Handbook for researchers with external grants

This handbook aims to give researchers at the School of Communication and Culture a single source of information about what happens when they receive an external grant and help project managers find any advice they may need.

The handbook is a working document that will be updated and revised regularly following input and feedback from project managers. It is designed as a work of reference to answer FAQs. But you are welcome to contact your research consultant or project finance controller if you have any other questions.

Read the handbook from cover to cover, or use it as a reference book, depending on what answers you are looking for. If you have any questions about the content, please direct them to one of the school's research consultants.

Contents

Creating your project

Responsibilities of the project manager/grant holder when creating a project

- The project budget can only be drawn up and created if the project manager/grant holder sends the application, project description, budget and grant approval document plus a collaboration agreement (if there is one) to the research consultant, who will contact Arts Finance with a view to creating the project and allocating a project controller.
- The project manager/grant holder is responsible for allocating salary funding to named researchers at the school before the project is created. If any unnamed postdocs or PhD students are involved in the project, funding should be allocated to the category of position in question. Workload reductions are registered in the Vipomatic system based on the project budget.
- As a rule, the project budget is binding, and the project controller performs an annual follow-up and adjustment. In the event of significant budget changes, the school will be informed.

Support functions

- Research consultant Helle Breth Klausen (hbk@cc.au.dk)
- Research consultant Line Gren (lgre@cc.au.dk)
- Coordinator at Arts Finance, Thor Fris Jespersgaard (thor.jespersgaard@au.dk)

Collaboration agreements

Projects involving collaboration with external partners normally require a collaboration agreement before they can be created. To start the process involved in collaboration agreements, the research consultant sends the application, project description, budget and grant approval document to the Technology Transfer Office (TTO).

Collaboration agreements are subject to the approval (and signature) of the head of school.

All communication with external partners relating to collaboration must be filed in WorkZone. To reduce the project manager's workload, the school's research consultant can coordinate the dialogue with external partners when collaboration agreements are finalized, as well as making sure that the documents are signed and filed. Please inform the research consultant from the outset if you would like any help with this.

Negotiations and contracts for EU projects are dealt with by the Research Support Office's project administration staff.

Responsibilities of the project manager/grant holder when entering into collaboration agreements

- The application, project description, budget and grant approval document must be sent to the research consultant in order to create the project.
- Correspondence with external partners must be filed in WorkZone. If necessary, correspondence can be sent on an ongoing basis to the research consultant, stating the project number and title. It will then be filed in accordance with the guidelines.

Information security and GDPR

Any projects which deal with personal data must be registered in AU's project register. See the application form. The guidelines relating to personal data, including the obligation to provide information and data processing, can be found via the following links:

- Data protection (GDPR): Personal data and research
- Protection of personal data (GDPR)
- Instructions for storage and processing of research data
- Research Data Management

If you can't find answers to your questions on AU's GDPR website, please contact the faculty's data protection coordinator.

It is important that the data used in the project is encrypted. If you are unsure whether the IT equipment used in your project complies with requirements, please contact Arts IT.

Responsibilities of the project manager/grant holder in connection with personal data

- The project manager is the internal data controller for the project and has overall responsibility for ensuring that AU's rules are complied with and that the project data is used in accordance with the Danish Act on the Processing of Personal Data.
- You must register your project and start the production of the necessary documentation (letters of consent and data processing agreements, for instance).

Support functions

- Advisor Pernille Roholt (pero@cc.au.dk)
- Research consultant Helle Breth Klausen (hbk@cc.au.dk)
- Research consultant Line Gren (lgre@cc.au.dk)
- Legal advisor Louise Buchhave (lobu@au.dk)
- Technology Transfer Office (TTO@au.dk)
- Arts IT (arts.it@au.dk)

WorkZone

Workzone is AU's ESDH (electronic case and records management system). Workzone is used to file decisions made by AU as an authority, as well as relevant documentation of the university's case processing in the administrative units and research related administration.

- All employees at the school are responsible for filing according to the current legislation. This is also true of all records tied to your external research project. Read more about WorkZone here.
- Workzone is fully integrated with your Microsoft Office products, and you can file directly from standard programs such as Outlook, Word, Excel and PowerPoint.

Support functions

- Write to workzonesupport@cc.au.dk or contact the school's TAP Support.

Appointments

All appointments are subject to the approval of the head of school.

The appointment of postdocs named in the application in connection with externally financed projects starts by sending a signed project budget, a salary calculation by a project finance controller, the name of the postdoc concerned and the period of the appointment to Anne Overballe (overballe@cc.au.dk).

If unnamed postdocs are to be appointed, please send a signed project budget to advisor Tine Arsinevici (tine.a@cc.au.dk). You will then receive a template for use in advertising the position(s), as well as information about what happens next.

