



INTERNATIONAL EUROPEAN UNIVERSITY

APPROVED

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GUIDELINES FOR FINDING AND MANAGING EXTERNAL ACADEMIC FUNDING AT AN INTERNATIONAL EUROPEAN UNIVERSITY

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1. GENERAL PROVISIONS

These Guidelines for the Search and Management of External Academic Funding at the International European University (from now on referred to as the Guidelines) support the policy of the International European University (from now on referred to as the University) regarding external academic funding. They are intended to assist the university staff in preparing applications for external funding for research, including obtaining institutional approval from the university to seek such funding, award contracts, and submit reports related to external academic financing for research activities.

2. PREPARING APPLICATIONS FOR EXTERNAL FUNDING ON BEHALF OF THE UNIVERSITY AND ENSURING INSTITUTIONAL APPROVAL BY THE UNIVERSITY

- 2.1. The University's academic, legal, financial, and moral responsibility for all its activities, including those related to external funding, underscores the significance of institutional approval. This approval, often required at the application stage, signifies the University's commitment to implementing the project. Most funding schemes also necessitate formal approval by the University's legal representative, a crucial step in the grant application and award process. The authority to approve external cooperation and accept funds on behalf of the University is vested in the President and the Rector, who may delegate these powers to the Vice-President and Vice-Rector.
- 2.2. All externally funded activities are 'embedded' in academic departments, research centers, or other units. A scientific or scientific-pedagogical worker (initiator) seeking external funding or a donation on behalf of the University must inform and obtain the consent of the relevant academic unit. This unit's ability to provide management support for the proposed activity is crucial. If such a unit is not identified, researchers can directly contact the Department of Strategic Development and International Programs (the Support Office) for assistance. The experienced staff of the Support Office are adept at supporting the preparation of high-quality applications, providing a reassuring resource for staff.
- 2.3. The Support Office should be contacted as early as possible in the application process. This initial contact doesn't have to include providing detailed information, but it will help the Support Office staff in the long run:
 - identify potential legal, financial, ethical, and other issues that need to be clarified before applying;
 - coordinate possible parallel efforts at the University;
 - advise on the budget of the proposal/project;
 - advise the heads of structural units affected by the proposal on its consequences;
 - The Support Office plays a crucial role in gathering the necessary information for making internal decisions of the University and submitting the required documents to the relevant persons and Committees

- . It also assists in the preparation of all administrative forms that are required for the application.
- 2.4. Preparation of all administrative forms that are required for the application.
- 2.5. When seeking private donations, University community members are advised to consult with the Support Office at an early stage of discussion with a potential benefactor. This will reduce the risk of inconsistent approaches to one potential donor and may serve as a warning about looking for a donation, which is unlikely to be acceptable. The support office will be involved during formal negotiations or the application process. Official applications for private support are submitted to the Support Office for further consideration by the Rector-President and their authorized persons. The support office must also be notified immediately after the decision on the application is made.
- Only 1 week (in exceptional and justified cases, 3 working days) before institutional approval is requested, a formal request (Annex 1) must be submitted to the Support Office. After that, the Support Office will conduct a technical review of the request, if necessary, requesting additional materials or information. This process ensures that all necessary information is gathered and reviewed, providing a clear and transparent path to institutional approval.
- 2.6. Institutional approval by the University may be rejected on the following grounds:
- Inconsistency with the proposed financing scheme;
 - direct conflict of the proposal with the University's mission, ethical standards, or policies, including the Research Ethics Policy;
 - Inadmissibility of funding in case of serious problems listed in paragraph 4.2 of these Guidelines;
 - budgetary, staffing, or other constraints on the performance of proposed financial, academic, or managerial commitments;
 - failure to comply with the conditions for accepting external academic funding specified in paragraph 4.2 of these Guidelines.
- 2.7. In case of refusal of approval by the University, the initiator of the proposal will be immediately notified in writing with a full explanation of why the approval was not granted. If time permits, the initiator can rework the proposal or reapply for approval.

3. CONDITIONS FOR APPROVAL OF EXTERNAL FUNDING OF RESEARCH ACTIVITIES BY THE UNIVERSITY

- 3.1. When submitting the proposal, the employee must have an employment contract with the University for the entire duration of the proposed project. Suppose they have a contract for a specified period. In that case, the head of the department/unit must propose to the Vice-Rector for Scientific and Educational Work to conclude a contract for a researcher/project manager for the duration of the proposed project.

