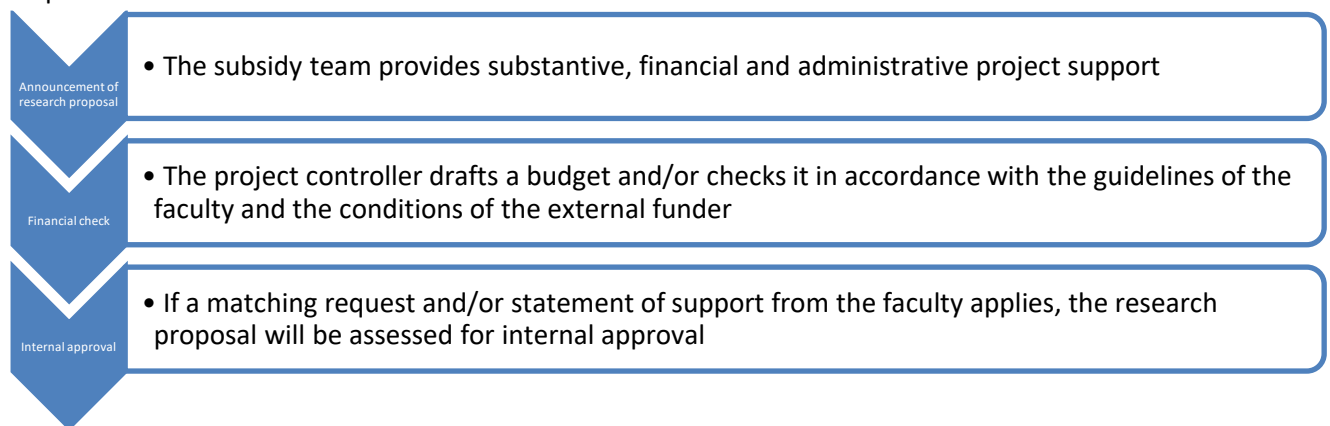# Workflow Faculty Procedures for Grant Applications

Preface

If a researcher wishes to submit a research proposal to an external funder, he/she is requested to contact the project coordinator. The Amsterdam Law School has a subsidy team, consisting of a project coordinator, two project controllers, three grant advisors and a legal counsel, which provides support for various aspects of applications. For example, the grant advisor can advise and proofread a proposal; a proposal is generally checked to see whether it has been drawn up in accordance with the guidelines of the funder; and the project controller checks whether financial conditions have been met. For this purpose, the Amsterdam Law School has drawn up an internal application procedure. When completing this internal application procedure, the researcher can be sure that the proposal meets the subsidy conditions and is ready for submission to the external funder.

Internal application procedure

After the researcher has informed the project coordinator, the internal application procedure consists of three steps:

Announcement of research proposal	• The subsidy team provides substantive, financial and administrative project support
Financial check	• The project controller drafts a budget and/or checks it in accordance with the guidelines of the faculty and the conditions of the external funder
Internal approval	• If a matching request and/or statement of support from the faculty applies, the research proposal will be assessed for internal approval

Project support

The three steps above are described in detail in Appendix A. In the first step, the researcher has to inform the department chair, the project coordinator and the operations manager of the department as early as possible of his/her intention to apply for funding. The department chair must agree to the application before the you take the next steps.

The second step is the financial check. The project controller checks whether the project budget has been drawn up in accordance with the guidelines of the funder and whether the correct UvA-personnel rates have been applied.

As a final step, an internal approval procedure applies in specific cases. In this step, the project proposal is assessed for faculty approval if an official statement of support[1] and/or a matching request[2] applies.

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[1] For example, the Embedding Guarantee of NWO or the letter of commitment/intent of EU applications.
[2] See Appendix B for the procedure for matching, dated 13 May 2022.

