

INSTRUCTIONS



Instructions for Centres at KTH

This document is a translation. In case of a discrepancy between the Swedish original and the English version of the decision, the Swedish version will prevail.

- The President's Decision No. 33/03, Ref. No. 930-2003-0091, Doss. 10
- The President's Decision No. 1082/2004 'Deans of Faculty and Vice Deans of Faculty for KTH's Nine Schools, and Their Tasks Regarding the Organisation of the Schools', Ref. No. 930-2004-2896, Doss. 13
- The President's Decision No. 1251/2004 'The Boards of the Nine Schools - Composition', Ref. No. 930-2004-2896, Doss. 13
- The President's Decision No. UF/2009/0564, Ref. No. VF-2009-0072, Doss. 17

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1. The Role of Centres at KTH

1.1 Introduction

The term 'centre' is used for several different forms of collaboration both within KTH and between KTH, other academic partners, industry actors, and external sources of funding. A centre is a neutral collaborative platform in which various parties agree on a common operational plan and through which they can contribute resources (both cash and in-kind contributions) for the implementation of the centre's activities. Centres may operate virtually and/or physically.

- Centres at KTH constitute their own organisational units, with their own boards and directors. These boards and directors are appointed by the President and report to the President, the parties and the funding bodies regarding the content of the centres' operations.
- Each centre is connected to one of KTH's schools, which serves as a host school. The school shall provide the centre with administrative services and ensure the fulfilment of KTH's administrative management commitments to the centre and external parties. In these matters, the director reports to the head of school.
- The finances of centres are reported separately from the schools' other activities. In order to ensure that resources are used for agreed purposes and in accordance with the law, the centres' external partners are guaranteed full transparency.
- The lifespan of a Centre is usually predetermined, but they can also be of a more permanent nature.

The form of a centre is used to achieve an independent, administratively manageable and regulated structure within the framework of the university, which simultaneously provides room for the control and monitoring of the centre's activities via its board.

An up-to-date list of formal centres at KTH shall be maintained by the KTH Division of Research Funding and made available at

www.kth.se

1.2 Different Types of Centres

The following types of centres exist at KTH:

Resource Centres

This type of centre is tasked with operating larger joint research infrastructures, normally with a range of users from both inside and outside of KTH. They are of a more or less permanent nature and shall serve as platforms for long-term collaboration on research infrastructures at both the national and international level.

Centres of Excellence

This type of centre is primarily motivated by external funding linked to the implementation of a specified research programme in collaboration with industry actors and other external partners. This usually applies to large, long-term research programmes that will operate over several funding periods, which involve the participation of industry actors as both beneficiaries and funding bodies, and which demand significant co-funding from KTH.

These centres shall normally have external funding > SEK 5 million/year for a period of at least 5 years. KTH's co-funding normally amounts to SEK 1 million/year of freely available funds allocated by the President during the contract period, as well as varying degrees of additional in-kind contributions, depending on the demands of the funding bodies.

KTH acts as the coordinator of these centres and has overall responsibility for their administrative management.

KTH can also participate in types of centres where another university acts as the principal and undertakes the administrative responsibility. If KTH's involvement/co-funding is significant (> 30% of the centre's total activities and/or SEK 1 million/year), these centres are treated in the same way as a centre domiciled at KTH.

Centres of Excellence may also constitute smaller research programmes implemented in collaboration with other higher education institutions and where the need for a regulated structure requires them to take the form of a centre. This type of centre normally receives financial support from the President with an allocation of no more than SEK 0.5 million/year for a maximum of 3 years.

Research Centres

This type of centre aims to establish a collaborative platform in order to provide the conditions necessary to attract external funding, and where this platform must take the form of a centre in order to achieve a regulated structure for governance.

These centres normally function like 'start-ups', with a well-defined intended external stakeholder group and a clear level of ambition regarding external funding. The financial scope of their activities is normally narrow, and the time horizon is short. In some cases, these centres are transformed into Centres of Excellence; in other cases they are phased out after a three-year period. These centres normally receive financial support from the President with an allocation of no more than SEK 0.5 million/year for a maximum of 3 years.