- 3.2. Suppose applicants' involvement in externally funded projects will change their job descriptions. In that case, the Teaching Opt-Out Clauses in the Research-Related Teaching Opt-Out and Research Reward Policy must be followed.
- 3.3. When a proposal is made for a grant that allows someone to come to the University (e.g., Marie Curie Scholarships, European Research Council grants, etc.), the host department/unit manager must provide a letter stating that the department/unit intends to accept the researcher and will manage the project.
- 3.4. Suppose participation in the project affects the work of the department/unit (e.g., Marie Curie study networks, Erasmus Mundus courses, etc.). In that case, the head of the department/unit submits a proposal for institutional approval.
- 3.5. Suppose the implementation of the project affects the main academic activities at the University (for example, the opening of new educational programs, new degrees, etc.). In that case, obtaining approval from the university's policies is necessary.
- 3.6. The University, i.e., must manage all projects for which the University is responsible; their administration cannot be subcontracted to third parties.
- 3.7. If external funding is sought to organize events at the University, it is recommended that the organizers adhere to the principles of gender equality.

4. ELIGIBLE SOURCES OF FUNDING

- 4.1. All employees seeking external funding are responsible for identifying potential issues related to the nature of the funding source, especially in the case of private donations. In addition, such concerns may be determined by the Support Office when preparing documentation for consideration.
- 4.2. Challenges to be identified when seeking external academic funding include, but are not limited to, the following situations:
 - A third party is involved, and the source of funding is unknown or cannot be identified;
 - A potential sponsor is interested in doing business with the University (e.g., as a supplier of goods and services);
 - A potential sponsor wishes to limit or influence the University's activities (such as research, teaching, or outreach) not directly related to the activities for which funding is provided;
 - The potential sponsor expects the use of funding that would violate the University's non-discrimination policy.
 - The practice or reputation of a potential sponsor or their motives in commissioning research is contrary to the mission, goals, and objectives of the University;
 - A potential sponsor wishes to impose improper restrictions on the publication and exploitation of research that could lead to significant ethical difficulties or restrictions on freedom of academic study or expression;
 - A potential sponsor attempts to exert pressure to conceal or alter research results that do not contribute to or may be detrimental to their interests, commercial or otherwise;

- A member of the University staff may have conflicting interests about a potential sponsor;
 - Accepting funds from one source can jeopardize the university's ability to apply for or accept funds from another source;
 - If the practice of a potential sponsor or his motives for supporting research may contradict the University's mission, values, goals, and objectives. In particular, this may arise if there is evidence that the potential sponsor engaged in illegal activities, violated international conventions relating to human rights, restricted freedom of investigation, concealed or falsified academic research;
 - If the consequences of accepting research funding from a particular source may lead to negative publicity and may damage the reputation of the University;
 - Where the conduct of the research may require unlawful acts, create an unacceptable conflict of interest, cause harm, or expose members of the public, participants, or staff to undue risk.
- 4.3. In case of any problems listed in paragraph 4.2, the Project Manager and the Support Office inform the Rector, the President, or their authorized persons.
- 4.4. Suppose any problems listed in paragraph 4.2 are identified. In that case, decisions to accept external funding shall be made on a case-by-case basis, considering the strength of the evidence and the likelihood and severity of the potential risks associated with the financing. Decision-makers may contact the Support Office or the Project Manager to collect and provide additional information related to the potential sponsor or the nature of the funding.

5. CONCLUSION OF CONTRACTS AND OTHER AGREEMENTS RELATED TO EXTERNAL FINANCING OF SCIENTIFIC ACTIVITIES

- 5.1. The project manager must notify the Support Office as soon as the financial authority approves the external funding application.
- 5.2. The Support Office will manage the negotiation processes for the Contract and the Consortium Agreement on behalf of the University concerning the University's existing policies, legal obligations, and financial and human capacities
- 5.3. The Rector or his representatives sign contracts or other agreements related to external financing of scientific activities. A request to sign such agreements (together with the contracts themselves) should be submitted to the Support Office by 1 week before the need for signing. For this purpose, the form (*Appendix 1*) should be used.
- 5.4. The Rector and the President or a person authorized by them may seek additional advice from the departments of the University or third-party organizations when considering requests to sign contracts or agreements on external financing of academic activities, especially in cases where:

- The project application was not considered by the established procedure (for example, the grant was awarded without a formal application);
- Significant changes have occurred to the project from the original application, or critical new circumstances have arisen since the application was submitted.

