



Checklist: Applications for External Research Funding

– Guide for the Main Applicant

Background

All applications for external research funding at HDa must be *quality assured*, *approved* by the Head of School and *decided on* by the Vice-Chancellor or Head of School before submission to the funding body. The main applicant at HDa is responsible for ensuring that the application goes through this internal process.

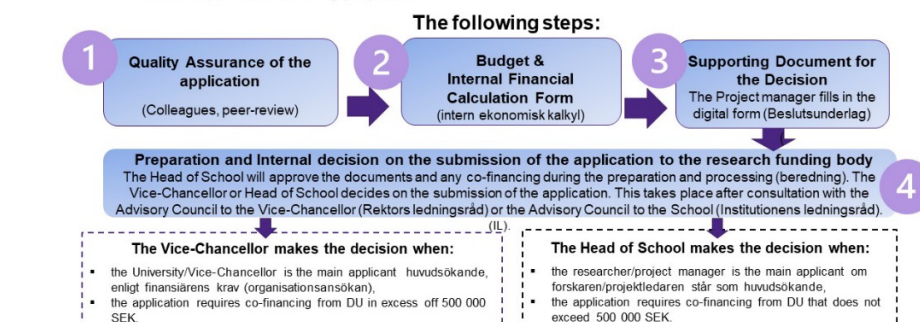
The following information aims to help the main applicant:

(This can also be found on the University's staff website (*medarbetarwebb*) under *Forskningsstöd - Extern forskningsfinansiering* (at the time of writing, this has yet to be made available in English))

- **Checklist** (= this document)
 - information to guide you through the process
- **Supporting Document for the Decision (former PM inför beslut)**
 - a digital form that after submission automatically generates internal supporting documentation for the decision that goes to those with decision-making authority, administrative officers and senior administrators of the relevant school.
 - <https://blankett.du.se/sv/extern-forskningsansokan-infor-beslut>
- **Internal Financial Calculation Form**
 - For more information and contact details to your financial officer, see Financial Aspects and Audits – Research Project: <https://www.du.se/en/medarbetarwebb/utbilda-och-forska/research-support/financial-aspects-and-audits---research-projects/>
- **Rules for Applications for External Research Funding at HDa**
 - description of process where the fundamentals, work framework, roles and responsibilities are defined: the English text follows the Swedish text in this document.
 - <https://www.du.se/globalassets/global/styrdokument/forskning/3.-regler/ansokningar-om-extern-forskningsfinansiering-vid-hda.pdf>

The Internal Quality Assurance Process

- Applications that require the signature of the Vice-Chancellor must be reported to the Head of School (prefekt) at an early stage.
- Director of Department (avdelningschef) and Head of Subject (ämnesföreträdare) are informed that an application is being prepared.



Application project title/acronym (Swe/Eng):
Funding body:
Programme and call for proposals (incl. link to the call for proposals):
Application deadline:
When can a decision be expected to come from the funding body (if this is known)?:

INTERNAL DISCUSSION	
<p>1. The director of the department (<i>avdelningschef</i>) and the head of subject (<i>ämnesföreträdare</i>) must be informed that an external research application is being prepared.</p>	Own notes:
QUALITY ASSURANCE	
<p>2. Has the <u>scientific quality</u> of the application been assured? Have the funding body's <u>assessment criteria</u> been met?</p> <p>How has quality been assured? (e.g., research seminar with fellow researchers, reading group, external review or other appropriate form)</p>	Own notes:
<p>3. Does the application meet the formal requirements/conditions of the funding body and the call for proposals?</p>	Own notes:
<p>4. Has the application been proofread (<i>språkgranskning</i>)?</p> <p><i>If proofreading (<i>språkgranskning</i>) is required, contact sprakgranskning@du.se Provide the objektnummer and request a date for return.</i></p>	Own notes:
<p>5. Does the funding body require <u>additional documentation in the application phase</u> – for example, certification, letters of support, or similar, from HDa or another project partner?</p> <p><i>(If this is the case, these documents must be uploaded in the digital form “PM inför beslut” along with other application components that the funding body requires.)</i></p>	Own notes:

