



## GENERAL CONDITIONS AND GUIDELINES FOR FUNDING 2016–2017

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15 June 2016

These general conditions for funding decisions by the Academy of Finland apply to funding calls implemented between 1 September 2016 and 31 August 2017 and to funding decisions made on the basis of these calls.

Academy Project funding, Academy Programme funding, funding for research posts as and research grants for Academy Professor and Academy Research Fellow, Centre of Excellence funding, funding for clinical researchers, funding for researcher mobility from and to Finland, funding for strategic research, key project funding, funding for research posts as Postdoctoral Researcher, funding for research infrastructures, funding to strengthen university research profiles

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## 1. SCOPE OF APPLICATION

### 1.1 Scope of application of these conditions and guidelines

This document includes both conditions and guidelines for funding decisions by the Academy of Finland. The general conditions and guidelines for using funding granted by the Academy apply to funding calls implemented between 1 September 2016 and 31 August 2017 and to funding decisions made on the basis of such calls. As a rule, the contact person for a funding decision by the Academy is the person who has signed the decision notification. You can also contact the Academy via the Registrar's Office. If any questions arise concerning the accuracy of the information presented in this translated version of the conditions and guidelines, please refer to the official Finnish version. The conditions and guidelines concern the following funding opportunities and funding:

- Academy Project funding
- Academy Programme funding
- funding for research post as Academy Professor
- funding for research costs of Academy Professor
- funding for research post as Academy Research Fellow
- funding for research costs of Academy Research Fellow
- Centre of Excellence funding
- funding for international researcher mobility (from and to Finland) based on bilateral agreements
- funding for clinical researchers
- key project funding
- funding for strategic research
- funding for research post as Postdoctoral Researcher
- funding for research infrastructures
- funding to strengthen university research profiles.

These conditions and guidelines as well as any other conditions mentioned in the Academy's funding decisions and the Finnish Act on Discretionary Government Transfers must be followed in the use, payment and control of funds granted by the Academy. Academy funding is granted for a fixed term. The funding conditions are the same irrespective of whether the case involves a central government organisation or a recipient of discretionary government transfers.

These conditions and guidelines apply to cases where the funding recipient is a research organisation or a grant recipient. They apply to both the principal investigator (PI) and the site of research (i.e. the research organisation). The PI bears the primary responsibility for the implementation of the research as stated in the application and for adherence to the funding plan.

Academy funding cannot be used for economic activity, which is defined as all activity where goods or services are offered on an open market regardless of whether profits are pursued or generated. When an organisation is also engaged in economic activities, separate accounts must be kept of the funding and costs of and the revenue generated by such activities.

The Academy can fund research infrastructures that are used for non-economic activities. If, however, a research infrastructure is also used for economic activity, the activity may only be of an ancillary nature. Ancillary activities are directly associated with and essential to the research infrastructure, or closely affiliated with the infrastructure's non-economic activities. In economic activities, the annual capacity of ancillary activities must not exceed 20% of the infrastructure's annual total capacity. The Academy must be notified as soon as possible if the annual capacity exceeds 20%.

A 'research organisation' refers to an organisation (e.g. higher education institutes, research institutes, technology transfer organisations, innovation intermediaries, and research-oriented physical or virtual collaborative entities), irrespective of its legal status (organised under public or private law) or financing source, whose primary goal is to conduct independent basic research, industrial research or experimental development or to disseminate its results widely by means of education, publication or knowledge transfer. When such an entity is also engaged in economic activities, separate accounts must be kept of the funding and costs of and the revenue generated by such activities. The enterprises exercising a controlling interest in such an entity (as shareholders, members, etc.) may not enjoy any preferential access to the results generated by the entity.

The term 'research infrastructure' refers to facilities, resources and ancillary services that are used by the scientific community to conduct research in their respective fields and that cover major scientific equipment or sets of instruments; knowledge-based resources such as collections, archives or structures for scientific information; enabling ICT-based infrastructures such as grids, computing, software and communication, or any other entity of a unique nature essential to achieve excellence in research. Such infrastructures may be single-sited or distributed (as an organised network of resources).

## 1.2 Receiving and confirming receipt of the funding decision, notifying application for advance payment

Applicants will receive an email message of the funding decision. The email address is the applicants' username for the Academy of Finland's online services. In the online services, applicants can view the decision as well as the conditions and guidelines related to the decision.

The site of research of the PI receives and administers the funding granted by the Academy. Before the funds can be paid, the PI and the site of research (first the PI, then the site of research) must confirm that they will accept the funding. This must be done via the Academy's online services **within six weeks of the decision date, unless otherwise stated in the special conditions of the decision notification**. By their confirmation, the PI and the site of research accept the content of the funding decision in full and commit themselves to following the conditions set for the use of the funds. **Any applications for changes in the annual instalments of the decision (see chapter 3) must be submitted by the PI before receipt of funding is confirmed.**

Commitments by sites of research for Centres of Excellence are submitted using a separate process.

No confirmation of receipt is needed for international researcher mobility grants (from and to Finland) based on bilateral agreements.

Sites of research may notify the Academy of their intention to apply for advance payments on funding granted. The minimum amount for advances paid by the Academy is 10,000 euros. In the notification, the site of research must justify why the funded project needs an advance payment. The notification is submitted in the online services in connection with the site's confirmation of receipt of funding. For more information on advance payments, see section 4.1.

## 2. HOW THE FULL COST MODEL IS APPLIED TO ACADEMY FUNDING

As a rule, full costing applies to all drafting, issuing and executing of Academy of Finland funding decisions. Any exceptions to this principal rule are mentioned separately for each funding opportunity.

Academy research funding is in essence a form of co-funding in which the funds to finance the costs of a project always come from at least two sources. When Academy funding is applied for, universities, research

institutes and other research organisations commit to the co-funded activity by contributing their percentage of the costs.

## 2.1 Funding percentage

Under full costing, the Academy of Finland's funding contribution normally comes to a maximum of 70% of the total costs of a project.

The funding percentage is equally applicable to all project costs, that is, to both direct and indirect costs. Project overheads are indirect costs (see section 5.3.2). The Academy's funding percentage will be the same in each request for payment and for each year through the entire funding period. The Academy's funding percentage is mentioned in the decision notification (table for calculation grounds/funding for the project, under heading Total).

In funding for strategic research, funding to strengthen university research profiles and key project funding, the Academy's funding covers 100% of the total costs of a project. In these funding opportunities, sites of research need not contribute with their own percentage of the funding.

## 2.2 Exceptions

The full cost model does not apply to the cost calculation in salaries for research posts as Academy Professor and Academy Research Fellow. In these cases, the Academy of Finland uses the additional cost model and an overheads percentage of 12.5%. However, if the research post holder has been granted funding for research costs associated with the post, that funding does come under the full cost model.

Likewise, the full cost model does not apply to grants for international researcher mobility (from and to Finland) based on bilateral agreements nor to continuation and additional funding related to decisions made under the additional cost model.

Deviations from the full cost model are also possible in co-funded international calls in which the funding agencies have jointly decided on the principles for the funding and financial administration of projects.

## 3. DEVIATING FROM THE FUNDING PLAN

In addition to the total amount of funding, the Academy of Finland's funding decision may also specify the annual instalments and types of expenditure for the project. If the funding granted by the Academy is less than what was applied for, it means that the Academy has scaled down both its own funding contribution and the contribution of the site of research proportionally.

### 3.1 Applying for changes in annual instalments

The annual deviation from the indicated annual instalments can be no more than 15%.