6. GOVERNANCE, MONITORING AND REPORTING

- 6.1. The Regulations on the organization of research activities at the International European University manage and administrate an externally funded research project.
- 6.2. For coordination between the project manager, their academic unit, and the administrative units of the University regarding the management and administration of the research project, it is recommended that an agreement on the distribution of management and administrative tasks be concluded between these entities at the beginning of the project.
- 6.3. Project managers are responsible for informing all employees and students of the University who participate in or benefit from external funding about the funding source.
- 6.4. In case of significant changes in project information (e.g., project start and end dates, project budget, consortium composition, the role of the University, name(s) or role(s) of the project manager and other key personnel, the Support Office must be notified immediately.
- 6.5. Financial reports are prepared jointly by the project manager, the project administrator, and the Support Office. Suppose only content and technical issues need to be reported. In that case, requests for signatures for such reports should be submitted (along with the reports themselves) to the Support Office at least 1 week before the deadline date.

REQUEST FOR APPROVAL OF EXTERNAL FINANCING AUTHORIZATION

Please use this form to request approval from the University for external funding.

The form must be sent to the corporate e-mail of the Department of Strategic Development and International Programs or its head, leaving at least 1 week to decide.

Please refer to **the External Academic Funding Policy and Guidelines** for more information.

Please get in touch with the Department of Strategic Development and International Programs for advice and advance notice.

1. **Abbreviation and name of the project:** _____
2. **The department or unit executing the project** (if there is more than one, please describe the arrangement): _____
3. **Last name, first name, patronymic, position of the project manager:** _____
4. **Last name, first name, patronymic, position of the administrative manager of the project, and the expected time of work of the administrative staff on the project:** _____
5. **Name and expected time commitments of full-time researchers of the University:**

6. **Will the project significantly change the job description (e.g., a request for exemption from teaching) of the University's employees?**
 Yes
 No
If yes, please describe the proposed arrangements: _____
Confirmation of this should be included in the support letter of the head of the department/unit in which the project is hosted)
7. **A detailed list of participation in other projects (ongoing projects or pending applications) during this project, indicating the time costs:** _____
8. **Surnames, first names and patronymics, positions, and expected time of work of doctors of sciences of the University under the project:** _____
9. **List the anticipated time to attract additional researchers (who will be hired by the University exclusively for this project). Justification for the need to employ external researchers** (approval of this should be included in the letter of support of the head of the department/unit where the project is hosted).
10. **Eligibility of funding. Whether there is evidence of any problems listed in paragraph 4.2 of the External Funding Guidelines (especially in the case of private donations). If yes, provide a brief explanation.**

PROJECT INFORMATION

11. **Form and source of funding:** _____
12. **Date by which the proposal must be submitted/signed:** _____
13. **Project duration:** _____

14. **Expected Start Date:** _____
15. **List of partner institutions (if applicable):** _____
16. **The purpose of the project and the role of the university in its implementation, as well as the expected benefits for the University:** _____
17. **Scientific results:** _____
18. **Does the project address ethical research issues that need to be addressed by the University's Research Ethics Policy?**
 Yes
 No
If yes, please elaborate: _____
19. **Does the project provide for special arrangements for intellectual property rights that are not provided for or contradict the University's policy on intellectual property rights?**
 Yes
 No
20. **If yes, please describe:** _____

BUDGET DETAILS

21. **Total project budget** (in case of joint projects): _____
22. **The University's share in the total budget** (please attach a detailed project budget):

23. **Required co-financing from the University (cash and in-kind):** _
24. **External funding to compensate for the University's current expenses (salaries, scholarships, etc.):** _____
25. **Is there a need for additional office space/workspaces?**
 Yes
 No
If yes, please specify: _____
26. **Other sponsorship** (if already secured, please attach a copy of documentation):

Date: _____

Presented: _____

DADATIVE INFORMATION

(to be filled in by the Department of Strategic Development and International Programs)

Recommendation/approval of the head of department/unit (if any): _____

Conclusion/comment of the Support Office: _____