Network Centres

This type of centre is characterised by the fact that its primary purpose is networking, and project funding mainly occurs outside the centre organisation. The centre's total financial assets are normally quite limited.

These centres receive minimal or zero support from the President.

1.3 Delineation of the Definition of a KTH Centre

At KTH, the use of the term 'centre' should generally be limited to the contexts defined above. However, the term 'centre' sometimes occurs in contexts in which there is no formal connection to KTH's organisation, e.g. in the context of the type of collaborations with foreign universities commonly referred to as 'Joint Research Centres', which are governed by specific collaboration agreements.

A KTH centre shall not be confused with research projects carried out with external parties within consortia, e.g. most EU-funded projects. However, the consortium agreements that govern these activities may have significant similarities with those for centres, and KTH's role as a coordinator/administrative host may also be quite similar. For centres, however, far greater requirements are imposed in terms of long-term thinking, strategic relevance to KTH, and the opportunity for the parties to continuously manage operations.

1.4 Criteria for the Establishment of a KTH Centre

In order for a centre to be formally established at KTH, the centre must present the following qualitative criteria. The centre shall:

- promote a long-term, joint effort and broad, interdisciplinary knowledge building within its field
- normally be covered by the qualitative description of the various types of centre, as presented above in Section 1.2.

2. Rules for Centres

2.1 General Prerequisites

In order to be formally regarded as a centre at KTH, there must be:

- a formal decision by the President of KTH to establish the centre
- a board and director appointed by the President of KTH
- a formal identity, defined through a name registered within KTH and a unique accounting identification (a separate accounting unit at the host school)
- an operational plan and budget for the current accounting year, established by the board of the centre
- an agreement established between the centre's partners

Centres at KTH shall emphasise activities located at KTH, and shall be organisationally linked to KTH's school structure.

Centres are subject to the authority of the university (in its capacity as a government authority) and are governed by the laws and regulations that govern its activities. This means that centres must

comply with the administrative regulations and guidelines that apply to activities at KTH, and must otherwise comply with such agreements as are concluded in connection with their formation.

2.2. Formation Decisions

Decisions on the establishment of a centre and agreements for the regulation of the centre's funding and activities are made by the President after consultation with the relevant head of school. When rendering a decision, the following must be provided:

- A written vision document clarifying the purpose and objectives of the centre.
- Confirmation from the host school that it accepts responsibility for financial and administrative procedures
- Reasonably secured external funding
- Clear demands for co-funding from KTH
- Proposed agreements for the regulation of the centre's funding and activities, developed in consultation with relevant stakeholders
- A proposal for the composition of the centre's board, prepared in consultation with relevant stakeholders
- A business plan and budget for the first year of operations, approved by the relevant head of school.
- The date on which the centre is to be dissolved or when a decision regarding a possible extension of the lifespan of the centre is to be taken.

In connection with her/his decision to form the centre, the President also appoints its board, except in cases where funding bodies specifically demand that the centre hold a general meeting at which the parties involved formally appoint the board. In the latter case, the President shall confirm the decision reached at the general meeting. In connection with her/his formation decision, the President appoints the director of the centre. The board establishes an operational plan and budget at its first meeting.

Agreements for the regulation of the centre's funding and activities shall normally be signed by all interested parties within two months of the President's formation decision. Agreements concerning the centre's day-to-day operations are otherwise concluded in accordance with Section 3.3.

Agreements and operational plans shall be based on the following guidelines.

2.3. Boards, Directors and Domicile

Centres at KTH shall be managed by a board and an executive director

The Board

The board is appointed by the President after consultation with relevant stakeholders, except in cases in which the board is formally appointed at a general meeting of the parties involved.

External members should normally comprise at least fifty per cent of the board. The board forms a quorum when at least half of the members are present. Decisions are taken by at least a simple majority, and otherwise in accordance with agreements. In the event of a tie, the chairman of the board has the deciding vote.

The board establishes the plan and budget for operations and is responsible for ensuring that the agreed reporting is conducted and that the annual report is prepared.

Where agreed with external parties, the board shall take formal decisions regarding each project within the centre before the project commences.

The Director

The director is appointed by the President, upon consultation of a proposal by the parties.

The director is responsible for ensuring that the centre's activities comply with the administrative regulations and guidelines that apply at KTH.

