

University of Lapland

Research Project Manual

Guidelines for Externally Funded Projects

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Introduction

This Research Project Manual is part of the University's quality assurance system. The manual was commissioned by the Council of Information Services at the end of 2008 and it was written by Structural Fund Spokesman Arto Viiri, Senior Scientist Minna Turunen and Quality Manager Helka Urponen. The Council discussed the manual at its meeting on 28 November 2008, and it approved the document at its meeting on 17 February 2009.

The manual is intended to support the achievement of the objectives for research procedures and contents. It follows the course of a research project's lifecycle, from the research idea all the way through to planning and implementing the research project, communications and the impact of the research results.

Research projects at the University of Lapland can be divided according to funding structure: research where funding covers the expenses for activities, externally funded research and chargeable commissioned research. This manual deals primarily with externally funded (so-called supplementary funded) research projects. It also serves as a source of information for research where funding covers the expenses for activities. Despite the focus of the contents on research projects, the manual can also be used for planning and implementing training and development projects.

Planning and Finance in the Administration and Development Unit is responsible for updating the manual. The manual will be available in a printed version as well as electronically on the Internet.

Glossary

CHARGEABLE SERVICES

The University's external service is a commercially priced, fee-paying service whenever the service is provided based on an order or offer or the funding agency wishes to acquire the sole rights to the results achieved by the project.

COMMISSIONED RESEARCH is a chargeable service that in addition to research can include further education or development services. The latter includes an assessment, drawing up plans, consultation etc.

Making an offer demonstrates a unit's commitment to implement a project for a certain charge. Therefore, it is important to ascertain the true costs of producing the service before making the offer. The Act on Criteria for Charges Payable to the State stipulates that services produced within this category be priced to cover the direct and indirect costs involved, value added taxes and the desired margin. A separate list of charges is calculated for each project. The calculation should also include the estimated costs for the number of hours involved in planning and implementing the project.

JOINTLY FUNDED ACTIVITIES

Jointly funded activities refer to projects for which the University, in addition to the appropriation granted in the budget, receives partial funding from different partners. The terms SUPPLEMENTARY FUNDING and EXTERNAL FUNDING are used in this connection.

The University may participate in financing a project if the project is based on a cooperation initiative, the project's results are made public and the project results in a thesis, publication or other clearly manifest benefit for the University. Joint funding also applies to education leading to a degree and regional open university education.

In collaboration projects, external funding is always partial funding. Calculations must always clearly indicate the proportion of the unit's own financial input into the project as well as the proportion of funding from a partner or partners. The calculation is processed in the unit along the same lines as an offer. The calculation is a document that commits the unit's to the costs and additional tasks resulting from its involvement in the project.

1. University of Lapland Strategy 2020 – the cornerstone

One particular attribute and strength of the University of Lapland is its development of interaction between research and scientific activity in all the disciplines represented at the University. Research at the University adheres to the University of Lapland Strategy 2020, the research strategy and the programme for a centre of excellence in the Arctic and the North

(<http://www.ulapland.fi/?Deptid=17732>). The research strategies of the individual faculties and units are also based on these documents. Research and scientific activity at the University of Lapland must take into consideration the policies of the University's different strategies. The University of Lapland Strategia 2020, Pohjoisen puolesta – maailmaa varten (<http://www.ulapland.fi/?Deptid=26305> (Strategy 2020, For the North – into the World).

The Research Council at the University of Lapland is appointed by the Senate and its chairperson is the vice rector responsible for research. The Council is an expert body in promoting research and in matters relating to the conditions for successful research, research policy, the quality and evaluation of research and successfully establishing a career as a researcher. The Council prepares proposals on the research priorities to be brought before the Senate and sets out the principles for allocating research funding within the University. The Council also acts as the Advisory Board on Research Ethics at the University. The University of Lapland is committed to ensuring that research activities at the University adhere to the guidelines of the National Advisory Board on Research Ethics (Good Scientific Practice and Procedures for Handling Misconduct and Fraud in Science) (<http://www.tenk.fi/JulkaisutjaOhjeet/htkfi.pdf>). The Research Council has also approved the Good Scientific Practice – Guidelines on Research Ethics at the University of Lapland.