To complete the employment contract and salaries for new employees before employment, Arts HR must have received notice according to the timeframes below:

- Citizens from Denmark: 30 days before employment start
- Citizens from EU/EEA: 60 days before employment start
- Citizens from outside the EU/EEA: 90 days before employment start

If you are intending to appoint PhD students, please contact Anna Louise Plaskett at Arts PhD Administration. Please note that the Graduate School has two rounds of appointments each year: 15 March and 1 October respectively. The Graduate School will inform you of the deadline for submitting job advertisements. Find more information about appointments and deadlines.

If you want to appoint a student worker or research assistant in the project, please contact the department secretary. When appointing student workers or research assistants, please state the project number of the grant which is to finance the appointment(s) concerned.

If you need work permits or residence permits when appointing staff from abroad (or extending their contracts), please contact Louise Søndergaard (louises@au.dk) from Arts HR.

Responsibilities of the project manager/grant holder in connection with personal data

- The project manager is responsible for initiating the appointment process by contacting Anne Overballe, Anna Louise Plaskett or the department secretariat concerned. When contacting Anne Overballe and the department secretariat, please attach the project budget and a salary calculation produced by the project finance controller, indicating the duration of the appointment and the number of hours involved.

Support functions

- Anne Overballe (overballe@cc.au.dk)
- Department secretariats
- Anna Louise Plaskett (plaskett@au.dk)
- Louise Søndergaard (louises@au.dk)

Useful links

- Agreement on working hours at the Faculty of Arts (2023-2025, in Danish)

- Note on 'institutarbejde' for postdocs at the school (in Danish)

International staff or visitors

AU International Academic Staff Services (IAS) offers assistance when recruiting researchers from abroad – including help with residence permits, housing and relocation services.

The AU Relocation Service is tailored to suit the needs of the individual concerned and covers the entire duration of the appointment. It's a service for international staff and expats who are employed at postdoc level or above. Find more information about the AU Relocation Service.

IAS (International Academic Staff) can help visiting researchers who are not employed by AU to apply for residence permits and work permits. Find more information about IAS.

Find information about housing and accommodation. Please note that accommodation in the Nobel Park is only possible subject to an application from the school and a recommendation from the dean.

Responsibilities of the project manager/ grant holder in relation to international visitors

- The project manager/grant holder is responsible for initiating the process by contacting IAS.
- Hosts must help to produce the necessary invitation material (the actual invitation, for instance).
- When international visitors are to be accommodated in the Nobel Park, the project manager/grant holder is responsible for initiating the application procedure by contacting the research consultant.

Support functions

- International coordinator Inge Aachmann Pedersen (iap@au.dk)
- Department secretariats

Conferences and support

Support is provided for planning conferences with a minimum of 25 participants. Please contact Arts Communication. This support includes an advice service, setting up a conference website, internal advertising, booking rooms, setting up a registration system for participants and online lists of participants, and following up on the payment of conference fees.

The school's department secretaries can help to organise workshops, meetings and minor conferences (this usually involves student assistants). If you need help in connection with these events, please contact the secretaries well in advance.

Responsibilities of the project manager/grant holder in connection with conferences and support

- The project manager/grant holder is responsible for contacting Arts Communication at least four months before the conference (and preferably even earlier).

Support functions

- Gitte Grønning Munk (ggm@au.dk) at Arts Communication can help to plan major international conferences.

- Department secretariats

Post-award support for EU projects

The Research Support Office offers expert consultancy services and administrative support to manage externally financed research projects.

This project administration service is divided into two teams: the Partner Project Administration Team, and the Coordinator Project Administration Team.

Partner projects (compulsory)
The Project Administration Team approves projects under the EU's framework programmes both when contracts are being prepared, and when reports are being submitted. This provides quality assurance and anchors the process in central decision-making forums. The team is also responsible for contacting auditors in connection with project audits and is authorized to sign on behalf of Aarhus University.

Support functions

- Jesper Juel Holst (jjh@au.dk) and Morten Hollænder Beeck (mhbe@au.dk) from AU's Project Administration

Coordinator projects (additional services)
The Project Administration Team offers administrative support in connection with large and complex research projects which are coordinated by researchers at Aarhus University and Aarhus University Hospital. This service is a supplement to the general services offered by other parts of the central administration and is provided subject to a user fee. The support service will be customized to meet the needs of the project concerned. The school recommends that researchers who are coordinators of EU projects under H2020 make sure that their application budget includes funding for project administration support by the Research Support Unit's post-award team.

