
External funding for academic activities

1. External funding - especially competitively awarded - is essential for high-quality research and education at CEU. It increases the visibility, prominence, reputation and attractiveness of the University and improves its budget performance. This policy regulates the processes for seeking and utilizing external academic funding at CEU.
2. External funding comes in three main forms:
 - a. **Academic grants** are dedicated funds from public bodies and foundations usually awarded as a result of competitive selection and dedicated to fulfilling particular *academic objectives*.
 - b. **Consulting contracts** are funds awarded to perform specific research or education activities to benefit the client (a public or private body). In contrast to academic grants, contracts are normally serving the interests of the client rather than broadly defined public and academic interests.
 - c. **Donations** are funds typically provided by private persons, foundations, and corporations to support CEU activities and mission. A donation may be an unrestricted gift to CEU or its use may be restricted to a specific academic area, a unit or a type of activities.
3. CEU encourages its faculty to seek external funding for supporting high quality academic activities in line with CEU mission. CEU leadership, administration and academic units are committed to supporting the search for, and management of external funding through:
 - a. Fulfilling the necessary legal and other conditions making CEU eligible for various types of external funding.
 - b. Providing information, advice and support in the process of preparing applications and proposals, in negotiating grant agreements and in managing external funding;
 - c. Establishing efficient administrative procedures related to securing and administering academic grants and donations.
 - d. Supporting the development of proposals and applications for academic grants through the Research Support Scheme.
 - e. Encouraging and motivating CEU faculty to seek external academic funding;
 - f. Positioning and advertising CEU as a prudent, reliable and top-performing recipient of external academic funding.
4. CEU bears academic, legal, financial, ethical and moral responsibilities for all academic activities in which it participates, including those associated with external funding. The legal authority to accept and use funds on behalf of CEU lies with the

President & Rector, who may delegate this authority to the Chief Operating Officer (COO) or Vice-President for Administration. In approving applications for and acceptance of external academic funding the Rector & President and the COO or Vice-President for Administration are advised by the Tender Committee and the Ethical Research Committee (where appropriate).

5. CEU seeks and accepts external academic funding on the conditions that:
 - a. The funded activities are in line with CEU mission and strategy.
 - b. CEU has resources and capacity to implement the funded activities;
 - c. The origin of funding is not illegal, unethical, does not involve the conflict of interest and is not associated with activities or organizations which can damage CEU reputation, or which are imposing unrelated or inappropriate restrictions or expectations on CEU and its staff (this is judged on a case-by-case basis in accordance with the Guidelines on external academic funding).
6. All external academic funding should be applied for, accepted and managed only in conformance with this Policy and the Guidelines.
7. If the externally funded research involves requests for teaching waivers or other modifications of an academic staff member's job description, the principles laid down in the *Policy on research related teaching waivers and research rewards* should be followed.
8. The Academic Cooperation and Research Support Office (ACRO) serves as a resource for CEU community for seeking and managing academic grants. It maintains a registry of academic grants at CEU and on the applications for such grants submitted on behalf of CEU. The ACRO prepares Annual Reports on successfully secured academic grants including the academic and financial profile of the projects and the CEU staff members involved.
9. The Development Office (DEVO) serves as a resource for CEU community on applications, reports and relationship management with private sources of donations, coordinating with ACRO as necessary. DEVO retains records of all applications for and donations of private support to CEU. DEVO prepares Annual Reports on private donations to CEU.

Signed by *CEU President and Rector John Shattuck*.

The original document is filed at the Office of the Academic Secretary.

Guidelines for Seeking and Managing External Academic funding at CEU

These Guidelines support the CEU Policy on External Academic Funding and aim to assist CEU staff in preparing applications for external funding, including securing the CEU institutional endorsement for seeking such funding, concluding contracts and submitting reports related to external academic funding.

Preparing applications for external funding on behalf of CEU and securing CEU institutional endorsement

1. CEU bears academic, legal, financial and moral responsibilities for all academic activities in which it participates, including those associated with external funding. Therefore, all such activities require institutional endorsement by CEU already at the application stage, since by submitting an application CEU commits itself to carrying out the project. Most of the funding schemes also make formal endorsement by the CEU legal representative a precondition for considering grant applications and awarding grants. The legal authority to endorse external cooperation and accept funds on behalf of CEU lies with the President and Rector, who has delegated this authority to the Chief Operating Officer (COO) or the Vice-President for Administration.
2. All externally funded activities are 'embedded' within Academic Departments, Research Centers or other units. The faculty or researcher (proponent), who wishes to seek external funding or accept a donation on behalf of CEU, should inform and secure consent of the relevant academic unit, particularly concerning its capacity to provide management support for implementing the proposed activity. If no such unit is identified, researchers may directly contact the Academic Cooperation and Research Support Office (ACRO) (Development Office (DEVO) for private donations) to see if such management support can be secured by any other means.
3. The ACRO staff has expertise in supporting the preparation of high-quality applications. ACRO should be contacted as early in the process of preparing the application as possible. This initial contact should not necessarily involve providing detailed information, but it will help ACRO staff eventually to:
 - identify potential legal, financial, ethical and other issues that need to be clarified before the application is submitted;
 - coordinate between possible parallel endeavours at the CEU;
 - advise on the budget of the proposal/project;