The types of expenditure specified in the decision's cost estimate are indicative; deviation from them is allowed only if it supports the implementation of the proposed research plan. In the case of major deviations, applicants are advised to email the official at the Academy of Finland who signed the decision notification, the person responsible for the project's administration or the Academy's Registrar's Office. The Academy will confirm receipt of such information by email.

If the PI of a project cannot commit to the annual instalments specified in the Academy's funding decision (taking into account the possible 15% deviation), they must submit a proposal to the Academy on new instalments. The appeal is submitted via the Academy's online services under *My applications > Decided >*

*Make an appeal > Change cost estimate.* The appeal must include justifications for the requested change and a new cost estimate for the project. The proposed change must not exceed the Academy's total funding granted for the project. Cost estimate appeals must be submitted **within six weeks of the decision**, unless otherwise stated in the special conditions of the decision.

It is not possible to apply for changes in annual instalments in the case of key project funding.

For more detailed instructions, please see Appendix 1.

### **3.2 Applying for changes in funding proportions of consortium subprojects**

In certain funding opportunities, (Centre of Excellence funding, Academy Programme funding, funding for research infrastructures and funding programmes by the Strategic Research Council) it is possible to apply for changes in the funding plans of consortium subprojects while the consortium project is ongoing.

The proposed change cannot exceed the total funding amount granted by the Academy of Finland for the project, that is, the consortium's total funding must not change.

For more detailed instructions, please see Appendix 1.

## **4. PAYMENT OF FUNDS**

Before Academy of Finland funds can be paid, the PI and the site of research must confirm that they will receive the funding (see section 1.2). The Academy's payment procedure is based on invoicing and applies to all sites of research that receive Academy funding. The site of research is responsible for requesting advance payments and for submitting requests for payment. The financial administration must follow the principles of good governance. The Academy accepts requests for advances and requests for payment as e-invoices. The requests can also be submitted via the online services.

### **4.1 Advance payments**

In accordance with section 12 of the Finnish Act on Discretionary Government Transfers, an advance may be paid if this is justified by the use of the transfer and expedient with regard to the supervision of its use. Advance payments are justified in cases where the start-up or implementation of the project or activity in question, according to the schedule and scope referred to in the decision, requires that the recipient receives funding from a state aid authority.

Finnish universities and polytechnics can request advances from the Academy of Finland. The requests must be submitted in writing and include project-specific justifications. The Academy does not pay advances to business companies. The one-off advance accounts for 10% of the Academy's funding contribution. The minimum amount for advances paid by the Academy is 10 000 euros. Advances are not paid on mobility grants, research infrastructure funding and funding to strengthen university research profiles.

Advances can be applied for on reasonable grounds and they are always paid in the year when the project starts. For projects that have started at the beginning of the year, advances for the period 1 January–31 December can be applied for no later than 20 February. For projects that have started in the middle of the year, advances can be applied for no later than 20 November. When applying for advance payments in the middle of the year, the start dates for the payment and the funding period must be the same. For example, if the project starts on 1 April, the request for advance payment must be for the period from 1 April to 31 December.

The advances for projects nearing completion must be returned to the Academy before the last request for payment. This is done by delivering the advance refund invoice to the Academy or by entering the paid advance as income for the project in the accounting report. We recommend that advances be settled in the accounting report when the project ends. The period of the refund must be the same as the period of the original request for advance payment. In the online services, select the advance refund invoice as the invoice type.

#### **4.2 Requests for payment**

Research projects submit payment requests to the Academy of Finland in four-month periods: January–April, May–August and September–December. The requests are submitted as e-invoices or via the online services no later than 20 May, 20 September and 20 January (or the next workday), respectively. The Academy's funding percentage will be the same in each request for payment and for each year through the entire funding period.

The coefficient for indirect employee costs and the overheads percentage approved in the funding decision are applied by the site of research for the duration of the funding period. An overheads percentage of 12.5% is applied to funding decisions made under the additional cost model.

The Academy requests the total outturn data from the start of projects funded under the full cost model and the outturn data for the period in question for each type of expenditure. The corresponding figures must also be given on the Academy's funding contribution. The percentage indicating the Academy's funding contribution in the decision is used as a calculation ground for the Academy's funding contribution. Reporting on hours worked forms part of the request for payment.

The basis for the reporting done in connection with payment requests is derived from work time monitoring and project accounting based on business accounting. In addition, the calculated overheads and indirect employee costs to be entered for the projects are derived from the cost calculation of the organisation in question. The site of research will commit to annually submitting to the Academy Registrar's Office separate reports on the calculated cost items based on the site's (i.e. the research organisation's) accounting. The reports must include details on the percentages for indirect employee costs and overheads as well as on the coefficient for effective working hours.

If the funding recipient is unable to reliably calculate or otherwise provide a coefficient derived from accounting, the Academy can accept a coefficient for indirect employee costs that is a maximum of 50% of the salaries for the project's effective working hours.

If the funding recipient is unable to reliably calculate or otherwise provide a coefficient derived from accounting, the Academy can accept an overheads percentage that is a maximum of 20% of the salaries and indirect employee costs for the project's effective working hours.

#### **4.3 Submitting payment requests in the online services**

Submitting payment requests as e-invoices from the invoicing system of the site of research is a viable method only for mass submissions for organisations with, for example, more than ten Academy-funded projects.

The Academy's online services can also be used to draft a single e-invoice with an accounting report and a specification of full-time equivalents. This method is best suited to organisations with 1–5 Academy-funded projects, for instance. Log in to the online services at [www.aka.fi/en](http://www.aka.fi/en) > Funding > How to apply > Online services (log in and go to *Payments*). The Registrar's Office can grant invoicing rights to sites of research upon request. Sites of research that have not previously received Academy funding should contact the Academy's Finance Unit for more information.



## 5. USE OF FUNDING

### 5.1 General principles

Academy of Finland research funding may only be used for the purpose specified in the funding decision. Any conditions set in the funding decision by the Academy must be adhered to.

Academy funding is granted as a total sum that must not be exceeded. The funding can be used only for costs that have incurred during the funding period. The PI and the site of research undertake to see to that the funds are used in compliance with the funding decision, with these general conditions and guidelines as well as with other regulations and provisions (see section 14).

If an Academy-funded research organisation or research infrastructure is also engaged in economic activities, separate accounts must be kept of the funding and costs of and the revenue generated by such activities. The Academy must be notified as soon as possible if the annual capacity of the economic (i.e. ancillary) activity exceeds 20%.

In the case of Academy funding for Centres of Excellence, research infrastructures and strategic research, the funding can – on certain conditions – be transferred to be administered at another site of research. The PI's site of research is the funding recipient. The funding can be transferred to sites that are mentioned in the original application, unless the Academy's decision says otherwise. By virtue of section 7 of the Finnish Act on Discretionary Government Transfers, the PI's site of research is obliged to conclude a contract for the use of the transfer, the control of the use and the terms with the other sites of research receiving Academy funding. The PI's site of research is required to assume full responsibility for the use of funding, even if funds have been transferred to be used at other sites.

### 5.2 Basic facilities of a project

The Academy of Finland will fund a research project only if the site of research undertakes to provide the project with the necessary basic facilities. Though determined based on the nature of the research, they are usually the same as those available to other research staff at the institution: office and laboratory premises, equipment (incl. computer equipment) and telecommunications, telephone, mailing, copying and library services.

### 5.3 Eligible project costs

Academy funding can be used to cover both direct costs (e.g. salaries) and indirect costs (e.g. rents for premises) of a research project. All costs are covered with the same funding percentage, as specified in the funding decision. Research projects are found in the following Academy funding opportunities: Academy Project funding, targeted Academy Project funding, Academy Programme funding, funding for Centres of Excellence, key project funding, funding for strategic research, funding for research posts and funding to strengthen university research profiles. See below for guidelines concerning salary funding in research posts.

