FOREWORD

Most welcome as a reviewer of scientific proposals at the Swedish Research Council within the area of development research. The government of Sweden has assigned the Swedish Research Council to prepare, review and decide on grant applications within development research. We are responsible for both project research grants as well as the international collaboration grant Swedish Research Links.

The instruction for reviewers will guide you through the process of reviewing applications. It contains instructions on how to use the review system, policies to adhere to, and the roles and responsibilities of the different members of the review organisation. Some of the instructions differ from the instructions valid within the Swedish Research Council’s other scientific areas. It is therefore important that you are familiar with the specific instructions even though you may have been a reviewer within another scientific area. Hence, it is important that you read through the instruction as well as the appendices. You will also receive support and information from the council staff or the chair of your evaluation panel throughout the evaluation process.

I hope that you will find your work as a reviewer interesting and rewarding.

Cecilia Stålsby Lundborg
Scientific advisor for development research, the Swedish Research Council
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## TIME-TABLE FOR INDIVIDUAL EVALUATION PANELS

<table>
<thead>
<tr>
<th>REVIEW PANEL</th>
<th>Assessments reported in VR-Review by:</th>
<th>Date for panel meeting</th>
<th>Written evaluations updated in VR-review by main proposer by:</th>
<th>Written evaluations approved by chair by:</th>
<th>BEREDNINGSGRUPP</th>
</tr>
</thead>
<tbody>
<tr>
<td>UF-3: Natural, engineering and environmental sciences</td>
<td>1 Sept</td>
<td>17-18 Sept</td>
<td>25 Sept</td>
<td>2 Oct</td>
<td>UF-3: Naturvetenskap, teknik och miljö</td>
</tr>
<tr>
<td>UF-5: Global health</td>
<td>8 Sept</td>
<td>24-25 Sept</td>
<td>2 Oct</td>
<td>9 Oct</td>
<td>UF-5: Global hälsa</td>
</tr>
</tbody>
</table>
PRINCIPLES AND RULES FOR REVIEWING

This and the following chapter describe the evaluation process for reviewers in one of the evaluation panels within Development research. In the Appendices section, more detailed information about many of the elements can be found and you are therefore expected to familiarize yourself also with these documents.

Introduction to Development research

From 2013, the Swedish Research Council supports the area of development research and the Council will distribute SEK 170 million of the Government’s development cooperation budget to that research area. Development research supported by the Swedish Research Council encompasses Swedish research of particular relevance for low- and middle income countries according to the DAC list of ODA recipients, and support to research collaboration between Swedish researchers and researcher in selected low- and middle income countries. The research should be relevant to the overall goals of Swedish development cooperation as well to the goals for the global development policy. According to those goals the research should contribute to create conditions that will enable poor people to improve their lives, and/or to an equitable and sustainable development.

The funds allocated to development research should be used in accordance with OECDs Development Assistance Committee DAC's guidelines.

In 2013 the Swedish Research Council established a Committee for development research (here also referred to as the Committee) at the council. Tasks of the Committee are to shape strategies and to develop the process for evaluation of scientific quality as in the research area as well as relevance to the overall goals of Swedish development cooperation. Further, the Committee will integrate development research more closely with the Swedish Research Council’s activities. Two different grants; the Project Research Grant within development research (known as U-forsk which was previously handled by SIDA) and the international collaboration grant Swedish Research Links, underlies the responsibility of the Committee. The Committee, among other things, will take the funding decisions, decide on panel members and develop the evaluation process. Read more about the committee here.

Project Research Grant within Development research

The goal for the project grant Development research is to strengthen Swedish Research with particular relevance to low- and middle (medium) income countries. Support is given to high quality research, in all scientific areas, that is relevant to the overall goals of Swedish development cooperation, and to the goals for global development policy. The research can be focused on knowledge that is immediately or potentially useful in fulfilling the goals of this call and comprise basic through to applied research.

Swedish Research Links programme

The purpose of the programme is to support the development of long-term research partnerships of high quality between Swedish researchers and researchers from/within selected low- to middle income countries. The programme aims to support collaborative projects/ research collaboration on topics relevant for low- and middle income countries and that are based on principles of mutual benefit, equality and co-design. The long-term aim of SRL (the programme/the call) is to contribute to mutual scientific and socioeconomic development of the countries involved.

News

Project Research Grant

The transfer of the funds from Sida last year resulted in some smaller changes. Since last year, the applicant can apply for all project-related costs, including salaries for international co-workers. There is no maximum amount
allowed to apply for (at Sida there was a limit of SEK1 500 000), neither necessary to enclose a certificate of research collaboration with researchers in other countries.

Swedish Research Links programme
Researchers are allowed to apply for a new International Collaboration Grant with the same partner if the new collaboration project is on a new topic and the current grant period ends in 2014.

Evaluation panels
In 2014 there are four evaluation panels for project research grant and one panel for the Swedish Research Links programme: UF-1 and UF-2 (Humanities, social and behavioural sciences), UF-3 (Natural, engineering and environmental sciences) and UF-5 (Global Health) and SRL (Swedish Research Links). A list of panel members can be found in appendix Panel members Development research 2014.

Responsibility of the Evaluation Panel
The primary responsibility of the Evaluation Panel is to present a recommendation for a decision to the Committee for Development Research by assessing the quality of scientific content as well as the relevance to the objectives of the call in the research grant applications. Based on this information, the Committee makes its final funding decision.

To complete the evaluation process, each Evaluation Panel must:

- Evaluate and score the quality of each application within the Panel’s area of responsibility.
- Produce a written evaluation for each application (with exception for those that have been triaged)
- Establish a list of priorities of the proposals
- Report back to the Committee on the review process

Roles and responsibilities
The Committee has appointed the panels and their chairs. The chair is responsible for leading the work of the panel according to the principles of the Swedish Research Council (see Appendix Roles and responsibilities). He or She is responsible for ensuring that the evaluation panel reaches a joint evaluation assessment for each individual application. He or She is responsible for securing that the written evaluations that are being sent to the applicants are consistent with the panel’s recommendations. The chair will appoint a vice-chair that will lead the panel when the chair needs to leave the room due to conflict of interest or other reasons.

As a reviewer or main evaluator you are required to review the applications according to the time schedule (please see time-table for individual evaluation panels, page 4) and follow the guide lines from the Swedish Research Councils (see Appendices on different policies) plus attending the panel meeting. The main evaluator presents the application and possible external reviews, is the main responsible for reviewing the budget of the applications and writes the final written review based on the discussions and recommendations of the panel.

Each panel has a research administrator and a research secretary from the Swedish Research Council. Their task is to assist the chair in the planning of the meeting, administer the review process and convey the policies and guidelines the panel need to consider and adhere to in the review. The chair and the staff of the council jointly make sure the process runs smoothly and accordingly.

Rules, guidelines and principles

Evaluation of scientific quality
The preamble of the Swedish Research Council’s charter states that: “The Swedish Research Council shall provide support for basic research of the highest scientific quality in all scientific areas.” The fundamental
principle in evaluating scientific quality is peer review of applications for research grants, as conducted by the
different Evaluation Panels in their respective scientific areas.

*Project Research Grant:* Each evaluation must fundamentally address the four basic criteria for assessment
of scientific quality – novelty and originality, scientific quality of the project, qualifications of the applicant(s),
and feasibility. These four basic criteria are intended to represent an application’s "quality profile" (see next
section).

*Swedish Research Links:* Evaluation of applications includes assessment of five basic criteria - novelty and
originality, scientific quality of the project, qualifications of the applicant(s), feasibility and in addition
complementarity of the research (the added value of the research collaboration) that together describe the
scientific quality of the application.

**Evaluation of relevance to the call**
The relevance of the application is evaluated separately from the scientific quality and is not included in the
overall grade.

The research that is supported within the area of development research in the form of Project research grant
and Swedish Research Links should be relevant to the overall goals of Swedish development cooperation and to
the goals for global development policy. This means that the research should help creating conditions that will
enable poor people to improve their lives, and/or contribute to an equitable and sustainable development.

The proposals will be evaluated regarding scientific quality as well as relevance to the goals of the calls,
where scientific quality is the principal criteria. The research can be focused on knowledge that is immediately
or potentially useful in fulfilling the goals of this call and comprise basic through to applied research.

In order to be considered for funding, the applicant must clearly show (Appendix c1, Relevance to Program
Objective) that his/her application is relevant to this call. The applicant has received the following description
as guidance:

"Relevant research aims to identify problems that primarily affect the most vulnerable women and men, girls and boys in low- and
middle income countries, and should aim to solve these problems. The research should contribute to an equitable and sustainable
development in low- and middle income countries. The research is also encouraged to identify new factors that are relevant to the
development in low- and middle income countries, and to touch upon global problems that significantly affect these countries.
Collaboration with researchers in low- and middle income countries is encouraged."

In addition, the applicant has also been instructed to describe (in Appendix c1) how the project relates to the
government policy for environmental and climate issues, and the policy for gender equality and the rights and
role of women in Sweden’s international development cooperation. After the calls had been issued, the
government decided in March this year on a new platform for development cooperation policy. This platform
has replaced a number of policy documents, including the policy on environment and climate and the policy on
gender equality. However, since the two individual policies' were valid at the start of the call, these are the ones
that should be addressed in the evaluation (please find more information on the links below).

**Swedish Research Links only**
Applicants for the collaboration grant within the Swedish Research Links programme should clearly show that
in addition to the relevance to the overall goals of Swedish development cooperation, the application/project is
also relevant to the second objective of the call; development of long-term research partnerships.

For more information, please consult the following websites:

- [Swedish development cooperation](#)
- [Research for Development – policy for research in Swedish development cooperation and strategy for Sida’s support
  for research cooperation 2010-2014](#)
- [Global challenges – our responsibility – Communication on Sweden’s policy for global development 2008–2014](#)
- [Policy for environmental and climate issues 2010-2014](#)
- [On equal footing – policy for gender equality and the rights and role of women](#)
Conflict of interest

A process with expert review means that the evaluation of applications is conducted by researchers who are part of the collective of scientists applying for grants. This creates a special risk for a conflict of interest (particularly conflicts involving special circumstances). To avoid conflict-of-interest situations in the review process, the Swedish Research Council has established strict internal guidelines (see Appendix Conflict of interest policy for a detailed description). All members are obligated to report conflicts of interest in relation to applications that they will review. In uncertain cases, the Chair or Swedish Research Council personnel are consulted. Ultimately, it is the agency that bears responsibility.

In cases where conflicts of interest exist, another reviewer is appointed. The members of the Evaluation Panel (including the Chair) may not be part of an application reviewed by the Panel. Regarding all types of conflict of interest, those in conflict must leave the room when the matter is reviewed. A special conflict-of-interest protocol is used to document conflicts of interest. The protocol must be used even in cases where conflicts of interest are addressed, but not found to be present.

Gender equality

The Swedish Research Council aims to promote gender equality throughout its sphere of activities. Towards this end, the Board of the Swedish Research Council approved a strategy for gender equality (see Appendix 4 for details). One of the operational goals of the gender equality strategy is that men and women should have the same success rate and the same average grant size with regards to the nature of the research and the grant type. This goal should be considered by all that are involved in evaluation, preparation and decisions on research proposals.

The individual panels are thus required to take gender aspects into account throughout their evaluation work and specifically when making the final suggestion for prioritisation of the proposals. Before the evaluation panel makes a recommendation for the allocation of grants, the approval rate in the recommendation and the average grant size should be determined for women and men, respectively. Gender equality should be used as a boundary condition for the prioritization of applications of equal (or near equal) quality. In these cases, applications from underrepresented gender are given higher priority. Possible differences should be commented on in writing, it being the responsibility of the chair.

Junior researchers

The board the Swedish Research Council has determined that scientific councils, councils, and committees while maintaining high standards of quality shall provide good conditions for researchers in their early careers. As a benchmark 1/3 of the annually decided total sum for project funding and funding of employment and scholarships for every scientific council and committee should be allocated to young researchers, meaning researchers who have a career age of less than 8 years.

