

**APPROVED**

At the RISEBA Senate meeting ON 12 APRIL 2017 (Minutes No. 17/1.1-07/03)  
with amendments on 8 May 2019 (Minutes No. 19/1.1-7/04)

## **RULES ON THE PROCEDURE FOR THE IMPLEMENTATION AND MONITORING OF PROJECTS AND PROCUREMENT PROJECTS**

### **1. Terms used in the Provision**

**University** – RISEBA University of Applied Sciences.

**Project** – a project financed by the state, local authorities, European Union funds or other financial instruments, including within the framework of partnership agreements, in which the University participates.

**Procurement** – a procurement procedure announced by the state, a public body or other institution.

**Procurement outcome** – a procurement contract or framework agreement concluded as a result of a procurement procedure.

**Procurement project** – an offer made or a procurement procedure announced by the state, a local authority or a private institution for the implementation of a project or part thereof, or for the receipt or provision of services;

**Project Monitoring Committee** – a committee established by Rector's Order, comprising the Rector, Vice-Rectors, the Director Of Finance, the Head of the Projects Department, and, where necessary, other representatives of the University.

**Lead Partner** – a status within a project whereby, when submitting a project together with cooperation partners, one of the partners assumes a leading role in the project – including the preparation and submission of the project application, the overall supervision of the implementation of project activities, and control of the project budget.

### **2. General provisions**

2.1. Provision sets out the procedure by which the University:

- a) attracts and implements projects funded by the state, local authorities, European Union funds or other financial instruments;
- b) supervises projects and procurement projects;
- c) participates in announced procurement procedures and takes the necessary actions in accordance with their results;
- d) pays remuneration to project managers and to the University's administrative and academic staff members involved in the project; pays the salaries of the University's administrative and academic staff members

involved in the implementation of the procurement application and the resulting contract (framework agreement).

2.2. These provisions shall enter into force upon their approval by the University Senate.

### **3. Objective of project implementation**

3. The objective of implementing the University's projects and procurement projects, by attracting funding from foreign sources and the Republic of Latvia, is to fully utilise the potential of the University's academic staff members and administrative staff in the following sectors:
  - a) to promote scientific research (Science);
  - b) to modernise and develop the Study process (studies);
  - c) to promote the University's participation in international projects (Internationalisation);
  - d) to promote the development of the University's infrastructure (infrastructure).

### **4. Project implementation procedure**

4. Project implementation at the University takes place in the following stages:
  - a) proposing and approving the project idea;
  - b) preparation and submission of the project application;
  - c) project implementation, including the establishment of a Management Group, the appointment of persons responsible for project implementation, and risk management;
  - d) project closure.

### **5. Proposing a project idea**

- 5.1. The project's theme and activities must align with the University's provisions for objectives and strategic directions, as well as with the University's Action and Investment Plan.
- 5.2. Any Academic staff member or administrative staff member may propose a project, provided that the project idea, planned activities and budget are agreed with their line manager, the relevant vice-rector, and the Head of the University's Project Department.
- 5.3. The Head of the Project Department, together with the project initiator, submits the project idea for approval to the Chair of the Project Monitoring Committee.

### **6. Preparation and submission of the project application**

- 6.1. If the University is the lead partner or project applicant within the framework of the project, in accordance with the Order on the submission of the project application, the person responsible for preparing the project application shall, within the deadline specified in the Order, prepare the project application for submission to the responsible authority and submit it to the Project Department.

- 6.2. The Project Department shall review the prepared project application, edit it if necessary, and submit it to the responsible authority.
- 6.3. If the project application is approved by the responsible authority and the University is invited to sign a contract for the implementation of the project, the approval of the Project Monitoring Committee is required prior to signing the contract. The Project Monitoring Committee is entitled to withhold approval of the contract and to urge the Rector of the University not to conclude the contract for the implementation of the project if the responsible authority has changed the conditions for project implementation, or if unforeseen circumstances have arisen at the University that prevent participation in the project from being approved.