The scientific quality of research is constantly assessed by means of assessment practices that are firmly established in the scientific community. Scientific responsibility rests with the individual researcher but in accordance with the University's strategic policies, each faculty and unit director, along with the research directors and professors, is responsible for the area, quality, management and resources of research carried out in the unit.

Research is regulated by several laws and decrees as well as by the University's internal guidelines listed in the University of Lapland Quality Assurance Handbook (2008). The principal legislation and guidelines include: the Universities Act, the State Budget Act and Decree, the Act and Decree on Criteria for Charges Payable to the State, the Act on Equality between Women and Men, the Non-discrimination Act, legislation concerning copyright, the Patents Act, laki oikeudesta korkeakouluissa tehtäviin keksintöihin (Act on the Right in Inventions Made at Higher Education Institutions), legislation concerning procurements, the Act on the Openness of Government Activities, Good Scientific Practice and Procedures for Handling Misconduct and Fraud in Science, Guidelines on Research Ethics at the University of Lapland, University of Lapland Regulations, University of Lapland Financial Regulations and the University of Lapland's guidelines for project management. The University's Quality Assurance Handbook includes direct links to the legislation (starting from page 28).

(http://www.ulapland.fi/includes/file_download.asp?deptid=27830&fileid=15262&file=20090209110511.doc)

2. From research idea to planning

The practical aspect of planning a research project involves mapping out the research background, determining the project's objectives, structure and duration, acquiring partners and drawing up a work plan, schedule, cost estimate and financing plan (<https://intra.ulapland.fi/?deptid=27563>). See page 8 for further information. The brainstorming and planning stages of a research project should ensure that the research is in keeping with the objectives and priorities of the unit and research group concerned at the University. It is important to agree on the standard of competence of future project staff during the early stage of planning. It is also important to identify at an early stage other applications for the same funding source being submitted by Planning and Finance because the University may have to place applications in order of priority. It is possible to apply to the Academy of Finland and the Finnish Funding Agency for Technology and Innovation (TEKES) for funding to prepare plans for international research projects. The University of Lapland can also allocate funding to prepare projects.

Planning and Finance provides administrative and support services for research (<http://www.ulapland.fi/?Deptid=10278>); it assists with budgeting research projects (incl. salaries, overhead cost increments, premises and procurements), preparing agreements and providing information on funding opportunities.

ICT Services provides support for information management, information technology, AV technology and telephone communications. ICT services at the University of Lapland are centralised and the University's units have support people (<https://intra.ulapland.fi/?deptid=21366>).

Finnbarents (<http://www.finnbarents.fi/finnb/joom/>) is a jointly owned unit of the University of Lapland and the Rovaniemi University of Applied Sciences. It provides advice on projects and promotes communications between experts, particularly in the Barents Region. Finnbarents has produced guidelines on project management and preparation (<https://intra.ulapland.fi/contentparser.asp?deptid=27563>).

An application for research funding must be accompanied by a *research plan* and other appendices, including a *CV and publication list* that are prepared in accordance with the guidelines issued by the funding source, such as the Academy of Finland (<http://www.aka.fi/fi/A/Tutkijalle/Hakeminen/Liitteet/>). University of Lapland staff members can request an extract from their personnel files from University Records.

The University of Lapland uses the following guidelines to draw up a *cost estimate and financing plan* for research:

- explanation of overhead costs (for Structural Fund projects) (<https://intra.ulapland.fi/?deptid=9397>)
- pricing guidelines for jointly funded activities and chargeable services (1/2009)
- TEKES pricing guidelines (https://intra.ulapland.fi/includes/file_download.asp?deptid=9397&fileid=13305&file=20080514134507.pdf&pdf=1)
- Academy of Finland pricing guidelines (1/2009)

Key research funding sources:

National

- The Academy of Finland (<http://www.aka.fi>)
 - Academy of Finland pricing guidelines (1/2009)
- Finnish Funding Agency for Technology and Innovation (TEKES) (<http://www.tekes.fi/rahoitus/>)
 - TEKES pricing guidelines for the University of Lapland (https://intra.ulapland.fi/includes/file_download.asp?deptid=9397&fileid=13305&file=20080514134507.pdf&pdf=1)

• Ministries

Ministry of Transport and Communications (<http://www.lvm.fi/web/fi/133>)