Funding periods and amounts

The Scientific Council is responsible for taking initiatives to increase the average length of funding periods as well as the average amount of grants in order to improve the conditions for research. This means:

- The average amount of grant should not be less than previous year (approx. SEK 1 300 000/year).
- Progressively move towards funding periods of more than three years. This year, it means that approximately 20 % of the applications should be awarded for four years and the rest for a maximum of three years.
  However, an application can never be awarded for more years than applied for.

For the Swedish Research Links programme the maximum amount for an International Collaborative Research grant is SEK 250 000/year for a funding period of three years.
The primary objective of the evaluation panels is to assess the scientific quality of the applications according to the instructions given by the scientific councils and committees. In their scientific assessments, the evaluation panels should not consider different levels of indirect costs. The evaluation panels should assess the reasonableness of the applicant’s proposed budget in relation to the project’s implementation and can suggest cutbacks in the project’s budget.

Release of documents

Up until the time that the Scientific Council renders its funding decisions (November) all information about the evaluation findings remains confidential. If anyone requests information about an application, or how it has been evaluated, they should be referred to the administrative staff person assigned to the Evaluation Panel.
THE REVIEWING PROCESS

In this and coming chapters the evaluation process is described. For more detailed information on some of the areas, please consult the appendices.

Summary of the reviewing process:

- Each project research grant proposal is assessed individually by five of the panel members, and each Swedish Research Links proposal is assessed by three members.
- One of the assigned reviewers is the “main Evaluator”. She/he is responsible for presenting the proposal to the panel at the panel meeting, and also for writing the joint final written evaluation. The main evaluator also has a particular responsibility to assess the budget of the proposal, and to present any external reviews.
- Each reviewer assesses all of his/her proposals by grading and ranking them individually (ranking applies only for project research grants).
- The panel meets to discuss the proposals, agrees on a joint grading, written evaluation and a final recommendation for funding.
- Funding decisions are made.

Before the panel meeting

Before the evaluation work is started

Call for proposals and recruitment of panel members – spring of 2014

The panels are appointed during spring and the decision is made by the Committee. A list of all panel members for 2014 can be found in the appendices. The call for grants within Development research is open between 17th of February-2nd of April. It is important to read the text of the call in order to see the instructions given to the applicants by the Swedish Research Council. You can find the text in the appendices.

Personal details and report conflict of interests in VR-Review – May

The Swedish Research Council uses an on-line system – VR-Review – for the review process (https://secure.vrreview.vr.se). You will receive your personal login-information and User’s guide. Upon logging-in, you must first register your personal data information and particulars for reimbursement from the Swedish Research Council. In VR-Review, you have access to your panel and the applications you have been assigned, and you may also order print outs if needed (print-on-demand). This is where you will write your preliminary assessment and later your final. Please find the user guide in the appendices for more details.

As a panel member, you are obliged to report any conflict of interest to the proposals in your panel. You must tick the box for accepting the regulations on Conflicts of Interest in order to verify that you will follow these regulations and their application for reviewing (see Appendix section, page 33). Report all applications for which you have a conflict of interest. The Council staff will inform you via e-mail when the system is open for reporting conflicts of interest and it is of utmost importance that you clarify all situations of conflicts in order for the applications to be distributed to the right reviewers.

If you find a conflict of interest at a later stage, you must immediately report this to us by e-mail to: bgUSRL@vr.se

Distribution of applications – May

Each project grant application is assessed by five panel members and applications for Swedish research links by three members, out of which one is the “main Evaluator”. For project research grant applications, the chair normally reads and grades all applications but is not the main Evaluator for any application. A suggestion on the distribution of applications amongst the panel members is done by council staff and sent to the chair for approval. The chair may make changes before the VR staff distributes the applications in VR-Review.
Panel conference on May 22
At the conference we will go through guidelines, policies, rules from the Swedish Research Council and show statistics for the two calls. There will also be time to go through the applications to the evaluation panel and make smaller adjustments on the distribution of applications on reviewers and main evaluators.

Distribution of applications-Print-on-demand – June
In mid-June you will receive your applications on the type of media (paper or memory stick) you have chosen in VR-Review.

The individual reviewing work
For a period of two to three months, you will read and evaluate your applications. For a given application, your role may be that of main Evaluator (indicated by a specific symbol in the list of proposals in VR-Review) or Reviewer. In both cases, you report your grades (see the following sections). The main Evaluator may also write a preliminary assessment note to facilitate presenting the applications at the panel meeting. When writing the final review, the main Evaluator can copy the preliminary assessment, but is obligated to change this in accordance with the discussion led at the panel meeting, and the results agreed upon. As a main evaluator, you should also review the budget in relation to the research program.

In shortness, the review process consists of three things to be reported into VR Review:
1) Grading of the review criteria of all your given applications.
2) Ranking of all your given applications. (OBS: applies only for reviewing of project grants)
3) The form Preliminary evaluation can be used for written comments on the applications where you are a main evaluator. The text can be copied to the final written evaluation and revised according to the panel’s discussion.

Last day to report your grades and written assessments in VR-Review are as follows: August 25 for UF-1 and UF-2, September 1 for UF-3, September 8 for UF-5 and September 15 for SRL.

During the panel meeting

Triage
When a panel has a high number of applications the chair in consultation with the VR staff can choose to start the meeting with a triage procedure. The panel’s grades and ranking (OBS! Ranking applies only for project grant) constitutes the basis for the triage. In order to enable a thorough discussion of the applications of high scientific quality that can be considered for funding at the meeting, a number of project grant applications that are regarded by the panel as non-fundable can be sorted out at the beginning of the meeting in a so called triage procedure. The panel lead by the chair should agree on which applications should not be further discussed at its meeting and thus be rejected. Please note that the panel may never sort out more than 50% in the triage and that an application can be brought back at any point in the discussion by a panel member. The panel then needs to agree on a joint overall grade as well as grade for relevance to the call, for each triaged application. However, the triaged project grant applications will not receive an individual written evaluation. The triage procedure is described in more detail in the Appendices.

Triage based on relevance
The applicant needs to motivate the relevance of the project to the goals of the call (to programme objectives) as stated in call for proposals – Appendix C1. The applications that the panel agrees on not fulfilling the demand for relevance (that is given the grade 1 on relevance) can be sorted out in the beginning of the meeting. These applications will not be discussed further but will receive a standardized written review.
Discussions and prioritizing of applications
At the regular panel meeting, all applications for the respective forms of grant, except the triaged applications, are processed in order of registration number. The main Evaluator is responsible for presenting his/her applications with a short introduction of the content of the application, strengths and weaknesses. The panel will then jointly discuss and agree on all the grades as well on what strengths and weaknesses that should be brought up in the written evaluation that will be sent to the applicant. When all applications have been discussed, the panel will agree on a priority list for applications to be funded with scientific quality as the overriding criteria. In cases where applications are seen as having the same level of scientific quality, the panel will look to the relevance criteria. When finalizing the priority list for funding, gender equality must apply when prioritising between applications with comparable quality.

Budget suggestions for prioritised applications
The evaluation panel should suggest a budget for the applications they want to prioritise. The evaluation panels should assess the reasonableness of the applicant’s proposed budget in relation to the project’s implementation and can suggest cutbacks in the project’s budget. The main evaluator has a particular responsibility for a first evaluation of the budget that will be discussed with the panel at the meeting. In their scientific assessments, the evaluation panels should not consider different levels of indirect costs.

For project research grants, there is today no maximum amount to apply for. This does however not mean that all applications that are granted should receive the whole applied amount. The larger amounts that are granted, the less applications can be granted in total. A balance between these aspects should therefore be considered, where an average grant amount of 1 300 tSEK per year should be aimed for.

The maximum amount that can be granted for Swedish research links applications is 250 000 SEK/year. However, a higher amount than applied for cannot be granted. The reasonableness of the proposed budget in relation to the project’s implementation should be assessed also for Swedish research links and cutbacks may be suggested. The panel should also check that project costs such as equipment do not exceed 50 000 SEK/year.

Written evaluations
As a main Evaluator you are responsible for taking notes during the discussion of your main applications. The written review is always sent to the applicant when the funding decision has been made and it is hence very important that the written review truly reflects the grades and the group’s discussions, that they are informative and that they point to the strengths and weaknesses of the proposals. The triaged applications will not receive a written review.

Reporting from the evaluation panel
The panel’s experiences from processing the applications are important instruments in the Research Council’s work. The panels are therefore requested to report back from their work to the Scientific Council concerning a number of aspects including gender equality aspects in evaluation and outcomes, the panel composition and competences, trends within the applications.

After the panel meeting
Finalize written evaluation in VR-Review
Based on the evaluation panel’s discussion and joint recommendations, the main Evaluator completes the written evaluations in VR-Review. It is therefore important that the main Evaluator takes notes during the panel discussions to ensure that the written evaluation point to the strength and weaknesses of the proposal. All evaluations must be finalised in VR-Review no later than one week after the meeting (for more information on how to write your evaluation, please next section). The panel chair checks all the evaluations,
and finally approves the evaluations no later than two weeks after the meeting. You may hence be asked to re-write or complement with additional information by either the chair or by the council staff.

**Funding decision – October/November**

The Committee for Development Research meets at October 27 to make the final decision on funding and the decision is published on the Councils website in the beginning of November. Once decisions are official, the applicants will receive a written notification of the decision.
GRADING AND RANKING

Evaluation Criteria

The assessment of applications is made using the Swedish Research Council’s grading system, with six evaluation criteria for Project research grant applications and seven for Swedish research links.

1) The assessment of the scientific quality of an application is made using four basic criteria for the Project Research Grant and five basic criteria for the Collaboration grant (SRL).

**Novelty and originality**

**Scientific quality of the proposed research**

**Merits of applicant(s)**

**Feasibility**

**Complementarity of the research** – Note! Applies only to Swedish Research Links

2) The above basic criteria should be weighed to an overall assessment grade of the scientific quality. For Swedish Research Links applications the overall grade includes also the criteria **Complementarity of the research**

**Overall grade**

3) The assessment of the relevance to the call objectives is made with a separate criterion.

**Relevance to program objectives**

Below you will find a description of the criteria. Some of the criteria are scored on a seven-grade scale, while others are scored on a three-grade scale. The scores are reported in VR-Review in assessment notes or preliminary evaluation depending on if you are a reviewer or main evaluator of an application.

Basic criteria for the assessment of scientific quality

**Novelty and originality (grading scale 1-7)**

*Guiding questions:*
- Does the project convincingly challenge prevalent opinions and practice?
- Is there potential for the creation of new knowledge, exciting new ideas and approaches, directions for research and understanding of the research field?
- Does the project include use of novel technologies/methodologies, or innovative application of existing methodologies/technologies in new areas?

**Scientific quality of the proposed research (grading scale 1-7)**

*Guiding questions:*
- Is the project scientifically significant?
- Does the overall design of the project, its research questions and hypotheses meet the standards of highest quality?
- Are the scientific/intellectual merits of the proposed research clear, convincing and compelling?
- Does the proposed project have the character of thoroughness, e.g. in its definition of the problem and proposed solutions, and review of the state of the art?

**Merits of applicant(s) (for Swedish research links: Swedish and international applicant) (grading scale 1-7)**

*Guiding questions:*
- Does the applicant(s) have sufficient research experience, expertise, level of independence and scientific network for implementation of the proposed project?
- Of what merits are the previous publications and other scientific achievements (e.g. supervisor experience, external funding) in relation to stage of career and active time for research: do these show a distinct and
independent line of research or in case of a researcher in his/her early career stage, the potential of such? Focus is on the most relevant and important reports, with emphasis on quality rather than quantity
- Is there ability to successfully disseminate research findings?
- Note for Swedish research links: Is there appropriateness of the team members, if applicable, in terms of availability and complementarities of all the relevant expertise, and in how the different roles and responsibilities are distinguished?