## **7. Project implementation**

- 7.1. Following the approval of the project application by the responsible authority and the signing of the contract for the implementation of the project, an order regarding the implementation of the project (Appendix No. 1) is drawn up, specifying the University staff involved in the project, the project manager, the deadlines for project activities, as well as the time periods for which the project manager must submit progress reports (Appendix No. 3) on the progress of the project, and the deadline for submitting the final project report to the Project Monitoring Committee, together with the project budget plan (Appendix No. 2). The Head of the Project Department is responsible for preparing the order.
- 7.2. Payments under the project shall be made only after the order referred to in point 8.1 of these provisions has been approved.
- 7.3. Upon commencement of project implementation, the responsible project manager shall prepare and submit the Project Passport (Appendix No. 4) electronically to the Head of the Project Department and the Accounting Department.
- 7.4. The project manager is responsible for regularly submitting to the accounts department all original project documentation relating to the project's finances, including all contracts and invoices associated with the project.
- 7.5. Progress reports on the progress of the project shall be submitted by the relevant project manager for approval to the Chair of the Project Monitoring Committee electronically in accordance with the deadline specified in the Order.
- 7.6. At least two months before the scheduled end date of the project, the project manager shall submit a report on the progress of the project to the Project Monitoring Committee with the aim of enabling the Project Monitoring Committee to identify potential risks to project activities and the implementation of the project budget.
- 7.7. The original project documentation is kept by the Head of the Project Department. A copy of the project documentation is kept by the relevant project manager.
- 7.8. Upon project closure, the project manager shall compile the original project documentation in chronological order and, in accordance with the terms of the project contract, submit it for storage in the archive.

## **8. Clarification of announced procurements**

- 8.1. The subject and activities of the announced procurement must correspond to the objectives and strategic directions set by the University, as well as comply with the University's Action and Investment Plan.
- 8.2. Any academic staff member or administrative staff member of the University may propose participation in a procurement procedure, subject to approval by the Head of the Project Department.

## **9. Preparation and submission of the procurement application**

- 9.1. The Project Department shall prepare the procurement application documentation, involving the necessary staff.

9.2. The procurement application documentation shall be prepared in accordance with the established provisions and the Project Department shall submit it to the relevant authority.

### **10. Procedure for the implementation of procurement projects**

10. The procedure for the implementation of procurement projects shall take place in the following stages:

- a) clarification of the announced procurement;
- b) preparation and submission of procurement applications;
- c) conclusion and performance of a contract or framework agreement for the implementation of the procurement or the service commissioned by the contracting authority.

### **11. Conclusion of a contract or framework agreement and implementation of the procurement project**

- 11.1. Following the approval of the procurement results by the responsible authority and the signing of the contract for the implementation of the procurement, an order for the implementation of the procurement (Appendix No. 6) is prepared, specifying the University staff involved in the procurement and the procurement manager. The Head of the Project Department is responsible for preparing the order.
- 11.2. The Project Department may propose that the University enter into cooperation (partnership) agreements with other project partners necessary for the implementation of the project;
- 11.3. Upon commencing the implementation of a contract or framework agreement, the responsible procurement manager shall prepare and submit electronically to the Head of the Project Department and the Accounting Department a procurement passport and cost estimate (Appendix No. 7).
- 11.4. It is the project manager's responsibility to regularly submit to the accounts department all original documentation relating to the performance of the contract that concerns its finances, including all relevant contracts, procurement documentation and invoices.
- 11.5. The originals of the documentation are kept in the Project Department.
- 11.6. Following the conclusion of the contract (general agreement), the project manager compiles the original documentation in chronological order and submits it for storage in the archive in accordance with the terms of the contract.

