

## Procedure for EU-funded research projects

<b>Type of document</b>	Procedure
<b>Approved by</b>	President
<b>Date of approval</b>	2023-11-09
<b>Ref. no.</b>	SU FV-4123-23
<b>Period of validity</b>	2023-12-15 – until further notice
<b>Replaces document</b>	Procedure for EU-funded research projects, ref. no. SU FV- 1.1.2-3726-20, date of approval 2020-10-15
<b>Responsible administrative unit</b>	Office for Research, Engagement and Innovation Services
<b>Responsible administrator</b>	Danijela Krajisnik

**Description:**

The following procedure applies to research projects which are funded through grants from the European Union, primarily the European Commission's Framework Programme for Research and Innovation, where Stockholm University enters into an agreement with the European Union.

## Introduction

The following procedure applies to research projects which are funded through grants from the European Union (EU), primarily the European Commission's Framework Programme for Research and Innovation, where Stockholm University (SU) enters into an agreement with the EU, primarily the European Commission (EU Commission). At SU, the legal framework of the EU Commission has led to the establishment of a specific procedure for research projects which are funded through grants from the EU, primarily from the above-mentioned framework programme, and the development of administrative support for such projects. This procedure aims to secure good quality and good practices in the administration of such projects.

Agreements regarding the above-mentioned projects are signed by the Head of the Office for Research, Engagement and Innovation Services (REIS), in accordance with a special delegation rule. The agreements are signed on behalf of SU and cannot legally be entered into on behalf of individual faculties, departments or centres, since they are all part of SU.

Other than that, the decision-making and delegation policy of SU, as well as the rules contained in the governing documents of SU apply.

The procedure is intended for the core activities of the University carrying out research as well as for administrative staff providing support to departments and centres organisationally placed under a faculty.

## Procedure for EU-funded research projects

### Pre-application support

All researchers in charge of applications for research grants must give information to and be given the approval of the head of the department/director reporting directly to the dean of the faculty concerned. REIS provides information to researchers and others involved about the EU Commission rules for the programme and type of project in question.

If time permits, REIS reads applications and provides feedback based on the call texts and rules of the EU Commission. Applications to the European Research Council (ERC) must include a letter of support from SU. For the ERC applications, an additional contact person at SU is required. Therefore, the application must be processed by REIS. The additional contact person is always a member of staff at REIS.

If necessary, REIS can provide support in budgeting from the perspective of the EU Commission.

At this stage, REIS shall inform the researcher in charge about the need for an ethical assessment of the research project and, if needed, offer support on research ethics issues.

### Support in handling agreements

When a research project has been granted funding from the EU Commission, there follows a phase for dealing with various agreements. REIS is responsible for the handling of these agreements at SU.



### **Grant Agreement**

The researcher notifies the head of department/director reporting to the dean of the faculty that the project has been granted.

The EU Commission initiates a Grant Agreement Preparation (GAP) based on its regulations in order to sign a Grant Agreement with the coordinating organisation (Coordinator) of the project and other project partners (Beneficiaries). SU is generally a project partner (Beneficiary).

When a project is funded by the European Research Council (ERC), SU is usually the EU Commission's only counterpart in the Grant Agreement and also the Coordinator of the project.

The Grant Agreement follows a template from the EU Commission and it is not negotiable. The agreement is handled by REIS and is signed by the Head of REIS after approval from the head of department/director reporting to the dean of the faculty and in consultation with the relevant Deputy Vice President. Agreements of grants to SU in excess of the equivalent of SEK 6 million must also be approved by the President before being signed by the Head of REIS.

REIS registers and files the Grant Agreement.

### **Consortium Agreement**

According to the EU Commission regulations, a Consortium Agreement (or the equivalent) is required for coordinated projects. This agreement is drawn up between the partners of the project consortium. An agreement proposal is worked out and negotiated by the coordinating organisation of the project. REIS processes and reviews the Consortium Agreements, if necessary with the support of the legal counsels at the Office of the President. The agreements are signed by the Head of REIS and are registered and filed in the same way as the Grant Agreement of the project.

### **Supplementary Agreement**

Projects funded by the European Research Council (ERC) require a Supplementary Agreement between SU and the researcher in charge. This agreement is drawn up by REIS based on the EU Commission template. The agreements are signed by the Head of REIS and by the researcher in charge. They are registered and filed in the same way as the Grant Agreement of the project.

### **Support during an ongoing project**

Throughout the project, REIS provides assistance to the researcher and the department/centre organisationally placed under a faculty on legal matters, and, if necessary, on questions relating to administration, finance, research ethics and science. Day-to-day work during the project takes place at the department/centre organisationally placed under a faculty.

### **Amendment**

In the event of major changes during a project, an amendment must be drawn up.

Amendments to Grant Agreements follow the template of the EU Commission and are made in accordance with the EU Commission regulations.



A proposed amendment to a Grant Agreement is made and negotiated by the coordinating organisation of the project consortium, after anchoring the proposal with the consortium, or by the EU Commission.

When projects are funded by the European Research Council (ERC), SU is usually the sole counterpart of the EU Commission in the Grant Agreement. Therefore, proposed amendments to the Grant Agreement are made by SU or the EU Commission.

A proposed amendment to a Consortium Agreement is made and negotiated by the coordinating organisation of the project consortium.

REIS processes all amendments, in consultation with the researcher in charge, and in the case of Consortium Agreements, if necessary, with the support of the legal counsels at the Office of the President.

REIS registers and files the amendments in the same way as the original agreement.

### **Financial reporting and auditing**

A financial statement shall be prepared by the finance officer at the relevant department/centre organisationally placed under a faculty in consultation with the researcher, and with the support of REIS. The financial reporting must be reviewed and checked by the administrators who are responsible for the finances of the project.

If an audit certificate is required, REIS will provide contact with a procured audit firm.

### **Ethics reporting**

If ethics reporting is required, REIS will provide assistance to the researcher and department/centre organisationally placed under a faculty, as well as when an ethics advisor/ethics advisory board needs to be appointed for the project.

### **Follow-up of the procedure**

The follow-up of the procedure is the responsibility of REIS. The follow-up is carried out when necessary.