Feasibility (grading scale 1-3)

Guiding questions:
- Is the general design, including time schedule, optimal for implementing the proposed project?
- Does the project (Collaboration project) include the availability and accessibility of relevant personnel, skills, equipment, facilities/infrastructures and other necessary resources?
- Is the environment suitable for carrying out the proposed research?
- Are the proposed research methods, infrastructures, equipment and fieldwork appropriate?
- Note for Swedish research links: Does the project aim to establish long-term research collaboration and contain a realistic plan for how to raise funds for such collaboration?

Complementarity of the research (the added value of the research collaboration) (grading scale 1-7)

Note; only applies to Swedish research links

Guiding questions:
- Is there appropriateness of the team members in terms of availability and complementarities of all the relevant expertise, and in how the different roles and responsibilities are distinguished?
- Does the cooperation bring mutual added value to the research; compared to if the partners were not working together?
- Can the cooperation lead to transfer of knowledge between applicants?
- To which extent is the collaboration based on principles of co-design, mutual benefit and equality?
- Does the project partnership have an appropriate gender balance?

Overall assessment of the scientific quality

Overall grade (grading scale 1-7)

The above base criteria were weighed together into an overall grade which should reflect the “quality profile” of the application. The grade for relevance is not included. As such, they will serve as assessments of single components and not as scores to be mechanically calculated to form the overall assessment grade of the scientific quality of the application. Thus, the grade cannot be a mean value or a sum of the four criteria. The individual reviewer, and the panel, must in each case reflect on what level of quality an application achieves as a whole.

Project Research Grant:

The four base criteria; Novelty and originality, Scientific quality of the proposed research, Merits of applicant and Feasibility are weighed together into an overall grade. The scientific quality of the project should be the overall guiding criteria. Normally, a positive assessment of only one criterion cannot balance all other weaknesses of an application when weighed together.

Swedish Research Links:

In addition to the four base criteria also Complementarity of the research is included in the quality assessment. For the evaluation of applications within the Swedish Research Links the criteria Complementarity could be the guiding one.
Relevance criterion

Relevance to program objectives (grading scale 1-3)
The evaluation of the relevance to the call should be based on the motives as described by the applicant in appendix c1 (see the instructions to the applicants in the text for the call under appendices). The relevance to the call and program objectives is evaluated separately. It should not be part of the overall grade. The applicant has been asked to motivate the relevance according to three criteria: general relevance to the call, relevance from a gender perspective and relevance for environmental and climate issues. The relevance grade for project research grant applications should primarily reflect the general relevance to the call.

For assessment of relevance for Swedish Research Links applications, relevance for development of long-term research collaborations is also included in addition to the above general relevance criteria. As such, Swedish research links applications should be relevant to the two goals; establishment of long-term research collaboration and the overall goals for Swedish development cooperation.

For both grants, the relevance from a gender perspective and the relevance from environmental sustainability can positively reflect the grade, but are not detriment to the grade.

1. General relevance to program objectives
   Guiding questions:
   • Does the proposed project match to the relevance description in the call objectives?
   • Does the proposed research have the potential to create opportunities for poor people in low- and middle-income countries to improve their lives?
   • Does the proposed research promote equitable and sustainable development in low- and middle-income countries?

2. Relevance for gender equality
   Guiding questions:
   • Does the project adequately consider aspects of gender equality in its design and execution?
   • Note for Swedish research links: Does the project partnership have an appropriate gender balance?

3. Relevance to environmental and climate issues
   Guiding questions:
   • Does the project adequately consider environmental and climate issues in its design and execution?

4. Relevance for the Development of long-term research partnerships
   Note: Only for Swedish Research Links
   Guiding questions:
   • Can three-year collaboration support lead to the establishment of a long-term research partnership? Does the collaborative research contribute to the establishment of new researcher-to-researcher relationships?
   • If principal investigators have collaborated before is the proposed collaboration based on a new research topic? What were the experiences of that previous collaboration?
   • Can additional funding lead to new collaborative research proposals with realistic ideas how to obtain funding?
## Grading scale

### The 7-grade scale

<table>
<thead>
<tr>
<th>Grade</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>OUTSTANDING / Enastående</td>
<td>Exceptionally strong application with negligible weaknesses/</td>
</tr>
<tr>
<td>Exceptionellt stark ansökan med försumbara svagheter</td>
<td></td>
</tr>
<tr>
<td>EXCELLENT / Utmärkt</td>
<td>Very strong application with negligible weaknesses /</td>
</tr>
<tr>
<td>Mycket stark ansökan med försumbara svagheter</td>
<td></td>
</tr>
<tr>
<td>VERY GOOD TO EXCELLENT / Mycket bra till utmärkt</td>
<td>Very strong application with minor weaknesses /</td>
</tr>
<tr>
<td>Mycket stark ansökan med mindre svagheter</td>
<td></td>
</tr>
<tr>
<td>VERY GOOD / Mycket bra</td>
<td>Strong application with minor weaknesses /</td>
</tr>
<tr>
<td>Stark ansökan med mindre svagheter</td>
<td></td>
</tr>
<tr>
<td>GOOD / Bra</td>
<td>Some strengths, but also moderate weaknesses /</td>
</tr>
<tr>
<td>Vissa styrkor men också vissa svagheter</td>
<td></td>
</tr>
<tr>
<td>WEAK / Svag</td>
<td>A few strengths, but also a few major weakness or several minor weaknesses /</td>
</tr>
<tr>
<td>Några styrkor men åtminstone en större svaghet eller ett flertal mindre svagheter</td>
<td></td>
</tr>
<tr>
<td>POOR / Dålig</td>
<td>Very few strengths and numerous major weaknesses /</td>
</tr>
<tr>
<td>Mycket få styrkor och ett flertal större svagheter</td>
<td></td>
</tr>
</tbody>
</table>

### The three grade scale use for Feasibility / Genomförbarhet

<table>
<thead>
<tr>
<th>Grade</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>FEASIBLE/Genomförbart:</td>
<td>3</td>
</tr>
<tr>
<td>PARTLY FEASIBLE/Delvis genomförbart:</td>
<td>2</td>
</tr>
<tr>
<td>NOT FEASIBLE/Ej genomförbart:</td>
<td>1</td>
</tr>
</tbody>
</table>

### The three grade scale used for Relevance to program objectives / Relevans för den särskilda utlysningens/satsningens mål

<table>
<thead>
<tr>
<th>Grade</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>VERY RELEVANT/Mycket relevant:</td>
<td>3</td>
</tr>
<tr>
<td>RELEVANT/Relevant:</td>
<td>2</td>
</tr>
<tr>
<td>NOT RELEVANT/Ej relevant:</td>
<td>1</td>
</tr>
</tbody>
</table>
Ranking of applications for the Project Research Grant

All applications that you have assessed as a reviewer and main evaluator should in parallel to the grading also be ranked individually by the reviewer. The ranking will be a complement to the grading when the panel applications are compared to each other.

- Each reviewer ranks all project grant proposals he/she has assessed from 1-N, starting with the top application as number 1 and N = the total number of project grants proposals read. The ranking should be based on the proposal’s scientific quality. Please note that several applications cannot be given the same rank number!

- Each reviewer’s individual ranking should be entered into the reviewing form. The ranking should be done as late as possible in the process since changes in the distribution of applications within the panel may occur which will change the number of individual applications, and thus ranking, for each panel member. The ranking should be reported at the same time as the grading (usually two weeks before the panel meeting).

- When applications are of “comparable scientific quality”, it is of particular importance to take gender equality aspects regarding under-represented gender into account.

Each reviewer’s individual ranking of his/her applications will be combined into a preliminary joint ranking which will be presented as a basis for discussion for the panel along with the grading. The preliminary ranking is primarily a help for the triage meeting when applications are sorted out and as a support for the discussions at the panel meeting and will not be used as basis for any final ranking and prioritization at the panel meeting.
Guidelines for written evaluations

As a main Evaluator writes, you can use the preliminary evaluation form in VR-Review to make written comments on the applications where you are a main evaluator. This text can be copied to the final written evaluation and revised according to the panel’s discussions after the meeting. Please note that the evaluation should be written in English.

After the panel meeting, it is the responsibility of the main Evaluator to see to that the evaluation (grades and text) summarizes the panel’s joint assessment. This includes inserting the panel’s joint grades into VR-Review for the different criteria. The applications that were triaged do not get a written evaluation, only a joint overall scientific quality grade.

The Chair of the evaluation panel checks the evaluations for possible revisions and notifies the Main evaluator of any necessary changes. Thus, any major editorial work at any stage is referred back to the main Evaluator. The research secretary of the panel will make a final check that the evaluation is consistent with the Council’s policy, guidelines and the scientific assessment.

The written evaluation will become a public act and will be sent to the applicant after the decision by the Scientific Council has been executed.

General advice and recommendations

- The written evaluations are intended primarily for the applicant and should guide his/her understanding of the panel’s scientific quality assessment and grading. Hence, it is important to analyse the main strengths and weaknesses of the application. Try to identify any structural and methodological problems, if such are obvious.
- The written motivations must conform to the panel’s grading. It is helpful to use the definitions of the grading scale in the motivations. A project application that receives, e.g. 4 (“strong application with minor weaknesses”) should also have a written evaluation that highlights what makes the project strong and what the Panel considers to be weaknesses. The most common mistake is a written evaluation that is overly positive without identifying any weaknesses, despite the application being given a lower grade and not being funded.
- The written evaluation should contain both the grades and the written motivations for each criterion and for the overall grade.
- There is no need for the written evaluations to contain extensive summaries of the research described in the application.
- The contents rather than the extent of the text is essential. Too sketchy descriptions can, however, make it difficult for the applicant to understand the assessment of the panel.
- Quantifiable data, such as the exact number of publications, as well as bibliometric measures should be avoided in the written evaluation.
- Recommended amount of funding should not be stated in the written evaluation, and neither should recommendations about approving or rejecting.
- The main Evaluator should avoid comments on personal data as well as gender and age.
- If the evaluation of competence contains a balanced judgement of several people in the application, this should be stated.
- If a deviation from the general instructions for the application (e.g. the extent of the research program or volume of the list of publications) has been considered in the assessment of the application, this may be commented on in the evaluation.
- The written evaluation reflects the recommendations of the panel as a whole and it should therefore not refer to the individual reviewer (“In my opinion…”, “I think...” etc.).