Research grants awarded by the Academy can be used within the limits of the research plan or action plan (in the case of funding to strengthen university research profiles) to cover the following costs:

- salaries, fees and indirect employee costs (see section 5.3.1)
- overheads (see section 5.3.2)
- travels
- mobility by researchers working on the project (see 5.3.4)

- collaboration in Finland and abroad
- purchases of services
- implementing the interaction plan (projects funded by the Strategic Research Council)
- preparation of international projects
- research collaboration meetings
- equipment
- publishing, especially open access publishing using the golden route
- foreign scientists' research visits to or research in Finland (see section 5.3.4).

If the Academy requires an auditor's report on the project, the auditing costs may be accepted as project costs, even if they arise after the funding period has ended.

Value added tax is also paid out of Academy research grants, provided that the VAT remains to be paid by the funding recipient and the recipient is not entitled to deduct VAT costs in its accounting. If the VAT does not remain as a final cost for the organisation, it cannot be included in the costs of an Academy-funded project. The funding recipient must not be overcompensated by the payment of costs that will not remain as its final costs.

### **5.3.1 Indirect employee costs**

Indirect employee costs are allocated to a project with a dedicated coefficient. As a rule, the coefficient is a percentage of the direct salaries allocated to the project. Costs that are covered with this coefficient include at least the following:

- salaries arising from paid absences
- holiday bonuses
- social security contributions
- pension contributions
- accident and unemployment contributions
- other similar employer contributions and returns on these.

The coefficient for indirect employee costs may also cover other personnel costs (e.g. occupational healthcare), if they have not been included in the overheads.

### **5.3.2 Overheads**

The term 'overheads' refers to project costs that are not allocated to a project directly but indirectly, using specific allocation grounds of the site of research in line with the matching principle. The division of project costs into direct and indirect costs must follow the principles normally applied by the site of research.

The overheads are allocated to the project with a dedicated coefficient. As a rule, the coefficient is a percentage of the total sum of indirect employee costs and salaries for effective working hours within the project.

Costs that are covered with the coefficient for overheads include costs arising from administrative services, eligible depreciations from machines and equipment, and costs for premises (if not treated as direct costs according to the organisation's general calculation principles).

### **5.3.3 Effective working hours**

The term 'effective working hours' refers to the number of hours worked allocated to a specific cost item, excluding paid or other absences. The proportion of a person's salary corresponding to that person's effective working hours on a project is eligible as a direct project cost. In the Academy's budget model, the

coefficient for effective working hours is 1.0, whereby the hours worked are budgeted only as months corresponding to effective working hours.

#### **5.3.4 Costs of researcher mobility**

The Academy's funding decisions (incl. decisions on funding for research posts) can include mobility allowances. This is mentioned in the decision under "Other costs". The recommended amounts are as follows:

- a researcher without dependants: 1,050 euros/month
- a researcher with dependants: 1,500 euros/month.

The funding can also be used to cover costs of accompanying family members, provided that the mobility lasts at least six months and the researcher has received mobility funding.

The mobility allowance can be used to cover the extra costs of a researcher's work abroad. Since the allowance is paid following the practices of the site of research, the funding recipient must consult the site's personnel and financial administration. Indirect employee costs will be deducted from the mobility allowance if the site of research pays it as a taxable benefit.

If the site of research decides to pay the mobility allowance as a grant, it must first consult the tax administration concerning any tax consequences possibly arising from the payment of the grant. The Academy is not liable for any tax consequences arising thereof. Both the grant recipient and the awarding organisation are obliged to immediately notify the Farmers' Social Insurance Institution Mela (see [www.mela.fi/en](http://www.mela.fi/en)) of the grant. Grant recipients are also obliged to take out statutory insurance.

#### **5.3.5 Costs of foreign scientists' research visits to or research in Finland**

The recommended grant (incl. compensation for accommodation) paid for non-EU-based foreign scientists' short-term research visits to Finland is 80–186 euros/day (includes a personal grant of €39 and a maximum compensation for accommodation of €147).

Grants can be awarded to non-EU researchers for a maximum of one year's research spell in Finland. For visits longer than one month, the recommended grant sums (incl. compensation for accommodation) are:

- master's degree or equivalent level: €1,600–1,800/month
- PhD or equivalent level: €1,800–2,500/month
- professor: €2,500–4,100/month.

A particularly outstanding visiting professor may be awarded a larger grant than indicated above.

The grant sums take into account the grantee's obligation to take out pension, accident and life insurance.

#### **5.4 Funding for international researcher mobility based on bilateral agreements**

The Academy of Finland's grants for mobility from and to Finland are based on the Academy's bilateral agreements. The grants can be used for work abroad, researcher training and work by foreign researchers in Finland.

Full costing does not apply to mobility grants awarded by the Academy. Such grants can only be used for the purpose specified in the funding decision.

In mobility to Finland and DAAD (Deutscher Akademischer Austausch Dienst) co-funding, the funding is paid to the sites of research based on the request for payment submitted to the Academy of Finland.

The grant awarded for mobility from Finland includes a monthly grant paid to the researcher. The grant may also include funding for travel costs. The travel costs of accompanying family members may be included in the funding decision, provided that such costs have been included in the application and the researcher and his or her family stay abroad for at least six months. Grants do not include funding for settling-in costs.

Payment of grants for mobility from Finland is requested with the Academy's payment request form, available at [www.aka.fi/en](http://www.aka.fi/en) > Funding > How to use the funding > Forms (Payment request: private persons).

The signed request must be mailed to Academy's Registrar's Office one month before the first payment date. The Academy pays mobility grants into the recipient's Finnish bank account on the 15th of each month. The start date (the 15th day of the month) for the payment of the monthly instalments must be indicated in the request for payment, as must the recipient's personal identity code and Finnish bank account number (IBAN).

Mobility grants awarded by the Academy based on bilateral agreements are normally tax-exempt. Both the grant recipient and the awarding organisation are obliged to notify the Farmers' Social Insurance Institution Mela (see [www.mela.fi/en](http://www.mela.fi/en)) of the grant. Grant recipients are obliged to take out statutory insurance. In addition, they must check the visa requirements of their target country and apply for a visa, if necessary.

### 5.5 Funding for clinical researchers

The applicant is a medical doctor with a doctoral degree working in clinical practice or some other healthcare professional with a doctoral degree engaged in clinical practice. The Academy of Finland's funding for clinical researchers is not intended for full-time university researchers. The funding is granted towards salary costs to support **part-time research** (20–50% of working hours) by clinical researchers. The researcher and the site of research must agree the salary in accordance with the pay system at the site of research.

In addition to salary costs, the Academy may also provide funding for research costs. The Academy's contribution to funding for a project promoting a clinical research career comes to no more than 70% of the total project costs.

### 5.6 SRC matching funds for Horizon 2020

The Strategic Research Council (SRC) at the Academy of Finland grants national matching funds to projects that have received funding under the Societal Challenges priority of Horizon 2020, the EU the Framework Programme for Research and Innovation. SRC matching funds can be applied for to compensate for funding shortfalls. Here, shortfall refers to the difference between the overheads percentage calculated using the Finnish full cost model and the indirect costs reimbursement calculated using the Horizon 2020 model. The matching funds are granted according to a reimbursement rate decided by the SRC. The minimum amount to be applied for is 10 000 euros. The funding is allocated to the site of research – not the project – to cover indirect costs (overheads).

