

GENERAL GUIDELINES FOR EXTERNALLY-FUNDED PROJECTS

RATIONALE

The Ateneo de Davao University benefits from the support of various partners and allies who share in its vision of transformative engagement in instruction, formation, research, and community service. Consequently, the University is in frequent collaboration with like-minded academic institutions, government agencies, non-government organizations, and centers for development from within and outside of Mindanao. Depending on the memoranda of agreement, these partners can either function as co-organizers in projects and events, or as external funders that award financial grants and other monetary support for the fulfillment of a project or a program.

These general guidelines are, therefore, vital in ensuring the smooth and effective implementation of the University's externally-funded projects. This document was also developed in response to the "One Ateneo, One Plan" University Strategic Plan of 2020-2025. Among the strategic interventions is that "by 2023, Strategic Offices have designed and implemented operational manuals aligned and coordinated with the operations and protocols of other offices;" and that "by 2020, the University has streamlined its internal processes in administration through the development of manual of procedures for all offices' mandated and official transactions with their stakeholders" (Goal 1, Outcome 3).

This General Guidelines for Externally-Funded Projects does not cover externally-funded research projects which is guided separately by Memorandum No. 2012-2013-05 of the University Research Council entitled "Guidelines for Execution of Research Contracts, Creation and Closure of DCB and Withdrawal and Liquidation of Research Funds."

DEFINITION OF TERMS

Institutionally-based externally-funded projects include the following:

1. institutional projects contracted by an external funding organization to ADDU specifically through the department/unit and/or school/center/institute;
2. projects which are officially endorsed by and awarded to the University;
3. those of which the memoranda of agreement are made between ADDU and the funding organization; and
4. those for which funds are directly channeled through ADDU.

Commissioned Projects are projects that:

1. are recommended or initiated by the Office of the President; and
2. emanate from funding agencies where a center or individual is identified and specifically requested to implement a program/project.

Professional fee/honorarium represents the amount of compensation stipulated in a project proposal, which is approved by the funding organization.

Project Leader/Manager refers to an ADDU employee who prepares and submits proposal for external funding; and/or an ADDU employee who implements the same once approved by the funding organization.

Negotiation, Monitoring, and Supervision of Externally-funded Projects include, among others:

1. following up the status of proposals submitted and projects being implemented;
2. handling of contract negotiations;
3. administering all externally-funded projects by providing administrative support/services in the hiring of personnel, handling of project funds, preparation of budget performance and other financial report; and
4. the establishment and maintenance of direct linkages with funding agencies.

Project Output refers to the result/product of a project undertaking. It may take the form of a written report or published article.

External Funding Agency refers to the entity that provides support for programs and projects awarded to the School/Center/Institute as a result of an application or proposal submitted by the School/Center/Institute to the External Funding Agency.

BASIC REQUIREMENTS/CONDITIONS

QUALIFICATIONS FOR PROJECT PROPONENT

1. The project proponent must be a regular full-time employee of ADDU.
2. Part-time faculty members and project-based employees may qualify as associate project leaders/managers upon the recommendation of his/her immediate supervisor.
3. Retired faculty and staff may be involved as a consultant or as a team member of the externally-funded project upon the recommendation of his or her former unit head/ immediate supervisor.

GENERAL GUIDELINES

PROJECT DEVELOPMENT

1. The University will have a preference for projects which are in line with its Mission Statement and the strategic interventions under the strategic plan.
2. ADDU employees may not be compensated by the University or by the school/center/ institute for the preparation of a project proposal. ADDU Employees who are commissioned

by the University President, dean, department chairs, and/or center/institute director to prepare a project proposal may be paid an honorarium.

3. The honorarium for the preparation of the commissioned proposal will be built into the project proposal.
4. Identifying possible sources of external funds:
 - A. The school/center/institute will be responsible for establishing and maintaining linkages with external agencies, specifically for project development purposes.
 - B. The school/center/institute will be responsible for the proper selection of funding agencies.
5. The proposed budget should include the following: professional fees/honorarium of ADDU employees involved in the project implementation and provision for a withholding tax based on allocated honoraria. The budget may also include accounting fees for projects requiring formats and documents for financial reports.
6. As a general rule, all projects will include a component for management fee inclusive of overhead/indirect cost of 20% for the administrative services and for the use of University electricity, space, and other facilities in the conduct of the external project. For meritorious cases, this fee may be adjusted or be waived upon the approval of the Office of the President.

The 20% management fee will be distributed as follows:

- 10 % - to the University
- 10 % - to the implementing School/Center/Institute

If counterpart funding is required by the external funding institution, this can be sourced from the University in the following forms, unless otherwise indicated in the project budget:

- Office space (to specify rate per square meter), with fixtures
- Logistics, i.e., electricity, water
- Communication, i.e., telephone, facsimile, internet
- Transportation, i.e., university service vehicles, car hires
- Equipment, i.e., laboratory facilities, computers, projectors, etc.
- Administrative costs (i.e., Accounting, Human Resource, Security, and Janitorial Services)

Costing may be generated by the Finance Office upon request.