Appendix B: Workflow grant application

	Action	Who?	Remarks
Announcement of research proposal	Announce your intended application to: - Department chair - Project coordinator (Robin) - Operations manager of the department	Researcher	- Researcher reads the relevant information on the faculty's Research A-Z first: https://medewerker.uva.nl/en/faculty-of-law/research/research-a-z/research-a-z.html. - The department chair must agree to the application before the steps below can be taken. The researcher sends the written approval to the project coordinator.
	Project support consists of: - Substantive advice (grant advisors IXA) - Financial support (project controllers) - Administrative support (project coordinator)	Project coordinator (Robin)	Robin checks approval by department chair and connects the researcher to the relevant subsidy team members
	- Skillshare training programme (Law Hub) - Individual grant advice (grant advisors IXA) - Advice on valorisation (Frances/Lou)	Grant advisors IXA (Olga/Rocío/Michael)	Olga/Rocío/Michael involve the Amsterdam Law Hub in their advice
	- Advice on research data management (Thomas), a data protection review (Victor) and an ethics review (Faculty Ethics Committee)	Researcher	The researcher submits all necessary forms via the Research Management Services portal: https://rms.uva.nl/servicedesk/customer/portal/10
Financial check	Prepare the budget, including matching and/or own contribution	Project controller (Andrew/Erik) with researcher	- Andrew/Erik prepare the budget with input from the researcher - If necessary, the researcher discusses matching with the research director (Göran) and the own contribution with the department chair - Andrew/Erik send the budget to the researcher and the relevant mandate holders for formal approval in the Self-Service Tool, with the project coordinator and operations manager in cc
Internal approval	Submit the statement of support for signature to the project coordinator (Robin) no later than 1 week before the call deadline	Researcher	Assessment for faculty approval applies to: - Matching request according to the criteria in the matching policy - Official statement of support (Embedding Guarantee for Veni/Vidi and HI Letter for ERC). For the statement of support, having participated in the Skillshare training programme is mandatory

	Assessment for faculty approval	Project coordinator (Robin)	Robin checks participation in the Skillshare training programme and has the statement of support and/or other administrative forms signed by the relevant mandate holder (department chair/managing director/dean/UvA executive board, depending on the amount applied for). Robin sends the signed forms to the researcher, with the grant advisor IXA and project controller in cc
Submission	Submission of the research proposal	Researcher	The researcher informs the department chair, project controller, operations manager and project coordinator by sending them the submitted documents

Contact list

Robin Buning, Project Coordinator

Olga Gritsai, Grant Advisor IXA (individual grants: ERC, NWO Vici, NWO SSH OC L)

Rocío Díez Arazola, Grant Advisor IXA (individual grants: NWO Veni and Vidi, MSCA PF, NWO SSH OC XS and M)

Michael Williams, Grant Advisor IXA (consortium grants)

Eva de Wit, Legal Counsel IXA

Andrew Kerven, Project Controller for the departments of Jurisprudence, Labour Law, Law & Economics, International and European Public Law, Private Law, Public Law

Erik van Loon, Project Controller for the department of Information Law

Göran Sluiter, Research Director

Saskia Woutersen-Windhouwer, secretary Faculty Ethics Committee

Victor Ewald, privacy contact person

Thomas Gales, Data Steward

Frances Singleton, Research & Innovation Manager Amsterdam Law Hub

Lou Errens, Impact Developer Amsterdam Law Hub

Jan Dijk, Managing Director

André Nollkaemper, Dean

UNIVERSITY OF AMSTERDAM
Amsterdam Law School

Decision

Date
13 May 2022
Reference
fdr22b0020
Subject
Decision on adoption of Procedure for matching for projects with indirect government funding and projects with contract research funding

THE DEAN OF THE AMSTERDAM LAW SCHOOL;

whereas:
it is desirable to clarify the criteria and procedure for allocating matching contributions for research groups and departments;

having heard:
the Department Chair Consultation and the faculty Research Council;

HAS DECIDED:

to adopt the accompanying matching procedure for projects with indirect government funding and projects with contract research funding with effect from 13 May 2022.

This decision replaces the previous decision on the adoption of a matching procedure for externally funded research projects dated 8 June 2018.

Prof. dr. P.A. Nollkaemper
Dean

Procedure for matching for projects with indirect government funding and projects with contract research funding[*]

<u>Faculty matching policy</u>

Income from indirect government funding and contract research funding (GS2 and GS3, respectively) does not always cover all costs associated with the projects concerned. Grant providers usually do not provide 100% of the material, staff and overhead costs. The faculty then may be required to 'match' the difference between the full project costs and the grant offered by the grant provider.

With a view to the need to match that difference, the UvA provides all faculties with a matching budget in proportion to the broad indirect government funding (EU & NWO) and contract research funding in year t-2. The budget is calculated based on the following average matching percentages: 60% of NWO revenue + 35% of EU revenue + 15% of contract research (GS3) revenue. The university has an annual budget for matching of approximately €33 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 € 38 million should be allocated to the faculties, each faculty would receive (33/38) of the amount it is entitled to. In the past few years, the Amsterdam Law School has received an average of €1.1 million (3 to 4% of the UvA total).