The funding cannot be used for economic activity (see section 1.1). The funding is subject to an audit obligation. The recipient of matching funds must be prepared to, if necessary, show that the funds will not be allocated to any part of indirect costs funded by the EU Commission.

### 5.7 Key project funding

The Academy of Finland's key project funding is granted to support utilisation of research emerging from ongoing projects funded by the Academy or an equivalent foreign or international public funding agency.

Another goal of the funding scheme is to support experimentation, pilot projects, international and cross-organisational researcher mobility as well as researchers' work in organisations that utilise research results (see also 5.3).

The funding cannot be used for economic activity (see section 1.1). The results of the funded projects must be made public upon completion of the project and the funding recipient must make sure that the results are disseminated actively and widely according to nondiscriminatory policy.

Staff hired with Academy of Finland research grants must be in an employment relationship to the Finnish site of research during the course of the work supported under the key project funding scheme.

The funding cannot be used to fund consortia. The funding is granted to researchers employed by Finnish (research) organisations during the course of the work supported under the key project funding scheme. In this funding scheme, the Academy's funding contribution comes to 100%. The funding is granted under the full cost model, but host organisations need not contribute to the costs with their own percentage.

## 6. HIRING STAFF

Staff hired with Academy of Finland research grants must be in an employment relationship to the site of research. We recommend that they be hired for a period of employment no shorter than the funding period, unless a shorter contract is necessary for special reasons dictated by the implementation of the research plan or action plan (in the case of funding to strengthen university research profiles).

The collective agreements in force at the site of research and other regulations concerning the employment relationship conditions must be observed in the hiring and other employment relationship conditions of any staff hired with Academy funding.

### 6.1 Funding for research posts as Academy Professor and Academy Research Fellow

Academy of Finland funding for a research post as Academy Professor or Academy Research Fellow must be used by the site of research to fill the post in question. The site of research must hire the Academy Professor or Academy Research Fellow at least for the funding period.

The cost calculation of the salaries follows the additional cost model. In decisions following the additional cost model, the overheads percentage, calculated on top of other costs, is 14.29%, in which case the decisions include an overheads percentage of 12.5%.

The funding decisions include indirect employee costs to the tune of 28%. The Academy will not be liable for any expenditure specific to the employer. The employer must, however, see to that the salary does not fall behind the general salary development at the site of research.

The research posts as Academy Professor and Academy Research Fellow are intended only for full-time research work and related tasks. The duties include teaching in the researcher's own field of research. However, any other tasks not directly related to the researcher's own research must not impede the actual research work. The duties include (without separate compensation) supervision of thesis and dissertation writers and teaching associated with the research, covering 5% of annual working hours. In all, no more than 10% of the annual working hours may be spent on teaching and other work not immediately associated with the researcher's own research.

The salary of an Academy Professor may also be co-funded. This requires that the externally funded salary part has been allocated to research tasks (e.g. ERC Advanced Grant). The Academy's funding that is freed as a result of this co-funding can be used for the project's other research costs following the additional cost

model. This practice may be applied retroactively to previous funding decisions concerning the Academy Professor research post.

The salary of an Academy Research Fellow may also be co-funded, but other funding sources may account for no more than 30% of the salary. This requires that the externally funded salary part has been allocated to research tasks (e.g. ERC funding) or that the researcher is part of their own university's tenure-track system<sup>1</sup> or is engaged in research tasks in their own organisation. The Academy's funding that is freed as a result of this co-funding can be used for the project's other research costs following the additional cost model. This practice may be applied retroactively to previous funding decisions concerning the Academy Research Fellow research post.

Academy Professors and Academy Research Fellows must notify the Academy if they intend to claim salary from other funding sources. They must briefly describe the funding source and state the salary amount from that source. Provided that the stated criteria are met, the Academy will approve the co-funded salary for the Academy Professor or Academy Research Fellow. The site of research of the Academy Professor or Academy Research Fellow (as stated in the funding decision) can then send a payment request to the Academy in accordance with the new salary (see section 4).

If a person who has been granted a research post as Academy Professor or Academy Research Fellow will not continue in the post, they must immediately notify the Academy and give up the funding. The appeal is submitted by the PI in the Academy's online services under *My applications > Decided > Make an appeal*. Read more in Appendix 1.

## 6.2 Funding for research post as Postdoctoral Researcher

A research post as Postdoctoral Researcher is intended for full-time research. During the funding period, Postdoctoral Researchers will be in an employment relationship to their site of research. The duties include research following a set research plan. In addition, the Academy recommends that Postdoctoral Researchers provide supervision of thesis and dissertation writers and teaching associated with their own specific field.

The funding is intended towards the Postdoctoral Researcher's salary costs, which are determined in accordance with the pay system of the site of research. The research grant is designed to cover a salary period of 36 months. The funding cannot be used for other people's salaries. In addition, a Postdoctoral Researcher funded by the Academy of Finland cannot be paid salary from another Academy-funded research project. Postdoctoral Researchers can additionally be granted funding for costs arising from research and international mobility (see section 5.3.4).

If a person who has been granted funding for a research post as Postdoctoral Researcher cannot continue in the post (e.g. because of a transfer to another task), they must immediately notify the Academy and give up the funding. The appeal is submitted by the PI in the Academy's online services under *My applications > Decided > Make an appeal*. Read more in Appendix 1.

## 6.3 Salary costs of principal investigator

In principle, the Academy of Finland's funding for a research project is primarily intended to cover the salaries of full-time researchers working on the project and for other project costs.

Under the full cost model, however, the salary costs of a principal investigator (PI) can be incorporated into the project costs to be funded. The funding for the PI's salary is granted for purposes of project

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<sup>1</sup> A career system where the university, based on a review system, commits itself to offering a researcher a permanent position after the researcher has reached a certain level.

management. The PI's salary costs must be mentioned in the cost estimate and the research plan included in the funding application. Unless otherwise stated in the funding decision, the PI's salary costs can be paid to an amount equivalent to about 1.5 months a year of effective working hours in four-year research projects.

In addition, for well-substantiated, research-related reasons (e.g. working abroad, returning to Finland or moving to another research organisation in Finland), the Academy may have granted funding towards the salary of the PI of an Academy Project for a maximum of one year. The salary funding is intended to support the implementation of the Academy Project. There must be a mention of this in the special condition of the decision notification.

Funding awarded for strategic research can be used to cover the salary of consortium PIs and coordinator for the duration of the funding period. Key project funding granted by the Academy can be used to cover the PI's salary. However, the salary funding must not overlap with salary paid from other Academy funding.

#### **6.4 Teaching by hired staff**

We recommend that Academy-funded researchers with a doctoral degree (incl. Academy-funded Postdoctoral Researchers) provide teaching or supervision of thesis and dissertation writers to the equivalent of 5% of their annual working hours (as specified in the collective agreement), without separate remuneration. However, no more than 10% of the annual working hours should be spent on teaching and other work not immediately associated with the researcher's own research.

If Academy-funded doctoral candidates provide teaching, we recommend that this teaching be associated with their own research and equivalent to no more than 5% of their annual working hours. Teaching must not delay the completion of a doctoral dissertation.

## **7. ACQUISITIONS WITH ACADEMY FUNDING**

The funding recipient is liable to clarify whether the Finnish Act on Public Contracts is applied to acquisitions made by the Academy-funded research project. The PI of the project is also liable to see to that contracts are put out to tender in compliance with the practices stipulated in the Act.

