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Rules for the Management and Use of the Grant Fund, Teaching and Learning Development Fund, Real Estate Fund, IT Development Fund and the Fund of the Implementation Plan of the Strategic Plan

1. GENERAL PROVISIONS

1.1. The Rules for the Management and Use of the Grant Fund, Teaching and Learning Development Fund, Real Estate Fund, IT Development Fund and the Fund of the Implementation Plan of the Strategic Plan (hereinafter referred to as "the Rules") set out the terms and conditions and the procedure for the management and use of the funds listed in clauses 10.4.2, 10.5.2, 10.6.2, 10.10 and 10.19 of the Financial Regulations of Tallinn University of Technology (hereinafter referred to as "the university"). The annual amounts of the funds shall be decided in accordance with the Financial Regulations during the preparation of the budget.

1.2. The main goal of the Rules is to enhance transparency and provide legal clarity in intra-university funding. To achieve the main goal, the eligibility and evaluation criteria are established to clarify the basis on which projects and works are prioritised; the alignment and coherence between funding and implementation of the Strategic Plan 2021-2025 of Tallinn University of Technology, adopted by resolution No 1 of 19 February 2021 of the University Board (hereinafter referred to as "the Strategic Plan"), are monitored; relevant decisions and outcomes are made public and measurability and monitoring is ensured to a reasonable extent.

1.3. The following funds fall within the scope of the Rules:

1.3.1. the grant fund managed by the Vice-Rector for Research is a fund from where research and development grants are financed;

1.3.2. the teaching and learning development fund managed by the Vice-Rector for Academic Affairs is a fund from where projects aimed at improving the quality of teaching and learning, as well as study-related projects carried out under the implementation plan of the Strategic Plan are financed;

1.3.3. the fund for the implementation plan of the Strategic Plan managed by the Rector is a fund from where projects carried out under the implementation plan of the Strategic Plan not funded from the teaching and learning development fund are financed;

1.3.4. the real estate fund managed by the Director for Administration is a fund from where work related to the preservation of the value, development and maintenance of the university's real estate, as well as projects involving changes in real estate management driven by green transformation are funded;

1.3.5. the IT development fund managed by the Director for Administration is a fund from where central IT development projects are financed.

1.4. All projects financed from the funds governed by the Rules shall comply with the agreed quality and project management principles and the Quality Concept of Tallinn University of Technology approved by Rector's directive No 23 of 22 June 2021.

1.5. All the financing principles of the funds governed by the Rules, the requirements for applying from the funds and the amounts paid from the funds, along with the grant recipients, shall be published on the university's intranet.

2. THE GRANT FUND – THE RESEARCH GRANT FOR YOUNG SCIENTISTS

2.1. The aim of the research grant is to improve the competitiveness of young scientists, mitigate the risks associated with applying for competitive research funding, promote the development of independence and raising of the next generation of young scientists. The funded activities must be completed within 18 months of the calendar month in which the grant is received.

2.2. The prerequisites for awarding the research grant are as follows:

2.2.1. In the university's document management system, a project application has been submitted in accordance with the internal regulations in force at the university to obtain competitive funding from sources outside the university; the content of the application is research and development, and the application has not been funded. Tenders submitted in a procurement procedure, as defined by the public procurement legislation of Estonia or any other country, are not considered to be competitive funding in the sense described above. If the terms and conditions of a non-university funding source specify a threshold or other criteria for evaluation that must be met to be eligible for funding, the project application must exceed the threshold.

2.2.2. At the time of submission of the project application, the principal investigator must be a young scientist, i.e. no more than 10 years has elapsed since he/she obtained his doctorate (as indicated by the date of the diploma) (for the purposes of the Rules "principal investigator" means a researcher who is either explicitly designated as principal investigator of the project concerned or, if different terminology is used, the person applying for and primarily responsible for the use of funding, regardless of the designation);

2.2.3. The principal investigator must have a valid employment contract with the university, hold an academic position, and must not be a tenured professor;

2.2.4. The amount of funding applied for (or grant applied to the university jointly by multiple applicants) must be at least 80,000 euros;

2.2.5. The principal investigator must not be a recipient of a development grant during a period that coincides in any part with the period when he/she receives the research grant for young scientists.

2.3. The call for applications for the research grants of the grant fund opens on 1 January every calendar year. The amount of the research grant is 55,000 euros per grant recipient, of which 10% (5,500) is allocated to the recipient's department as overheads. A financing source is opened for a recipient of the grant and the grant recipient is the authorising officer of the financing source.