Comments that the application does not belong to or fit the evaluation panel, or the Swedish Research Council, are not allowed in the written evaluation.
### APPENDIX 1. TIME-TABLE FOR DEVELOPMENT RESEARCH 2014

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Last day for application</td>
<td>April 2</td>
</tr>
<tr>
<td>Log-in details and conflict of interest policy</td>
<td>April 29</td>
</tr>
<tr>
<td>Reporting of conflict of interest</td>
<td>May 6</td>
</tr>
<tr>
<td>Suggested distribution of applications to the chair</td>
<td>May 19</td>
</tr>
<tr>
<td>Panel conference</td>
<td>May 22</td>
</tr>
<tr>
<td>Conflict of interest on possible new applications</td>
<td>Last week in May</td>
</tr>
<tr>
<td>Dispatch of applications to reviewers in VR Review</td>
<td>v 23-v25</td>
</tr>
<tr>
<td>Reviewing of applications</td>
<td>June – August/September</td>
</tr>
<tr>
<td>Last day to write reviews and evaluations in VR Review UF-1, UF-2</td>
<td>August 25</td>
</tr>
<tr>
<td>Last day to write reviews and evaluations in VR Review UF-3</td>
<td>September 1</td>
</tr>
<tr>
<td>Last day to write reviews and evaluations in VR Review for UF-5</td>
<td>September 8</td>
</tr>
<tr>
<td>Last day to write reviews and evaluations in VR Review SRL</td>
<td>September 15</td>
</tr>
<tr>
<td>Evaluation panel meeting UF-1, UF-2</td>
<td>September 10-11</td>
</tr>
<tr>
<td>Evaluation panel meeting UF-3</td>
<td>September 17-18</td>
</tr>
<tr>
<td>Evaluation panel meeting UF-5</td>
<td>September 24-25</td>
</tr>
<tr>
<td>Evaluation panel meeting SRL</td>
<td>October 6-7</td>
</tr>
<tr>
<td>Written reviews finalised and approved UF-1, UF-2</td>
<td>September 25</td>
</tr>
<tr>
<td>Written reviews finalised and approved UF-3</td>
<td>October 2</td>
</tr>
<tr>
<td>Written reviews finalised and approved UF-5</td>
<td>October 9</td>
</tr>
<tr>
<td>Written reviews finalised and approved SRL</td>
<td>October 21</td>
</tr>
<tr>
<td>Swedish Research Council goes through the written evaluations</td>
<td>October/November</td>
</tr>
<tr>
<td>Funding decision</td>
<td>October 27</td>
</tr>
<tr>
<td>Publication of funding decision</td>
<td>Beginning of November</td>
</tr>
<tr>
<td>Dispatch of funding decision and written evaluations</td>
<td>November/December</td>
</tr>
</tbody>
</table>
APPENDIX 2. PROJECT RESEARCH GRANT IN DEVELOPMENT RESEARCH (FORMER U-FORSK)

Area of science:
Humanities and Social Sciences, Research Infrastructure, Medicine and Health, Natural and Engineering Sciences, Educational Sciences, Artistic Research, Development Research

Last application date:
2014-04-02

This grant is aimed at strengthening Swedish research with relevance to low- and middle income countries. Support is given to high quality research, in all scientific areas, that is relevant to the overall goals of Swedish development cooperation, and to the goals for global development policy. This means that the research should help creating conditions that will enable poor people to improve their lives, and/or contribute to an equitable and sustainable development.

Terms and conditions for the grant
If you do not fulfill the requirements for the grant or deviate from the instructions, your application might be rejected.

The goal for the call is to strengthen Swedish Research with relevance to low- and middle income countries (DAC list of ODA recipients). The research should be relevant to the overall goals of Swedish development policy: help creating conditions that will enable poor people to improve their lives, and to the goals for the global development policy: contributing to an equitable and sustainable development.

The funds allocated to this call should be used in accordance with OECDs Development Assistance Committee DACs guidelines.

The research can be focused on knowledge that is immediately or potentially useful in fulfilling the goals of this call and comprise basic through to applied research. We encourage multidisciplinary initiatives. Applications will be evaluated for scientific quality as well as relevance to the goals of this call, where scientific quality is the principal criteria. In your application (Appendix c1 Relevance to Program Objective) you must clearly show that your application is relevant to this call. You may use the below description for guidance:

“Relevant research aims to identify problems that primarily affect the most vulnerable women and men, girls and boys in low- and middle income countries, and should aim to solve these problems. The research should contribute to an equitable and sustainable development in low- and middle income countries. The research is also encouraged to identify new factors that are relevant to the development in low- and middle income countries, and to touch upon global problems that significantly affect these countries. Collaborations with researchers in low- and middle income countries is encouraged.”

You should also describe how your project relates to the government policy for environmental and climate issues, and the policy for gender equality and the rights and role of women in Sweden’s international development cooperation.

You can read more on the Swedish governments' webpage:

Development cooperation
Policy for environmental and climate issues in Sweden’s development cooperation 2012-2014
Research for development – Policy for research in Swedish development cooperation 2010-2014
On equal footing – Policy for gender equality and the rights and role of women in Sweden’s international development cooperation 2010-2015
Global challenges – our responsibility – Communication on Sweden’s policy for global development
Who may apply?
Applicants for research grants are individual researchers who also serve as project leaders and have the scientific responsibility for the project. You must dedicate time equivalent to at least 20% of a full-time position to the project.

You must hold a Swedish degree of doctor or an equivalent foreign degree. The degree of doctor must have been awarded no later than the closing date for applications in this call. We deem your doctorate to have been awarded when all requirements for the degree (e.g. compulsory courses, oral public defence and approved doctoral thesis) were completed.

Co-workers
Co-workers are those Swedish or foreign researchers with a degree of doctor who have a critical or central role in the undertaking of the proposed research. It is not a requirement that the participating researchers are employed at a Swedish university or higher education institution (HEI). Cv and publication lists for co-workers should be enclosed. Other collaboration partners should be described in the Research program, appendix A.

Grant period
A research grant is awarded for a maximum of five years, beginning with the 2015 calendar year. However, due to budget reasons only a minor part of the grants can be awarded funding periods exceeding three years.

Costs and grant amount
The grant can be used to cover any type of project-related costs for salaries (including your own salary and those of your collaborating scientists, corresponding to your respective level of activity in the project), travel (including stays at research facilities), publication costs, minor equipment and depreciations, etc. Costs for employed local field personnel and technical staff may be included, as well as field- and travel costs for collaborating researchers in low- or middle income countries. The grant may not be used for scholarships.

If the project involves a doctoral student, project funding may not be used to pay salary for the time the doctoral student is teaching.

The minimum amount for which you may apply in a Project Research Grant is SEK 300 000 per year, including indirect costs. Your application will not be accepted if you apply for an amount lower than this. For information on awarded grants and sums 2013, follow this link.

Number of grants and applications
You may submit only one project research grant application in development research.

Which grants can be applied for in parallel?
The Swedish Research Council has restrictions on which grants that can be applied for in parallel, see table below.

<table>
<thead>
<tr>
<th>Table: Grants you can apply for simultaneously</th>
</tr>
</thead>
</table>

What can I apply for if I have an ongoing project research grant?
When you apply for grants in this year’s call for proposals, you apply for a grant period that starts in 2015. You may apply for a new research grant of the same type and in the same area if disbursement of your current one ends in 2014. See table below for additional information on what can be applied for if you have an on-going grant. Note that project research grant in development research was previously called Project research grant U-forsk, and that these grant are considered to be research grants of the same type and in the same area.

If you have a current grant funded through the special initiative “Global health” applied for within "Project Research Grant Medicine and health” in 2012, you may apply for a research grant in development research. If
your application is granted, an amount corresponding to the part of your ongoing Project Research Grant financed through the initiative Global health will be deducted during the time under which these two grants overlap for 2015.

Table: Grants you may apply for if having an ongoing grant

Administration

The grant will be administered by a Swedish University or Swedish HEI, or by another public sector organisation that fulfils the requirements of the Swedish Research Council for an administrating organisation. The Swedish Research Council requires that a final financial report be submitted for every grant within the stipulated time. We will therefore check that financial reports have been submitted for each of the applicant's completed grants. If any final financial report is missing, the current application will be rejected. If you are not sure whether the final financial reports have been submitted, please contact the responsible person at the appropriate administering organisation.

Employer status and terms of employment

Project leaders with grants financed by the Swedish Research Council must be employed by the administrating organisation when the grant period begins, unless the Swedish Research Council, the administrating organisation, or other employer agree otherwise. You do not have to be employed at the time you submit your application. By signing Appendix S, the representative of the administrating organisation confirms its commitment.

Instructions for applying

Apply electronically via the Swedish Research Council's application system (VR-Direct) by completing an application form, and including the appendices required. Indicate your name, personal identity number (if applicable) and the appendix designation on each page of the appendices. A signed paper copy of Appendix S must be sent to the Swedish Research Council.

You are responsible for ensuring that the application is complete, which means that the application form and appendices have been filled out correctly. Failure to comply with the instructions may be taken into account in the evaluation or your application might be rejected. Attach only material that we specifically request.

We do not allow additional information after the closing date for applications, except for information we ourselves expressly request.

Language

In order to scientifically evaluate applications, the Swedish Research Council engages foreign experts. To ensure that the evaluation shall be undertaken in a fair and efficient manner, we request that you submit your research program and other attachments in English.

Font, size and pictures

Submit the appendices in A4 format, using a 25 mm margin and a Calibri or Arial 11 font. If you are using formulas or symbols (e.g. greek letters) in your appendices, it is especially important that you preview your application before you register it.

When we print out the application, we use a resolution of 200-300 dpi, and usually grey scales. Please adapt your images accordingly. Ensure that PDF files are not password-protected.
Content of the application

The application should contain the following:
• Summary
• Popular scientific description (in Swedish)
• Total project budget
• Research programme (Appendix A)
• CV (Appendix B)
• Publication list (Appendix C)
• Relevance to program objective (Appendix c1)
• Budget and research resources (Appendix N)
• Signatures (Appendix S)

If you have an ongoing grant of the same type (former U-forsk) where disbursement of funding ends in 2014, you should submit as part of your application the following:
• Scientific report (Appendix D)

An application that lacks one of more of the mandatory appendices will be rejected.

Summary

The summary of the research programme should contain a short description of
• what will be undertaken
• how the research will be conducted and which scientific methods will be used
• the significance of the proposed research
• which regions and countries the research is directed towards (see list)

The text should provide a brief orientation of the purpose and proposed implementation of the research. Write in a style that can be understood by those from other research backgrounds.

Fill in the summary on the form in the application system.

Popular scientific description

Describe the project in a popular scientific style so that even those unfamiliar with the topic can understand it. Describe what will be done and why, and explain why the new knowledge will be important.

The popular science description is an important tool when the Swedish Research Council informs others about the research we fund. If your application is awarded funding, we reserve the right to use this description to inform others about your research.

Complete the popular scientific description, in Swedish, in the form in the application system.

Total project budget

Complete the budget information on the form in the application system. Note that you must express the amounts in thousands of SEK (kSEK).

The grant can be used to cover any type of project-related costs for salaries, travel, publication costs, minor equipment and depreciations, etc. Costs for employed local field personnel and technical staff may be included, as well as field- and travel costs for cooperating researchers in low- or middle income countries. The grant may not be used for scholarships. Include both direct and indirect project-related costs. If you have questions regarding what is considered a direct or indirect cost, contact your HEI. The minimum amount for which you may apply in a Project Research Grant is SEK 300 000 per year, including indirect costs.

You can include depreciation costs for equipment that is intended to be used in the project, provided that
• The equipment has at least three years of useful life
The equipment has an acquisition value of more than the amount stipulated by your administering organisation.

The equipment needs of the project for which the grant is applied cannot be met by using national or international infrastructure open to all. Read more about research infrastructures supported by the Swedish Research Council.

You can include only that part of the depreciation costs that represents the use of the equipment in the project for which the grant is applied.

You may not include depreciation costs for equipment that is entirely funded by other grants.

If you have questions regarding what is considered as local research infrastructure, acquisition value, or the calculation of depreciation charges, please contact your HEI.

Research program (Appendix A)

Appendix A should consist of a brief but complete description of the research objective on no more than ten A4 pages, including references. The focus of the research program should be forward-looking and describe what will be undertaken. Please note that any pages in excess of the number allowed will not be considered in the evaluation.

The research programme, as well as other appendices, should be written in English.

The research programme must include the following information under separate headings:

- **Purpose and aims.** Present the overall purpose and specific goals of the research project (or equivalent).
- **Survey of the field.** Provide a brief summary of your own and others’ research, as well as previous findings in the research field. Provide key references.
- **Project description.** Summarise the project. Describe theories, methods, timetable and implementation. Describe the project organisation and clarify your own and the other participating researchers’ roles in the project (here you may also describe participating researchers that have not been included in the application form).
- **Significance.** Describe the project’s significance to the research area.
- **Preliminary results.** Describe your own experiments and pre-studies in the research area.
- **National and international collaboration.** A description of your and your group’s cooperation with Swedish and foreign researchers and research groups. You may use research grants from the Swedish Research Council to co-fund related EU projects within the Seventh Framework Programme. Indicate in your research programme if you are planning collaboration of this kind.

