



LUND
UNIVERSITY

Vice-Chancellor

DECISION

27 March 2014

STYR 2014/203

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Lund University's administrative rules for research projects within the European Commission's framework programme Horizon 2020 (2014–2020)

Background

The present administrative rules apply to projects within the EU framework programme for research and innovation, Horizon 2020 (H2020), with the exception of projects within the sub-programme European Institute of Technology (EIT), which are regulated separately.

Lund University is the formal partner in the projects and as such enters into agreements with the EU commission and with other cooperating organisations within a project. The University is always a partner regardless of whether one or several departments or faculties are taking part.

Participation in the EU framework programme is associated with requirements for co-financing, as well as rules and undertakings, of which some are established by the European Commission while others are regulated in agreements with other organisations taking part in a given project. The administrative rules aim to ensure good project conditions for the University and participating researchers and to contribute to good administrative procedures at all levels within the University.

Support from Research Services and the Legal Division

Research Services have the task of providing support to researchers and administrators throughout the application process, contract negotiations and implementation of the project.

Research Services are to monitor and safeguard the University's interests and ensure that internal regulations are adhered to in applications and in project management within H2020.

The Legal Division is responsible for reviewing and/or setting up all agreements between parties in a research project as well as providing advice in conjunction with the signing of documents such as consortium agreements, letters of intent, memoranda of understanding and non-disclosure agreements within the consortium. The division also provides advice on matters concerning intellectual property rights.

The right to sign agreements and other documents

Document	Right to sign
<p><i>Written approval of application required in the following cases:</i></p> <ol style="list-style-type: none"> 1. <i>Coordinated cooperation projects</i> 2. <i>European Research Council Grants</i> 3. <i>Marie S. Curie Actions: Innovative Training Networks, European Joint Doctorates (EJD)</i> 4. <i>Drawing up of agreement between parties in the project</i> 	<ol style="list-style-type: none"> 1. <i>Head of department, or equivalent</i> 2. <i>Head of department and dean</i> 3. <i>Head of department and dean</i> 4. <i>Head of department</i>
<i>Project certificate in connection with contract negotiation</i>	<i>Head of department and research manager¹⁾</i>
<i>Endorsement letter (Commitment of Host Institution) European Research Council</i>	<i>Vice-Chancellor</i>
<i>Agreement with the EU, agreement between parties in the project and appendices to these agreements</i>	<ol style="list-style-type: none"> 1. <i><u>Faculty</u>: Head of faculty office (or person appointed by him/her). If researchers from several faculties (or equivalent) are participating, the head of the faculty office for the faculty which employs the head researcher signs.</i> 2. <i><u>Specialised centres at the University (USV)</u>: head of administration and deputy head of administration</i> 3. <i><u>Office within the administration</u>: Head of office (or person appointed by him/her)</i> 4. <i><u>Vice-Chancellor</u>: projects within Marie S. Curie Actions, Innovative Training Networks, European Joint Doctorates (EJD)</i>
<i>Agreements with employees</i>	<i>Head of department and employee</i>
<i>Financial reporting to the EU</i>	<i>Head of department (or equivalent)</i>

1) *The research manager is understood to be the person who manages the University's part in the project and who represents the University and his or her research colleagues in negotiations about the content and funding of the project*

Decision on participation

At the time of application, the head of department or equivalent is to approve the department's participation in the application. In certain cases, the dean is also to take part in the decision.

The respective responsibilities of the research manager and the head of department/ dean during the various phases of the application are outlined below.

Application phase

Research manager

- is to inform the head of department or equivalent as well as Research Services of participation in a project application
- is responsible for ensuring the project application is done in compliance with internal rules and with EU rules

Head of department and, in certain cases, dean

Approves the department's participation in the application and is responsible for ensuring that the project can be implemented at the department. Written approval is necessary in the application phase in the following cases:

1. when a researcher at Lund University is coordinating a cooperation project, written approval from the head of department is to be submitted to Research Services;
2. when the endorsement letter (Commitment of Host Institution) is to be written in conjunction with applications for European Research Council Grants, written approval is to be submitted by the head of department and the dean on a special form provided by Research Services;
3. when the application concerns Marie S. Curie Actions: Innovative Training Networks, European Joint Doctorates (EJD), written approval is to be submitted by the head of department and the dean on a special form provided by Research Services;
4. when an agreement between parties in a project is to be reviewed by the Legal Division and subsequently signed, the head of department is to submit written approval to Research Services.