Ministry of Agriculture and Forestry (<http://www.mmm.fi/fi/index/tutkimus.html>)

Ministry of Justice (<http://www.om.fi>)

Ministry of Education (www.minedu.fi/haku.html.) (e.g. application times and instructions for arts councils)

Ministry of Defence, Scientific Advisory Board for Defence, MATINE

(<http://www.mil.fi/paaesikunta/materiaaliosasto/organisaatio/matine/>)

Ministry of the Interior (<http://www.intermin.fi>)

Ministry of Social Affairs and Health (<http://www.stm.fi/Resource.phx/hankk/valtavus/index.htx>)

Ministry of Employment and the Economy (<http://www.tem.fi/>)

Ministry for Foreign Affairs

(<http://formin.finland.fi/public/default.aspx?nodeid=31603&contentlan=1&culture=fi-FI>)

Ministry of the Environment (<http://www.ymparisto.fi/default.asp?node=502&lan=fi>)

• Foundations and Funds

Researchers at the University of Lapland are entitled to use the grant database maintained by the University of Turku (www.utu.fi/tutkimuspalvelut/html). The TURA research-funding database lists grants disbursed by Finnish foundations with application guidelines. The database is accessible through the University of Lapland's library website (<https://ezproxy.ulapland.fi:26260/login>).
Foundation service (<http://www.saatiopalvelu.fi/fi/index.html>)

• Other national sources of funding

Structural Funds (<http://www.rakennerahastot.fi>, www.pohjois-suomi.fi)

○ University of Lapland Structural Fund project management guidelines (1/2009)

Employment and Economic Development Centres (T&E Centres) (<http://www.te-keskus.fi>)

Arts Council of Finland grants (<http://www.taiteenkeskustoimikunta.fi>)

Finnish Work Environment Fund (<http://www.tsr.fi>)

Social Insurance Institution of Finland (KELA) (<http://www.kela.fi>)

Farmers' Social Insurance Institution of Finland (MELA) (<http://mela.fi>)

• University of Lapland research funding

The University of Lapland can grant funding to prepare research projects (<http://www.ulapland.fi/?Deptid=24759>), grants to finalise University of Lapland dissertations (Rector's grants) (<http://www.ulapland.fi/?Deptid=11265>), and travel grants to University postgraduates for international researcher exchanges, but not for travel to conferences (International Affairs grants) (<http://www.ulapland.fi/?deptid=13836>).

International

- European Union Seventh Framework Programme for research and technological development (www.tekes.fi, http://cordis.europa.eu/fp7/home_en.html, www.europa.eu and <http://www.tekes.fi/eu/default.asp>)

- EU regional and structural policy programmes

European Regional Development Fund (ERDF) (<http://www.rakennerahastot.fi>)

European Social Fund (ESF) (<http://www.rakennerahastot.fi>)

Interreg IV A Nord Programme 2007-2013
(www.lapinliitto.fi/euohjelmakausi20072013/index2.html)

Kolarctic ENPI CBC (<http://www.kolarcticenpi.info/>)

- Graduate school funding – support opportunities for individual mobility abroad (<http://www.ulapland.fi/?deptid=13836>)

- Other international sources of funding

European Science Foundation (ESF) (<http://www.esf.org/>)

ASLA-Fulbright research grants (www.fulbright.fi)

Marie Curie Fellowships (<http://cordis.europa.eu/improving/fellowships/home.htm>)

National Science Foundation NSF (www.nsf.gov)

Deutscher Akademischer Austauschdienst (DAAD)
(http://www.helsinki.diplo.de/Vertretung/helsinki/fi/06/Stipendien/seite__daad__stipendien__fi.html)

Centre of International Mobility (CIMO)
(<http://www.cimo.fi/Resource.phx/cimo/itselle/jatko.htx>)

Nordic Council of Ministers (<http://www.norden.org>)

Researchers prepare their funding applications in their units. *Development and Administrative Services* (<http://www.ulapland.fi/?deptid=8413>) offers support with preparing an application and handles the matter from presenting the application right through to the authority (Rector) who makes the decision. The Rector of the University of Lapland signs the research funding application on behalf of the University. In some instances, depending on the funding source, the application

may be signed by a unit director or director responsible for research. It may be required to include with the research funding application a separate letter of commitment to the place where the research will be conducted; this letter is generally signed by the director of the unit or the head of the University (Rector).