### **12. Project closure**

- 12.1. Once the project activities have been carried out, documents (including accounting documents, reports, contracts and other documents related to project implementation) are prepared for the project closure in accordance with the project implementation period.
- 12.2. Upon completion of all activities planned in the project and upon closing the project, an order regarding the closure of the project is prepared (in accordance with Appendix No. 5 or No. 8).
- 12.3. After the project has been closed, the project manager compiles the original project documentation in chronological order and submits it for storage in the archive in accordance with the terms of the project contract.

### **13. Activities of the Project Monitoring Committee**

- 13.1. The Project Monitoring Committee meets for annual meetings at least twice a year, by 15 March and 15 October of each year.

- 13.2. During the meeting, the committee members elect a chairperson. Matters to be considered during the meeting are approved by a vote of the committee members, by a simple majority. In cases where the votes of the committee members are divided and the matter under consideration cannot be decided by a simple majority, the opinion of the committee chair shall be decisive.
- 13.3. At the committee meeting, project managers provide an update on the progress of their projects, performance indicators, the utilisation of project funds (budget) and the risks associated with project implementation.
- 13.4. Minutes are taken at committee meetings. The minutes are kept by the Head of the Project Department.
- 13.5. If necessary, extraordinary meetings of the Project Monitoring Committee may be convened, with the relevant project managers invited to attend where necessary.
- 13.6. Upon reviewing project progress reports, the Committee is entitled to require the project managers of specific projects to make adjustments during the course of project implementation, and is also entitled to submit recommendations to the Rector of the University regarding the replacement of the project manager and University staff involved in the project.

#### **14. The University's project managers, the procedure for**

##### **14.1. Each project manager and University staff member involved (support staff) shall be remunerated for their work on the relevant project**

- 14.1. The remuneration of each project manager and University staff member involved (support staff) for work on the relevant project shall be determined by a separate Order, taking into account the following aspects:
  - a) the complexity of the project and procurement;
  - b) the total budget of the project and procurement;
  - c) the amount of the University's co-financing for the project;
  - d) the scope of the activities envisaged in the project and procurement and their impact on the achievement of the University's strategic objectives;
  - e) the funding allocated for administration in the project and procurement budget.
- 14.1. For a prepared project application that is approved by the competent authority and for which a contract is concluded for the implementation of the project, the applicant shall receive a one-off remuneration as provided for in the Order on the submission of the project.
- 14.3. The project manager may, in accordance with the provisions of the specific project, be granted a monthly remuneration for managing the specific project, as well as a quarterly bonus, which is paid only after the Project Monitoring Committee has approved the progress report (Appendix No. 3) submitted by the project manager regarding the implementation of the project within the specified time period. For the final quarter of project implementation, the bonus is paid after the Order to close the project has been signed.
- 14.4. In the event that the Project Monitoring Committee does not approve the progress report submitted by the project manager and, during the specified period, the activities envisaged in the project have not been carried out or have been carried out incorrectly due to the project manager's fault, the project budget conditions are not complied with, and – if the project manager fails to fulfil their primary work duties – the quarterly bonus shall not be paid to the project manager.
- 14.5. The remuneration of the project manager and the University staff involved in the project, as determined within the framework of the project, shall be classified as a trade secret.

**ORDER**  
**Riga**

dd.mm.20xx.

No.

**Regarding the implementation of the project (“Project title”),**  
**(project contract number)**

Based on the Agreement on the implementation of the project (*project contract number*), concluded between (*responsible authority*) (*hereinafter referred to as (abbreviation)*) and “RISEBA University of Applied Sciences” (*sector in which the project is being implemented*):