2.4. Research grants are awarded without a competition, based on the eligibility criteria, on an ongoing basis, in the order in which the Research Administration Office receives the evaluation results, until the total amount allocated to the fund for the relevant financial year is reached. Within 10 working days of receiving verification that the eligibility criteria are met, the eligible researcher is made a research grant offer, the acceptance of which must be confirmed within 21 working days. The principal investigator may waive the offer in justified cases. If the applications eligible for support in the financial year exceed the amount of the fund, the applications not supported due to exceeding the amount of the fund shall be processed with priority in the following financial year, provided that the allocations to the previous' year's applications do not exceed 1/3 of the amount of the fund in the relevant financial year.

2.5. A researcher is entitled to receive a research grant up to a total of three times, with each subsequent grant being based on a negative funding decision that is at least 12 months later than the date of the previous such decision.

2.6. In justified cases, the Vice-Rector for Research has the right to waive the award of the research grant or terminate its payment after the grant has been awarded. If payment of the research grant is terminated after it has been awarded, the full or partial recovery of the grant amount may be requested. The decisions outlined in this subsection must be approved by the Rector.

2.7. The research grant is intended to be used for research and development or other activities that are related and necessary for the successful submission of an application for competitive funding based on the scientist's research. The research grant need not be used for activities included in the non-funded application on the basis of which the research grant was awarded. Activities funded by the grant must comply with all applicable legislation, including the university's legislation.

2.8. The grant recipient shall undergo counselling organised by the Research Administration Office. The content and form of counselling shall be decided by the Research Administration Office.

2.9. If the grant recipient's employment contract expires before one year has elapsed from the receipt of the research grant, the need to repay the proportionate unused amount will be assessed. The Research Administration Office shall decide on the content and form of the assessment.

3. THE GRANT FUND – THE DEVELOPMENT GRANT

3.1. The purpose of the development grant is to finance the development and testing of the university's existing or future intellectual property, as well as the evaluation of its commercial potential and commercialization.

3.2. The development grant is used to finance the activities and costs directly associated with advancing an intellectual property commercialization concept to a higher technology readiness level (TRL). The development grant may be used in particular to cover the following costs: consultations, analyses, tests (incl. *Proof of Concept)*, purchase of test supplies, purchase of components required for creating or developing a prototype, marketing, staff and travel costs.

3.3. The amount of the development grant is 100,000 euros.

3.4. Applying

3.4.1. The development grant is awarded based on the submitted applications. A member of the university staff has the right to submit an application.

3.4.2. The application shall be submitted for the commercialization of the research results of the university. The application must include:

3.4.2.1. the technological advantage over alternatives;

3.4.2.2. the commercial potential of the technology (market volume, potential customers);

3.4.2.3. an analysis of the different potential commercialisation options (licence agreement, establishment of a spin-off company, business cooperation and benefits for the university);

3.4.2.4. the amount, schedule and purpose of the required funding.

3.4.3. The application forms are available on the university's intranet.

3.4.4. The approval of the head of the department concerned or dean must be obtained for applying.

3.5. Evaluation

3.5.1. The evaluation includes assessing the technological advantage over alternative technologies, the commercial potential, the commercialization possibilities, and the appropriateness of the amount, schedule, and purpose of the desired funding.

3.5.2. The substantive evaluation of applications for the development grant shall be carried out by the evaluation committee established by the Vice-Rector for Research.

3.6. Using the grant

3.6.1. Once the Vice-Rector for Research has made a decision to award the development grant, the grant shall be allocated as a lump sum payment to the financing source created for that purpose or paid based on the invoices submitted.

3.6.2. The financial costs incurred must comply with the project goals and the submitted budget.

3.7. The recipient of the development grant shall submit a summary of the grant's performance to the Technology Transfer Office, based on the schedule set out in the application and approved by the evaluation committee.

3.8. The Technology Transfer Office coordinates the activities related to the development grants (the programme), provides advice to the applicants and accepts applications.

3.9. The Vice-Rector for Research is entitled to delegate his/her powers specified in this chapter to the Vice-Rector for Entrepreneurship or the Head of the Technology Transfer Office.

4. THE TEACHING AND LEARNING DEVELOPMENT FUND

4.1. The aim of the teaching and learning development fund is to support the enhancement of teaching and learning, as well as the implementation of teaching and learning development projects in accordance with the implementation plan of the Strategic Plan 2021-2025 of Tallinn University of Technology.

4.2. The teaching and learning development fund is divided into three separate funds:

4.2.1. the fund for projects in the fields of study laid down in the implementation plan of the Strategic Plan;

4.2.2. the fund for projects initiated by the Vice-Rector for Academic Affairs;

4.2.3. the fund for projects for the development of teaching and learning at the Schools.