Support functions

- Mette Søgaard Presser (mesp@au.dk) and Emilia Alegria (esa@au.dk)

Administrative Support

Particularly in relation to administrative support for projects without overhead or with limited overhead (OH): Please be aware that if your application budget includes funds for "administrative support," "secretarial assistance," or similar purposes, these funds are intended to cover the associated project costs, including support from Arts Economy, HR, and consultant/secretarial help related to hiring. In essence, allocating funds to this item does not grant special privileges in terms of administration, including secretarial and consultant services.

Purchasing

When you make purchases on behalf of Aarhus University, you must always observe the current purchasing agreements and the rules for entertainment expenses, refreshments etc. AU's purchasing policy and rules for refreshments and entertainment expenses must also be observed in connection with external grants.

Purchasing agreements apply regardless of whether purchases are invoiced directly to Aarhus University, or whether you pay first and then have your expenses reimbursed.

You will find more information about guidelines and procedures in connection with purchasing.

Responsibilities of the project manager/grant holder in connection with purchasing

- The project manager/grant holder is responsible for observing the current guidelines for purchasing.

Support functions

- Department secretariats

Rules regarding refreshments

Refreshments to be served at meetings, seminars and academic events can be ordered via the department secretaries, or via student assistants connected to external projects.

Specific rules apply to refreshments in connection with internal meetings and entertainment expenses. Please check the current rules for refreshments for internal meetings and entertainment expenses before ordering. As a general rule, no refreshments are available for internal meetings unless they last all day.

It is very important that AU's current purchasing agreements are observed. Purchasing agreements apply regardless of whether purchases are invoiced directly to Aarhus University, or whether you pay first and then have your expenses reimbursed.

Responsibilities of the project manager/grant holder in connection with refreshments

- Please remember to state the occasion, the number of participants and the payment details (project number + activity number).

Support functions

- Department secretariats

Communication - Internal and External

IKK's own communication officer is ready to help when you need assistance in getting the news about your new grant out into the world. In connection with your new grant, as the project leader/grant holder, you are responsible for reaching out to the communication officer so that together you can

determine what is needed. Typically, a news article about the grant will be prepared and published on IKK's website.

Support functions

- Communication Officer at IKK, Mathias Holm Guldberg (magu@cc.au.dk)

Websites

If a project website is required, please inform your local department secretaries. Websites are set up by Arts Web Support and maintained by the local secretariats. Please note that the school cannot offer to update websites on an ongoing basis.

Responsibilities of the project manager in connection with project websites

- The project manager must start the process of creating a project website by contacting Arts Web Support

Support functions

- Arts Web Support (arts.websupport@au.dk)
- Department secretariats

Translation and proofreading

Language Services offer to proofread academic articles written in English by the faculty's researchers and PhD students. There is an annual quota of 18,000 words per member of staff. This quota is available each calendar year but cannot be transferred to subsequent calendar years.

If you know that you are going to exceed this quota, you need to apply for funding to cover the costs of proofreading and translation between Danish and English. Translation and proofreading can then be purchased under AU's *binding* framework agreement with Global Denmark. Each faculty has one or two regular external suppliers, while the central administration's language services work with a large translation agency which will also provide backup for the faculties.

Responsibilities of the project manager/grant holder in connection with proofreading and translation

- The project manager/grant holder must contact Language Services for proofreading assistance. Proofreading services are allocated on a first-come-first served basis, so we recommend that you order proofreading in good time – preferably 2-3 weeks before you would like your text to be returned, unless your text is a short one (max. 1,500 words).

Support functions

- Language Services, Arts (sprogservice.arts@au.dk)

Publication support

If you have external grants that include funds for publication, these can be used to finance Open Access journals, provided this is in accordance with the guidelines specified by the grant provider. The school does not support publication expenses for Open Access.

Publishing: Authorship

Shared Authorship

There is an increasing focus on collaborative research and the dilemmas that shared authorship can create. As part of ensuring responsible research practices and research freedom, AU and IKK support the Vancouver rules for authorship, which among other things, establish roles and responsibilities in connection with publishing. Each researcher is responsible for ensuring that these guidelines are followed for all manuscript submissions. The Vancouver rules list the following criteria for authorship:

1. Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
2. Drafting the work or reviewing it critically for important intellectual content; AND
3. Final approval of the version to be published; AND
4. Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

All individuals listed as authors MUST meet all four criteria for authorship, and ALL individuals who meet the four criteria MUST be listed as authors.

AI and Authorship

Chatbots (and similar GAI tools) cannot be listed as co-authors, as they cannot be held responsible for the accuracy, integrity, and originality of the work (Principle 4). The person(s) who prepare(s) and submit(s) material for publication are therefore responsible for all material, including material prepared with assistance from AI technologies.

Read more about the Vancouver rules and AU's principles regarding responsible research practices.