### **7.1 Managing fixed assets**

Any supplies, equipment and literature acquired with Academy funding will remain in the ownership and possession of the site of research. The parties can agree in writing on other procedures in the case of research infrastructures. The Academy must be notified of such agreements at the application stage. In multi-site joint projects, the parties must conclude a written agreement on the use, ownership and location of the research infrastructure, even for the time after the funding period.

If the funding decision covers acquisition of equipment, the funds can be treated as an investment aid. Investment aid can be granted for acquisition of either tangible or intangible assets.

If the funding is granted for acquisition of assets or for basic upgrades, the assets must not be used permanently for other purposes than for those defined in the decision on discretionary government transfers. Investment aid awarded by the Academy cannot be used to finance leasing agreements. Nor can the ownership or possession right of any assets be handed over to anyone else during the time they are used, as specified in the decision on discretionary transfers.

## 7.2 Acquisition costs covered by discretionary government transfers

The Academy of Finland requires that the general guidelines issued by the Finnish Accounting Board be applied to depreciations. The Board's general guidelines (16 Oct 2007) on depreciations according to plan provide advice on how a book entry on investment transfers is made. According to section 2.5 of the guidelines, an investment transfer received for acquisition of fixed assets is entered in the form of an expense transfer as a deduction of the acquisition cost. In the depreciation calculation, the depreciation base consists of the amount of the acquisition cost deducted with the transfer received. The whole acquisition cost of the fixed assets in question and the amount covered by the investment transfer are entered in the notes to the balance sheet's passive side and following the materiality principle.

## 8. CHANGES TO FUNDING DECISIONS

All major changes in the content of Academy of Finland funding decisions or in issues relating to the use of funds require prior approval by the Academy. If necessary, the Academy will change the funding decision based on the appeal.

The appeal is submitted by the PI in the Academy's online services under *My applications > Decided > Make an appeal*. The appeal must include sufficient justifications and all information needed to handle the case. All necessary documents must be appended to the appeal. **See the detailed instructions in Appendix 1.**

Changes that require approval by the Academy include the following:

- 1) changing annual instalments in new funding decision (see section 3.1)
- 2) extending funding period
- 3) additional grant (i.e. compensation, decision according to additional cost model)
- 4) changing sites of research
- 5) declining research grant in full (when funds have not been used)
- 6) declining research grant midstream (when some funds have been used)
- 7) changing principal investigators
- 8) changing decision conditions or purpose of use, substantially changing the research plan
- 9) changing funding proportions of consortium subprojects (see section 3.2)
- 10) changing the Academy Professor or Academy Research Fellow funding decision into a co-funded decision (see section 6.1).

## 9. CONTROL, DISCONTINUATION AND CLAWBACK OF FUNDING

The Academy of Finland has the right to monitor and control the use of funds it has granted. The Academy also has the right to carry out any inspections of the finances and operations of the funding recipient that may be necessary for the control of the use of funds. Likewise, we have the right to inspect the implementation of the research, the accounting and the observance of the conditions set in the funding decision.

The site of research and the PI of the research project are obliged to submit to the inspector any necessary accounts and other documents and data and to assist in the inspection. Both the site of research and the PI must on request also submit information on the research and on the use of funds.

The PI and the site of research must without delay notify the Academy of any changes affecting the use of funds, such as other funding or income received for the implementation of the research plan. If this other



funding or income exceeds the amount presented in the cost estimate of the application submitted to the Academy, we may require the site of research to return the proportion of Academy funding equivalent to the amount exceeding the cost estimate.

If the Academy's funding for a project covers 100% of the costs and the project receives income, for example from intellectual property rights, the project has to return the proportion exceeding that 100% to the Academy. Alternatively, it can also be deducted from the eligible costs.

The Academy may interrupt or order the payment of funds to be terminated, or recover the funds in full or partly, if there is justified reason to suspect that the PI or the site of research has done any of the following:

- used the funds for some other purpose than that for which they were granted
- presented erroneous or misleading information regarding a fact that may have affected the granting, amount or conditions of funding
- otherwise violated the regulations on the use of funds or the conditions set in the funding decision.

In addition, funding granted by the Strategic Research Council may be terminated if the project in question fails to achieve the objectives set for it.

The recipient of discretionary government transfers must without delay repay into the Academy's bank account (see below) any funds or any portion of funds received erroneously, in excess or evidently without grounds.

**OP Corporate Bank plc**

IBAN: FI22 5000 0121 5007 70

BIC: OKOYFIHH

SWIFT: OP CORPORATE BANK PLC HELSINKI FINLAND

The Academy's decision number must be indicated in the repayment. The funds need not be returned if the sum is less than 10 euros. Provisions on the repayment and clawback of discretionary government transfers have been laid down in section 5 of the Finnish Act on Discretionary Government Transfers.

*Interest on transfers to be returned and recovered*

The recipient of discretionary government transfers must pay annual interest as from the due date according to section 3 (2) of the Finnish Interest Act, increased by three percentage points, on the amount to be returned or recovered. If the transfer to be recovered has not been repaid by the date set by the Academy, an annual interest must be paid on it according to section 4 of the Act. For the annual reference rate and interest for late payments, see the Bank of Finland's website at [www.suomenpankki.fi/en](http://www.suomenpankki.fi/en).

## 10. INTELLECTUAL PROPERTY RIGHTS

Intellectual property rights (IPR) include copyright, patent rights, rights to a trademark, utility model rights, design copyright, rights to a commercial name, protection of integrated circuits and layout designs (topographies) and plant variety rights. IPRs are structured as exclusive rights analogous to the right of ownership. They provide protection for creative work (e.g. copyright and patent rights) or commercial marks (e.g. rights in a trademark and rights to a commercial name).

The Academy of Finland advises that funding recipients as soon as possible after the funding decision has been made agree in writing between all project partners on the rights of ownership and use of the project's research results. At the launch of the project, the partners should also agree on the rights of ownership and

use of the material and data to be used by the project. If the project involves cooperation with business companies, see section 10.1.

At sites of research applying the Finnish Act on the Right to University Inventions, Academy-funded research is defined as commissioned research as referred to in the Act. In these cases, the university has the primary right to inventions produced by the research. Other sites of research follow the Finnish Act on the Right to Employee Inventions.

### **10.1 Cooperation with business companies**

If an Academy-funded project involves cooperation with business companies, one of the following conditions must be fulfilled:

- Results that do not give rise to IPR may be widely disseminated and any IPRs resulting from the activities of research organisations or research infrastructures are fully allocated to the entities concerned.
- Any IPRs resulting from the project as well as related access rights are allocated to the different collaboration partners in a manner that adequately reflects their work packages, contributions and respective interests.
- The research organisations or research infrastructures receive a compensation equivalent to the market price for the IPRs that result from their activities and that are transferred to the participating companies. The absolute amount of the value of any contribution, both financial and nonfinancial, of the participating companies to the costs of the research organisations or research infrastructures' activities that resulted in the IPRs concerned, may be deducted from that compensation.

Where an Academy-funded project involves cooperation with business companies, the terms and conditions of the project, in particular as regards contributions to its costs, the sharing of risks and outcomes, the dissemination of results, and access to and allocation of IPRs, must be concluded in writing before the start of the project.

## **11. PUBLISHING, DATA AND OPEN SCIENCE**

Any and all results produced with funding from the Academy of Finland must be made public.

Scientific publications produced with funding from the Academy of Finland or by using Academy-funded research infrastructures must always indicate that the research has been conducted with funding from the Academy of Finland. The number of the Academy's funding decision must also be mentioned.

We require that Academy-funded projects commit to open access publishing. We also urge projects to make their research data and methods freely available. The goal is to make research publications, data and material, metadata and methods widely available for further use. The principles of open science must be pursued with due attention to research ethics and law.