4.3. the fund for projects initiated by the Vice-Rector for Academic Affairs is divided into three sub-funds:

4.3.1. the sub-fund for promoting cooperation between EuroTeQ universities;

4.3.2. the sub-fund for promoting the development of study activities of the academic stuff;

4.3.3. the sub-fund for promoting the development of a field of study.

4.4. The aim of the fund for projects in the fields of study outlined in the implementation plan of the Strategic Plan is to support the achievement of the objectives and activities set out in the implementation plan in these fields. The use of the funds for projects in the fields of study laid down in the implementation plan of the Strategic Plan shall be decided by the Vice-Rector for Academic Affairs based on the budget, the allocations of which are not application-based. Information about this is published on the university's intranet.

4.5. The aim of the sub-fund for promoting cooperation between EuroTeQ universities is to support international cooperation carried out in the framework of the EuroTeQ and the target group is the members of the university. The sub-fund is used to finance staff costs (mostly additional remuneration) and the costs of various rather small-scale acquisitions of supplies and equipment, seminars and secondments.

4.6. The aim of the sub-fund for promoting the development of study activities of the academic stuff is to support teaching development activities and pedagogical self-improvement of the academic staff at the university, thereby improving the quality of teaching. The target group of the fund is academic staff who conduct studies. The amount of one grant is up to 2,500 euros, the maximum duration of a project is 12 months.

4.6.1. The Vice-Rector for Academic Affairs assesses the eligibility of the applications received for funding from the sub-fund for promoting the development of study activities of the academic stuff based on the following:

4.6.1.1. the head of the department has granted the applicant his/her consent;

4.6.1.2. the content of the project application shall include study development activities, pedagogical self-development, and/or research and development of science-based teaching that align with the objectives of the university's Strategic Plan;

4.6.1.3. priority is given to activities that are not already funded from a non-university source;

4.6.1.4. the goal, relevance, expected results and the target group of the project shall be described in the application;

4.6.1.5. a project shall have an initial budget which aligns with the project's objectives, expected results and schedule;

4.6.1.6. an application shall contain information on how the project's results are to be disseminated.

4.7. The aim of the sub-fund for promoting the development of a field of study is to foster the development of a field of study and to boost its performance in a/the strategic area(s) established by the Vice-Rector for Academic Affairs for each academic year. The target group is academic staff; students and partners from outside the university can also participate in a project team. The amount of one grant is to 1,250 euros. The application round takes place once a year. [entry into force 01.01.2025]

4.7.1. The Vice-Rector for Academic Affairs assesses the eligibility of the applications received for funding from the sub-fund for promoting the development of a field of study based on the following:

4.7.1.1. the head of the department has granted the applicant his/her consent;

4.7.1.2. the project shall contribute directly to the achievement of the objectives of a strategic area;

4.7.1.3. [repealed- entry into force 01.01.2025]

4.7.1.4. priority is given to activities that are not already funded from a non-university source;

4.7.1.5. the size of the target group (number of participating students) and the relevance of the project shall be described in the application;

4.7.1.6. a project application shall contain objectives, results and success criteria that have measurable targets and deadlines;[entry into force 01.01.2025]

4.7.1.7. [repealed- entry into force 01.01.2025]

4.7.1.8. [repealed- entry into force 01.01.2025]

4.8. The aim of the fund for projects for the development of teaching and learning of the Schools is to support the development of teaching and learning at Schools and the creation of a learning-centered and research-based learning environment. The amount of a School's project grant is determined by the Vice-Rector for Academic Affairs, the duration of a project is 12 months. The application round takes place once a year. The Vice-Rector for Academic Affairs has the right to establish a priority topic for an application round and agree with the School on the expected results of the project.

4.8.1. The Vice-Rector for Academic Affairs assesses the eligibility of the applications received for funding from the sub-fund for the development of teaching and learning at the Schools based on the following:

4.8.1.1. the dean and the head of the department have granted the applicant their consent. If the applicant is the head of a department, the dean's consent is required. [entry into force 01.01.2025]

4.8.1.2. projects promoting cooperation between academic units and study programmes are preferred;

4.8.1.3. [repealed- entry into force 01.01.2025]

4.8.1.4. the size of the target group (number of participating students) shall be indicated in the application;

4.8.1.5. the relevance of the project shall be described in the application;

4.8.1.6. a project application shall contain objectives, results, interim results and success criteria that have measurable targets and deadlines;

4.8.1.7. a project shall have an initial budget, which aligns with the project's objectives, expected results and schedule;

4.8.1.8. an application shall contain information on how the project's results are to be disseminated.