The director disposes of funds and is responsible for the management and organisation of the centre, in accordance with the plan and budget for its activities established by the centre's board.

When the director is employed at KTH, the director has financial attestation rights for the centre. If the director is not employed at KTH, the financial attestation must be carried out by the head of school or the person to whom the head of school delegates this responsibility.

The Organisational Domicile and Finances of the Centre

In organisational terms, a centre at KTH must belong to a school at KTH.

The school provides facilities as well as administrative support and services to the extent and under the conditions agreed upon between the centre and the school. In so doing, the school shall apply the prime cost principle. A written agreement shall be drawn up between the relevant school and the centre.

The centre shall constitute its own profit centre within the school. The centre shall prepare its financial statements in such a way that the centre's accounting is reported separately from KTH's other activities.

The centre shall prepare an annual operational plan, staffing plan and budget. The centre shall also prepare income statements and balance sheets in periodic and annual financial reports.

The director is responsible for ensuring that an appropriate accounting plan is drawn up and that the ongoing financial reporting is conducted in accordance with applicable rules. For this purpose, the centre shall have a unique cost centre.

Fixed assets used in the centre's activities which do not belong to an external organisation are reported by the centre. Costs associated with their use, such as depreciation, shall always be reported by the centre.

The centre's director shall inform the relevant head of school of any major changes to the centre's activities or financial conditions. If financial or administrative circumstances arise which are not in line with the applicable operational plan, budget or other regulations, then the first step should be to seek to resolve the issue by mutual agreement between the centre and the school. If this does not prove possible, the head of school will refer the matter to the President.

Agreements

The centre's activities and funding are governed by a funding agreement or principal agreement with the primary funding body/bodies. The commitments, rights and obligations of the parties participating in the centre are normally governed via a consortium agreement between the parties.

Agreements regarding issues between the parties and the primary funding for the centre are entered into by the President.

Agreements concerning the other day-to-day activities of the centre - including questions regarding specific project agreements, income utilisation, etc.- are entered into by the relevant head of school or by the director (when the relevant head of school chooses to delegate this responsibility).

Personnel

Persons who are active at the centre and who do not have another employer must be employed by KTH. Employment decisions are taken by the head of school, based on a proposal by the director. The head of school may delegate responsibility for decisions regarding other personnel issues to the director.

The collaboration group for the centre is the school's collaboration group.

The right to research findings arising from the centre's activities is governed by Section 2.5 below.

2.4. Special Terms & Conditions for Activities in Centres

Collaboration in centres often means that specific demands are imposed by funding bodies and industry stakeholders regarding the management of confidentiality, publication and rights to research findings.

To the extent that the centre's principal and/or consortium agreements contain specific regulation on these issues, KTH's guidelines for research within consortia shall be applied.

As regards the rights of researchers to their research findings, the intellectual property rights of academic staff shall generally apply to research within centres. If the centre's agreements include special requirements that restrict the rights of researchers, participating researchers shall sign a specific Researcher Agreement drafted in accordance with KTH's template.

2.5 The External Communication of Centres

In their external communication and other marketing, centres at KTH shall:

- profile themselves as a centre active at KTH
- use the graphic profile specified in special regulations at KTH

2.6 Disputes

Disputes with external parties are to be settled in accordance with the agreement of the centre in question regarding the settlement of disputes. Disputes within KTH are settled by the President.

2.7 Dissolution

The decision to establish a centre shall specify the date on which the centre is to be dissolved or when a decision regarding a possible extension of its lifespan is to be taken. Before deciding upon an extension, the centre's activities shall be evaluated. In the event that a decision is made to extend the centre's lifespan, a new date for a decision regarding further extension or dissolution shall be specified.

If, for any reason, an ongoing centre has not been active for a period of more than 6 months or has completely ceased its activities, the director of said centre shall report this to the relevant head of school and to the President. The President may decide to dissolve the centre.

In special circumstances, the President may dissolve a centre on her/his own initiative. In such a case, the President shall first consult the centre's director and the relevant head of school.

In the event of the dissolution of a centre, all activities shall cease, the centre name shall be removed, and its cost centre at KTH shall be terminated.