### **11.1 Open access publishing**

We require that Academy-funded researchers make sure that research results produced with Academy funding are made openly available, where possible, by either storing parallel copies of the scientific publications in open access repositories or suitable databases, or by publishing the results through scientifically high-quality open access publication channels. This requirement particularly concerns peer-

reviewed scientific articles. We thus recommend that researchers publish articles following either green or gold open access.

*Green open access* means that researchers publish their articles in traditional subscription-based scientific journals and deposit parallel copies in online open access repositories. The Academy does allow for an embargo period following the practices of international funders. The embargo is no more than six months, except in the humanities and social sciences where it is no more than twelve months<sup>2</sup>.

*Gold open access* means that a publication is immediately provided in open access mode by the scientific publisher. The publisher may charge an open access fee (article processing charge). This fee may be included in the research costs of the project.

The Academy does not recommend that researchers publish their work in *hybrid open access* journals. Hybrid journals may charge both an open access fee and a subscription fee.

## 11.2 Open data

Data produced with Academy funding must be made freely available as soon as possible after the research results have been published. Sites of research must therefore provide researchers with the necessary guidance and ensure that they have access to suitable storage infrastructure.

All data cannot be made openly available to everyone. Data may come in varying degrees of openness, ranging from fully open to strictly confidential. The publisher of the data must ensure that the publishing of the data will not be in breach of the Finnish Act on the Openness of Government Activities, the Finnish Personal Data Act or the Finnish Copyright Act. When making data openly available, the parties involved must also consider licensing issues.

We recommend that principal investigators of Academy-funded research projects also store their research data and make them available through major national or international archives or storage services that are important in their own fields,

More information on open access publishing and open data is available on our website at [www.aka.fi/en](http://www.aka.fi/en) > Funding > Responsible research > Open science.

## 12. RESEARCH ETHICS

The Academy of Finland requires that the guidelines of the Finnish Advisory Board of Research Integrity (Responsible conduct of research and procedures for handling allegations of misconduct in Finland; see [www.tenk.fi/en](http://www.tenk.fi/en)) be followed in all Academy-funded research.

Adherence to the principles of good scientific practice is primarily the responsibility of each individual researcher and research team, but the responsibility is also shared by the director of the research unit and the management of the organisations conducting research. Besides complying with good scientific practice, the research community and the individual researcher must also take into account the legislation in force.

The site of research undertakes to submit to the Academy's Registrar's Office the final report of any investigations concerning violation of good scientific practice by the PI or a researcher of an Academy-funded project.

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<sup>2</sup> [European Commission background note on open access to publications and data in Horizon 2020](#)

## 13. REPORTING

It is a condition of Academy of Finland funding that reports be submitted to the Academy on outcomes from the funding. The scientific reports are submitted by project PIs. The use of funds is monitored with financial reports submitted via the Academy's electronic systems. The two sets of data are then combined to allow for comparisons between the use of funds and the results produced with those funds. The Academy has separate guidelines for reporting on funding to strengthen university research profiles.

### 13.1 Scientific reporting

The PI must submit a scientific research report to the Academy no later than 1 June in the year following the end of the project's funding period. If an application is submitted for Academy research funding before funding for an ongoing project has ended, or after the funding has ended, or if the application is for a project on which the final report has not yet been submitted, applicants shall submit a progress report on each unreported decision. The progress reports are appended to the application. A progress report does not substitute the research report. Read more at [www.aka.fi/en](http://www.aka.fi/en) > Funding > Reporting.

The consortium PI must submit the scientific report on behalf of the whole consortium.

Centres of Excellence submit reports once a year, see [www.aka.fi/en](http://www.aka.fi/en) > Funding > Reporting.

The Academy has separate guidelines for reporting on key project funding.

### 13.2 Auditor's report

If the total Academy-granted funding indicated in the decision on Academy Programme funding or Centre of Excellence funding exceeds 1,000,000 euros, the PI must submit to the Academy an auditor's report on the use of the research funds within the project. In *funding for research infrastructures*, the site of research and the PI together submit to the Academy an auditor's report on the use of the research funds within the project.

All funding decisions on *SRC matching funds for Horizon 2020*, *funding by the Strategic Research Council* and *funding to strengthen university research profiles* come under an audit obligation, regardless of the total amount of funding granted.

For *Academy Programme funding* and *strategic research funding*, the report is submitted at the end of the funding period. For *Centre of Excellence funding*, the report is submitted after the third year and the sixth year of funding.

The auditor's report must be submitted to the Academy's Registrar's Office within three months of the end of the funding period.

We may also request the report separately, if necessary. In addition, we may commission a sample-based project audit in accordance with our own annual audit plan.

## 14. PROVISIONS APPLICABLE TO ACADEMY FUNDING

The use, payment and supervision of Academy of Finland research grants are governed, among others, by the following provisions:

- Act on Discretionary Government Transfers
- State Budget Act and Decree

- Act and Decree on Public Contracts
- State Budget and the regulations regarding its application
- other general provisions and regulations regarding the use of state funds.

Sites of research must also follow their internal regulations, provisions and instructions, if these are not in contradiction with the conditions issued by the Academy.

## APPENDIX 1: Changes to funding decisions

### (1) Changing annual instalments in new funding decision

<b>Description</b>	You can apply to change the annual instalments if the PI cannot commit to the instalments specified in the funding decision, taking into account the possible 15% deviation.
<b>Guidelines for the online services</b>	1) Fill in justifications for the proposed change in the free-text field. 2) Fill in the new cost estimate on the page <i>New cost estimate</i> .
<b>Appendices required</b>	No appendices required
<b>In which types of funding is this change possible?</b>	You can apply for this change in any decisions that have been made according to the full cost model as well as in mobility grants. However, annual instalments cannot be changed in the case of key project funding or funding to strengthen university research profiles.
<b>When do I apply?</b>	Apply before confirming receipt of funding and within six weeks of the funding decision (any exceptions are mentioned in the decision notification).
<b>After the decision on the change, do I need an electronic approval by the site of research?</b>	Yes
<b>NB!</b>	The proposed change must not exceed the Academy's total funding granted for the project. The types of expenditure specified in the decision's cost estimate are indicative; deviation from them is allowed only if it supports the implementation of the proposed research plan. In the case of major deviations, please contact the presenting official.  If necessary, we may consult the site of research or other parties before making the decision. The procedure for processing appeals may differ from the one presented here, if so required by the Finnish Administrative Procedure Act or any other legislation.
The application for the change is submitted by the project PI in the Academy's online services. In exceptional cases, it can also be submitted by the site of research or some other party as referred to in the Administrative Procedure Act.	