Signatories to the application:

| | |
|--------------------------------------|--|
| Decision-maker: | Rector |
| Presenter: (one of the following) | Director of Planning and Finance and/or Structural Fund Spokesman or Director of International Affairs |

The same procedure as for internal applications to the University of Lapland also applies to letters of commitment enclosed with applications to partners and suchlike.

3. Research project implementation

Research project staff (<https://intra.ulapland.fi/?deptid=25395>)

When funding has been granted for a research project, the unit director where the research will be conducted or an appointed person is responsible for implementing the project. The research project director is responsible for integrating the project into the unit's research and education activities. If the intention is to reimburse the project director for directing the project, the amount is determined in accordance with the guidelines issued by the University (<https://intra.ulapland.fi/?deptid=25398>). If someone other than a professor serves as project director, a scientific or artistic director may be appointed to the project with the responsibility of ensuring its sufficiently high scientific or artistic standard.

The project director is responsible for implementing the project, monitoring the use of assets, ensuring that funding is used in the manner required by the funding decision and for preparing disbursement applications and reports. The director makes decisions and signs disbursement applications and interim and final reports. The units where the research will be conducted prepare any agreements necessary for implementing the project and handle communications with partners.

When a favourable decision concerning funding has been received, the research director announces the launch of the project through the University's Communications Services (<http://www.ulapland.fi/?deptid=9680>). The key channels of internal communications at the University of Lapland are the News column on the University website and KIDE magazine. The unit project secretary, research secretary or administrative secretary assists by opening the research project to the University of Lapland's financial management (project opening forms).

The research *project manager* is responsible for ensuring that the project goes ahead in line with the project plan, monitoring the project's budget appropriations and their sufficiency, implementing steering group decisions, reporting and disseminating information.

The titles *research assistant*, *project worker* or *project secretary* apply to people who work in support positions in a research project.

A research project may have a *management or steering group* that is responsible for supervising the research and monitoring its progress as per the project agreement or funding decision. The Rector

appoints steering groups for Structural Fund projects. *Researchers* are responsible for performing their work in accordance with the project plan.

Recruiting and hiring staff

Recruiting and hiring project staff complies with the University of Lapland's strategies (<http://www.ulapland.fi/?Deptid=17732>) and guidelines on hiring staff for projects (<https://intra.ulapland.fi/?deptid=25395> and <http://www.ulapland.fi/?Deptid=17672>). Project recruitment should focus on permanent University staff, if the staff at the University has the competence required and the type of funding so permits.

The knowledge and skill gained in working on a project enhances a person's professional skill. The application process for new staff is launched centrally through Human Resources. Communications Services and the recruiting unit prepare a newspaper advertisement. The recruiting unit approves the advertisement before it is published. The new employee's salary is determined in accordance with the guidelines issued by the University on 15 September 2006. It is vitally important to determine the salary with Human Resources when applying for funding.

The people who work on a project are primarily in an employment contract with the University. Project staff are appointed by the unit director, usually based on a presentation by the unit's head of administration. If there has been no call for applications for the project position, the project director should, when recruiting a new project worker, provide the administration manager or unit office with a description of the project position and the qualifications required for the said position (information similar to that specified in job advertisements) in order to evaluate job demands vis-à-vis the State Salary System (VPJ).

The pay level for people working on a project must be in the correct ratio to the overall pay level at the University. Alongside actual salaries, the budget specified in the funding decision includes a sum allocated for other possible staff expenses, such as additional expenses arising from sick leave. The funding decision does not determine the salaries of project staff; salaries are determined in line with the University's own practices. Project staff are hired mainly through an employment contract. The University salary system (<http://www.ulapland.fi/?Deptid=17672>) determines a person's salary based on job demands and personal performance. The same principle also applies to fixed-term employment contracts that in part or in whole last for longer than six consecutive months. The salary for fixed-term employment lasting less than six months is determined in euros.

Human Resources has published a guide for staff (<https://intra.ulapland.fi/?deptid=9349>), which provides guidelines on staff matters, such as the terms and conditions of employment contracts, occupational health care and paid leave of absence.