- advise heads of the academic units which will be affected by the proposal about its implications;
 - assist in compiling the necessary information for CEU internal decision-making and submitting the necessary documents to the appropriate persons and Committees;
 - prepare all administrative forms which are necessary for an application.
4. In case of seeking private donations, the members of CEU community are encouraged to consult the CEU Development Office at an early stage in their discussions with a potential benefactor. This will reduce the risk of uncoordinated approaches to a single potential donor and may provide a warning concerning seeking a donation, which is not likely to be acceptable. DEVO *shall* be involved at the stage of starting formal negotiations or application process. Formal applications for private support shall be shared with DEVO for further review by the Rector& President, the COO or Vice-President for Administration or the Tender Committee. DEVO should also be notified as soon as the decision on the application has been made.
5. Not later than 1 week¹ before the institutional endorsement is required, a formal request (*Annex II*) should be submitted to the ACRO (DEVO for private donations). Following this, the ACRO(DEVO for private donations) will conduct a technical review of the request, if necessary asking for additional materials or information, and make a recommendation to COO or Vice-President for Administration, who will:
- Grant or decline the endorsement for projects with the total budget under 10,000 EURO;
 - Seek advice of the Tender Committee (*Annex I*) regarding the proposals with the total budget over 10,000 EURO;
6. CEU institutional endorsement can be declined based on:
- ineligibility of CEU for the proposed funding scheme;
 - direct conflict of the proposal with CEU mission, ethical standards, or policies including the Ethical Research Policy (P1012-01v1202);
 - Unacceptability of funding in case of serious concerns listed in item 11 of these Guidelines;
 - budgetary, human resource or other constraints in meeting the proposed financial, academic or managerial commitments;
 - failure to meet the Conditions for Accepting External Academic Funding at CEU listed in the box below.
7. In case of declined institutional endorsement the proponent of the proposal will be immediately notified in writing with full explanation of the reasons for which the endorsement has not been granted. If time allows, the proponent may rework the proposal or seek recourse in obtaining endorsement.

¹ In exceptional and justifiable cases – 3 working days.

8.

Conditions for Accepting External Academic Funding at CEU

- a. At the time of submitting a proposal the principal researcher must have an employment contract with the CEU for the entire duration of the proposed project. In case he/she holds a contract for a fixed duration, the Department/Unit Head must make a proposal to the Provost regarding extending the contract for the researcher/project manager for the duration of the proposed project.
- b. The provisions regarding teaching waivers of the Policy on research related teaching waivers and research reward must be observed if applicants' involvement of externally funded projects will alter their job descriptions.
- c. When the proposal is for a grant enabling someone to come to CEU (e.g. OTKA or Marie Curie fellowships, European Research Council Grants, etc.), the hosting Department/Unit Head must provide a letter stating that the Department/Unit intends to host the researcher and will manage the project.
- d. If project participation affects the operation of a Department/Unit (e.g. Marie Curie training networks, Erasmus Mundus courses, etc.), the Department/Unit Head submits the proposal for institutional endorsement.
- e. If the implementation of the project affects core academic activities at CEU (e.g. new degrees etc) necessary endorsements should be obtained in accordance with relevant CEU policies.
- f. All projects for which CEU is responsible must be managed by CEU, i.e. their administration cannot be sub-contracted to third-parties.

9. If external funding is sought for organising events at the CEU, organisers are encouraged to observe the principles laid down in the Policy on Gender Equity..

Acceptable funding sources

10. It is the responsibility of all CEU staff engaged in seeking external funding to identify potential concerns associated with the nature of the funding source, especially in case of private donations. In addition, such concerns may be identified by ACRO (DEVO) while preparing the documentation for the consideration of the Tender Committee.