### (2) Extending funding period

<b>Description</b>	The funding period may be extended on the basis of a researcher's maternity, paternity, parental or childcare leave, or military or nonmilitary service. It may also be extended for other special reasons, such as long-term illness.
<b>Guidelines for the online services</b>	1) Fill in justifications for the proposed change in the free-text field. 2) Fill in the new end date for the funding period on the page <i>New cost estimate</i> . Remember to update the costs according to the new funding period. The proposed change must not exceed the Academy's total funding or contribution for the project.
<b>Appendices required</b>	Decision on release from work

	Append to the application a copy of the employer's decision on release from work or some other employer certificate of the absence. The document must indicate the start and end dates of the absence.
<b>In which types of funding is this change possible?</b>	You can apply for this change in all funding decisions (unless restricted by the special conditions of the decision). However, the funding period cannot be extended in the case of key project funding or funding to strengthen university research profiles.
<b>When do I apply?</b>	Apply no later than two months before the end of the funding period.
<b>After the decision on the change, do I need an electronic approval by the site of research?</b>	No
<b>NB!</b>	<p>This change requires that no substitute has been hired for the researcher and that the researcher will return to work on the same project, under the same funding decision.</p> <p>The maximum extension on the basis of childcare leave (also partial childcare leave) is one year per child.</p> <p>Extensions to the funding periods of consortium subprojects may affect the consortium's reporting schedule.</p> <p>The funding period cannot be extended on the grounds that granted money has not been used.</p> <p>If necessary, we may consult the site of research or other parties before making the decision. The procedure for processing appeals may differ from the one presented here, if so required by the Finnish Administrative Procedure Act or any other legislation.</p>
The application for the change is submitted by the project PI in the Academy's online services. In exceptional cases, it can also be submitted by the site of research or some other party as referred to in the Administrative Procedure Act.	

### (3) Additional grant (i.e. compensation)

<b>Description</b>	A project may be granted <u>additional funding</u> on the basis of a researcher's maternity leave or long-term illness.
<b>Guidelines for the online services</b>	<ol style="list-style-type: none"> <li>1) Fill in justifications for the proposed change in the free-text field.</li> <li>2) Fill in the application for the additional grant on the cost estimate page. The funding period can start no sooner than the date of the appeal. The funding period will end by 31 December in the year of the decision on the change.</li> </ol>
<b>Appendices required</b>	<p>Salary certificate</p> <p>Append to the application a copy of the employer's salary certificate, showing the additional costs for the project incurred as a result of maternity leave or long-term illness.</p>
<b>In which types of funding is this change possible?</b>	You can apply for this change in any funding opportunities that follow the additional cost model (e.g. funding for research post as Academy Professor,

	funding for research post as Academy Research Fellow).
<b>When do I apply?</b>	Apply no later than two months before the end of the funding period.
<b>After the decision on the change, do I need an electronic approval by the site of research?</b>	Yes
<b>NB!</b>	<p>If you are applying for an extension to the funding period of a research post, you must do so with a separate application before applying for additional grants.</p> <p>If necessary, we may consult the site of research or other parties before making the decision. The procedure for processing appeals may differ from the one presented here, if so required by the Finnish Administrative Procedure Act or any other legislation.</p>
The application for the change is submitted by the project PI in the Academy's online services. In exceptional cases, it can also be submitted by the site of research or some other party as referred to in the Administrative Procedure Act.	

**(4) Changing sites of research**

<b>Description</b>	The site of research may be changed if the PI transfers to another site in the middle of the funding period.
<b>Guidelines for the online services</b>	<ol style="list-style-type: none"> <li>1) Indicate whether project funding has been used at the original site of research. (Yes/No)</li> <li>2) Fill in justifications for the proposed change in the free-text field.</li> <li>3) Fill in the costs incurred at the original site of research on the page <i>Realised costs</i>. Also give an estimate of the costs to be invoiced for the last payment period. On the page <i>New cost estimate</i>, fill in the cost estimate for the funding to be transferred to the new site of research.</li> </ol> <p>Use the button in the top corner of the form to copy the remaining costs. The total sum of the realised costs and the new cost estimate must not exceed the Academy's funding amount mentioned in the original decision. The sum remaining in the counter must be 0, otherwise the application cannot be submitted,</p> <p>The percentages for overheads and indirect employee costs may be updated according to the new site of research. If the percentages at the new site of research are lower than in the decision, the site of research still has to invoice the Academy according to the lower percentages based on the Academy's accounting. The PI must check with the new site that the funding is enough to carry out the research plan there.</p>
<b>Appendices required</b>	<ol style="list-style-type: none"> <li>1) Consent by original site of research Append to the application a free-form letter with the original site's consent to the change.</li> <li>2) Commitment by new site of research Also append a free-form letter where the new site commits itself to overseeing and funding the project and to following the Academy's conditions for the use of funds.</li> </ol>
<b>In which types of funding is this</b>	You can apply for this change in all funding opportunities except for the



<b>change possible?</b>	funding to strengthen university research profiles.
<b>When do I apply?</b>	Apply after the funding decision has been made and before the funding period starts, or during the funding period.
<b>After the decision on the change, do I need an electronic approval by the site of research?</b>	No (original site of research) Yes (new site of research)
<b>NB!</b>	<p>Changing between departments etc. within the same university is not regarded as a change of site of research. Such a change is an internal affair at the site of research. Notify the change of department to the Academy's Registrar's Office. We will add the information to the online services.</p> <p>If funds have been used, the change of the site of research cannot be implemented in the middle of the payment period. The change must be scheduled to take place at the beginning of the next payment period, i.e., starting from January, May or September. The application to change sites can also be submitted earlier.</p> <p>The decision to change sites of research is made afterwards only after the last payment request by the original site of research concerning the funding decision has been submitted to the Academy and paid. Advance payments are not regarded as using funds, since advances for projects nearing completion will be returned to the Academy.</p> <p>If necessary, contact us for more information.</p> <p>If necessary, we may consult the site of research or other parties before making the decision. The procedure for processing appeals may differ from the one presented here, if so required by the Finnish Administrative Procedure Act or any other legislation.</p>
The application for the change is submitted by the project PI in the Academy's online services. In exceptional cases, it can also be submitted by the site of research or some other party as referred to in the Administrative Procedure Act.	

### (5) Declining research grant in full

<b>Description</b>	You can apply to decline a research grant (incl. salaries for research posts) in full if you do not want to receive the funds or if you want to forgo the funds before they are used. Please notify us of this immediately.
<b>Guidelines for the online services</b>	Fill in justifications for the proposed change in the free-text field.
<b>Appendices required</b>	No appendices required
<b>In which types of funding is this change possible?</b>	You can apply for this change in all funding decisions.
<b>When do I apply?</b>	Apply in the year of the decision and before the start of the funding period.
<b>After the decision on the change, do I need an electronic approval by the site of research?</b>	No

<b>NB!</b>	If necessary, we may consult the site of research or other parties before making the decision. The procedure for processing appeals may differ from the one presented here, if so required by the Finnish Administrative Procedure Act or any other legislation. Advance payments are not regarded as using funds, since advances for projects nearing completion will be returned to the Academy.
The application for the change is submitted by the project PI in the Academy's online services. In exceptional cases, it can also be submitted by the site of research or some other party as referred to in the Administrative Procedure Act.	

### (6) Declining research grant midstream

<b>Description</b>	You can apply to decline a research grant midstream, i.e. while the funding period is still running. If a person who has been granted Academy funding for a research post cannot continue in the post (e.g. because of a transfer to another task), they must immediately notify the Academy and decline the funding.
<b>Guidelines for the online services</b>	<ol style="list-style-type: none"> <li>1) Fill in justifications for the proposed change in the free-text field.</li> <li>2) Fill in the new end date for the funding period and the costs incurred so far on the page <i>Realised costs</i>. Also give an estimate of the costs to be invoiced for the last payment period.</li> </ol>
<b>Appendices required</b>	Account of costs incurred Append to the application an account prepared by the financial administration of costs incurred in the project.
<b>In which types of funding is this change possible?</b>	You can apply for this change in all funding decisions.
<b>When do I apply?</b>	Apply during the funding period.
<b>After the decision on the change, do I need an electronic approval by the site of research?</b>	No
<b>NB!</b>	If necessary, we may consult the site of research or other parties before making the decision. The procedure for processing appeals may differ from the one presented here, if so required by the Finnish Administrative Procedure Act or any other legislation.
The application for the change is submitted by the project PI in the Academy's online services. In exceptional cases, it can also be submitted by the site of research or some other party as referred to in the Administrative Procedure Act.	