Present the following under a separate heading if it’s relevant to your project:

- **Equipment.** Describe the basic equipment for the project that you and your group have at your disposal.
- **Need for infrastructure.** Specify the project’s need for national and international infrastructure. Also specify the need for local infrastructure if depreciation costs for this are included in the application. Read more about research infrastructures supported by the Swedish Research Council.
- **Ethical considerations.** Specify any ethical issues that the project (or equivalent) raises, and describe how they will be addressed in your research.
- **Other grants.** If you intend to apply for, or have been approved for, additional grants from the Swedish Research Council, you must clarify the relations between the projects. Also include the reasons why you are submitting one or more additional applications.
- **Independent line of research.** If you are working, or will be working, in a large group, clarify how your project relates to the others. If you are continuing with a project that was begun in whole or in part during your doctoral or postdoctoral studies, you should describe the relationship between your project and the research done by your former advisor.
CV (Appendix B)

You must submit a CV for yourself and for each co-worker. The CVs may be maximum two A4 pages each. List your publications separately in Appendix C.

Specify the following (items that do not apply to you should be left blank):

1) Higher education qualification(s), year, subject area.
2) Degree of Doctor, year, discipline/subject area, dissertation title and supervisor.
3) Postdoctoral positions, year and placement.
4) Qualification required for appointment as a doctor, year.
5) Specialist certification or equivalent, year, discipline/subject area.
6) Present position, period of appointment, percentage of research in the position.
7) Previous positions and periods of appointment, indicate the type of employment.
8) Interruptions in research. Indicate interruptions in your active research career that affected your opportunities to acquire credentials, such as parental leave, illness, residency and specialist training for clinically active professional groups, positions of trust in trade union organisations and student organisations, or other equivalent considerations. Specify the reason(s), dates and length of the interruption.
9) Supervision. Name, year of disputation of those who have completed their doctoral degree or postdoctoral work under your supervision (as main advisor).
10) Other information that is relevant to your application.

Publication list (Appendix C)

Attach your and any co-workers’ publication lists for the last eight years, indicating the five publications on each list that are most relevant to the project, using an asterisk (*). Categorise the publications in the following order:

1) Peer-reviewed original articles
2) Peer-reviewed conference contributions
3) Review articles
4) Book chapters and books
5) Patents, indicate registration date
6) Open-access computer programs that you have developed
7) Popular science articles/presentations

Note: Include only articles (or the equivalent) that have been published or accepted for publication.

Relevance to Program Objectives (Appendix c1)

Describe the relevance of your project under the following headers (must not exceed 2 A4 pages):

1. General relevance to call objectives

Shortly describe how the project relates to the goals of the call and contributes knowledge aiming to: creating conditions that will enable poor people to improve their lives, and/or promoting equitable and sustainable development in low- and middle income countries (for a description, see page 6 in Global challenges – our responsibility – Communication on Sweden’s policy for global development 2008).

2. Relevance for gender equality

Shortly describe how aspects concerning gender equality have been handled in the project, meaning the projects’ relevance for women and men, girls and boys, in relation to the Swedish government policy "On equal footing".
3. Relevance to environmental and climate issues
Shortly describe how environmental and climate aspects have been handled in the research proposed in your project, and how the implementation relates to the government Policy for environmental and climate issues.

Budget and research resources (Appendix N)

Explain the proposed budget
Briefly justify each item in the submitted budget.

Total research resources of the project
Account for the current available resources available for you and of any co-workers involved in the proposed project. Account also for any resources applied for by you and any co-workers, including this application.
Indicate the type of grant, funding source, grant holder/project leader, grant period and the relevant amounts by year.

Example:

<table>
<thead>
<tr>
<th>Type of grant</th>
<th>Applied or granted</th>
<th>Funding source</th>
<th>Grant holder/Project leader</th>
<th>Grant period</th>
<th>Total amount in thousands</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operation grant</td>
<td>Granted</td>
<td>EU</td>
<td>Anna Andersson</td>
<td>2012-2014</td>
<td>SEK 2,000</td>
</tr>
<tr>
<td>Project research grant</td>
<td>Granted</td>
<td>FAS</td>
<td>Per Persson</td>
<td>2013-2015</td>
<td>SEK 2,400</td>
</tr>
<tr>
<td>Framework grant</td>
<td>Granted</td>
<td>VR</td>
<td>Anna Andersson</td>
<td>2013-2016</td>
<td>SEK 4,200</td>
</tr>
<tr>
<td>Project research grant</td>
<td>Granted</td>
<td>VR</td>
<td>Fernando Fernandez</td>
<td>2014-2016</td>
<td>SEK 3,500</td>
</tr>
</tbody>
</table>

Also state what proportion of the total annual costs of the project is being applied for from the Swedish Research Council.
Appendix N can be a maximum of two A4 pages.

Signatures (Appendix S)
Appendix S is automatically generated when you register your application. Print Appendix S and sign it. Appendix S must also be signed by the department head, or equivalent, for the institution where the research will be undertaken. The signatures confirm that:
• The research, employment and equipment indicated will be accommodated in the institution during the time, and to the extent, described in the research programme.
• The institution approves the cost-estimate in the application
• You have reported any additional professional activities or commercial ties, and that no conflicts have arisen that would conflict with good research practice.
• The necessary permits and approvals are in place at the start of the project e.g. regarding ethical review.

You must discuss the above-mentioned points with the representative for the administrating organisation before s/he approves and signs the application. The administrating organisation is responsible for assuring that the project complies with the terms and conditions established by Swedish legislation.
Send Appendix S by regular mail to the Swedish Research Council.
Remember: Appendix S, complete with signatures, must be received by the Swedish Research Council not later than three working days after the closing date for applications.
The address and closing date of applications can be found in the section “When and how should the application be submitted?”

Scientific report (Appendix D)

A scientific report (Appendix D) should be included if you have a previously granted research grant in development research (former U-forsk) with a funding (disbursement) period up until the end of 2014. In order to upload Appendix D, you must check the "Account of scientific activity, see appendix D" box under the heading "Enclosed appendices" on the online form.

- Indicate the project title, reference number (dnr) and funding period of the previous project. Describe:
  - scientific results achieved to date in the previously awarded project
  - the relation between the previously awarded project and the planned one
  - the research resources that have been available for the implementation of the project during the grant period reported. The type of grant, funding source, holder and the amount in question.

The report must not exceed two A4 pages.

Evaluation

Active researchers conduct the scientific evaluation of applications. These researchers evaluate the applications in competition with other applications on the basis of the evaluation criteria of the Swedish Research Council. You can suggest on your application form (by order of priority) the evaluation (review) panel or panels you wish to review your application. The final placement of the application is made by the Swedish Research Council.

How your application is evaluated
Evaluation panels
Addressing conflicts of interest at the Swedish Research Council

Decisions

In the end of November 2014, the Swedish Research Council will publish its decisions on grant funding on its website. Notification of decisions and comments will be sent to all applicants.

The first disbursement of awarded funds will normally begin in January 2015, at the earliest.

When and how should the application be submitted?

Send in your application electronically via the application system no later than midnight (24.00) on the last application date The Swedish Research Council is open until 16.00 on the closing date for applications. Within a couple of weeks you will receive confirmation by e-mail that your application has been registered.

**You are responsible for ensuring that your application is complete. An incomplete application might be rejected.**

Send Appendix S (paper form), complete with signatures, to the address below. The appendix must be received by the Swedish Research Council no later than three working days after the closing date for applications.

Swedish Research Council
Development research
Box 1035
101 38 Stockholm
Please note: As we have previously experienced overload problems in our application system immediately before the application deadline, we encourage you to submit your application well in advance.

Contacts

Questions about the content of the application
Anna Vallstedt Haeger, e-mail: anna.vallstedt.haeger@vr.se, telephone: 08-546 44 269
Siri Jørgensen Bjarnar, e-mail: siri.jorgensen.bjarnar@vr.se, telephone: 08-546 44 239

Technical questions
If you experience any technical problems with VR-Direct, please contact: vrdirectUforsk@vr.se
   In the subject line, please specify the scientific area that your question addresses. We will acknowledge your inquiry by e-mail.
APPENDIX 3. SWEDISH RESEARCH LINKS

Area of science:
Humanities and Social Sciences, Research Infrastructure, Medicine and Health, Natural and Engineering Sciences, Educational Sciences, Artistic Research, Development Research

Last application date:
2014-04-02

The purpose of the Swedish Research Links programme is to support the development of long-term research partnerships between Swedish researchers and researchers within selected low-to middle-income countries.

The long-term aim of the programme is to contribute to mutual scientific and socioeconomic development of the countries involved. The programme aims to support knowledge exchange between the partners and long-term collaboration through high quality projects. The program is open to researchers from all academic disciplines, covering theoretical as well as empirical, basic as well as applied fields of research.

The programme seeks:
- To support the establishment of long-term research partnerships with high quality collaborative projects (that are) based on principles of mutual benefit, equality and co-design.
- To support research on new and emerging topics relevant for low-and middle-income countries that fulfils the criteria of the Swedish development cooperation policy.

The Swedish Research Council also encourages collaboration across scientific fields and disciplines, and welcomes proposals that facilitate this.

Terms and conditions for the grant
If you do not fulfill the requirements for the grant or deviate from the instructions, your application might be rejected.

Programme objectives
The programme has two main objectives. One objective is to support the establishment of long-term research partnerships; the other is to support research relevant to the overall goals of the Swedish development cooperation policy. In your application you must clearly show how your research project is relevant to both these objectives (Appendix c1 Relevance to programme objectives). Applications will be evaluated for scientific quality as well as relevance to the objectives of this call.

Relevance to goals of Swedish development cooperation policy
Swedish development cooperation aims to help creating conditions that will enable poor people to improve their lives, and contributing to an equitable and sustainable development. The funds allocated to this call should be used in accordance with OECDs Development Assistance Committee DACs guidelines.

The following description may be used as guidance:
“Relevant research aims to identify problems that primarily affect the most vulnerable women and men, girls and boys in low- and middle income countries, and should aim to solve these problems. The research should contribute to equitable and sustainable development in low- and middle-income countries. The research is also encouraged to identify new factors that are relevant to the development in low- and middle income countries, and to touch upon global problems that significantly affect these countries.”

You should also describe how your project relates to the government policy for environmental and climate issues, and the policy for gender equality and the rights and role of women in Swedish international development cooperation.
You can read more on the Swedish governments’ webpage:
- Development cooperation
- Policy for environmental and climate issues in Sweden’s development cooperation 2012-2014
- Research for development – Policy for research in Swedish development cooperation 2010-2014
- On equal footing – Policy for gender equality and the rights and role of women in Sweden’s international development cooperation 2010-2015
- Global challenges – our responsibility – Communication on Sweden’s policy for global development

Eligible countries 2014

**Sweden** and the following countries:

- **Asia**: Afghanistan, Bangladesh, Cambodia, Indonesia, Iran, Rep. Laos, Malaysia, Mongolia, Nepal, Pakistan, Philippines, Sri Lanka, Thailand, Vietnam.
- **Middle East and North Africa (MENA)**: Algeria, Egypt, Iraq, Jordan, Lebanon, Libya, Morocco, Palestinian adm. areas, Syria, Tunisia, Yemen
- **Africa**: Botswana, Burkina Faso, Ethiopia, Kenya, Mali, Mozambique, Namibia, Rwanda, Tanzania, Uganda, Zambia
- **Latin America**: Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Guatemala, Honduras, Mexico, Nicaragua
- **Europe**: Albania, Armenia, Belarus, Bosnia-Herzegovina, Georgia, Kosovo, Macedonia, Moldavia, Russia (Limited to research cooperation within the areas of democracy and human rights), Serbia, Turkey, Ukraine

**Who may apply?**

Applicants for International Collaborative Research Grants are individual researchers who also serve as project leaders and have the scientific responsibility for the project. The application must include at least two project leaders: one affiliated with a university or research institution in Sweden, and one affiliated with a university or research institution in a programme country. If more than one eligible country outside of Sweden is involved, each must be represented by a principal researcher.

