Guide for Management of Externally Funded Research and Innovation Projects at Hanken[1]

Revision September 2020

[1] With a budget running through Hanken.

1 Management of research and innovation projects at Hanken

Hanken provides support for research and innovation projects from Research Liaison Officers, Office of Finance, Communications, Human Resources, Lawyer, Library and other administration units.

2 What is a research and innovation project?

Externally funded research and innovation (R&I) projects are usually projects funded by national or international strategic funders, e.g. the European Union, NordForsk, Business Finland, the Academy of Finland among others, but can also be funded by private national and international foundations, e.g. Foundation for Economic Education, Peter or Markus Wallenberg Foundations, Yrjö Jahnsson Foundation, OP Group Research Foundation, JAES etc.

Most joint research and innovation projects include a multidisciplinary consortium with partners from research, industry, civil society, business, public relations, policy making or other sectors. R&I projects are highly demanding and require, in addition to academic excellence, advanced design thinking and project management skills, high level commitment and resource allocation starting from project preparation phase. Research Liaison Officers will evaluate each project according to these criteria before Hanken commits to projects.

In most of the projects Hanken must act as the legal entity and thus commit to the project. In order for Hanken to commit, the Research Liaison Officers need to verify the quality, budget and legal framework of the project to prevent any potential infringements or severe consequences.

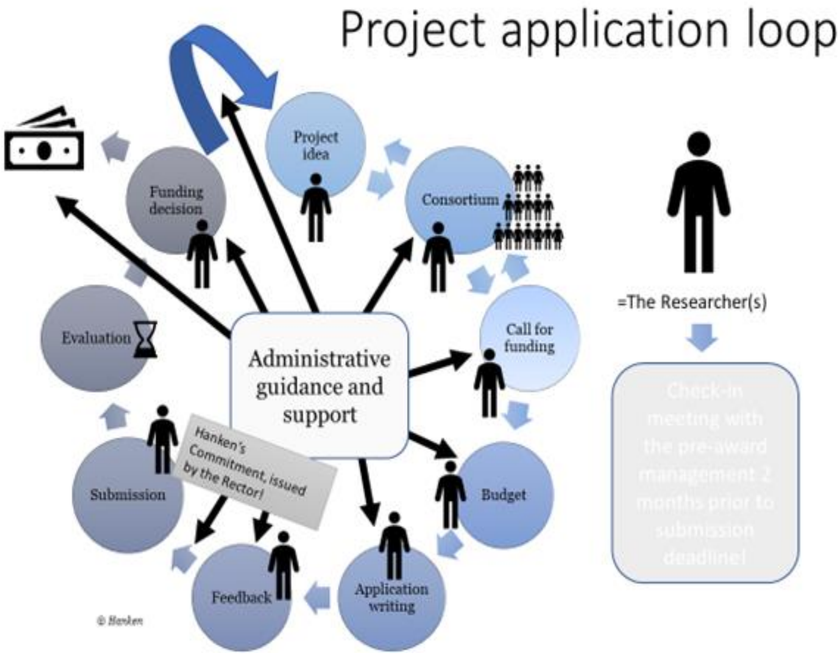
PRE-GRANT

3 Preparation of a joint research and innovation project

The researcher must inform Research Liaison Officers at least two months prior the application deadline and set up a check-in meeting.

Check-in meeting agenda:

- Application requirements (call text + strategic framework -> the researchers must have read the whole call text including the strategic framework, identified concrete ideas as well as a draft project management plan including possible questions before scheduling a meeting)
- Application form general requirements: applicable Hanken level ethical, data management, open research, communications, IPR, patents and legal aspects
- Consortium planning
- Deadlines for project's budget, WP's descriptions, eventual agreements and AOB
- Submitting the application and technical requirements
- Informing the Head of Department
- Next steps after getting the results



4. Responsible leader (or Principal Investigator, PI)

Every project has a responsible leader or a Principal Investigator (PI) who is responsible for managing the whole application and R&I project process. The responsible leader cannot be biased; the person cannot have significant contacts to the funding organisation or the companies that are involved in the project. Please check Appendix 1 for further details.

5. Budget

R&I projects preparation usually starts with drafting a realistic budget breakdown. The responsible leader shall calculate the project costs (price of the workload, materials, travel, field work, open access, communication, dissemination, other eligible costs) and attach a specified calculation of the salaries and other project related eligible costs to the application documents. Different budgeting models are used, for instance total cost, marginal cost, lump sum or other. For further details please contact Research Liaison Officers and Project Controller. The specified calculation of salaries is confidential and for internal use only.