### (7) Changing principal investigators

<b>Description</b>	You can apply to change principal investigators on exceptional and justified grounds.
<b>Guidelines for the online services</b>	Fill in justifications for the proposed change in the free-text field.

<b>Appendices required</b>	<p>1) Justifications signed by both the previous and the new PI as well as a consent by the site of research</p> <p>Append to the application a free-form letter with justifications for the change, signed by the previous and the new PI, as well as a consent to the change from the site of research.</p> <p>2) List of publications and CV for the new PI</p> <p>Also append the new PI's list of publications and CV.</p>
<b>In which types of funding is this change possible?</b>	You can apply for this change in all funding decisions except in those which involve personal salaries. This means that changing PIs is not possible in funding for research posts as Academy Professor, Academy Research Fellow or Postdoctoral Researcher, in funding for clinical researchers or in personal grants.
<b>When do I apply?</b>	Apply during the funding period.
<b>After the decision on the change, do I need an electronic approval by the site of research?</b>	Yes
<b>NB!</b>	<p>The new PI must sign up to the Academy's online services.</p> <p>If the PI takes a leave of absence from the post but still continues as head of the project, they must negotiate substitute arrangements with the site of research. A document describing these management arrangements and indicating the substitute must be delivered to the Academy.</p> <p>If necessary, we may consult the site of research or other parties before making the decision. The procedure for processing appeals may differ from the one presented here, if so required by the Finnish Administrative Procedure Act or any other legislation.</p>
The application for the change is submitted by the project PI in the Academy's online services. In exceptional cases, it can also be submitted by the site of research or some other party as referred to in the Administrative Procedure Act.	

### (8) Changing decision conditions or purpose of use, substantially changing the research or action plan

<b>Description</b>	<p>1) Changes in decision conditions or purpose of use can be applied for only on special grounds.</p> <p>2) Substantial changes in research or action plans can be applied for only on special grounds.</p>
<b>Guidelines for the online services</b>	Fill in justifications for the proposed change in the free-text field.
<b>Appendices required</b>	The appendices are case-specific.
<b>In which types of funding is this change possible?</b>	You can apply for this change in all funding decisions.
<b>When do I apply?</b>	Apply during the funding period.

<b>After the decision on the change, do I need an electronic approval by the site of research?</b>	Yes
<b>NB!</b>	Please always first contact us for more information.  If necessary, we may consult the site of research or other parties before making the decision. The procedure for processing appeals may differ from the one presented here, if so required by the Finnish Administrative Procedure Act or any other legislation.
The application for the change is submitted by the project PI in the Academy's online services. In exceptional cases, it can also be submitted by the site of research or some other party as referred to in the Administrative Procedure Act.	

**(9) Changing funding proportions of consortium subprojects**

<b>Description</b>	You can apply to change the funding proportions of consortium subprojects. The total funding for the consortium must not change.
<b>Guidelines for the online services</b>	<ol style="list-style-type: none"> <li>1) Fill in the new funding proportions (the Academy's portion) for the consortium parties.</li> <li>2) Fill in justifications for the proposed change in the free-text field.</li> <li>3) On the page <i>New cost estimate</i>, change each consortium party's cost estimate (by type of expenditure) in accordance with the proposed change.</li> </ol> <p>The sum remaining in the counter must be 0, otherwise the application cannot be submitted.</p>
<b>Appendices required</b>	<ol style="list-style-type: none"> <li>1) Consent by the PI and the site of research of the subproject that will forgo the funding.  Append to the application a free-form letter with the original site's and the PI's consent to the change.</li> <li>2) Commitment by the site of research of the subproject that will receive funds  Also append a free-form letter where the site of research commits itself to overseeing and funding the project and to following the Academy's conditions for the use of funds.</li> </ol>
<b>In which types of funding is this change possible?</b>	You can apply for this change in the following funding opportunities: Centre of Excellence funding, Academy Programme funding, funding for research infrastructures and funding programmes by the Strategic Research Council.
<b>When do I apply?</b>	Apply after the funding decision has been made and before the funding period starts, or during the funding period.
<b>After the decision on the change, do I need an electronic approval by the site of research?</b>	Yes
<b>NB!</b>	If funds have been used, the decision on the proposed change cannot be made in the middle of the payment period. The appeal must be scheduled to

	<p>the beginning of the next payment period, i.e., 1 Jan–30 Apr, 1 May–31 Aug or 1 Sep–31 Dec. That is, the change can be implemented as of 1 January, 1 May or 1 September.</p> <p>The decision to change funding proportions is made afterwards only after the payment request for the ongoing payment period by the original site of research concerning the funding decision has been submitted to the Academy and paid. Advance payments are not regarded as using funds, since advances for projects nearing completion will be returned to the Academy.</p> <p>If necessary, contact us for more information.</p> <p>If necessary, we may consult the site of research or other parties before making the decision. The procedure for processing appeals may differ from the one presented here, if so required by the Finnish Administrative Procedure Act or any other legislation.</p>
<p>The application for the change is submitted by the consortium PI in the Academy's online services. The consortium PI must have the consent to do so from the subproject PI(s) and the site(s) of research. In exceptional cases, it can also be submitted by the site of research or some other party as referred to in the Administrative Procedure Act.</p>	

#### (10) Changing Academy Professor or Academy Research Fellow funding decision into a co-funded decision

<p><b>Description</b></p>	<ol style="list-style-type: none"> <li>1) Academy Professors may apply to change the Academy's proportion of their salary.</li> <li>2) Academy Research Fellows may apply to change the funding of their annual salaries so that no more than 30% of the salary comes from other funding sources. This requires that the externally funded salary part has been allocated to research tasks or that the researcher is part of the university's tenure-track system.</li> </ol>
<p><b>Guidelines for the online services</b></p>	<p>As type of change, select "Changing decision conditions or purpose of use, substantially changing the research or action plan". Fill in justifications for the proposed change in the free-text field.</p>
<p><b>Appendices required</b></p>	<p>The appendices are case-specific.</p>
<p><b>In which types of funding is this change possible?</b></p>	<p>You can apply for this change in funding decisions that concern research posts as Academy Professor and Academy Research Fellow.</p>
<p><b>When do I apply?</b></p>	<p>Apply after the funding decision has been made and before the funding period starts, or during the funding period.</p>
<p><b>After the decision on the change, do I need an electronic approval by the site of research?</b></p>	<p>Yes</p>
<p><b>NB!</b></p>	<p>Please always first contact us for more information.</p> <p>If necessary, we may consult the site of research or other parties before making the decision. The procedure for processing appeals may differ from the one presented here, if so required by the Finnish Administrative Procedure Act or any other legislation.</p>

The application for the change is submitted by the project PI in the Academy's online services.

**About this document**

These conditions and guidelines are based on a document approved by the Board of the Academy of Finland outlining the criteria of Academy research funding decisions. The latest criteria document was adopted on 30 May 2016. It is available on our website (in Finnish only). These general conditions for funding decisions by the Academy of Finland apply to funding calls implemented between 1 September 2016 and 31 August 2017 and to funding decisions made on the basis of these calls.

The conditions and guidelines are prepared by a dedicated working group at the Academy. Vice President for Research Marja Makarow approved the Finnish-language conditions and guidelines on 15 June 2016.

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Additional decision details	Contact persons named in the decision notification, firstname.lastname(at)aka.fi
Questions and feedback	<a href="#">Questions and feedback</a> on our website