The international applicant should be a citizen of, or have permanent residence in, an eligible country. Applicants must hold a Swedish degree of doctor or an equivalent foreign degree. The degree of doctor must have been awarded no later than the closing date for applications in this call. We consider your doctorate awarded when all requirements for the degree (e.g. compulsory courses, oral public defence and approved doctoral thesis) are completed.

**Co-workers**

Co-workers are those Swedish or foreign researchers with a degree of doctor who are most relevant in realisation of the proposed research. It is not a requirement that the participating researchers are employed at a Swedish university or higher education institution (HEI).

**Grant period**

International Collaborative Research Grants are awarded for a maximum of three years, beginning with the 2015 calendar year.

**Costs and grant amount**

The grant can be used to cover costs related to international research networking and collaboration, such as:
- research and/or working visits between the partners
- joint seminars or workshops aimed at research agenda-setting, knowledge exchange and mutual learning
- joint publishing and outreach/dissemination
- preparation of collaborative research proposals to major funders.
In addition, minor project costs (such as minor items of equipment and consumables), may also be funded at a maximum level of SEK 50,000 per year. The grant may not be used for salaries and scholarships. The maximum amount for an International Collaborative Research Grant is SEK 250,000 per year, including indirect costs.

Number of grants and applications
You are allowed to submit more than one application for the Swedish Research Links programme, as long as you have different collaboration partners for each application.

If you have previously been awarded a grant under the Swedish Research Links programme, you may apply for an additional grant with the same partner provided the application is on a research topic different from the one in your previous collaboration project.

In case you apply for a grant with a partner with whom you have previously collaborated you also need to specify what your past collaboration have been and on which topic. This applies even if the previous project was not funded by Swedish Research Links programme.

If you are project leader of an ongoing International Collaboration Grant within the Swedish Research Links programme, the following applies:

- You may apply for a new International Collaboration Grant with the same partner if the current grant period ends in 2014, and the new collaboration is on a different research topic. Thus, you may not apply for an additional grant with the same collaboration partner if the applied grant period overlaps with the grant period of the ongoing project.
- You may apply for a new International Collaboration Grant with a new collaboration partner different from your ongoing project.

It is also mandatory to submit a final scientific report for all your completed International Collaboration Grants in order to be rewarded a new grant.

You may apply for, or have, other grants from the Swedish Research Council concurrently with applying for an International Collaborative Research Grant.

Administration
The grant will be administered by a Swedish University or HEI, or by another public sector organisation that fulfils the requirements of the Swedish Research Council for an administrating organisation.

The Swedish Research Council requires that a final financial report be submitted for every grant within the stipulated time. If any final financial report is missing, the current application will be rejected. If you are not sure whether the final financial reports have been submitted, please contact the appropriate administrating organisation.

Employer status and terms of employment
Project leaders with grants financed by the Swedish Research Council must be employed by the administrating organisation when the grant period begins, unless the Swedish Research Council, the administrating organisation, or other employer agree otherwise. You do not have to be employed when you submit your application. By signing Appendix S, the representative of the administrating organisation confirms its commitment.

Counteracting corruption
The administrating organisation and the recipients of project funding must cooperate to counteract corruption during project activities.

The administrating organisation must immediately inform the Swedish Research Council of illegal or corrupt activities or other misuse of project funding in planned activities.
Instructions for applying

Apply electronically via the Swedish Research Council's application system (VR-Direct) by completing an application form, and including the appendices required. In case your collaboration concerns more than one eligible country, indicate the other main project leader as first co-worker in the form and explain the project organisation in the research program (Appendix A).

Indicate your name, personal identity number (if applicable) and the appendix designation on each page of the appendices. A signed paper copy of Appendix S must be sent to the Swedish Research Council.

You are responsible for ensuring that the application is complete, which means that the application form and appendices have been filled out correctly. Failure to comply with the instructions will be taken into account in the evaluation and your application might be rejected. Attach only material that we expressly request.

We do not allow additional information after the closing date for applications, except for information we expressly request.

Language

In order to scientifically evaluate applications, the Swedish Research Council engages foreign experts. To ensure a fair and efficient evaluation and preparatory work, we request that you submit your research program and other attachments in English.

Font, size and pictures

Submit the appendices in A4 format, using a margin of 25 mm and a Calibri or Arial with a font size 11.

If the application is printed, a resolution of 200–300 dpi is used and usually grey scales. Please adapt your images accordingly. Ensure that PDF files must not be password-protected.

Content of the application

The application should contain the following:

• Summary
• Popular science description (in Swedish)
• Total project budget
• Research programme (Appendix A)
• CVs (Appendix B)
• Publication lists of main applicants (Appendix C)
• Detailed budget (Appendix G)
• Relevance to program objectives (Appendix c1)
• Signatures (Appendix S)

Summary

The summary of the research programme should contain a short description of

• what will be undertaken in terms of collaborative research
• how the collaborative research will be conducted and which scientific methods will be used
• what may be the impact and added value of the collaborative research project.

The text should provide a brief orientation of the purpose and proposed implementation of the research and the collaboration. Write in a style that can be understood by those from other research backgrounds.

Fill in the summary on the form in the application system VR-Direct.
Popular science description
Describe the project in a popular scientific style so that even those unfamiliar with the topic can understand it. Describe what will be done and why, and explain why the new knowledge will be important. Describe how international collaboration can contribute to this research area.

The popular science description is an important tool when the Swedish Research Council informs others about the research we fund. If your application is awarded funding, we reserve the right to use this description to inform others about your research.

Complete the popular scientific description, in Swedish, on the form in the application system.

Total project budget
Complete the budget information on the form in the application system. Note that you must express the amounts in thousands of SEK (kSEK).

Indicate the total amount which may include costs related to the international collaboration project, such as research visits between the partners, seminars, workshops and joint publishing. Minor project costs (such as minor items of equipment and consumables), may also be funded at a maximum level of SEK 50,000 per year. The grant may not be used for salaries and scholarships. The grant includes indirect costs. If you have questions regarding what is considered a direct or indirect cost, contact your HEI.

The maximum amount for an International Collaborative Grant is SEK 250,000 per year, including the indirect costs for the Swedish applicant.

Research programme (Appendix A)
Appendix A should consist of a brief but complete description of the collaborative research objective on no more than eight A4 pages, including references. The focus of the research program should be forward-looking and describe what will be undertaken. Please note that any pages in excess of the number allowed will not be considered in the evaluation.

The research programme, as well as other appendices, should be written in English since the Swedish Research Council uses international reviewers.

The research programme must include the following information, under separate headings:

- **Purpose and aims.** Present the overall purpose and specific goals of the collaborative research project
- **Survey of the field.** Give a brief summary of your own and others’ research, as well as previous findings in the research area. Provide key references.
- **Project description and mode of cooperation.** Summarise the collaborative project. Describe theories, methods, implementation and timetable. The timetable should give an overview of the cooperation and a plan for travels, joint seminars, workshops, joint publication and others. A brief description of common project activities such as workshops and seminars should also be included. Describe the project organisation and specify the roles of participating researchers. Also describe how the collaboration will bring mutual added value to the research of the applicants.
- **Significance.** Describe the project’s significance to the research area.
- **Preliminary results.** Describe your own experiments and preliminary studies in the research area.

Present the following under a separate heading if you feel that it is relevant to your project:

- **Equipment.** Describe the basic equipment for the project that you and your group have at your disposal.
- **Ethical considerations.** Present the ethical issues that the project (or equivalent) raises, and describe how they will be addressed in your research.
- **Other grants.** Describe funding awarded to other participating researchers (co-workers listed on the application form) and list any grants requested from other funders of importance to the project.
CV (Appendix B)

All main applicants must submit a CV of not more than two A4 pages. Co-workers may submit a CV of not more than one A4 page. List your publications separately in Appendix C.

Specify the following (items that do not apply to you should be left blank):

1) **Higher education qualification(s)** (year, subject area).
2) **Degree of Doctor** (year, discipline/subject area, dissertation title and supervisor).
3) **Post-doctoral positions** (year and placement).
4) **Qualification required for appointment as a docent** (year)
5) **Specialist certification or equivalent** (year, discipline/subject area)
6) **Present position, period of appointment**, percentage of research in the position.
7) **Previous positions and periods of appointment** (indicate the type of employment).
8) **Interruptions in research**. Indicate interruptions in your active research career that affected your opportunities to acquire credentials, such as parental leave, illness, residency and specialist training for clinically active professional groups, positions of trust in trade union organisations and student organisations, or other equivalent considerations. Specify the reason(s), dates and length of the interruption.
9) **Supervision**. Name, year of disputation of those who have completed their degree of doctor or post-doctoral work under your supervision (as main advisor).
10) **Other information that is relevant to your application**.

Publication list (Appendix C)

Attach publication lists for all main applicants, dating back eight years. Indicate the five publications in each list that are most important for the project, using an asterisk (*).

Categorise the publications under the numbered headings, in the following order:

1) **Peer-reviewed articles**
2) **Peer-reviewed conference contributions**
3) **Review articles, book chapters, books**
4) **Patents**, state date of registration
5) **Open access computer programs that you have developed**
6) **Popular science articles/presentations**

*Note! Include only articles (or equivalent) that have been published or accepted for publication.*

Detailed budget (Appendix G)

Specify the budget for the collaborative project under the headings specified below. The budget must cover all parties’ costs including indirect costs. Note that indirect administrative costs cannot be deducted by the international HEI.

Funding from other sources should be listed in the online form.

1) **Total costs of travel, accommodation and subsistence allowance**.
2) **Total costs of the organisation for project-related seminars and workshops**.
3) **Total costs of co-authored publications**.
4) **Total costs of minor items of equipment and consumables (maximum SEK 50,000 per year in total for both applicants)**.
5) **Other costs**.
Example:

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<th>Year 1</th>
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<td>Workshops, seminars</td>
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<td>Co-authored publications</td>
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Relevance to programme objectives (Appendix c1)

Describe the relevance of the collaborative project in maximum 3 pages.

Explain the relevance of your project by addressing the criteria below:

1. Development of long-term research partnerships between Swedish researchers and researchers within selected low- to middle-income countries. Address the issues below:
   - How may a three-year collaboration grant within the Swedish Research Links programme lead to the development of a long-term research partnership based on principles of mutual benefit, equality and co-design? Describe how you decided on the topic of the application and planned activities. Specify how the collaborative research contributes to knowledge exchange between the partners and the establishment of new researcher-to-researcher relationships. Include a realistic plan for how to obtain funding for long-term term collaboration.
   - If you have collaborated before, describe your past collaborative experiences and the topic of your previous collaboration. Also describe the value that support from the Swedish Research Links programme might add to the collaboration and its further development. If you and your collaboration partner have had a grant within the Swedish Research Links program together in the past, the current application must address a new topic.
   - Describe the gender balance in the collaboration.

2. Relevance to the overall goals of Swedish development cooperation policy

General relevance: Shortly describe how the project contributes knowledge aiming to:
   - creating conditions that will enable poor people to improve their lives, and/or
• promoting equitable and sustainable development in low- and middle income countries (for a description, see page 6 in Global challenges – our responsibility – Communication on Sweden’s policy for global development 2008).

Relevance for gender equality: Shortly describe how aspects concerning gender equality have been handled in the project, meaning the projects’ relevance for women and men, girls and boys, in relation to the Swedish government policy "On equal footing".

Relevance to environmental and climate issues: Shortly describe how environmental and climate aspects have been handled in the research proposed in your project, and how the implementation relates to the government Policy for environmental and climate issues.

Signatures (Appendix S)

Appendix S is automatically generated when you register your application. Print Appendix S and sign it. Appendix S must be signed by the Swedish applicant and the Swedish department head, or equivalent, of the administrating organisation. The signatures confirm that:

• The research, employment and equipment indicated will be accommodated in the institution during the time, and to the extent, described in the research programme.
• The institution approves the cost-estimate in the application.
• You have reported any additional professional activities or commercial ties, and that no conflicts have arisen that would conflict with good research practice.
• The necessary permits and approvals are in place the start of the project, e.g. regarding ethical review.
• The international applicant(s) has/have been involved in planning the project and writing the application, and will be involved in the project as described in the application.

