



UMEÅ UNIVERSITY

# PROCEDURES FOR EXTERNAL RESEARCH GRANTS

Type of document:	Procedures <sup>1</sup>
Date of approval:	13 October 2023
Reg. no.:	FS 1.1-1098-23
Approved by:	Vice-Chancellor
Validity:	13 October 2023 until further notice
Field:	Governance, finance, planning and follow-up
Office in charge:	Financial Office
Replaces document:	Procedures for external research grants (FS 1.1-952-17) approved by the Vice-Chancellor on 29 June 2017

---

<sup>1</sup> This document has been translated from Swedish into English. If the English version differs from the original, the Swedish version takes precedence.



UMEÅ UNIVERSITY

## Table of contents

1.	Description.....	1
2.	Background.....	1
3.	Procedures .....	1



## UMEÅ UNIVERSITY

### 1. Description

These procedures are primarily intended for staff at departments or equivalent units dealing with external research grants. The procedures aim to demonstrate the various stages of the processing of external research grants, clarify responsibilities and provide support with the process.

### 2. Background

These procedures clarify the routines and aim to support departments that receive research grants. Supplementary instructions can be found on the University's staff website.

### 3. Procedures

Component	Responsibility	Action
Idea about applying for an external research grant	Project manager or principal investigator	<p>Draws up the project application and consults with the financial support function at the department to set up a cost estimate.</p> <p>For EU projects, project managers or principal investigators are recommended to consult with the financial support function at the department and with the Research Support and Collaboration Office.</p>
Application evaluation	Head of department or equivalent manager	<p>Makes a full assessment of the impacts the project would have on the organisation.</p> <p>The assessment includes approving the cost estimate, which means considering:</p> <ul style="list-style-type: none"><li>• Co-funding</li><li>• Co-funding of shared costs.</li></ul> <p>If a project involves several departments, each head of department is responsible for making this assessment for their department.</p>
Application decision-making	Head of department or equivalent manager	<p>Approved grant applications of SEK 100,000 or above must be signed by the head of department or equivalent manager. Decisions on lower amounts do not require their signature.</p> <p>For digital applications, the head of department's or equivalent manager's</p>



## UMEÅ UNIVERSITY

	Head of department or equivalent manager	<p>eSignature is the equivalent of a handwritten signature.</p> <p>The authority to sign applications for external research grants can be sub-delegated, see Vice-Chancellor's decision-making and delegation procedure for Umeå University.</p> <p>EU projects, and other projects, for which Umeå University's total financial share exceeds SEK 3 million, require a head of department's certificate signed by the head of department or equivalent manager. The head of department's certificate must be recorded and archived at the department where the project is conducted and together with other project documentation. Consult the instructions provided by the Research Support and Collaboration Office under "Support for research" on the staff website.</p> <p>The Vice-Chancellor's signature is required for certain applications, such as those to the Kempe and Wallenberg foundations. A complete version of the application, a full cost estimate (<i>fullkostnads kalkyl</i>), the signed head of department's certificate, and a draft of a letter of intent must be sent to the Research Support and Collaboration Office no later than three weeks before the application deadline. The Research Support and Collaboration Office must review the budget before a letter of intent can be completed. In such cases, the application must be recorded in the university-wide records.</p> <p>A signature by the Vice-Chancellor does not guarantee funding. The applicant bears the responsibility to provide a sustainable and clear plan for funding.</p>
Application submission	Project manager or principal investigator	<p>Submits the application to the funding body.</p> <p>A copy of the application, including the cost estimate, must be recorded at the department or equivalent. For EU applications and applications requiring a letter of intent from the Vice-Chancellor, a copy of the application must be sent to the Research Support and Collaboration Office.</p>



## UMEÅ UNIVERSITY

Funding body's decision received	Project manager or principal investigator	<p>Reviews the funding body's terms and conditions.</p> <p>A legal officer at the University can provide support when drawing up an agreement or negotiating the contents of an agreement.</p> <p>For EU project applications, a copy of the Evaluation Summary Report from the EU expert evaluator must be sent to the Research and Collaboration Office.</p>
Updating budget	Project manager or principal investigator	<p>If the granted sum differs from the requested amount, the cost estimate must be updated with a corrected distribution of costs and potentially be transferred to co-applicants.</p>
Approval of grant agreements and signing contract research agreements and collaboration agreements between parties	<p>Head of department or equivalent manager</p> <p>Vice-Chancellor, University Director or Assistant University Director (authorised signatory)</p>	<p>Signs <b>grant agreements</b> when the funding body is <b>a governmental, a municipal or an intergovernmental authority</b>, and organisations and foundations, regardless of the size of the grant.</p> <p>May not be delegated further than to the head of department or director of a unit.</p> <p>If stipulated in the grant agreement, the project manager also needs to sign the agreement, beside the head of department or equivalent manager.</p> <p>Signs grant agreements <b>with companies</b> regardless of the size of the grant and signs <b>contract research agreements and collaboration agreements</b> if Umeå University's total financial share exceeds SEK 3 million, as per the Vice-Chancellor's decision-making and delegation procedure.</p> <p>Grant agreements that are to be signed by the Vice-Chancellor, University Director or Assistant University Director, as per the Vice-Chancellor's decision-making and delegation procedure, must be reviewed by a legal officer before they are signed.</p> <p>Grant agreements must be sent to the legal officers on <a href="mailto:universitetsjurist@umu.se">universitetsjurist@umu.se</a> in good time before the agreements need to be signed.</p>