<p>6. Will the funding body require <u>another agreement if the application is granted</u> (for example, confidentiality agreement, consortium agreement) when the primary agreement is entered into?</p> <p><i>For information and advice, please contact the University's Senior Legal Advisor: Lena Gillström, lgj@du.se</i></p>	Own notes:
<p>7. Does the project require a <u>research ethics review</u>?</p> <p><i>For more information, see the Swedish Ethical Review Authority and the University's Research Ethics Board (FEN).</i></p>	Own notes:
<p>8. Will <u>personal data</u> be processed in the project?</p> <p><i>For more information, see the Swedish Ethical Review Authority and the University's web guide on personal data and data protection management, or contact the University's Data Protection Officer dataskydd@du.se.</i></p>	Own notes:
<p>9. Does the funding body require that a data management plan be drawn up if the project is granted?</p> <p><i>For information and advice, contact the University's research data support: forskningsdata@du.se or see the University's webpage about the management of research data: University's website for information about the management and processing of research data.</i></p>	Own notes:
<p>10. Does the funding body require co-financing from HDa?</p> <ul style="list-style-type: none"> - If the amount exceeds SEK 500 000, the Vice-Chancellor must decide on the submission of the application to the funding body. - If the amount is a maximum of SEK 500 000, the Head of School must decide on the submission to the funding body. 	Own notes:
<p>11. Have the budget and internal financial calculation for the project been prepared by an HDa financial officer in cooperation with you, the project manager? <i>The calculation must be approved with the signature of the Head of School and then be uploaded in the Supporting Document for the Decision along with other components of the application.</i></p> <p><i>For information and advice, please contact ekonomisupport@du.se.</i></p>	Own notes:
<p>12. Have Open Access (OA) costs been budgeted for in the application?</p> <p><i>Many research funding bodies require Open Access publication of research results and pay for any OA costs. For more information and advice about Open Access, see the Library's website – Open Access.</i></p>	Own notes:
APPROVAL	
<p>13. All applications for external research funding at HDa must be approved by the Head of School. The approval is given during the preparation process, before the decision on submission to the funding body.</p>	Own notes:

INTERNAL DECISION ON SUBMISSION TO THE FUNDING BODY

14. Before an internal decision on submission of the application to a funding body, you as project manager (main applicant) must fill in the [Supporting Document for the Decision](#) (digital form).

- The completed form, including uploaded appendices, will, after submission, generate supporting documentation for the decision that is automatically communicated to those with decision-making authority, administrative officers and the Senior Administrator of the respective school.
- The Senior Administrator of the respective school contacts the project manager to arrange a decision meeting.
- All submitted documentation is automatically registered and a *diarienummer* is sent to the project manager.
 Note: *If any adjustments are made to the application after an internal decision on submission, the project manager must promptly re-register the application electronically (diarieföra).* This is done by emailing registrator@du.se. The *diarienummer* must be provided.

In the event of minor changes to the budget or internal financial calculation, these must first be approved by the Head of School.

Those with Decision-Making Authority and Administrative Officers

a) The Vice-Chancellor decides on the submission when:

- the University/Vice-Chancellor is the main applicant (as required by the funding body).
Please note that this also applies to all applications within the EU Framework Programme.
- the application requires co-financing from the University in excess of SEK 500 000.

The Head of School presents the application to the Vice-Chancellor at the Advisory Council to the Vice-Chancellor (Rektors ledningsråd).

If necessary, the project manager will assist the Head of School in the presentation.

b) The Head of School decides on submission when:

- the project manager (researcher) is the main applicant (in accordance with the requirements set by the funding body),
- the application requires co-financing from the University that is a maximum of SEK 500 000.

The Deputy Head of School (Proprefekt) presents the application to the Head of School at the respective Advisory Council to the School (IL). If necessary, the project manager will assist the Deputy Head of School in the presentation.

Note:

Decisions on the submission of the application are also made by the Head of Department (Avdelningschef) by signing off in the application and case management system [Prisma](#) (for the funding bodies that require this).

After the deadline as stated in the call for proposals, the funding body registers the application in Prisma.

The application is then sent to the responsible Head of School, who then signs the application. The signing deadline varies between calls for proposals, but is normally between 5 and 7 days.

Own notes:

SUBMISSION TO THE FUNDING BODY	
<p>15. After an internal decision, you (the responsible project manager) must submit the application (all parts required by the funding body) well in advance of the application deadline and in accordance with the funding body's instructions.</p>	
DECISIONS FROM THE FUNDING BODY	
<p>16. Project managers are responsible for ensuring that any decision from the funding body (regardless of outcome) are filed electronically in the <i>diariet</i> by promptly sending it to the relevant Senior Administrator of the relevant school (<i>institutionsadministratör</i>). The Senior Administrator forwards the information to the Head of School, Deputy Head of School, Director of Department, Head of Subject, Financial Officer and Deputy Vice-Chancellor. The Dalarna University <i>diarienummer</i> (which was allocated upon submission of the <i>PM inför beslut</i>) must be provided.</p> <p><u>Consider the following when your project is granted:</u></p> <ul style="list-style-type: none"> ▪ Report any personal data processing to the University's Data Protection Officer: dataskydd@du.se. ▪ If you have questions about the management, storage, archiving and/or publication of research data, please contact: forskningsdata@du.se or see the University's website for information about the management and processing of research data ▪ Contact the Office of Marketing and Communications for assessment of marketing and dissemination: kommunikationsavdelningen@du.se. ▪ File (<i>diarieför</i>) all project documents on an ongoing basis – for example: <ul style="list-style-type: none"> - signed agreement (in original) with the funding body, - agreements, if any, with project partners, - application and decision, if any, on a research ethics review, - project reports (both scientific and financial), - financial documentation and follow-ups, audit certificates, etc., - important communication/correspondence with the funding body, coordinators and project partners, - contract changes, budget changes, etc. <p>The documents should be sent on an ongoing basis for filing (in the <i>diariet</i>) to registrator@du.se or to the relevant senior administrator of the school. The <i>diarienummer</i> must be provided.</p>	