



Enclosure 1

# Decision

Date

2 July 2024

Reference

fdr24b0034

Subject

Decision on adoption of Procedure for faculty matching and for other additional faculty contributions of research projects with UvA, Faculty, indirect government and contract research funding

**THE DEAN OF THE AMSTERDAM LAW SCHOOL;**

whereas:

it is desirable to clarify the criteria and procedure for allocating matching contributions and other additional faculty contributions for research groups and departments;

having heard:

the Department Chair Consultation and the faculty Research Council;

**HAS DECIDED:**

to adopt the accompanying procedure for faculty matching and for other additional faculty contributions of research projects with UvA, Faculty, indirect government and contract research funding with effect from 2 July 2024.

This decision replaces the previous decision on the adoption of a matching procedure for externally funded research projects dated 13 May 2022.

Prof. dr. M.M.M. van Eechoud  
Dean

## Procedure for faculty matching and for other additional faculty contributions of research projects

### Definitions

- **‘Eerste geldstroom’ (GS1):** funding derived from projects and programmes of the University of Amsterdam, such as the theme-based collaboration programme<sup>1</sup> and the Interfaculty Research Priority Areas<sup>2</sup> (RPA’s).
- **‘Tweede geldstroom’ (GS2):** funding derived from projects and programmes from NWO, KNAW and EU. The UvA uses a broad definition for second flow of funds, including EU<sup>3</sup>. These funds are received decentral and are the responsibility of the faculty.<sup>4</sup> Examples are NWO projects, ERC grants and EU projects in other programmes.
- **‘Derde geldstroom’ (GS3):**<sup>5</sup> concerns project-related funding and comes, for example, from individuals, companies, foundations and ministries (contract research funding). These funds are received decentral and are the responsibility of the faculty.<sup>6</sup> Examples are AUF, Instituut GAK, VolkswagenStiftung and Gemeente Amsterdam.
- **Matching contribution:** money contributed by the faculty to bridge the difference between the UvA overhead costs and any reimbursement for overhead offered by the funder (NWO, for example, does not reimburse overhead; ERC offers reimbursement of 25%). It concerns GS2.
- **‘Eigen bijdrage’ (own contribution):** money needed to bridge the difference between the full project costs and the grant offered by the funder when there is no matching contribution from the faculty and/or when the grant offered by the funder does not cover all staff and material costs. It concerns GS1, GS2 and GS3. Sources for the own contribution are, for example, the departmental budget or another (internal) fund.

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<sup>1</sup> <https://www.uva.nl/en/about-the-uva/about-the-university/strategy/theme-based-collaboration/theme-based-collaboration.html>.

<sup>2</sup> <https://www.uva.nl/en/research/research-at-the-uva/research-priority-areas/research-priority-areas.html>.

<sup>3</sup> The UvA uses a broad definition of GS2, and although EU is GS3 in the PPM tool of project control it is seen within UvA as GS2.

<sup>4</sup> <https://www.uva.nl/binaries/content/assets/uva/nl/over-de-uva/over-de-uva/beleid-en-financien/beschrijving-uva-allocatiemodel-pub.pdf>; more information can also be found in the Framework Letter UvA: <https://www.uva.nl/en/about-the-uva/policy-and-regulations/finances/framework-letter.html>.

<sup>5</sup> Income from conferences and seminars is also classified in the UvA accounts as contract research funding, but it falls outside the scope of the matching issue in the field of research.

<sup>6</sup> <https://www.uva.nl/binaries/content/assets/uva/nl/over-de-uva/over-de-uva/beleid-en-financien/beschrijving-uva-allocatiemodel-pub.pdf>.

## Introduction

Research funding does not always cover all costs associated with the projects concerned as funders usually do not provide 100% of the material, staff and overhead costs. In some cases, the faculty then may be required to ‘match’ the difference between the overhead costs and any reimbursement for overhead offered by the funder. In the cases in which the faculty does not provide a matching contribution, the difference must be financed from another source.

With a view to the need to match that difference with regard to research funding from external partners (GS2 and GS3), the UvA provides all faculties with a matching budget.<sup>7</sup> In the past few years, the Amsterdam Law School has received an average of €1.2 million (3% of the UvA total).<sup>8</sup>

This means that resources are limited and that the faculty must make choices in granting matching requests. The procedure set out in this document explains how the faculty decides *which* projects will receive a matching contribution and *to what extent* these projects will be matched. Clarity about these questions is important for research groups and departments, as they must determine which project proposals they want to support and implement. Also, they may choose to support projects that are not eligible for matching, from their own budget.