11. Concerns which shall be identified when seeking external academic funding include but are not limited to the following situations:

- i) A third party is involved and the original source of the funding is unknown or cannot be identified;
- ii) A potential sponsor has an interest in conducting a business with CEU (e.g. as a supplier of goods and services);
- iii) A potential sponsor wishes to restrict or influence CEU activities (such as research, teaching or outreach) not directly related to the activities for which funding is provided;
- iv) A potential sponsor expects the use of funding which would violate the CEU non-discrimination policy.
- v) The practices or a reputation of a potential sponsor or their motives in commissioning the research conflict with the mission, aims and objectives of the CEU;
- vi) A potential sponsor wishes to place inappropriate restrictions on publication and exploitation of research which may lead to substantial ethical difficulties or restriction of freedom of academic inquiry or expression;

- vii) A potential sponsor is attempting to exert pressure to suppress or alter the results of the research which do not further, or may damage, its interests, commercial or otherwise;
 - viii) A member of CEU staff may have a conflicting interest with respect to a potential sponsor;
 - ix) Accepting funds from one source may compromise the ability of the University to apply for or accept funds from another source;
 - x) Where the practices of a potential sponsor or their motives in supporting the research may conflict with the mission, values, aims and objectives of the CEU; this may in particular arise if there is evidence that the potential sponsor has been engaged in illegal activities, violated international conventions that bear on human rights, limited freedom of inquiry, suppressed or falsified academic research;
 - xi) Where the implications of accepting research funding from a particular source could result in negative publicity and/or may damage the reputation of the CEU;
 - xii) Where the conduct of research may require illegal action, create unacceptable conflict of interest, harm or place at undue risk members of the public, participants or staff.
12. In case any of the concerns listed in item 11 are identified, the Lead Researcher and/or ACRO/DEVO inform the COO or Vice-President for Administration and the members of the Tender Committee.
13. Decisions on accepting external funding in case any concerns listed in item 11 are identified is made on a case-by-case basis taking into account the strength of evidence and the likelihood and severity of potential risks associated with the funding. The Tender Committee may request ACRO, the Development Office or the Lead Research to collect and provide additional information related to the potential sponsor or the nature of funding. The Tender Committee may also refer the final decision on accepting the funding to the President and Rector.

Concluding contracts and other agreements related to external academic funding

14. The Principal Researcher should inform the ACRO as soon as the application for external funding has been approved by the funding body.
15. The ACRO will manage the processes of negotiating the Contract and the Consortium Agreement on behalf of CEU with reference to existing CEU policies, legal obligations, financial and human capacities of the University.
16. The Contracts or other Agreements related to external academic funding are signed by either the Rector and President or his representatives. A request for signing such contracts (alongside the contracts themselves) should be filed with ACRO not later than 1 week before the signature is needed. The Annex II Form should be used for the purpose.
17. The Rector and President or the COO or Vice-President for Administration may seek further advice of the Tender Committee or other bodies while considering requests for signing contracts or agreements for external academic funding, especially in cases when:
- a. The application for the project was not reviewed by the Tender Committee (e.g. the grant was awarded without formal application);

- b. There have been significant changes to the project as compared to the original application or significant new circumstances have emerged after the application has been submitted;
18. A similar procedure should be followed if there are changes in the contract regulating the external academic funding.

Management, monitoring and reporting

19. Management and administration of externally funded research project is shared between the Principal Researcher, his/her Academic Unit and ACRO. It is recommended that an agreement on sharing management and administrative tasks is concluded between these actors at the start of the project.
20. Principal researchers are responsible to inform all CEU staff and students involved in or benefiting from external funding about the source of the funding.
21. In case significant information about the project changes (e.g. the project start and end dates, the project budget, the composition of the consortium, the role of CEU, the name(s) or the role(s) of the principal researcher and other key staff – the ACRO should be immediately notified.
22. Financial reports are prepared jointly by the Principal Investigator, the project's administrator, ACRO and BFO. In case only contents and technical issues need to be reported, requests for signatures on such reports should be submitted (alongside with the reports themselves) to the ACRO at least 1 week prior to the due date.

Annex I. The Tender Committee

AS OF SEPTEMBER 2014

Liviu Matei, Provost/Pro-Rector - Chair

Margaret Bolter, Vice President for Administration

Laszlo Kontler, Pro-Rector for Social Sciences and Humanities & Hungarian Affairs

Zsuzsa Gábor, Director, Academic Cooperation and Research Support Office

Eva Fodor, Director, CEU Institute for Advanced Studies

Annex II. Application Form

Please, use this form for requesting institutional endorsement for external funding. The form should be sent by internal mail and in an e-mail to ACRO@ceu.hu leaving at least 1 week for decision. Please refer to the **Policy and Guidelines on External Academic Funding at CEU** (P0805-1v1202) for additional information. For advice and advance notice please contact ACRO.