Conflict of interest

In cases where Lund University is taking part in a project together with a company in which a researcher at Lund University has a personal interest, that researcher cannot represent the University in the decision-making bodies of the consortium or otherwise represent the University, e.g. in contract negotiations.

- The head of department and the research manager have a joint responsibility to notify the Legal Division and Research Services if there is a conflict of interest as described above in the project application.

Contract negotiation

Contract negotiation is carried out electronically via the EU's web portal, Research Participant Portal.

Research manager

- contacts Research Services in connection with a project being summoned to negotiation

- is responsible for ensuring that the information entered into the web portal is correct and submitted within the stated deadline
- contacts the Legal Division when and if a consortium agreement is to be written between the parties in the contract negotiation. The agreement is to be reviewed by the Legal Division. In order to be able to influence the content, it is important that the agreement be sent to the lawyers as soon as the project coordinator makes a draft available.
- sends the following documents to Research Services as soon as they are available:
 1. Grant preparation forms
 2. Description of work/annex I
 3. Grant agreement

Head of department and research manager

- sign an agreement, a project certificate, concerning the terms of the project. It is to summarise the terms of the project and shows a preliminary estimate of the co-financing. The project certificate is also to describe the allocation of responsibilities between the head of department and the participating researchers. Signing the project certificate means approving the terms of the project and participation in it. If several departments are participating, the heads of department and responsible researchers at each department sign a project certificate. The signed project certificate is to be archived at the department.

Review of agreements

Contract documentation and contracts with the EU are to be reviewed by Research Services before signing, whereas agreements between parties are to be reviewed by the Legal Division. Before contracts and agreements can be signed, the head of department's written approval of participation must be submitted. Examples of agreements that arise:

Agreements with the EU

- Grant preparation forms
- Grant agreement
- Amendment to grant agreement.

Cooperation agreement between participating parties

- Consortium agreement
- Non-disclosure agreement
- Letter of intent, memorandum of understanding

Implementation of the project

Reporting on and accounting for the project

The research manager is responsible for ensuring that research reports and financial reports are produced in compliance with the contract.

The financial accounting report is signed digitally by the head of department or equivalent in the EU's dedicated online tool Participant Portal.

Agreements with employees

As parts of the EU agreement affect the rights and duties of researchers, students and other staff involved in the project, an agreement must be signed between the University and each individual project participant. The head of department signs on behalf of the University. The agreement is available on the LU website and is drawn up in consultation with the Legal Division.

Registration in e-Kontrakt

Research Services enters the basic information for all framework programme agreements into the database. Then the responsibility for the maintenance of the information in the system passes to the department or the division.

Human resources management of researchers and research students funded by the Marie Skłodowska Curie Fellowship.

The research manager is responsible for ensuring an agreement on working conditions is drawn up between the department and the Marie Curie researcher/doctoral student (Work Agreement).

A memorandum drawn up by Human Resources provides guidelines for appointments and administration of positions established with grants from Marie Skłodowska Curie.

The University decides to establish the Administrative Rules for Research Projects within the European Commission's framework programme Horizon 2020, with entry into force as of 1 January 2014.

This decision was taken by the undersigned Vice-Chancellor in the presence of the deputy Head of Administration Cecilia Billgren after a presentation by acting Head of Office Anneli Wiklander.

Per Eriksson

Anneli Wiklander (Research Services)

Copy to:

Faculty offices
All departments via the faculty offices
Head of Finance; University specialised centres
External Relations
Internal Auditing
Legal Division
Human Resources

All heads of central administrative divisions
LU Innovation System
Planning Office
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Campus Helsingborg
Rules and Regulations