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In force from: 01.01.2024

Rules for the Management and Use of the Grant Fund, Teaching 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 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 of Tallinn University of Technology (hereinafter referred to as "the university") listed in clauses 10.4.2,10.5.2, 10.6.2, 10.10 and 10.19 of the Financial Regulations. The annual volumes 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 improve transparency and legal clarity in intra-university funding. To achieve the main goal, the eligibility and evaluation criteria are laid down so that it would be clear on what basis projects and works are prioritised; targeting and coherence between funding and implementation of the Strategic Plan 2021-2025 of Tallinn University of Technology adopted by resolution No 1 of 19.02.2021 of the University Board (hereinafter referred to as "the Strategic Plan") are monitored; relevant decisions and results are made public and measurability and monitoring are ensured to the 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 development fund managed by the Vice-Rector for Academic Affairs is a fund from where projects related to the improvement of the quality of teaching and 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 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 and projects related to 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 22.06.2021.

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 together with the beneficiaries shall be published on the university's intranet.

2. THE GRANT FUND – A 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 preconditions for awarding a 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 received funding. Tenders submitted in a procurement procedure within the meaning of public procurement legislation of Estonia or of any other country are not considered to be competitive funding in the above sense. If in the terms and conditions of a non-university funding source a threshold or other criteria are laid down 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 is the young scientist, i.e. not more than 10 years has elapsed since he/she obtained his/her doctorate (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 irrespective of the designation);

2.2.3. The principal investigator shall have a valid employment contract with the university; he/she shall hold an academic position and the principal investigator shall 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 is opened on 1 January every calendar year. The amount of the research grant is 55,000 euros per research grant (i.e., 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 receipt of verification that the eligibility criteria are met, the eligible researcher is made a research grant offer, acceptance of which must be confirmed within 21 working days and which the principal investigator may waive in justified cases. If the applications eligible for support in the financial year exceed the volume of the fund, the applications not supported due to exceeding the volume of the fund shall be processed with priority in the following financial year taking into account that the allocations to the previous' year's applications shall not exceed 1/3 of the volume 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, whereas the date of each negative funding decision on which the following research grant is based shall be 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 a research grant or terminate its payment after the award of the research grant. If payment of a research grant is terminated after its award, recovery of the amount of the grant paid may be requested in whole or in part. The decisions provided for 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 to 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. A 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 part is assessed. The Research Administration Office shall decide on the content and form of the assessment.

3. THE GRANT FUND – A 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 and 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. analysis of the different potential commercialisation options (a 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 or dean of the School concerned 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 an evaluation committee established by the Vice-Rector for Research.

3.6. Using the grant

3.6.1. When the Vice-Rector for Research has decided to award a development grant, the development 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 to the Technology Transfer Office a grant performance review 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 DEVELOPMENT FUND

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

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

4.2.1. the fund for projects in the field of studies 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 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 staff;

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 fields of studies laid down in the implementation plan of the Strategic Plan is to support the implementation of the objectives and activities set out in the implementation plan of the Strategic Plan in the fields of studies. The use of the funds for projects in the fields of studies 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 from 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 the teaching development activities and self-improvement of the academic staff at the university and thereby improve 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 be a teaching development activity, pedagogical self-development and/or research and development of science-based teaching that is consistent 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 is consistent 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 performance in a/the strategic area(s) laid down 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 more detailed objectives and conditions of the application rounds shall be established by an order of the Vice-Rector for Academic Affairs separately for each year. The amount of one grant is up to 15,000 euros, the maximum duration of a project is 12 months. The application round takes place three times a year.

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

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 the objectives, results, interim results and success criteria that have measurable targets and deadlines;

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

4.7.1.8. an application shall contain information on how the project results are to be disseminated.

4.8. The aim of the fund for projects for the development of teaching at the Schools is to support the development of teaching at Schools and the creation of a learning-centred and research-based learning environment. The amount of a project grant for a School is determined by the Vice-Rector for Academic Affairs, the maximum 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 at the Schools based on the following:

4.8.1.1. the dean and, if necessary, also the head of the department, if the applicant is not the dean, have granted the applicant their consent;

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

4.8.1.3. priority is given to projects co-financed by the School;

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 the 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 is consistent with the project's objectives, expected results and schedule;

4.8.1.8. an application shall contain information on how the project 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, the sub-fund for promoting the development of the field of study and the fund for projects for the development of teaching at the 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 shall be taken into account: cooperation in the field of studies, feasibility and risks of the activities set out in the application and the potential positive impact, the 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 field of the development of studies and the competence to implement the 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 support or terminate its payment after the award of the support.

4.12. As a rule, a 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 grant limits to Schools 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 form.

4.15. If there is a surplus of the teaching 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 shall not cover the staff costs or the operating costs of the units.

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 support portal 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 are 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 the time-critical nature of the works, their risk level and financial cost, and coordinates the sequence of the performance of work with the units that submitted the proposals.

5.4.4. The Real Estate Office carries out planning and budgeting of the work in accordance with the agreed sequence 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 during 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 within the meaning of the Rules for Information Technology Development Work" approved by Rector's directive No 29 of 25.08.2021), 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 the IT development orders and together with the process managers reviews the priorities, feasibility, time frame and estimated cost of IT development 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 and, 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 targeted at the structural units of the university in order to implement the projects related to the implementation plan of the Strategic Plan approved by the Rector's directive.

7.2. In order to apply, a proposal shall be submitted in the JIRA environment. 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. the proposal has been submitted correctly;

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. a project must have a team and the persons responsible must be clearly set out;

7.3.6. the project's budget must be consistent 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 30.06.2021 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 risk management. 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 the JIRA environment.

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 must be submitted on the form provided, the application forms 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 Development Fund, Real Estate Fund, IT Development Fund and the Fund of the Implementation Plan of the Strategic Plan.