1. ACRONYM AND TITLE OF PROJECT

2. DEPARTMENT OR UNIT CARRYING OUT THE PROJECT (IF MORE THEN ONE PLEASE DESCRIBE THE ARRANGEMENT)

3. NAME OF PRINCIPAL RESEARCHER

4. NAME OF ADMINISTRATIVE MANAGER (WITH AN SAP LICENCE) OF THE PROJECT AND ANTICIPATED AMOUNT OF ADMINISTRATIVE STAFF TIME REQUIRED

5. NAME AND ANTICIPATED TIME COMMITMENTS OF CEU STAFF RESEARCHERS

6. WILL THE PROJECT SIGNIFICANTLY MODIFY THE JOB DESCRIPTION (E.G. REQUEST FOR TEACHING WAIVER) OF THE CEU RESEARCHERS?

NO

YES

IF YES, PLEASE, DESCRIBE THE PROPOSED ARRANGEMENTS:

APPROVAL OF THIS MUST BE INCLUDED IN THE SUPPORT LETTER OF THE DEPARTMENT/UNIT HEAD HOSTING THE PROJECT)

- 7. DETAILED LIST OF ENGAGEMENT IN OTHER PROJECTS (RUNNING PROJECTS OR APPLICATIONS AWAITING DECISION) OVER THE DURATION OF THIS PROJECT, INDICATING TIME COMMITMENT**

--

- 8. NAME AND ANTICIPATED TIME COMMITMENTS OF CEU PHD RESEARCHERS**

--

- 9. NAME AND ANTICIPATED TIME COMMITMENTS OF ADDITIONAL RESEARCHERS (TO BE HIRED BY CEU EXCLUSIVELY FOR THIS PROJECT). JUSTIFICATION OF THE NEED TO HIRE EXTERNAL RESEARCHERS (APPROVAL OF THIS MUST BE INCLUDED IN THE SUPPORT LETTER OF THE DEPARTMENT/UNIT HEAD HOSTING THE PROJECT)**

--

- 10. ACCEPTABILITY OF FUNDING. IS THERE EVIDENCE FOR ANY OF THE CONCERNS LISTED IN ITEM 10 OF THE GUIDELINES ON EXTERNAL FUNDING (ESPECIALLY IN CASE OF PRIVATE DONATIONS). IF “YES”, PROVIDE BRIEF EXPLANATION.**

--

PROJECT DATA

- 11. TYPE OF FUNDING SCHEME (E.G. HORIZON 2020, ERASMUS +, OTKA, ETC.)**

--

- 12. DATE BY WHICH THE PROPOSAL NEEDS TO BE SUBMITTED/SIGNATURE IS NEEDED**

--

- 13. DURATION OF THE PROJECT**

--

- 14. EXPECTED START DATE**

--

15. LIST PARTNER INSTITUTIONS (IF APPLICABLE)

16. DESCRIBE, IN A FEW SENTENCES, THE PURPOSE OF THE PROJECT AND CEU'S ROLE IN CARRYING IT OUT AND ITS EXPECTED BENEFITS TO THE INSTITUTION

17. RESEARCH OUTPUT/DELIVERABLES

18. DOES THE PROJECT INVOLVE RESEARCH ETHICAL ISSUES WHICH NEED TO BE ADDRESSED IN ACCORDANCE WITH *CEU RESEARCH ETHICS POLICY*?

NO

YES

IF YES, PLEASE, DETAIL:

19. DOES THE PROJECT INVOLVE SPECIAL INTELLECTUAL PROPERTY RIGHTS ARRANGEMENTS WHICH ARE NOT STIPULATED IN OR CONTRADICT THE *CEU INTELLECTUAL PROPERTY RIGHTS POLICY*?

NO

YES

IF YES, PLEASE DESCRIBE:

BUDGET DETAILS

20. TOTAL PROJECT BUDGET (IN CASE OF COLLABORATIVE PROJECTS)

--

21. CEU'S SHARE OF THE TOTAL BUDGET (PLEASE ATTACH DETAILED PROJECT BUDGET)

--

22. CO-FUNDING REQUIRED FROM CEU (CASH AND IN-KIND)

--

23. EXTERNAL FUNDING OFFSETTING CEU'S RECURRING COSTS (SALARIES, STIPENDS, ETC.)

--

24. TUITION OR OVERHEAD INCOME

--

25. ADDITIONAL OFFICE SPACE/WORK STATION REQUIRED

NO

YES

IF YES, PLEASE SPECIFY

--

26. OTHER SPONSORSHIP (IF ALREADY SECURED, PLEASE, ATTACH COPY OF THE DOCUMENTATION)

--

DATE:

SUBMITTED BY:

TO BE FILLED OUT BY ACRO

- 1. RECOMMENDATION/ENDORSEMENT OF THE DEPARTMENT/UNIT HEAD (IF APPLICABLE)

- 2. ACRO COMMENT

Document information	
Type	Policy/Guidelines
Number	P-0805-01v1311
Title	Policy and Guidelines on External academic funding at CEU
Distribution	Internal
Filename	P-0805-01v1311 External Funding final.doc
Notes	Previous amendment in February 2009. Before May 2008 “TC Guidelines”
Related documents	Policy on Ethical Research P-1012-01
For final documents	
Approved by:	Senate
Date of initial approval	May 2008
Date of amendments	February 2009, February 2012, November 2013
Enters force	Immediately
Lead Units	ACRO, DEVO