7. Rates for project staff, per diem, interviewers' or coders' fees, etc., may be provided by the Finance Office based on existing University rates, upon request. If the University rates are different from the funding agency's rates, negotiations should be made prior to the signing of the MOA.
8. The Office of the President may provide sample/pro-forma proposals and contracts/memoranda of agreement upon request.
9. The Office of the President may assist the project leader/manager/s in the preparation of project proposals, upon request.

10. Review of preliminary draft of project proposals:

- A. The school/center/institute will see to it that proposals are properly reviewed together with a corresponding monitoring and evaluation plan, prior to their submission to a prospective funding agency.
 - B. The project leader/manager/s may also request the Executive Vice President Office, Office of the Vice President for Finance and Treasurer, and University Legal Counsel to review and endorse the preliminary draft of the project proposal prior to its submission to the funding agency concerned.
11. It will be the responsibility of the school/center/institute concerned, through the proponent, to handle the negotiations for the approval of the project proposal with a prospective funding agency.
12. Upon approval of the project proposal by the funding agency, the necessary contract or memorandum of agreement (MOA) should be prepared and checked by the University Legal Counsel

[\[See Protocols & Guidelines on the Initiation and Implementation of Partnership Agreements\]](#)

PROJECT IMPLEMENTATION

1. Upon approval of the project by the funding agency and after the necessary contracts have been signed by the parties concerned, the Office of the President will request a copy of the MOA and the approved project proposal and budget, in line with its verification function. A copy of the MOA and approved proposal will also be sent to the Finance Office and the Archives Office for filing purposes.
2. As much as possible, the project leader/manager who prepared/submitted the proposal for funding will also be the one to implement the approved project.
3. If not stipulated in the contract/MOA, the project leader/ manager is advised to determine whether the funding agency will require any specific format/supporting documents for the project's periodic financial reports. Proper arrangements with the Vice President for Finance should be made for projects requiring specific format for financial reports, other than those periodically generated by the Finance Office.
4. The project leader/manager should advise the funding agency to make checks representing partial/full releases of grants, payable to ATENEO DE DAVAO UNIVERSITY.
5. The Office of the President may assist in the opening of adjunct (DCB) accounts with the Finance Office for newly-approved institutionally-based externally-funded projects. The project account becomes a sub-account of the school/center/institute.
6. The school/center/institute and the Finance Office monitors and keeps records of the project fund balances. The school/center/institute keeps a copy all the evidence of receipts and disbursements while the original copies should be passed to the Finance Office. The project leader/manager may request a periodic financial report from the Finance Office. The school/center/institute may request for a Statement of Receipts and Disbursements or financial report of the project from the Finance Office.

7. The internal auditor may audit all transactions of the project anytime as s/he deemed necessary.
8. Receipts and Disbursement Procedure:
[\[See Receipts and Disbursement Policy of Finance Office\]](#)
9. Procurement Procedure and Equipment Purchasing:
[\[See Procurement Procedure and Equipment Purchasing of the Purchasing Office\]](#)
10. Hiring of Project Personnel:
[\[See Policy on Hiring Project-Based Employees of the HRMDO\]](#)
11. Monitoring and Supervision of Institutionally-Based Externally-Funded Projects
 - A. The monitoring and supervision of the project personnel, as well as the progress of the project, will be handled by the project leader/manager.
 - B. The monitoring and evaluation plan should be implemented.
 - C. In cases where the project leader/manager of an ongoing project resigns from the University, he/she should:
 - i) have already made the necessary arrangements with the school/center/institute director or dean, whichever is applicable, for the turnover of his/her project to a qualified ADDU employee, and
 - ii) submit a letter addressed to the Office of the President noted by the project leader/manager's superior/dean/center director/institute director; stating that ADDU employee assigned agrees to take over the project.

PROJECT COMPLETION

1. The project leader/manager formally informs the school/center/institute of the completion of the project. The school/center/institute director will certify the completion of a project and will convey the completion and financial status of the project to the Office of the President. Upon project completion, as certified by the Finance Office, the Vice President for Finance and Treasurer will facilitate the transfer of the university share in the project savings to the appropriate accounts of the University.

The project leader/manager should request the Finance Office to close the adjunct account (DCB account) of the project.

Any request for reconsideration, exemption, etc. should be addressed to the Office of the President.

2. The project leader/manager submits a terminal report to the Office of the President.
3. Turn Over of Project Property to the school/center/institute

- A. The school/center/institute implementing the project will have priority over non-cash savings and assets (i.e., equipment from external projects).
- B. Within one year after the certified completion date of the project, the project leader/manager through the school dean/center/institute director will officially turn over the non-cash project savings and assets to the school/center/institute concerned. A copy of the memo should be sent to the Office of the Executive Vice President for inventory purposes.