



HÖGSKOLAN  
DALARNA

## **Directives for Applications for External Research Funding at Dalarna University**

Decision: Vice-Chancellor 2018-01-29

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## **External Research Funding – Background**

There is an increasing demand for research to be socially relevant, open, accessible and competitive. Consequently, a substantial proportion of all research funding in both Sweden and other countries is channeled towards larger and/or multi-disciplinary efforts, while applications for research funding are being met by increasing competition from others. As well, there are growing demands on the strategies, management, organisation, profiling and quality assurance of institutes of higher education.

At the same time, the regulations set by research funding bodies are becoming both more specific and more complex. Often they place different demands on applications in terms of project design, formalities, evaluation criteria, content, co-financing and project duration. As well, the coverage provided by funding bodies for direct and indirect costs related to research projects varies. Specific information about funding bodies' regulations can normally be found on their websites.

The focus when it comes to external research funding is the research community. Such funding is used to finance both basic research and applied research, and is regarded as a measure of quality. As such, an application for external research funding that is approved always involves commitment on the part of the Project Leader (the Researcher) and the institute of higher education, often over a number of years, and in the form of human resources or cash funding (co-financing). A research project must, as a rule, be reported, communicated, reviewed and followed up. Research results both during and after the project period need to be published and communicated in different ways.

## Applications for External Research Funding at Dalarna University

In accordance with Dalarna University's strategies, standpoint and priorities, as well as the objectives of the research profiles, researchers at the University are encouraged to seek external research funding. Such applications must be of high scientific quality, which will be ensured through peer review. They must also comply with internal and external demands and regulations, and must be approved by the University in its position as the official research body.

For these reasons, the Vice-Chancellor has decided that all applications for external research funding must be authorised, quality assured (in form and content), approved and decided upon internally before being submitted to the funding body. This document and its appendices detail the framework and the principles in place at Dalarna University when it comes to applications for external research funding. They also serve as a form of *internal guidance*, in particular with regards to the application phase of research projects.

### Framework and Principles

- *The Project Leader* (Researcher) is responsible for ensuring that a research application meets with the principles and demands of both the funding body and Dalarna University.

Prior to being submitted to the funding body, an external research application must be:

- 1) Consolidated with the Faculty Director (avdelningschef), Head of Subject (ämnesansvarig) or equivalent,
- 2) Quality Assured,
  - by way of scientific peer review within the framework of the research profiles.
  - in collaboration with university-wide research support services at Dalarna University.
- 3) Approved by the Head of School (akademichef) and the Director of Research (forskningsledare),
  - *The Head of School* is responsible for his/her School (financing, planning, role of employer, etc.) and as such approves any co-financing, budget (according to the directives of the funding body) and internal financial calculations for an application in consultation with the respective Director of Research.
  - *The Director of Research* ensures that an application is in accordance with the objectives of the research profile as well as its strategic plans and that it falls within the financial limits of the research profile. The Director of Research shall also confirm that a scientific peer review has been conducted of the application.

4) Decided upon by the Vice-Chancellor, or the Head of School, in consultation with the Director of Research.

a) Decision by the Vice-Chancellor on submission to the funding body whenever:

- the University/Vice-Chancellor is the principal applicant (in accordance with the requirements set by the funding body),
- the application requires co-financing from the University of an amount over 500 000 SEK,
- the total budget of the application is more than 3 000 000 SEK,
- the application is an inter-university application (the university is a central co-financer).

*The Project Leader or the Director of Research* presents the application at the Vice-Chancellor's regular decision-making meeting. The Secretary to the Vice-Chancellor is notified of the application and a time is booked with the Secretary for the application to be presented: ([rektorssekreterare@du.se](mailto:rektorssekreterare@du.se)). This is to be done well in advance of the deadline for submission of the application to the funding body.

Include the following documents ahead of the decision:

- a complete, approved *application* (including budget and internal financial calculation),
- *Overview: Before Decision on External Research Application (PM inför beslut om extern forskningsansökan) = Appendix 1*, and
- a completed *Checklist for Application for External Research Funding at Dalarna University = Appendix 2*.

b) The Head of School decides on the submission to the funding body whenever:

- the Researcher/the Project Leader is the principal applicant (according to the requirements from the funding body),
- there is a requirement for co-financing from the University of a maximum 500 000 SEK,
- the total budget of the application reaches a maximum 3 000 000 SEK.

*The Project Leader or the Director of Research* presents the application to the Head of School well in advance of the submission of the application to the funding body.

Documentation required for a decision includes:

- a complete, approved *application* (incl. budget and internal financial calculation),
- *Overview: Before Decision on External Research Funding (PM inför beslut om extern forskningsansökan) = Appendix 1*, and
- a completed *Checklist for Application for External Research Funding at Dalarna University = Appendix 2*.

- *The Project Leader* is responsible for ensuring that the application is sent to the funding body before the deadline for submission as provided in the call for proposal.
- *The Project Leader* is responsible for ensuring that all documents related to the application are registered promptly in the university filing system after internal decision and submission to the funding body. Documentation is sent by email to the registrar: [hdiarium@du.se](mailto:hdiarium@du.se). A file number (*diarienummer*) for the case must be provided (this can be found in *Overview: Before Decision on External Research Funding Application*).
- *The Project Leader* is responsible for ensuring that the decision from the funding body (regardless of outcome) is communicated to the Director of Research, the Head of School, the Faculty Director, the Financial Officer and the Pro-Vice-Chancellor.

The decision must be registered in the university filing system and the filing number provided (as in accordance with the preceding point).

## **APPENDICES:**

As part of the application, the two appendices must be completed by the project leader. You can find the appendices using the links below.

### **Appendix 1:**

Overview: Before Decision on External Research Funding Application

<https://www.du.se/globalassets/global/policy-documents/research/3.-rules/external-research-funding/overview---before-decision-eng.pdf>

*This completed Overview must be included in the documentation on which to base the decision (underlag inför beslut) and must also be provided to the person presenting the application at the decision-making meeting (föredragande).*

### **Appendix 2:**

Checklist for Application for External Research Funding at Dalarna University

<https://www.du.se/globalassets/global/policy-documents/research/3.-rules/external-research-funding/checklist-for-application-eng.pdf>

*This general checklist is to assist Project Leaders (Researchers) at Dalarna University who are applying for external research funding. The completed checklist must be included in the documentation on which to base the decision (underlag inför beslut) and must also be provided to the person presenting the application at the decision-making meeting (föredragande).*