1. I hereby determine the short title of the project (“*short title of the project*”);
2. I hereby set the implementation period of the project (“*abbreviated project title*”) from (*dd.mm.yyyy*) to (*dd.mm.yyyy*);
3. hereby determine that the following departments/staff members are involved in the implementation of the project:
  - a) (*First name/Surname*);
  - b) (*First name/Surname*);
4. I instruct (*Bank name*) to open a separate current account (*account number*), from which all payments relating to the implementation of the project (“*abbreviated project title*”) are to be made and to which all such payments are to be received;
5. I instruct you to ensure separate accounting records of income and expenditure relating to the implementation of the project (“*project abbreviation*”), by creating a single object (dimension) in the RISEBA information system for both income and expenditure - object \_\_\_\_\_;
6. I instruct *the project manager to implement the project in accordance with the requirements of the relevant regulatory acts and the university’s internal provisions.*
7. I set the following deadlines for the implementation of project activities:
  - a) (*activity name*) by *dd.mm.yyyy*
  - b) (*name of activity*) by *dd.mm.yyyy*.
8. I set the following deadlines for the submission of project reports:
9. I hereby approve the project manager for the project (“*short title of the project*”) – *position, first name and surname.*

Appendix:

- *Project Passport (Appendix 4)*
- *Project Budget Plan (Appendix 2);*
- *Agreement on the implementation of the project, or other supporting document confirming that the project application has been approved for implementation;*
- *Other necessary documents specifying the project implementation period, procedure and provisions;*

Rector (First name, Surname)

**Approved by:**

Vice-Rector for Development (First name, Surname)

Director of Finance (First name, Surname)

Head of the Project Department (First name, Surname)

*Prepared by, telephone*

\_\_\_\_\_  
 Rector I. Senņikova

**Project "Project title"** (Contract number: XXXXXXXX; project abbreviation - XXXXX)

**Budget plan**

Project amount:	EUR 00,000.00	0%	Contract date: dd.mm.yyyy
RISEBA funding:	EUR 0000.00	0%	Project start date: dd.mm.yyyy
Donor funding:	EUR 0000.00	0%	Project end date: dd.mm.yyyy
Advance payment:	EUR 0.00	0%	
Interim payment:	EUR 0.00	0%	
Final payment:	EUR 0.00	0%	

Budget items	Amounts in EUR	Notes
<b>1. PROJECT BUDGET</b>		
RISEBA funding:	00.00	
Donor funding:	00.00	
<b>TOTAL PROJECT BUDGET:</b>	<b>00,000.00</b>	
<b>2. EXPENSE ITEMS</b>		Type of contract (employment contract/AUTHOR'S CONTRACT)
2.1. Remuneration for work on the project 2.1.1. (First name, Surname, role in the project)	0.00	
2.2. Premises costs and utility costs	0.00	
2.3. Travel costs (including visas and other expenses)	0.00	
2.4. Service costs	0.00	
2.5. Contribution in kind	0.00	
2.6. Inventory costs	0.00	
2.7. Other costs	0.00	
<b>EXPENDITURE:</b>	<b>0.00</b>	
<b>3. CONTINGENCY EXPENDITURE (reserve)</b>	<b>0.00</b>	
<b>TOTAL COSTS:</b>	<b>0.00</b>	
<b>BALANCE</b>	<b>00,000.00</b>	

Project "short title" manager:  
 Approved by:  
 Vice-Rector for Development  
 Director of Finance  
 Head of the Project Department

(First name, Surname)  
 (First name, Surname)  
 (First name, Surname)

**Progress report on the implementation of the project (“project title”)**

**for the reporting period from <dd.mm.yyyy> to <dd.mm.yyyy>**

**1. Project identification, report identification**

1.1. Contract/Agreement No.

1.2. Project title

1.4. Report number (specify No.)

1.5. Report preparer (first name, surname, position,  
telephone, email)

## 2. Budget details

Project amount:	EUR 00,000.00	100%
RISEBA funding:	EUR 0.00	0%
Donor funding:	EUR 00,000.00	100%
Advance payment of funding:	EUR 0.00	0%
Final funding payment:	EUR 0.00	0%