You must discuss the above-mentioned points with the representative for the administrating organisation before he/she approves and signs the application. The administrating organisation is responsible for ensuring that the project complies with the terms and conditions established by Swedish legislation.

Send Appendix S by regular mail to the Swedish Research Council.

Remember: The signed Appendix S must have been received by the Swedish Research Council not later than three working days after the closing date for applications.

The address and closing date of the applications can be found in the section "When and how should the application be submitted?".

Evaluation

Active researchers conduct the scientific evaluation of applications. Using the assessment criteria of the Swedish Research Council, and the program-specific criteria, these researchers evaluate your application in competition with other applications.

On your application form, state evaluation panel SRL-2014 for the review of your application.

Addressing conflicts of interest at the Swedish Research Council
How your application will be evaluated

Decisions

In the end of October or beginning of November 2014, the Swedish Research Council will publish its funding decisions on the website. Notification of decisions and comments will be sent to all applicants.

The first disbursement of awarded funds will begin in January 2015, at the earliest.
When and how the application be submitted?

Send your application electronically via the application system no later than midnight (24.00) on the last date of application. The Swedish Research Council is open until 16.00 on the closing date for applications. Within a couple of weeks you will receive confirmation by e-mail that your application has been registered.

You are responsible for ensuring that your application is complete. An incomplete application might be rejected.

For the Swedish applicant: send the signed Appendix S (paper form), complete with signatures, to the address below. The appendix must be received by the Swedish Research Council no later than three working days after the closing date for applications.

Swedish Research Council
SRL
Box 1035
101 38 Stockholm

Please note! As we have previously experienced overload problems in our application system during immediately before the application deadline, we encourage you to submit your application well in advance.

Contacts

Questions about application content
Britta Radeloff, 08-546 44 210, britta.radeloff@vr.se
Siri Jørgensen Bjarnar, 08-546 44 239, siri.jorgensen.bjarnar@vr.se

Technical questions
If you experience any technical problems with VR-Direct, please contact: vrdirectUforsk@vr.se
In the subject line, please specify the scientific area that your question addresses. We will acknowledge your inquiry by e-mail.
APPENDIX 4. PANEL MEMBERS IN DEVELOPMENT RESEARCH

**UF-1: Humanities, social and behavioral sciences**

<table>
<thead>
<tr>
<th>Name</th>
<th>Institution</th>
<th>City</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Liisa Laakso*</td>
<td>University of Helsinki</td>
<td>Helsinki</td>
<td>Finland</td>
</tr>
<tr>
<td>Morten Bøås</td>
<td>University of Oslo</td>
<td>Oslo</td>
<td>Norway</td>
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<tr>
<td>Seema Arora-Jonsson</td>
<td>Sw. Univ. of Agricultural Sc.</td>
<td>Uppsala</td>
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<tr>
<td>Carol Newman</td>
<td>Trinity Collage/Univ of Copenhagen</td>
<td></td>
<td>Ireland/Denmark</td>
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<tr>
<td>Anders Uhlin</td>
<td>Lund university</td>
<td>Lund</td>
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<tr>
<td>Andreas Madestam</td>
<td>Stockholm university</td>
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**UF-2: Humanities, social and behavioral sciences**

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<tr>
<td>Knut Nustad*</td>
<td>University of Oslo</td>
<td>Oslo</td>
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<tr>
<td>Anja Nygren</td>
<td>University of Helsinki</td>
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<td>Finland</td>
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<tr>
<td>Bo Sjö</td>
<td>Linköping university</td>
<td>Linköping</td>
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<tr>
<td>Shalini Randeria</td>
<td>The Graduate Institute</td>
<td>Geneva</td>
<td>Switzerland</td>
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<tr>
<td>Maria Eriksson-Baaz</td>
<td>The Nordic Africa Institute</td>
<td>Uppsala</td>
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<tr>
<td>Anna Jarstad</td>
<td>Uppsala university</td>
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**UF-3: Natural, engineering and environmental sciences**

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<tr>
<td>Line Gordon*</td>
<td>Stockholm university</td>
<td>Stockholm</td>
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<tr>
<td>Lisa Emberson</td>
<td>University of York</td>
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<td>Karin Tonderski</td>
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<td>Georgios Pilidis</td>
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<td>Gunaratna Kuttuva Rajarao*</td>
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<td>Per Christer Odén</td>
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<td>Mats Leijon</td>
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<tr>
<td>Stefan Uhlenbrook</td>
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<tr>
<td>Heinrich Neubauer</td>
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**UF-5: Global health**

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<tr>
<td>Lars-Åke Persson*</td>
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<tr>
<td>Imelda Bates</td>
<td>School of tropical medicine</td>
<td>Liverpool</td>
<td>UK</td>
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**SRL: Swedish Research Links**

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<tr>
<th>Name</th>
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<tr>
<td>Bo Mattiasson*</td>
<td>Lund university</td>
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<td>Max Petzold</td>
<td>Göteborgs university</td>
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<td>Gloria Gallardo</td>
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<td>Lars Lindström</td>
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<td>Lars Johansson</td>
<td>Karlstad university</td>
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<td>Gunilla Lindmark</td>
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<td>Teresa Lagergård</td>
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<td>Ewa Wredle</td>
<td>Sw. Univ. of Agricultural Sc.</td>
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<td>Dick Durevall</td>
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<td>Erik Dahlquist</td>
<td>Märlardalen university</td>
<td>Västerås</td>
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<td>Olof Olsson</td>
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<tr>
<td>Thorvald Andersson</td>
<td>Chalmers</td>
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</table>
Thank you for joining the Swedish Research Council’s review organisation.

What is VR-Review?
VR-Review is a web-based tool that contains both a database (electronic archive) and a management system for review work. Proposals for research grants sent in to the Research Council are stored in the database, in the form of PDF files, which can be viewed with the Adobe Acrobat Reader program (www.adobe.se). You can access VR-Review online at http://vrreview.vr.se or by following the link at www.vr.se. A guide to using VR-Review is provided at the end of this document.

Who does what in the review process?
Proposals are distributed among evaluation panels after being sent to the Research Council’s web-based application system, VR-Direct. As a member of an evaluation panel, you then use VR-Review to read the proposals allocated to you. Other material may be sent out, depending on the subject area you work in. If you work as an external reviewer (i.e. are not a member of the evaluation panel), VR-Review works in such a way that only the proposals you have been asked to review are visible on your computer monitor.

If, as a member of the evaluation panel, you prefer to read proposals in paper format, you can order them after you have logged in to VR-Review, under the ‘My information’ menu option.

All reviewers must register their reviews (in the form of preliminary evaluations, assessment notes and external reviews) in VR-Review.

- The evaluator fills in the ‘Preliminary evaluation’ form.
- The other reviewers in the evaluation panel fill in the ‘Assessment note’ form.
- External reviewers fill in the ‘External review’ form.

As a precaution, we recommend that you also save copies of your work on your own computer in, for example, a word-processing program like MS Word.

No material contained in VR-Review may be made available to unauthorised persons. The evaluation panel must issue a joint evaluation on every proposal after the evaluation panel meeting. The evaluation is, after decisions have been taken, a public document that may be issued to anyone who requests them. Preliminary evaluations, assessment notes and the external reviewers’ statements will be sorted out before funding decision and cannot be disclosed.

When the evaluation panel embarks on its prioritisation, the work is done in VR-Review. Finally, the priorities, evaluations and preliminary decisions are registered. These, in turn, serve as a basis for the decisions of the Scientific Council or Committee concerned on which proposals are to be awarded grants.

How do you work in VR-Review?

A. Your computer
For the work to proceed as smoothly as possible, the following technical requirements need to be fulfilled. These requirements apply regardless of which platform or operative system you use.

Basic requirements:
- Your computer must be connected to the Internet for you to be able to use VR-Review.
• You must have a modern web browser, which must be configured to allow JavaScript.
• You must have software installed that can read PDF files (PDF version 1.4 or later).
• You must allow http://vrreview.vr.se to use 'session cookies'.

The Swedish Research Council recommends:
• For PC: The Internet explorer web browser 8 and 9, the Firefox web browser 10-18.
• For MAC: The Firefox web browser 10-18, the Safari web browser 5-6.
• The Acrobat Reader program (version 7 or later) for reading PDF files.
• An Internet connection of at least 128 Kbps, with an ADSL modem.
• Not using a proxy server (disabling your proxy server, if any) when you are using VR-Review.
• Allowing pop-ups for http://vrreview.vr.se.

If you are unsure how to follow the above instructions, please contact the person in charge of computer services at your department or equivalent.

B. Overview menu headings
VR-Review is based on a number of different menu headings which are found in the left-hand margin. Please note that the menus available depend on which access rights you have been assigned for your evaluation panel/s. Some of the menus described below may therefore not be displayed in your case.

My information
This is where you fill in your personal information, bank account details for remuneration, details for delivery and choice of format for material from the evaluation panel. This must be filled in before you start your assessment.

My evaluation panels
This is where the evaluation panels in which you participate in one way or another are described. You choose panel by clicking its name in the left-hand menu. Detailed information about the evaluation panel, including members and important dates/deadlines, will be displayed and you will be able to see and read all the proposals that the panel has been assigned. This is also where the Notice board/Anslagstavlan is found, where different documents can be uploaded for communication to and/or within the evaluation panel.

Administer proposals
This is where the proposals within an evaluation panel are assigned to reviewers.

Conflicts of interest
This is where you indicate to which of the panel’s proposals you have a conflict of interest during the period when the system is open for reporting conflicts of interest. The duration of this period is listed under the menu heading “My evaluation panels”.

My proposals to review
This is where you find a list of the proposals that you will read and write an assessment for. If you have been assigned to be evaluator of a proposal, this is also where you submit the joint evaluation from the panel after its meeting.
Priority
This is where preliminary financing and other priorities are indicated. The function is available for the evaluation panel administrators only.

All evaluation panels
This is where you find all evaluation panels of the Swedish Research Council including their assigned proposals for the current year.

Reports
This is where evaluation panel members may order reports on proposals and assessments. The reports are sent by e-mail to the email address you have specified.

Settings
This is where you can change your password to VR-Review. You can also choose to see proposals to the Swedish Research Council from previous years.

C. This is the procedure:
• Go to http://vrreview.vr.se. Log in with the username and password given on the first page of this document. The best way to start is by reading the ‘Help’ section in the left-hand menu.
• Click on ‘My information’ in the left-hand menu. Here, you fill in your personal particulars, account details for any remuneration, and information for any proposals sent to you by post. Then click on the Save key.
• Under the ‘Settings’ option you can alter the various settings, such as your password.
• Click on ‘My Evaluation Panels’. A list of the evaluation panels you belong to will come up. When you click on one of these panels, you get a list of the panel members and a notice board with joint documents for the panel concerned. On the right-hand side of the web page, you also see the dates relating to the review work. Note that the dates may vary from one evaluation panel to another. Here you will be able to see and read all the proposals that the panel has been assigned, if you are a member of the evaluation panel.
• Click on ‘Conflict of interest’. A list of all the proposals being dealt with by the evaluation panel is shown. Here, where applicable, you can mark the proposal(s) that entail a conflict of interest for you. When you click on ‘>>’ for the proposal concerned, you obtain more information about the proposal and a PDF icon for the actual proposal and its data sheet. In this screen, you should report any conflict of interest by inserting a cross in a box and perhaps adding comments on the conflict of interest concerned.
• Under the menu option ‘My proposals to review’ is a list of the proposals for which you are either the evaluator or a reviewer. When you click (on the symbol ‘>>’) for the proposal concerned, you find more information about the proposal and a PDF icon that you can click on to view the actual proposal and the data sheet that goes with it. Here, you will also find the form in which you enter your assessment of the proposal. Before a specified date you must:
  o as the evaluator, fill in the ‘Preliminary evaluation’ form
  o as a reviewer, fill in the ‘Assessments note’ form
  o as an external reviewer (not a member of the evaluation panel), fill in the ‘External review’ form.