4.9. The substantive evaluation of applications received for funding from the sub-fund for promoting the development of study activities of the academic stuff, sub-fund for promoting the development of a field of study and the fund for projects for the development of teaching and learning of a Schools is carried out by the Vice-Rector for Academic Affairs, as a rule after having heard the opinion of the Committee for Academic Affairs. The Vice-Rector for Academic Affairs and the Committee for Academic Affairs shall make decisions based on the following:

4.9.1. upon evaluation of an application, the following factors shall be taken into account: cooperation in the field of study, feasibility and risks of the activities set out in the application and the potential positive impact, sustainability, deadlines and budget of the activities set out in the application, as well as the importance of the support and the need for additional support, the applicant's previous activities in the development of studies and the competence to implement the proposed activities;

4.9.2. when evaluating an application, additional materials may be requested from the applicant in justified cases;

4.9.3. applications that do not meet the objectives of the fund are not evaluated even if there are sufficient resources in the fund to approve the application.

4.10. As a result of the substantive evaluation of applications for funding from the funds referred to in clause 4.9 and taking into account the opinion of the Committee for Academic Affairs, the Vice-Rector for Academic Affairs shall determine which applications will receive funding and shall approve the funding decisions by an order. The relevant information is published on the university's intranet.

4.11. In justified cases, the Vice-Rector for Academic Affairs has the right to waive the award of the support or terminate its payment after the support has been awarded.

4.12. As a rule, separate financing source is created for the recipient of support for using the support.

4.13. The Vice-Rector for Academic Affairs has the right to establish limits to Schools for awarding support with the approval of the Committee for Academic Affairs.

4.14. Subject to available funding, the Vice-Rector for Academic Affairs may also announce additional application rounds in a simplified format.

4.15. If there is a surplus of the teaching and learning development fund, the Vice-Rector for Academic Affairs decides on the use of the surplus funds. The progress of the projects financed from the funds

specified in this chapter shall be monitored by the persons appointed by the Vice-Rector for Academic Affairs.

5. THE REAL ESTATE FUND

5.1. The aim of the real estate fund is to ensure the preservation of the value of the real estate owned by the university, to develop its sustainable management and foster green transition and to create the necessary environment for studies and research.

5.2. The real estate fund covers the activities and improvements relating to real estate and its use. The real estate fund does not cover the staff costs or the operating costs of the units, except for project management expenses associated with large-scale projects indicated in the budgetary strategy. [entry into force 01.01.2025]

5.3. The real estate fund is managed by the Real Estate Office.

5.4. The heads of structural units and the heads of the divisions of the Real Estate Office submit proposals for improvement projects and work.

5.4.1. The proposals shall be submitted through the university's Help Center managed by the Real Estate Office. Proposals may also be submitted by e-mail to the Director for Administration and the Real Estate Development Director.

5.4.2. The proposals shall be entered in the register of real estate development and improvement works managed by the Real Estate Office.

5.4.3. The Real Estate Office prioritizes the work in the register based on how time-critical the works are, their risk level, and financial cost, and coordinates the order of performance of the work with the units who submitted the proposals.

5.4.4. The Real Estate Office carries out planning and budgeting of the work in accordance with the agreed order and informs the unit about the budget.

5.4.5. If the Real Estate Office decides to perform the work based on the budget and schedule, the Real Estate Office shall start the work and initiate procurements as agreed.

5.5. The Director for Administration shall give the Rector an overview of the activities financed by the real estate fund at least twice a financial year.

6. THE IT-DEVELOPMENT FUND

6.1. The aim of the IT development fund is to support the digitalization of business processes in line with the goals of the university's Strategic Plan, to ensure the development of the university's central information systems and to keep the information systems used up-to-date, to ensure that modular architecture is used for information systems and the information systems are developed bearing in mind the interfacing possibilities. The overarching principles are to offer a unified user experience across different information systems, to be cost-effective in creating new solutions, and to ensure security and accessibility.

6.2. The IT development fund is used to finance the development work of external procurement partners and the acquisition of related software or hardware. The fund shall not cover the staff costs and operating costs (e.g. maintenance of information systems) of the units (incl. the IT Services Office).

6.3. In order to apply for funding from the IT development fund, the process managers of the support units, together with the business project managers, shall prepare development orders and terms of reference for the applications in their area of responsibility.

6.4. IT development orders (incl. small-scale IT developments and IT development projects as defined in the "Rules for Information Technology Development Work" approved by Rector's directive No 29 of 25 August 2021), for which proper terms of reference have been prepared and which have been approved by the IT development manager, are eligible for funding. The requirements for IT development orders and the terms of reference are laid down in the Rules for Information Technology Development Work.