6. Preliminary agreements

It is recommended that Hanken enters written contracts with possible cooperation partners/companies already in the application stage to avoid any infringements.

When the responsible leader plans an externally funded joint research project, he or she should, as soon as possible, contact Hanken's lawyer in order to enter the required agreements. This can be agreements with co-funders, companies or other subcontractors, research partners, specific project agreements, consortium agreements etc.

When drafting an agreement, it is also important to consider the Intellectual Property Rights and potential patents within the project.

The partners should decide how the responsibilities within the project are divided. If there are international partners involved, it should also be mentioned which countries' laws are abided.

7. Research database HARIS

When a researcher receives a positive funding decision, he or she shall register information about the project in HARIS. The responsible leader should continuously update the information about the project in the database. It is possible for Hanken and the responsible leader to generate reports for different purposes from the database.

POST-GRANT

8. Funding decision

The funding organisation sends the positive funding decision with the financing terms to Hanken. Usually the funding organisation also informs the applicant when the decision is negative, but this is not always the case.

Should the funding organisation send the positive funding decision directly to the responsible leader, he or she shall send the decision to the Registrar for central archiving. This also applies for negative funding decisions. The responsible leader shall notify the Head of Department that he or she has been granted funding.

When a positive funding decision is received, the Project Controller contacts the responsible leader in order to decide on how the project should be administrated, i.e. opening a project account, requisitioning of the funding, contact persons, billing, reporting (incl. work time announcements in Halli), schedules, documentation in Dynasty, any updating of the budget or research plan, the funding organisations and Hanken's financing conditions and other practical questions.

If the positive funding decision differs significantly from the amount applied for, the responsible leader shall discuss a possible update to the budget with the Project Controller before Hanken decides to receive the funding. The project can start when funding is granted, possible agreements are approved and the project administration has started according to Hanken's and the funding organisations terms and conditions for funding.

9. Notification of acceptance to the funding organisation

The notification of acceptance to the funding organisation is an official document. The funding recipient shall notify the funding organisation that the recipient has commissioned the funding and approved the conditions in the positive funding decision.

Should there be a need to revise the research plan and/or budget, the responsible leader is responsible that the internal budget is consistent with the approved funding amount. The Project Controller will assist with any questions concerning the budget.

For the responsible leader to be able to sign the notification of acceptance of funding and the project reports to the funding organisation, the application must be approved by Hanken. Hereby the responsible leader is given authorisation to sign documents concerning the project. The responsible leader sends the signed notification of acceptance of funding with attachments before deadline to the Project Controller. The Project Controller registers the signed notification in Dynasty and sends the forms to the funding organisation. The funding documents including attachments must go through the Project Controller regardless if Hanken is the consortium leader and coordinator for the project or not.

10. Project number for accountancy

In order for a project to get a project number in the accounting system, and for the Office of Budgeting and Accounting to be able to make payments, should the application, funding decision, budget and a personnel plan for the project be sent to the Project Controller.

11. Contract of employment

When there is a decision of funding and the responsible leader so wishes, the Amanuenses at the Office of Administration write drafts for employment contracts.

In order for the Amanuenses to be able to pay compensation to the persons working for a project, the employees should fill in and return a personal data form, www.hanken.fi > About Hanken > Working at Hanken > Hanken as a Workplace. The persons working for a project also must hand in a tax card at least ten (10) working days before the day of payment. Information about salaries and fees can be found at www.hanken.fi > About Hanken > Working at Hanken > Hanken as a Workplace.

12. Assessment of the academic qualifications (AQ) before employment

When a researcher is employed by a project, he/she needs to be assessed of the academic qualifications. The responsible leader sends the researcher's CV including a list of publications from the last five years, or a statement from HARIS, to the Project Controller. After the assessment, the responsible leader contacts the Head of Department in order to get an approval for the employment plan.

13. Management of invoices (Rondo)

The Rondo-responsible payroll officer at the service centre Pave will register the responsible project leader in Rondo. The responsible leader or a person appointed by the responsible leader contacts the Rondo-responsible payroll officer by e-mail, rondo@aalto.fi. The responsible leader approves project costs. It is important that the responsible leader clearly defines who will review and accept invoices within the project. If the responsible leader is abroad, the Head of Department can temporarily and by appointment accept invoices for a project.

For more information about Rondo and invoice management, see www.hanken.fi > Om Hanken > Jobba på Hanken > Ekonomi.