Project agreements

The research project director is responsible for preparing all research project agreements (such as cooperation and copyright agreements). The authority to sign agreements is set out in the University Regulations. The Director of Administration decides on entering into national research agreements and the Rector on international agreements. The research project director is responsible for preparing the agreement. The project director and unit management monitor the implementation of the agreement and the use of resources. The units report to the partners as per the agreement. The project director keeps the unit director informed of agreement preparations. The director of the unit concerned must approve the agreement that is to be implemented by the unit, including its rights

and obligations. The presenter of the agreement verifies the unit's commitment when necessary; this can also be done by adding the unit director's signature to the agreement.

Signatories to agreements:

| | |
|---------------------------|---|
| International agreements: | Rector |
| National agreements: | Director of Administration |
| Presenter: | Director of Planning and Finance |
| (one of the following) | Structural Fund Spokesman or Director of International Affairs |

Information on copyright is available from the Ministry of Education online service (<http://www.minedu.fi/OPM/Tekijaenoikeus/?lang=fi>) and the University of Art and Design Helsinki's Designium – Innovation Services website (<http://www.taik.fi/tekijanoikeuspalvelut/>).

Any and all disputes resulting from research agreements and other disputes concerning project activities shall primarily be resolved through negotiation between the parties. In addition, any possible disputes between the University's units and University employees working on a project shall be resolved immediately through negotiation

Development and Administrative Services offers support with preparing an application and handles the matter from presenting the application right through to the authority who makes the decision.

Research support services

The University of Lapland has several units that are responsible for providing support services for researchers and units that conduct research. In addition, the Department of Research Methodology provides training on research methodology and courses on planning and implementing research (<http://www.ulapland.fi/?deptid=8410>).

Further information about services

- Planning and Finance Services (<http://www.ulapland.fi/?Deptid=10278>)
- Human Resources (<http://www.ulapland.fi/?deptid=10273>), guide for staff (<https://intra.ulapland.fi/?deptid=9349>)
- Records: documents, employment records (<http://www.ulapland.fi/?Deptid=12320>), part of General Administration
- Accounting and Payment Services (<http://www.ulapland.fi/?deptid=10280>)
- ICT Services (<http://www.ulapland.fi/?deptid=8403>)
- Procurement and Premises Services (<http://www.ulapland.fi/?deptid=10294>), procurement guidelines (<https://intra.ulapland.fi/?deptid=23401>)
- Language Centre, University translation service (<http://www.ulapland.fi/?Deptid=22716>)

- Lapland University Library (<http://www.ulapland.fi/?deptid=8404>) provides an information service in addition to its lending services. The Art Library is part of the University Library.
- Arctic Centre Communications (<http://www.arcticcentre.org/?deptid=8758>)
- Development and Administrative Services, Conference Services (<http://www.ulapland.fi/?deptid=9003>),
- Communications Services (<http://www.ulapland.fi/?Deptid=9680>)
- Arctic Centre's Science Centre Exhibition (<http://www.ulapland.fi/?deptid=8800>)
- Lapland University Press (<http://www.ulapland.fi/contentparser.asp?deptid=24073>)
- University of Lapland Printing Centre (<http://www.ulapland.fi/?deptid=8405>)

Project management data systems

Reportronic is a project management and work time allocation system for project management and documentation. The system is used by people who work on projects that are partly or fully financed by supplementary funding. The person responsible for a project ensures that the basic data about the project is fed into the system thereby creating a comprehensive database of the project activities of individuals, units and the University (including all supplementary funding projects). Each University unit has an appointed Reportronic contact person who provides support on how to use the system.

Rondo is a digital archiving and electronic document processing service that improves the efficiency of the document approval process and facilitates the retrieval and distribution of archived documents.

AdeEko is a financial management system for University accounting, ledgers and assets.

ESS (Employee Self Service) is an electronic self-service system that allows staff to record holiday periods, short-term absences (1-3 days), leaves of absence due to a child's sickness and changes of address from their workstations. The data is transferred to the supervisor for approval and then directly to the Human Resource and Salary System in Development and Administrative Services.

Personec HR system is used to implement State Salary System (VPJ) evaluations. The data saved on the VPJ (universities) evaluation forms in the system is transferred within the system in line with the VPJ evaluation process.

Travel is a management system for making travel applications and travel invoices.

