. Compensated services must be performed during the project period. A minimum factor of one and half (1.5) times of the IGAS shall be used in determining the level of compensation for grants. For example, if an individual IGAS is the equivalent of US$24,000 and the level of effort is 20 % (0.2FTE) on the grant, their compensation will be computed as 24,000 x 1.5 x 0.2 = US$7,200. Fringe benefits maybe added where applicable.

A full-time faculty or staff may be paid from one or more grants proportional to the effort expended on each grant agreement during the academic term such work is performed. This reassigned time releases the faculty member from teaching and/or research/scholarly/creative and service activities proportional to the level of effort on the grant. For purposes of compensation from grants, paid or cost-shared, a normal three-credit hour course is equivalent to 20 % effort (or 0.20 FTE) and non-instructional activities are equivalent to 5 % effort (or 0.05 FTE). Individuals paid 100 % from grant funds may not perform any institutional functions outside of their grant-related job duties, unless otherwise provided in the grant agreement or servicing on adhoc committees of the University.

Overheads also known as indirect costs or facilities and administrative costs are incurred for common or joint objectives and cannot be easily and specifically identified with a particular project or institutional activity. Therefore, the terms indirect costs, overhead costs, and facilities and administrative costs are synonymous. These costs relate to the use of an institution's facilities

UDS Grants Administration and Management Policy 2023

and administrative support but cannot be claimed as direct costs. Overhead costs 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/donors prescribe the percentage of the overhead to be charged on a grant, others allow for institutions to use their own rates, yet others simply do not allow over-head on grant. In order for UDS to be competitive, an overhead cost of between 5 – 15 % will be charged on grants. Where the above percentages are not applicable and require a waiver, a decision of the Vice-Chancellor will be sought through the GSU.

17.1 Project Overheads Distribution

Where overheads are allowable on a grant, a rate of not less than 10 % of the total cost or the rate as determined by the funder maybe applied. The total collectable overheads shall be equated to 100 % and distributed as follows:

   a) Central Administration 50 %
   b) Relevant Campus (s) 10 %
   c) Relevant School/Faculty (s) 10 %
   d) Relevant Department (s) 10 %
   e) IIR (10 %)
   f) Principal Investigator 10 % (Preserved strictly for academic work)

Where a semi-autonomous Institute, Directorate, or Centre within the University that pays its staff or operating a blended payment system wins grants, it shall retain 50% of the overheads and the remaining then equated to 100% and distributed as specified above.

17.2 Use of Project Overheads

Use of University project overhead costs include building and equipment depreciation, allowances, general administration; sponsored project administration expenses, operation and maintenance expenses, library expenses, and student administration and services expenses. Thus, overhead costs are the related costs of using the University's facilities and administrative support to a project that cannot be claimed as direct costs. Note that overheads may be referred to as indirect costs in some projects or by some funders. Despite this generally accepted

understanding of the use of overheads, specific funders may stipulate what the overheads in the supported study or project may cover.

17.3 Use of Administrative Costs

Project administrative costs include payment of sponsored projects administrators, space rental, utility costs, maintenance of equipment and buildings, library expenses, consultancy services such as legal, audit, promotional/advertisements, secretarial, memberships and subscriptions, postage, bank charges, staff capacity building, staff welfare amongst other administrative expenses.

It should also be noted that some funders may not allow overheads or direct costs, but instead expect the project to be a shared responsibility in which the host institution meets these costs as her contribution to the project. In such cases, the Vice-Chancellor and Management shall inform the University Council of the strategic importance of the project and seek approval to undertake co-funding.

The Project Manager
ACE Impact Project
Association of African Universities
Accra, Ghana

Dear Madam,

COMPLETION AND APPROVAL OF GRANTS MANAGEMENT AND ADMINISTRATION POLICY AND GUIDELINES

I write to bring to your attention the completion and approval of the Grants Management and Administration Policy and Guidelines of the University for Development Studies (UDS), Tamale.

A six (6) member Committee was constituted by the University and received inputs from various stakeholders as well as reviewed relevant literature to support its drafting whilst its work was facilitated by the West African Centre for Water, Irrigation and Sustainable Agriculture (WACWISA).

This Grants Management and Administration Policy is therefore intended to address the needs of internal and external stakeholders, such as research collaborators, funding agencies, or research clients, and to provide a framework for grantsmanship within the University. The Policy supports the overall vision of the UDS "to be the home of world-class pro-poor scholarship", and catalysing the University's purpose of building a conducive, student-centered, and friendly university community that supports teaching, research and community service.

Submitted for your work and we commit to our continued collaboration for excellence especially working with you in the regard.

Yours sincerely,

Prof. Seidu Al-hassan
Vice-Chancellor