User rights for Rondo, M2 and Pro E can be applied for with a form that can be found at

www.hanken.fi > Om Hanken > Jobba på Hanken > Ekonomi > Övrig information

14. Reporting of costs in M2

Travel costs that relate to the project should be accounted for in M2. For more information about M2, please see www.hanken.fi > About Hanken > Working at Hanken > Hanken as a Workplace > Business trips > M2 travel expense system.

15. Schedule

The responsible leader is responsible for the project's schedule. The responsible leader should immediately notify the funding organisation and the Project Controller about deviations in the project schedule. The Project Controller will document the deviations in Dynasty and inform the Office of Budgeting and Accounting about significant deviations.

16. Project follow-up

The responsible leader is responsible for following up the economy of the project. The responsible leader can delegate this task, but still holds the main responsibility for the economy of the project. The Project Controller also follows the economy of the project and will help with financial questions if needed.

The responsible leader can follow the economy of the project with WebbRapport. The programme allows the responsible leader to follow the economic situation of the project and print out reports over costs and revenues anytime anywhere. The programme is web-based and users can print out online-reports from the programme. Webbrapport is linked to both Rondo and Hanken's accounting programme. Please contact the Project Controller regarding questions about WebbRapport.

17. Work time allocation in Halli

If the funding organisation requires work time allocation, this is done using Halli. The work time allocation is to be done on a monthly basis and the allocation is to be approved by the responsible leader or the Head of Department monthly (for the own funding part).

Working hours can be inserted by the project employees or with the help of the Office of Budgeting and Accounting so that the Project Controller upon agreement systematically inserts the working hours according to the employment contract of the employee. The Project Controller then notifies monthly when the working hours are to be approved in Halli and sent forward for further approval.

The work time of the responsible leader is usually allocated as Hankens own funding in a project. In such a case the work time of the responsible leader is to be inserted and approved in Halli on a monthly basis. Upon agreement this can be done by the Project Controller, but this requires that the responsible leader checks the inserted work time in Halli so that it coincides with the actual work time. After this the responsible leader sends his/her work time forward to the Head of Department for approval.

18. Overhead

The overhead is a total sum that caters for the use of Hanken’s infrastructure (workspace, laptop, phone, electricity, heating, legal, communications, library’s, data management, economics and administrational services) with regards of research and innovation projects support. Thus, in the application you do not need to separate any of these costs.

19. Allocation of overhead (internal)

According to Rector’s decision 1.8.2014, STAB 14/133

Full cost model:

"The total overhead percentage is 35 % of the external funding. 25% of the external funding is allocated centrally to the School, 5 % of the funding is allocated to the Department where the project is carried out and another 5% is allocated to a separate research funds account for the project."

Marginal cost model:

"The overhead percentage is 15 % of the granted external funding, in case the Rector has not approved a different percentage. The sum is allocated centrally to the School."

The School charges an internal overhead of 15 % regardless of if the funding organisation covers costs for overhead or not.

20. Final report according to rules of the funding organisation

If the funding decision demands a final report, it is the responsible leader's responsibility to make sure that the final report is made and sent to the funding organisation in due time. The deadline for the final report is given in the funding decision. The aim of the final report is to follow up the goals and results of the project. The responsible leader signs the final report.

The responsible leader or a person appointed by the responsible leader shall send the final report with attachments to the Project Controller as a notification and for documentation in Dynasty.

The responsible leader should also update the information on projects that are finished in the research database HARIS, when there no longer is any activity within the project.

21. Documentation and archiving

Documentation (and archiving) must be found in a clearly defined location at the Department and electronically in Dynasty.

Correct documentation of a project is important, because the funding organisation has the right to examine how Hanken and the responsible leader carries out the project and accounting and that Hanken follows the rules of the funding decision. In the case of an examination, Hanken releases all needed information to the examiner (see appendix 2). Hanken recommends that all archiving is completed four (4) weeks after a project has ended.

22. Account termination

When a project is registered, the responsible leader notifies the Project Controller about the project's starting- and planned finishing date. In order for the Office of Budgeting and Accounting to know which projects and project numbers shall continue and which to terminate, it is important that information and feedback runs in both directions; the Office of Budgeting and Accounting to the responsible leader and the responsible leader to the Office of Budgeting and Accounting.

Contact information

For information about applications, contact:

* Research and innovation project planning (pre-grant): Research Liaison Officers
* Questions concerning the project's economy (post-grant): Project Controller