



UW-Kenya Briefing

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History and Objectives

The University of Washington (UW) has been conducting research and training in Kenya for nearly 30 years. UW faculty, staff and students have worked closely with Kenyan colleagues and institutions to further public health and medical improvements in Kenya through the integration of research, education and service. Over time, the UW's activities in Kenya have grown in size and complexity. Millions of U.S. federal and non-federal research dollars awarded to the UW run complex research studies that require a multitude of processes including purchasing equipment and supplies, and hiring staff. UW central administration encouraged leadership in the Department of Global Health to establish a legal UW presence in Kenya that would ensure compliance with UW, State, Federal and Kenyan law. To achieve this goal, the UW central administration, the Department of Global Health, and Kenyan colleagues combined efforts to establish an NGO, known as UW-Kenya, to serve as a legal representation of the UW's activities.

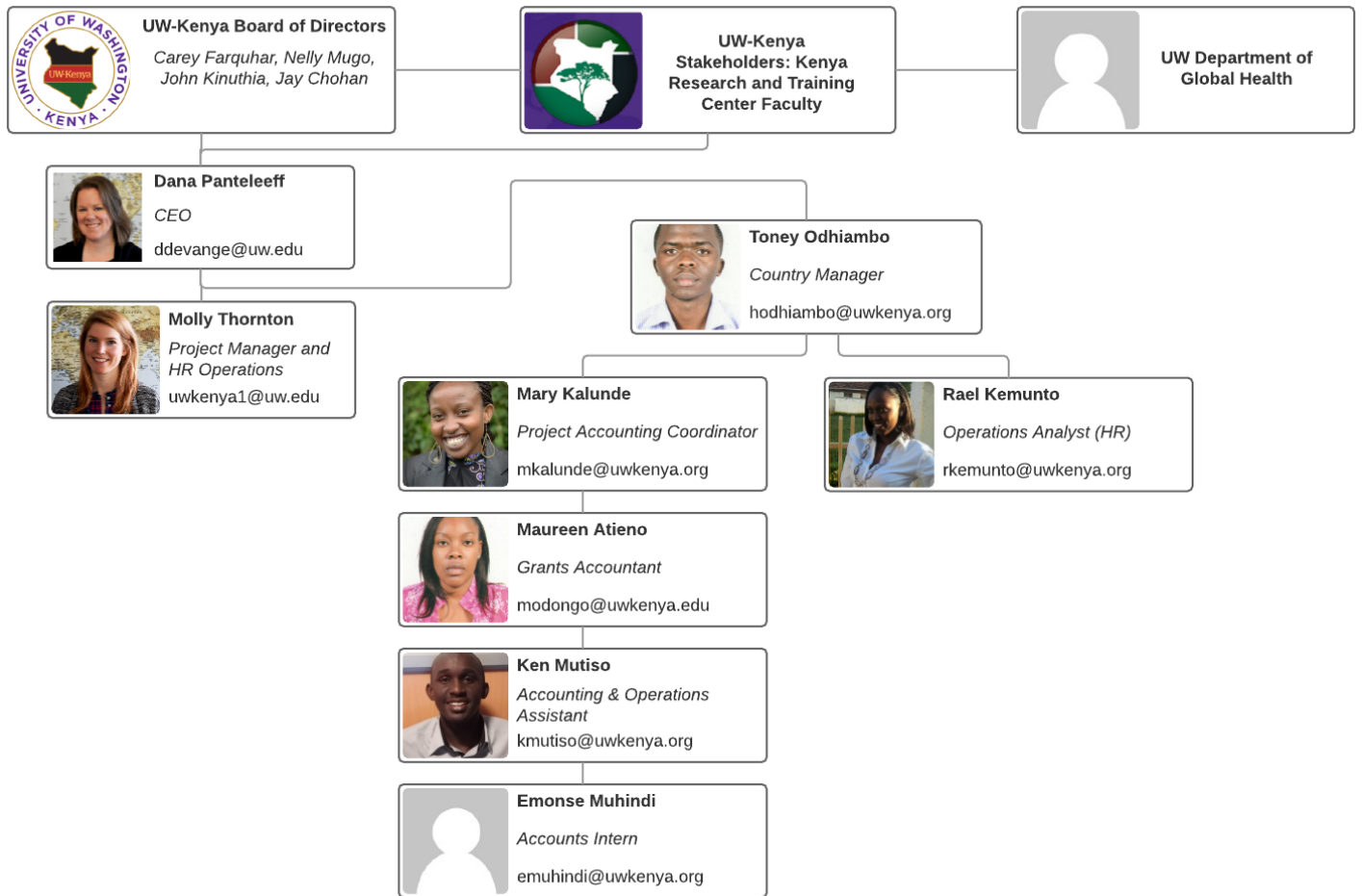
With its establishment in July 2011, UW-Kenya began working closely with the UW's central and departmental administrators, UW faculty, and Kenyan colleagues to "roll in" existing projects under its administrative umbrella. In addition to legal compliance, an enormous amount of work is involved in administering field studies in a resource-limited setting. UW-Kenya supports Project Offices with centralized accounting, procurement, human resources and asset management and tracking. UW-Kenya also provides periodic training for Project Office staff on financial management and internal controls.

In 2014, UW-Kenya set up a recharge center to allocate its costs to projects in direct proportion to their usage of UW-Kenya services. With the recharge center, UW-Kenya can support any UW project, regardless of the PI's home department.