## UMEÅ UNIVERSITY

	<p>Authorised signatory – check who is authorised as per the Vice-Chancellor’s decision-making and delegation procedure for Umeå University.</p> <p>Project manager or principal investigator</p>	<p>Please note that when <b>contract research agreements</b> and <b>collaboration agreements</b> between the project parties are signed, they must be signed by the authorised signatory as per the Vice-Chancellor’s decision-making and delegation procedure including any additional sub-delegations in place.</p> <p>The project manager <b>is not</b> authorised to sign contract research agreements and collaboration agreements in which Umeå University is a party.</p> <p>Grant agreements, contract research agreements and collaboration agreements must be recorded and archived at the department or equivalent. This also applies to agreements signed by a person other than the head of department or equivalent manager.</p>
<p>Researcher’s certificate for terms and conditions for participation</p>	<p>Project manager or principal investigator</p>	<p>If it is necessary to reach agreements on granting ownership or access rights to intellectual property to a collaborator, a researcher’s certificate must be drawn up. The researcher’s certificate is an internal document that must be signed by all Umeå University staff affected by the intellectual property rights of academic staff, the so-called <i>teacher’s exemption</i> (Sw. <i>lärarundantaget</i>).</p> <p>The principal investigator must ensure that the certificate is signed.</p> <p>The researcher’s certificate must be signed after the University’s agreements regarding the project have been finalised, but before they have been signed by the authorised signatory as per the Vice-Chancellor’s decision-making and delegation procedure.</p> <p>New participants must sign the certificate before they can join the project.</p> <p>A template researcher’s certificate and more detailed descriptions can be found on the staff website.</p> <p>All signed researcher’s certificates must be recorded and archived together with other</p>



## UMEÅ UNIVERSITY

		project documentation at the department or equivalent.
Creating a project account in the financial system	Financial support function at department or equivalent	<p>Registers the project account in the financial system using the codes as per the Financial Office's instructions.</p> <p>The registration needs to include a scanned copy of the signed grant agreement, alternatively other confirmation from the funding body. It is advantageous if an updated cost estimate and the application are also attached to make the documents accessible in Raindance when conducting project follow-up.</p>
Requisitions to obtain funding	Financial support function at department or equivalent	Requisitions (a request to obtain funding) must be made in accordance with the terms and conditions agreed with the funding body.
Project governance	Project manager or principal investigator	<p>In consultation with the financial support function, the project manager is to have control over their projects. This means they are responsible for the grant being used in accordance with the project plan or equivalent, and that the grant is used in accordance with the terms and conditions set out in the agreement or equivalent.</p> <p>Financial follow-ups must be conducted at least three times per year, ideally in conjunction with budget and forecasting events and annual accounts.</p>
Financial follow-up of projects	Head of department or equivalent manager	Heads of department or equivalent managers have the overall responsibility to ensure that routines for financial follow-up are in place within their department or equivalent and that projects are conducted pursuant to the University's rules and the terms and conditions set out by the funding body.
Final report, scientific report and financial report	Project manager or principal investigator	<p>Presents information to the funding body as per the terms and conditions set out in the agreement.</p> <p>The financial report is to be set up in consultation with the financial support function.</p>



## UMEÅ UNIVERSITY

		<p>The final report must be signed as per the funding body's requirements.</p> <p>For EU projects, "Form C" must be completed and reviewed by the Research Support and Collaboration Office before the University's authorised signatory signs it.</p>
Covering deficits, allocation of surplus and repayment of surplus	Head of department or equivalent manager	Decides on how a surplus is allocated, deficits are covered or a surplus is repaid as per instructions from the Financial Office.
Audits of ongoing EU projects	Financial support function at department or equivalent	Contacts the procured auditing firm as per instructions from the Research Support and Collaboration Office.
Audits requested by the EU Commission	Project manager or financial support function at department or equivalent	Contacts the Research Support and Collaboration Office who will coordinate an audit.
Zeroing and termination of the project accounts in the financial system	Financial support function at department or equivalent	Takes place as per the Financial Office's instructions.