Budget items	PLAN Amounts in EUR	ACTUAL Amounts in EUR	Notes
<b>1. REVENUE</b>			
Funding from the donor	00,000.00	00,000.00	
<b>TOTAL INCOME:</b>	<b>0,000.00</b>	<b>00,000.00</b>	
<b>2. EXPENSES</b>			
2.1. Remuneration for work on the project	0.00	0.00	
2.1.1. (First name, Surname, role in the project)			
2.2. Premises and utilities costs	0.00	0.00	
2.3. Travel costs (including visas and other expenses)	0.00	0.00	
2.4. Service costs	0.00	0.00	
2.5. Contribution in kind	0.00	0.00	
2.6. Inventory costs	0.00	0.00	
2.7. Other costs	0.00	0.00	
<b>EXPENDITURE:</b>	<b>0.00</b>	<b>0.00</b>	
<b>3. CONTINGENCY EXPENDITURE (reserve)</b>	<b>0.00</b>	<b>0.00</b>	
<b>4. RISEBA administrative support and infrastructure</b>	<b>0.00</b>	<b>0.00</b>	
<b>TOTAL EXPENDITURE:</b>	<b>0.00</b>	<b>0.00</b>	
<b>DIFFERENCE BETWEEN INCOME AND EXPENDITURE:</b>	<b>00,000.00</b>	<b>00,000.00</b>	

Project " \_\_\_\_\_ " Manager:  
 \_\_\_\_\_ (First Name, Surname)

\_\_\_\_\_ (First name, Surname)  
Order No. \_\_\_\_\_ of \_\_\_\_\_ 20\_\_

**Project passport (project information)**

Programme name	
Project name	
Project short title	
Project Identification Number	
Project bank account	
Project code in the accounts	
Project manager	
Project implementation period	
Project objective:	
Planned activities	
Deadlines for submitting progress reports	
RISEBA staff involved	
<b>Project partners</b>	
Lead partner (coordinator)	
Project partners	
Project partners' contact details (telephone numbers, email addresses)	
<b>Funding</b>	
Total funding	
Donor funding %	
Donor funding (EUR)	
RISEBA funding %	
RISEBA funding EUR	
<b>Cash flow</b>	
Donor advance %	
Final payment %	

Rector

(First name, Surname)

**Approved by:**

Vice-Rector for Development

(First name, Surname)

Director of Finance

(First name, Surname)

Head of the Project Department

(First name, Surname)

**ORDER**  
**Riga**

dd.mm.20xx .

No.

**Regarding the conclusion of the project (“Project title”),**  
**(project contract number)**

Based on the deadlines for the performance of (“Name of procurement project”), (Procurement project contract number) (Procurement project performance period);

- 1) I hereby confirm the implementation period for the project (“Name of procurement project”):  
dd.mm.yyyy – dd.mm.yyyy (planned implementation period). dd.mm.yyyy – dd.mm.yyyy (actual implementation period);
- 2) I hereby approve the project budget performance indicators:

No.	Activity	Planned costs in the estimate	Actual costs	Difference

- 3) I hereby declare the procurement project (“Name of procurement project”) closed.

Rector

(First name, Surname)

Vice-Rector for Development

(First name, Surname)

Director of Finance

(First name, Surname)

Head of the Project Department

(First name, Surname)

*Prepared by, telephone*

**ORDER**  
**Riga**

dd.mm.20gg.

No

***Regarding the implementation of the procurement project (“Name of procurement project”),  
(procurement project contract number)***

Based on the Agreement on the implementation of the procurement project (*procurement project contract number*), concluded between (responsible authority) (hereinafter referred to as (*abbreviation*)) and “RISEBA University of Applied Sciences” (*sector in which the project is being implemented*):