As long as the matching budget that the faculty receives from the university equals or exceeds its allocation to projects, there is, in principle, no need to make choices, and matching funds received can be passed on to projects.

However, this is not always the case in practice. Due to the delay in the allocation of matching funds, there will be a surplus in the matching budget in some years and a deficit in other years. More generally, on average the contribution of the UvA is likely to be slightly less than required within the Amsterdam Law School.

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.

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

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[*] The procedure described in this document is an abridged version of the matching procedure as adopted on 8 June 2018. Information on the background of this procedure has been omitted in this abridged version. Information regarding amounts and grant programmes has been updated. The procedure has not changed substantially.

should not be expanded to such an extent that negotiations about the amount of the grant are conducted less ambitiously.

If the faculty does not pay the full overhead, and does not match the unfunded staff costs, a department can still carry out the project, but the department then must make its 'own contribution' to the project.

<u>Criteria for choices in matching policy</u>

Decisions regarding the allocation of matching are guided by the following criteria:
- Proposals for matching that belong to the broad GS2 are accepted, in principle, if they are 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.
- Projects that belong to the broad GS2 that cover only partial or no costs overheads, and that also provides only partial funding for costs of staff or material expenses, may also be matched. The research director will perform an additional review for this type of project (for example, EU 'social dialogue' projects or EU Jean Monnet projects).
- Proposals outside the broad GS2 are accepted only if they fall within the scope of the faculty research strategy and the clients operate with grant conditions that are similar to those of NWO and the EU, under which the compensation provided is always lower than the full costs. Examples are funding generated in the commercial exploitation phase, Stichting GAK, AUF, and sometimes ministries and other government institutions.

<u>Process</u>

When the budget for the next financial year is being drawn up, the Department Chairs will be asked what matching requests have already been granted and to estimate how much matching they expect to request for the coming year: what projects are already under way, what new projects are in the pipeline and what matching requirements will be set for them. Department Chairs will also be asked to report any unexpected matching requests in the current financial year as soon as possible.

Matching requests that already have been granted before the budget for the next financial year is set will not be reconsidered.

Matching applications outside the budgetary cycle will be submitted to the research director no later than one week before the submission of the proposal. These applications should be accompanied by the (draft) research proposal and the budget approved by project control, which explicitly indicates the matching requested.

Appendix 1: Classification of projects with indirect government funding and projects with contract research funding

Projects with indirect government funding and projects with contract research funding commonly in progress in the faculty can be classified as follows.

Indirect government funding (GS2):
– NWO projects. This grant provider pays the staff and material expenses. The overhead has to be matched.

Extended indirect government funding (GS2):
– EU projects in Horizon Europe/ERC grants. In these projects, the staff and material expenses are reimbursed, and 25% of the overhead on those expenses is also reimbursed. The difference has to be matched;
– EU projects in other programmes. At the Amsterdam Law School, a number of EU projects are funded by the 'social dialogue' programme. Ninety per cent of these projects' staff and material costs are reimbursed, plus a 7% reimbursement for the overhead on the 90% of those expenses. The difference less the 10% own contribution has to be matched.

Contract research funding (GS3):
– Grants from ministries, local authorities and affiliated institutions that provide compensation in accordance with NWO conditions. This does not include any reimbursement for the overhead;
– Grants from AUF, foundations, ministries, local authorities and funding generated in the commercial exploitation phase that do not or do not completely reimburse overhead;
– Grants from AUF, foundations, ministries and local authorities, and the corporate sector that fully reimburse overhead.

In addition, there is also income from conferences, seminars and contract teaching. This is classified in the UvA accounts as contract research funding but falls outside the scope of the matching issue in the field of research.

Appendix 2: Sample calculation of matching requirement

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

	Costs staff	Costs overhead	Reimbursement staff	Reimbursement overhead	Amount to be matched	Own contribution
NWO	100	40	100		40	0
EUHE/ERC	100	40	100	25	15	0
EUSD	100	40	90	6.3	33.7	10
Providers in accordance with NWO	100	40	100		40	0
Providers not offering full cost coverage	100	40	100	X	40-X	0
Providers offering full cost coverage	100	40	100	40	0	0
Commercial rates	100	40	>=100	>=40	0	0