The faculty matching policy supports and facilitates the faculty ambition to acquire more external funds. Matching should not only be seen as a cost item, but rather as a means to support the generation of more research resources. However, the faculty’s matching offer should not be expanded to such an extent that negotiations about the amount of the grant are conducted less ambitiously.

Matching does not apply to research funding from the UvA (GS1).

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<sup>7</sup> The budget from the UvA is calculated based on the following average matching percentages: 60% of NWO revenue + 35% of EU revenue + 15% of contract research revenue. The university has an annual budget for matching of approximately €39 million. When this level is reached, the budgets are allocated pro rata, which means that when all faculties together request more matching than is budgeted, each faculty receives proportionally less than is requested. For example, if according to the matching calculation rules a total of €44 million should be allocated to the faculties, each faculty would receive (39/44) of the amount it is entitled to.

<sup>8</sup> Framework Letter UvA, <https://www.uva.nl/en/about-the-uva/policy-and-regulations/finances/framework-letter.html>.

### Selection criteria

The starting point of the procedure for matching and other additional faculty contributions is that all applications for funding should be in line with the faculty research strategy as formulated in the FSP of the Faculty of Law 2021-2026, which in particular concerns the aim to promote innovative academic research of high quality that is linked to thematic choices across fields of law and disciplines, and which has a significant impact on society.

Per category of funding we have decided:

- **GS1:** will in principle not be matched by the faculty.
- **GS2:** will be matched up to the maximum overhead; any difference between staff and material costs and the grant offered by the funder will have to be financed from another source. In-kind contributions will not be matched.<sup>9</sup>
- **GS3:** will in principle not be matched. Exceptions may be made at the discretion of the research director if: (i) they represent a unique research opportunity; and (ii) matching budget is available. Because these grants are not matched by the faculty, researchers should first ask their department to finance the difference from their own budget or negotiate with the funder.

### Process (including relevant steps prior to the request for matching or other additional faculty contributions)

1. The researcher has to inform the department chair and the operations manager of the department as early as possible of his/her intention to apply for funding.
2. The department chair must agree to the application before the researcher takes the next steps, which is informing the project coordinator<sup>10</sup> and project control.
3. The project controller draws up the project budget in accordance with the guidelines of the funder and applies the correct UvA-personnel rates.
4. GS2 will be matched. Please inform [arils-fdr@uva.nl](mailto:arils-fdr@uva.nl) about your project and the matching you need.
5. GS3 will in principle not be matched, but a request can be submitted to the research director provided that the researcher has first discussed the possibilities of a contribution from the departmental budget with the department chair.  
The researcher needs to consult the research director to discuss the possibilities, preferably six but no later than two weeks before the submission of the proposal, for the research director to be able to check if enough budget for a faculty contribution is available.

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<sup>9</sup> External funders see everything the UvA contributes itself as in-kind contributions, whether it is the researcher's own research time, or money from the department or faculty. The UvA considers in-kind contributions to be an additional contribution in the form of the researcher's own regular research time only. Because this concerns direct costs, in-kind-contributions are not matched. All other contributions by the researcher from other grants or by the department are called own contribution.

<sup>10</sup> Only in case of GS2 and GS3; this is not necessary for GS1.

All official requests for GS3 matching must be submitted by the researcher:

- per email to the research director via [arils-fdr@uva.nl](mailto:arils-fdr@uva.nl) (with the project coordinator in cc); and
- it is mandatory to include:
  - i. the (draft) research proposal;
  - ii. the final budget approved by project control, which explicitly indicates the amount of matching requested;<sup>11</sup>
  - iii. justification.

The research director decides on the request by sending an email. Approval cannot be obtained through project control or other staff; an email with the research director's approval is required to receive the matching contribution.

Note:

- Matching requests that have been granted, are granted for the period agreed on and will not be reconsidered.
- In the event of a considerable budget increase (that is, other than the annual increase in salary rates, etc.) or an extension of the project, the matching request should be resubmitted for approval.

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<sup>11</sup> See appendix 1: Simple sample calculation of matching requirement

**Appendix 1:** Simple sample calculation of matching requirement

The table below shows the matching requirement for a one-year project with a postdoc that costs €100K; suppose the overhead of the faculty is €40K.

	<b>Costs staff</b>	<b>Costs over-head</b>	<b>Reimburse-ment staff</b>	<b>Reimburse-ment overhead</b>	<b>Amount to be matched</b>	<b>Own contribution</b>
NWO/KNAW	100	40	100	0	40	0
ERC	100	40	100	25	15	0
EU projects in other programmes	100	40	X	Y	40-Y	100-X
Other funders not offering full cost coverage	100	40	X	Y	0	140-(X+Y)
Funders offering full cost coverage	100	40	100	40	0	0
Commercial rates	100	40	$\geq 100$	$\geq 40$	0	0