Workload reductions/buyout

Buyout means that your full cost as a researcher is financed by a foundation or another external party for a period.

The school encourages you to also co-finance with some of your research time in addition to the buyout months when participating in externally funded projects. Co-financed time is always research time (in-kind), which is not registered in Vip-O-Matic but serves to make visible that you, as a researcher, expect to spend research time on the project (in addition to the buyout months).

The part of your buyout that consists of teaching time must be registered in Vip-O-Matic. The calculation for a full buyout (a buyout that consists of both research and teaching time) will be as follows:

The sum of the amount applied for and granted as buyout is divided by the cost of having a given researcher employed for a month (= the researcher's cost price, which Arts Economy can help with). Most tenured researchers at IKK will be subject to the Working Time Agreement and will be employed to perform 60% teaching and 40% research per month. This means that when you have received a one-month full buyout, 60% of the time will be teaching time (and thus must be registered in Vip-O-Matic), while 40% of the time will consist of research time, which is not registered in Vip-O-Matic.

One month's buyout means that you are fully bought out for a month to participate in an externally funded research project. This means that all the time you would normally spend on research and teaching will now be spent on researching the project for which you are bought out.

Example:
An associate professor has been granted a full buyout for six months and this is credited with 495 hours. The associate professor will therefore not work for the school in one of the two semesters. The calculation is as follows: 6/12 months x 1650 hours x 0.6 (percentage teaching).

Project Leader/grant holder's Responsibility in Connection with Buyout

As a project leader/grant holder, you are responsible for ensuring that the buyout for the involved project participants is established in connection with the creation of the project.

If changes occur during the project that necessitate a redistribution of hours, you must inform arbejdstid@cc.au.dk to update Vip-O-Matic.

Support functions

- Vip-O-Matic Team (arbejdstid@cc.au.dk)
- Research Consultant Line Gren (lgre@cc.au.dk)
- Research Consultant Helle Breth Klausen (hbk@cc.au.dk)

Working abroad

Any periods spent working abroad must be arranged with your head of department well in advance. If you are going to stay abroad for a lengthy period of time, it may be an advantage to check AU's international department website. The most important aspects of working abroad are presented on this website.

Support functions

- IAS@au.dk

Project management

Research management is a central aspect of project management, and the time spent on it is taken from your research time.

If this is the first time you have received a major grant (more than DKK 3 million), AU might be able to offer a research management course with a view to improving your skills as a research manager. The course helps you to understand (and gives you options for taking action in) the interplay between your personal qualities and the institutional conditions of the special framework that characterises management at AU.

If you want to take part in a research management course, you can apply to the head of school for funding via your head of department. You can learn more about your options on HR's website on competence development.

Please note that the time spent on this course is regarded as research related, so it does not generate hours of work in Vipomatic. This is described in the agreement on working hours (DK only). When your total research output is assessed in connection with the research review, the research management of external grants is taken into consideration.

Responsibilities of the project manager in connection with the research management course

- Project managers must contact their head of department if they wish to take part in a research management course.

Support functions

- AU HR, Organisational and Learning Development
- Head of department

PURE

Publications which are produced under the auspices of AU must be registered in PURE. Publications must be categorised according to their type. Most types of publication have sub-types, each of which has its own template in PURE. You should start the registration process by selecting the sub-type and template that suits the publication in question best. See a list and description of the various types of publication.

It is important to create external projects in PURE so they appear on your website and in your PURE data. Research management is regarded as a central aspect of your research output.

You should create externally financed projects in PURE's project module. Projects contain various types of content. For instance, they combine publications and applications with each other, and provide an overall picture of the types of content involved.

The types of content known as Applications and Grants can also be found in PURE. Applications and Grants enable you to register detailed financing data in connection with projects. Read more about creating projects in PURE.

Responsibilities of the project manager in connection with PURE

- Project managers must create their own projects in PURE. It's important to register your publications regularly and correctly.

Support functions

- AU Pure Support (pure@au.dk)

Reporting

The funder will present certain demands regarding reporting and documentation. These are normally stated in the grant approval document or grant guidelines. Your project finance controller is often familiar with these guidelines and can help with the financial aspects of reporting.

For major projects (EU applications, for instance), the school recommends that you purchase the Research Support Office's post-award support.

Responsibilities of the project manager in connection with reporting

- Being familiar with the demands for reporting
- Assuming responsibility for academic and (when necessary) formal reporting

Support functions

- Coordinator at Arts Finance, Thor Fris Jespersgaard (thor.jespersgaard@au.dk)
- Research consultant Helle Breth Klausen (hbk@cc.au.dk)
- Research consultant Line Gren (lgre@cc.au.dk)