6.5. The evaluation is carried out based on priority, feasibility and timeframe. The IT development manager collects all IT development orders and, together with the process managers, reviews the priorities, feasibility, timeframe and estimated cost of the orders. Adjustments are made if necessary.

6.6. The IT development manager prepares a budget proposal and submits it to the IT development steering group (heads of administrative and support units). The IT development steering group shall submit the budget to the Director for Administration for approval.

6.7. A budget shall be drawn up for each financial year, and the IT development steering group shall review the budgetary outturn twice a year. If necessary, adjustments are proposed.

6.8. The IT project manager responsible for development work is responsible for the use of the financial resources of the IT development fund.

6.9. Business project managers schedule IT development work in cooperation with IT project managers and the IT development manager, taking into account the IT developments already underway and the capacity of the IT development partners to perform the work. The priority, schedule and budget of an IT development order can be changed, if necessary, with the approval of the IT development manager and head of the IT Services Office.

6.10. The IT development steering group monitors the progress and results of IT development orders and IT projects.

6.11. The report on the IT development budget and its implementation is available to the IT development steering group, the Rectorate, the process managers, business and IT project managers.

7. THE FUND FOR THE IMPLEMENTATION PLAN OF THE STRATEGIC PLAN

7.1. The aim of the fund for the implementation plan of the Strategic Plan is to implement the goals set out in the Strategic Plan. The fund is aimed at the structural units of the university to implement the projects related to the implementation plan of the Strategic Plan approved by the Rector's directive.

7.2. To apply, an approved proposal shall be submitted in the Help Center. The application rounds take place at least once a year.

7.3. The Rectorate Strategy Office shall verify compliance of the project applications with the eligibility criteria based on the following eligibility criteria:

7.3.1. a properly prepared proposal has been submitted;

7.3.2. the content of the project must be in line with the university's Strategic Plan (including the strategic areas and goals);

7.3.3. the project must have a direct impact on the achievement of the targets of the key indicators of the Strategic Plan and the metrics of the implementation plan;

7.3.4. the objectives, results, interim results and success criteria shall have measurable targets and deadlines;

7.3.5. the project must have a team and the persons responsible must be clearly defined;

7.3.6. the project's budget must align with the project's objectives, expected results and schedule.

7.4. The substantive evaluation of development projects shall be carried out by the Rectorate in accordance with the application and evaluation procedure laid down in the document "Implementation of the Strategic Plan of Tallinn University of Technology 2021– 2025"approved by Rector's directive No 26 of 30 June 2021 based on the following evaluation criteria:

7.4.1. priority of the project;

7.4.2. the strategic relevance of the project;

7.4.3. the impact and scope of the project;

7.4.4. how well the project's preparation and planning has been considered.

7.5. As a result of the evaluation, the Rector may decide that:

7.5.1. the project will be funded fully;

7.5.2. the project will be funded conditionally:

7.5.3. the project will be funded partially;

7.5.4. the project requires further analysis for making a decision; or

7.5.5. the project will not be funded.

7.6. A separate financing source is created for a project that receives funding. The project manager is responsible for the implementation of the project. The head of the structural unit shall monitor adherence to the schedule and implementation of the budget and objectives and management of the

risk. The head of the structural unit is obliged to inform the Rectorate Strategy Office about significant factors that hinder the achievement of project objectives and its success or adherence to the schedule (a deviation of 30% or more from the project's budget, implementation of the project's objectives or adherence to the project's schedule is considered significant).

7.7. The project manager shall prepare the required project report (achievement of the objectives, overview of the implementation of the budget, adherence to the schedule) once a year. The project's budget of expenditures must be available during the lifetime of the project when needed.

7.8. The Rectorate Strategy Office monitors the results and success of a project. The committee reviews all the projects once a year and assesses whether they have been implemented in accordance with the objectives, An overview of the projects is available in JIRA.

8. IMPLEMENTING PROVISIONS

8.1. The funds shall be opened after the approval of the annual budget, unless otherwise provided in the Rules.

8.2. If applications shall be submitted on the form provided, the application form shall be available on the intranet. The application form shall be filled out on the intranet.

8.3. If necessary, the authorizing officers may issue further instructions.

8.4. An explanatory memorandum is annexed to the Rules for the Management and Use of the Grant Fund, Teaching and Learning Development Fund, Real Estate Fund, IT Development Fund and the Fund of the Implementation Plan of the Strategic Plan.