TraWell Portal is a databank that includes up-to-date information on planning travel and travel reservations.

Document storage

Project documents are stored in accordance with the University's information management plan and the terms and conditions of the funding of a project. The information management plan defines the

periods and places for storing documents. Documents are currently stored for 15 years after a project has ended, after which they are either stored permanently or destroyed.

University Records archives the original project decisions and the original agreements pertaining to the project, including agreements pertaining to procurements and the relevant documents (inviting competitive bids). The unit concerned collects and stores other project documents, including a copy of the signed project application and project plan, copies of disbursement applications with appendices, a hardcopy of the general ledger from Accounting of the income and expenses for the entire duration of the project, copies of agreements with partners, work time tracking for part-time participants in the project, project steering group minutes and the final report of the project.

Receipts of invoices and income are archived in Accounting and Payment Services. Further information about storing documents is available from University Records.

Publications

Written and oral reporting constitute part of implementing research (intermediate and final reports). Reporting on externally funded research is carried out in compliance with the funding decision, the terms and conditions of the funding agency and possible research agreement. Research publications include national and international peer group evaluation articles aimed at the scientific community, scientific monographs, non-reviewed articles in scientific publications, textbooks, other articles, popular works etc.

The University has its own faculty and unit publication series, which constitute a channel for dissertations and other research and reports for the University. The *University of Lapland Printing Centre* and *Lapland University Press* (LUP), which operate under the auspices of the library, offer support for publishing activities. Lapland University Press is responsible for providing publishing services (printing and publishing activities, sales of publications) for researchers, teachers and students.

In addition to the specific guidelines issued by the faculties for each discipline, guidelines exist for the visual appearance of publications:

- guidelines for writers to University of Lapland series (<http://www.ulapland.fi/files/20050113105434.pdf>)
- ISBN and ISSN codes (http://www.ulapland.fi/includes/file_download.asp?deptid=16188&fileid=6572&file=20060620125023.pdf&pdf=1)

Registering publication data

Based on the performance negotiations between the University and the Ministry of Education as well as between the Rector and the faculties, the University's Planning and Finance Unit annually announces well ahead of time the due dates by which publication data and the statistical data based on the KOTA classification will be available. University staff publications are catalogued in the University of Lapland Library's HILLA database, which can be linked to project and researcher websites. The Library annually collates publication statistics from HILLA that demonstrate the University's performance. These statistics are sent to the Ministry of Education's KOTA database. The responsibility for providing information rests with each subject in the faculties, which send the

information to the faculty administration manager. Researchers in separate units send information to the unit director. Strict guidelines have been issued for registering publication data (www.ulapland.fi/?Deptid=22924).

4. Research communications and social impact

Research results are predominantly public and available for use by the scientific community and the rest of society. The research project director, who should pay equal attention to the University's internal and external communications, is responsible for disseminating information about the research. Good scientific practice involves communications throughout the lifecycle of the research project, from the time funding is granted right through to the research results. Communications should take into consideration oral, written and electronic forums: scientific and popular publications, meetings and conferences, science and art exhibitions, specialist tasks etc.

Communications plays a key role in publicising research activities at the University. Communications is responsible for the University's internal and external communications and relations with the media as well as for producing presentation material and handling arrangements for university-wide events. The University has its own [communications plan](#). The KIDE magazine, the News and Research News column on the University's website and the University's intranet are the main channels of communications for research projects.

The Arctic Centre's Science Centre Exhibition provides a fascinating and participatory channel for research communications to a wide audience. The Science Centre Exhibition is a learning environment that presents the latest results from science and Arctic knowledge, and it serves as a forum for presenting the expertise of the Arctic Centre and the University at large. The popularised presentation of scientific results in the Exhibition and public lectures by researchers and other specialists facilitate interactive and experiential learning.

The Faculty of Art and Design has four galleries – Valo, Kajo, Katve and Kilo – whose activities reflect the activities of the faculty. Besides the so-called traditional art disciplines, the galleries display production from the disciplines of industrial art and media.

Guidance on communications is available from University of Lapland Communications, Arctic Centre Science Communications and the Science Centre Exhibition.

Operating under the auspices of Development and Administrative Services, Conference Services provides support for arranging meetings.

Further information

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