The main objectives of UW-Kenya are:

- To ensure UW's research and training activities in Kenya operate in compliance with UW regulations, and State, Federal and Kenyan law.
- To strengthen and support Project Offices to standardize operations policies and procedures to be able to maintain an efficient and compliant computerized financial management system with frequent review of internal processes, fiscal monitoring and external auditing.
- To transfer ownership of assets held in Kenya from individuals to UW-Kenya.
- To temporarily hire project personnel in accordance with Kenyan law until a Kenyan partner institution can facilitate their hire through a subcontract.
- To maintain a revolving field advance fund routed to UW-Kenya bank accounts thus avoiding the need for UW faculty and staff to have personal field advances for project activities.
- To facilitate applying for work permits for UW-Kenya personnel working in Kenya.
- To assist in any legal matters through the legal counsel at UW and their appointed fee-based legal counsel in Kenya that arise for the various projects being conducted in Kenya.

UW-Kenya Organizational Chart



UW-Kenya Country Office refers to the Nairobi-based team: Country Manager (Toney Odhiambo), Project Accounting Coordinator (Mary Kalunde), Rael Kemunto (Operations Analyst for HR), Grants Accountant (Maureen Atieno), Accounting and Operations Assistant (Ken Mutiso), and Accounts Intern (Emonse Muhindi).

UW-Kenya Ubora Ops Team refers to the Seattle-based staff, CEO (Dana Panteleeff), Project Manager and HR Operations (Molly Thornton) and the Nairobi-based Country Office.

Centralized Financial Management

UW-Kenya provides centralized accounting for project offices. UW-Kenya uses modified-accrual Accounting method and follows GAAP for United States Government non-profit educational institutions as outlined in the OMB circular A-21. UW-Kenya uses the most current version of QuickBooks Premier or Enterprise (QB) available. UW-Kenya maintains a current set of operational accounting books and submits monthly reconciliations to the UW Banking and Accounting (Field Advance) Office. With each reconciliation, UW-Kenya charges each project budget for their field expenses.

To access funds project offices submit a request for a Work Advance (WA), which must be signed by the UW PI and UW budget manager. A WA is similar to petty cash and instructs UW-Kenya to deposit funds into a Standard Chartered Bank (SCB) account that the local PI and Project Field Administrator (PFA) can access. UW-Kenya also can pay invoices directly from the main UW-Kenya SCB account, thus minimizing the amount of cash PFAs need to have on hand. Each month the PFA submits their WA receipts to UW-Kenya. The UW-Kenya team collates all of the receipts and prepares the reconciliation. UW-Kenya uploads the reconciliation and receipt scans on the UW's PurchasePath for review and approval by UW budget managers. The UW-Kenya Project Manager submits the reconciliation to the UW Bank and Accounting Operations (Field Advance) office, which

then charges the UW project budgets. Charges post to the UW budget approximately 4-6 weeks after a given month.

UW-Kenya maintains a procurement policy and trains project offices on proper purchasing, internal controls, and separation of duties. Policies include a direct buy limit, informal and formal bid process, sole source justification, vendor agreements, and purchasing documentation.

UW-Kenya Vehicle Policy

UW-Kenya's role in vehicle purchases:

- Verify funder approval for vehicles has been obtained before purchase.
- Assist with inventory and disposition of purchased vehicles.
- Liaise with University of Washington (UW) Office of Risk Management (ORM) to assess insurance coverage needs.
- Liaise with UW ORM to obtain vehicle insurance policy approval.

Project Offices are responsible for the procurement and safe, legal operation of UW-Kenya vehicle(s) as well as devising policies and procedures to ensure the safe use of staff-owned vehicles when undertaking UW-Kenya business.

UW-Kenya HR

Before recruiting new staff to hire through UW-Kenya, projects must submit a Catalyst hire request survey to capture all of the details of their hire request, including the proposed position, salary, and justification for hiring through UW-Kenya (and not a subcontract with a partner institution). UW-Kenya CEO, UW-based HR Operations, Country Manager and Operations Analyst (HR) review all hire requests. The CEO provides approval to hire through UW-Kenya.

If approved, the Operations Analyst (HR) prepares an offer letter and contract. The Operations Analyst (HR) orients the new hire to relevant UW-Kenya policies and procedures. Project offices are responsible for collecting monthly timesheets for all employees and submitting them to UW-Kenya. UW-Kenya processes payroll once per month.

Rental agreements for project office space

If projects would like to lease office/project space in Kenya, the UW Real Estate Office (UWRE) (<https://cpd.uw.edu/ps/leasing>) must review the lease. It is the projects responsibility to submit the request in CPD Services Portal (<http://cpd.uw.edu/services/cpd-service-request-process>), coordinate with UWRE, obtain school or college approval, and provide evidence of ability to pay. The UW-Kenya Country Office will make payments as needed per project, but must have a signed and approved lease on file.

How UW-Kenya determines major policy changes

The Kenya Research and Training Center (KRTC) faculty review and approve all major policy changes. The UW-Kenya Uboru Ops Team maintain and update operational manuals, flowcharts, and SOPs. The UW-Kenya Board of Directors provides oversight and selects the external auditor.

UW-Kenya Audit

Per the requirements of the NGO Coordination Board in Kenya, UW-Kenya undergoes an external audit annually. UW-Kenya charges the audit fee to center/department budgets, in direct proportion to project budgets' usage of UW-Kenya during the given fiscal year. UW-Kenya cannot charge project grant budgets for the audit fee.

UW-Kenya Constitution

Per the UW-Kenya Constitution, a "Member" is a person or corporate body admitted to membership of the organization. This definition refers to the subscribers to the Constitution: Chairwoman, Secretary, Treasurer, and two Ordinary Members. These subscribers constitute the Board of Directors of UW-Kenya. UW-Kenya stakeholders are University of Washington Kenya Research and Training Center faculty and their collaborative faculty at various institutions in Kenya.