1. I hereby establish the abbreviated title of the procurement project as “*Title*”;
  2. I hereby set the implementation period for the procurement project “*Abbreviated title of the procurement project*” from (*dd.mm.yyyy*) to (*dd.mm.yyyy*);
  3. I hereby determine that the following staff members shall be involved in the implementation of the procurement project:
    - 3.1. *First name, Surname, Position*;
    - 3.2. ....
  4. I instruct the use of the (*bank name*) bank current account (*account number*), from which all payments related to the implementation of the procurement project (*abbreviated title*) are to be made and to which they are to be received;
  5. I instruct that separate accounting records be maintained for the income and expenditure of economic transactions related to the implementation of the procurement project (*abbreviated name*), by creating a single object (dimension) in the RISEBA information system for both income and expenditure – object \_\_\_\_\_;
  6. I instruct the project manager of the procurement project (*abbreviated title*) to carry out the procurement in accordance with the requirements of the relevant regulatory acts and the university’s internal provisions.
  7. I hereby approve (First Name, Surname) as the project manager for the procurement project (*abbreviated title*).
- Appendix:
1. Procurement project passport (on page \_\_\_\_\_);
  2. Copy of the concluded contract or framework agreement (on page \_\_\_\_).

Rector

(First name, Surname)

**Approved by:**

Vice-Rector for Development

(First name, Surname)

Director of Finance

(First name, Surname)

Head of the Project Department

(First name, Surname)

**APPROVED**

Order No. \_\_\_\_\_ (First name, Surname)  
 Order No. \_\_\_\_\_ of \_\_\_\_\_, 20\_\_

**Procurement Project Passport**

Project title	
Project type and number	
Project abbreviated name	
Project bank account	
Project code in the accounts	
Project manager	
Project implementation period	
Key activities	
<b>Project client</b>	
<b>Project client</b>	
Contact person	
<b>Funding</b>	
Total funding (excluding VAT)	
<b>Cash flow</b>	
Advance payment %	
Interim payments	
<b>Notes, special conditions</b>	

Approved by:

Vice-Rector for Development

(First name, Surname)

Director of Finance

(First name, Surname)

Head of the Project Department

(First name, Surname)

**Procurement project** (“Full title of the procurement project”), (contract number,  
contracting authority – (name))

Estimate No.:

**Account No.**

Project revenue (including VAT) EUR

Project revenue (excl. VAT) EUR

Project expenditure (excl. VAT)

**RISEBA profit**

Budget items		Price excluding VAT, EUR	See	Amounts excluding VAT, EUR	VAT , EUR	Total includin g VAT, EUR	Notes
<b>1. INCOME</b>							
<b>TOTAL INCOME</b>							
<b>2. EXPENDITURE</b>							
	<i>gross wages (including social security contributions)</i>						
<b>TOTAL EXPENDITURE</b>							
<b>DIFFERENCE BETWEEN INCOME AND EXPENDITURE</b>							
<b>PROFIT</b>							<i>profitability</i>

Reconciled:

Vice-Rector for Development (First name, surname)

Director of Finance (First name, surname)

Head of the Project Department (First name, surname)

**ORDER**  
**Riga**

dd.dd.20xx .

No.

***Regarding the conclusion of a procurement project contract (“Procurement project title” contract number)***

Based on the terms (*procurement project implementation period*) and conditions of (“*Procurement project name*”), (*procurement project contract number*):

- 1) I hereby approve *the implementation period* of the procurement project (“*Name of procurement project*”), (*Procurement project contract number*): *from dd.mm.yyyy to dd.mm.yyyy*;
- 2) I hereby approve *the performance indicators for* the procurement project (“*Procurement Project Name*”), (*Procurement Project Contract Number*):
  - a) Revenue (*amount*) EUR excluding VAT (planned revenue: (*amount*) EUR)
  - b) Expenditure (*amount*) EUR excluding VAT (planned expenditure: (*amount*) EUR)
  - c) Profit (*amount*) EUR excluding VAT (planned profit: (*amount*) EUR)
- 3) I hereby declare the procurement project (“*Procurement Project Title*”), (*Procurement Project Contract Number*) to be closed.

Rector

(First name, Surname)

**Approved:**

Vice-Rector for Development

(First name, Surname)

Director of Finance

(First name, Surname)

Head of the Project Department

( First name, Surname)

*Prepared by, telephone*