Do not hesitate to contact your administrator (see www.vr.se “Call for proposals” for telephone number or e-mail) if you have any questions about the implementation or management of the review process. Thank you for your assistance in reviewing proposals!
APPENDIX 6. ROLES AND RESPONSIBILITIES

One of the panel members is appointed as chair. A deputy chair is appointed by the chair. By accepting to participate in the evaluation panel, the panel member and chair accepts the responsibilities and tasks described below. The responsibilities of the Swedish Research Council are also described.

1. **The Panel Chair** is responsible for

- leading the reviewing process of the panel
- participating in the evaluation conference on the 22 May 2014
- approving the distribution of applications within the panel, that has been done by the Swedish Research Council
- ensuring that the Council’s policy is followed in the panel work and recommendations
- ensuring that each application receives a joint recommendation from the panel
- ensuring that all panel members are given the opportunity to convey her/his views during the panel meeting/s/ and that these are properly taken into account
- ensuring that all other tasks that are enjoined to the panel are completed in agreement
- confirming that the final protocol from the panel is in accordance with the joint recommendations of the panel
- confirming, by approving the conflict of interest-protocol, that the regulations concerning conflicts of interests were applied during the panel meeting
- ensuring that the panel’s final written evaluations are quality assessed and reflect the joint recommendations made by the panel
- assist, if needed, the Swedish Research Council in responding to potential complaints or inquiries regarding the panel’s scientific reviewing process or recommendations

2. **The panel deputy chair** is responsible for

- replacing the panel chair in situations when he/she cannot participate, e.g., conflicts of interest

3. **A panel member** is responsible for

- following the policy of the Swedish Research Council in the reviewing work according to the instructions in the current “Instructions for reviewers” and the information given at the evaluation conference on the May 22 2014
- completing her/his individual reviewing work according to the time plan for the panel
- thereby submitting assessments (scoring, assessment notes, preliminary evaluation, evaluation) according to the deadlines in the Instructions for reviewers
- to be familiar with all the applications (also those you are not the designated assessors of) and having read the written reviews from the previous panel.
- promptly informing the Swedish Research Council about potential unforeseen obstacles in completing her/his reviewing work
- participate in the panel meeting/s/

4. **The Swedish Research Council** will

- inform about the conditions and policy that apply for the reviewing work of the panel
- supply proper administrative support and guidance for the reviewing work
- remunerate the panel members and chair for the reviewing work according to the following amounts:

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
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<tr>
<td>Assessment of an application</td>
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<tr>
<td>Main evaluator of an application</td>
<td>650 SEK</td>
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<td>Meeting fee (physical presence, per day)</td>
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<tr>
<td>Chair fee, per year</td>
<td>15 000 SEK</td>
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APPENDIX 7. CONFLICT OF INTEREST POLICY

2006-02-21
DNR: 111-2006-623
APPROVED BY THE GOVERNING BOARD OF THE SWEDISH RESEARCH COUNCIL 2001-04-03.
THIS ABRIDGED VERSION WAS ESTABLISHED BY THE DIRECTOR GENERAL 2006-02-21 AT THE REQUEST OF THE GOVERNING BOARD.

What Constitutes a Conflict of Interest?

Policies concerning conflict of interest are addressed in the Administrative Procedure Act (1986:223), a general Act covering all administrative authorities in Sweden.

According to Section 11 of the Act, the policies concerning conflict of interest apply to persons charged with handling a matter. This concept covers not only the individuals that participate in the final decision/action regarding a matter, but also those involved in processing the matter. The determining factor is whether or not the person in question is involved in such a way that he or she could potentially influence the outcome.

The Administrative Procedure Act (1986:223) describes conflicts of interest as:

Conflicts involving private interest, personal involvement, and family ties
Persons charged with handling a matter have a conflict of interest:
• If the matter concerns themselves or their spouse, parents, children, siblings, or someone else closely related to them.
• If they or someone closely related to them can expect extraordinary advantage or detriment from the outcome of the matter.

Conflicts involving legal representation
Persons charged with handling a matter have a conflict of interest:
• If they, or anyone closely related to them, legally represent someone that the matter concerns or anyone that can expect extraordinary advantage or detriment from the outcome of the matter.

Conflicts involving organisational roles
Persons charged with handling a matter have a conflict of interest:
• If the matter has been brought before the authority by an appeal against or the subordination of the decision of another authority, and the person has taken part earlier under the auspices of the subordinate authority in the final handling of a matter concerning the same material issue.
• If the matter has been brought before the authority by reason of the supervision of another authority, and the person has taken part earlier under the auspices of the subordinate authority in the final handling of a matter concerning the same material issue.

Conflicts involving proxies or agents
Persons charged with handling a matter have a conflict of interest:
• If they have served someone as a proxy or have assisted that person for payment as regards the material issue.

Conflicts involving special circumstances
Persons charged with handling a matter have a conflict of interest:
• If some other special circumstance is likely to undermine confidence in their impartiality in the matter.
Why a Conflict of Interest Policy?

Policies concerning conflict of interest (as with other administrative policies that apply to public authorities) have the following functions:

• To guide the organisation and implementation of work performed by the authority and to assure objective and impartial handling of matters.
• To engender confidence among the parties concerned and the public that the above takes place.

Conflict of Interest Policy at the Swedish Research Council

Responsibility for adhering to the conflict of interest policy rests partly with the administrative authority itself and partly with the person charged with handling a matter (italics indicate the terminology used in the Act).

The person charged with handling a matter is a concept that includes administrators and officials. Hence, this applies to everyone within the Swedish Research Council organisation, i.e. the governing board, scientific councils, committees, evaluation panels, prioritisation committees, experts, and secretary generals. The work of the Swedish Research Council differs in several respects from the work of other authorities. A key difference is that most members of the decision-making bodies are appointed to represent the community of researchers directly affected by the decisions. This creates a special risk for special circumstances, which are described below in greater detail.

General considerations

• Persons with a conflict of interest may not be charged with handling a matter, i.e. they may not participate in processing a matter or in making decisions concerning the matter.
• Persons who are aware of a situation where they might be perceived to have a conflict of interest shall voluntarily disclose this.
• If a question involving conflict of interest arises concerning someone, and if no replacement has been appointed, the Swedish Research Council shall quickly resolve the issue. Persons suspected of having a conflict of interest may participate in evaluating the issue only if the issue cannot be resolved without their participation, and if someone else cannot be called in without excessive delay.
• A decision on a conflict of interest may be appealed only in conjunction with an appeal of the authority’s decision in the matter.

Conflicts involving special circumstances

This category covers the situations not covered by any other grounds for a conflict of interest. However, it should not be used routinely as soon as other grounds for conflict of interest do not formally apply. Substantial reasons are required for its application.

Examples of conflicts involving special circumstances might include:

• close collaboration in a professional context
• obvious friendship or hostility
• dependent relationship of an economic nature
• supervisor–subordinate relationship
• someone engaged in the matter in a way that suspicion can easily arise that the conditions for impartial judgement are inadequate.

The individual situation must be assessed based on the nature and scope of the relationships and the time involved.

The following situations may carry a particularly high risk for conflict of interest and/or may be perceived to jeopardize confidence:

• When the person charged with handling a matter is affiliated with the same institution (particularly if small or mid-sized) or other independent economic entity as the applicant.
• When the person charged with handling a matter is potentially dependent on the applicant in another context. An example would be if the applicant were responsible for evaluating the qualifications, grant application, institution, or topic of the person charged with handling the matter.

• When the person charged with handling a matter has an ongoing, or recently concluded, close relationship with the applicant, e.g. a teacher-student relationship or joint research project.

• In some cases, joint authorship of books or articles may present a sensitive situation. The determining factor is whether or not there has been close collaboration in a professional sense. Since publication practices vary widely among different fields it is not possible to establish common guidelines that would apply to the entire Swedish Research Council.

Among persons charged with handling a matter, those at greatest risk for a conflict of interest would be those who are active in science, mainly the members of the Governing Board, scientific councils, evaluation panels, and prioritisation committees, but even experts and secretary generals. Research grant applications from members of the Governing Board, the scientific councils, committees, evaluation panels, and prioritisation committees may not be processed in the group where the member holds a position as chair, member, or observer. Special rules on research funding apply to secretary generals.

Preventing conflicts of interest

The Swedish Research Council uses the following guidelines to prevent a conflict of interest:

• At an early stage, lists of applicants should be sent to persons charged with handling matters in the relevant scientific councils, committees, evaluation panels, and prioritisation committees. The members should be instructed to disclose any conflict of interest, or potential risk for a conflict of interest, related to any of the applications.

• The members should be asked to disclose any other risks, beyond the ones listed in this document, for conflict of interest.

• When the evaluation panels and prioritisation committees are appointed and the applications are distributed, the conflict of interest issue should be addressed and conflict of interest situations avoided. This can be done, e.g. by appointing the evaluation panels and prioritisation groups after the applications have been received, or by re-assigning an application to a different group.

• Persons charged with handling a matter shall not be assigned to report on an application when there is a risk for conflict of interest.

• Persons charged with handling a matter shall not be present when an application is processed in a working group or prioritisation committee if there is a risk for conflict of interest.

• When an application is processed as a part of a batch (e.g. when a scientific council concurrently decides on several applications based on a prioritisation list from a working group) the only persons prevented from participating are persons charged with handling a matter who have a conflict of interest in a legal sense.

Procedural rules pertaining to conflict of interest

The guidelines above cannot always prevent conflict of interest situations from arising. The most common cases are the following:

• A member of the Council applies for funding or employment.

• An application involves a highly specialised area where it is not possible to find members in the evaluation panels or prioritisation committees who do not have a particular connection with the applicant.

In these and other cases where a conflict of interest might exist, a written statement shall be submitted from at least two external experts.

When a conflict of interest exists, the following measures shall be taken in handling a matter:

• The person with a conflict of interest shall leave the room.

• The conflict of interest shall be recorded in the minutes.

• The minutes shall also record cases where conflict of interest was assessed, but found not to exist.
• Minutes shall be taken regarding the conflict of interest, even if minutes of the meeting are not taken.

Decisions that do not apply directly to individuals
At times, situations arise that do not apply to any particular applicant, but where the person charged with handling a matter might, nevertheless, have a personal interest. This could include, e.g. establishing special research programmes, prioritising particular research areas, granting funds to infrastructure projects, and designing targeted funding of various types.

In such cases, the greatest assurance for impartiality would be peer review and maximum transparency in documentation of the evidence upon which the decision is based.

Hence, anyone charged with handling a matter in such a context should endeavour to be impartial and, to the greatest extent possible, document the basis for his or her decisions. Anyone participating in a decision should thoroughly review the facts even if they do not report on, or are specialised in, the subject area.

Confidence issues
Confidence among the parties involved and the public in an authority’s ability to act impartially depends not only on its adherence to conflict of interest policies, but also on its adherence to other principles associated with these policies. Two such principles concern transparency and documentation.

Transparency
Transparency is addressed in the Administrative Procedure Act: “An applicant, appellant, or other party is entitled to have access to the material that has been brought into the matter, provided that the matter concerns the exercise of public authority in relation to someone.” This statute goes beyond the general principle of public access to information. Persons charged with handling matters at the Swedish Research Council should, whenever possible, assure a similar level of transparency even if the matter does not involve “the exercise of public authority in relation to someone”.

Documentation
The Swedish Research Council shall document the information used in decision-making. If the matter concerns “the exercise of public authority in relation to someone” the documentation must include the reasons for a decision. However, the reasons may be excluded if the decision concerns, e.g. a job appointment, admission to optional education, determination of grades, and allocation of research grants. If the reasons are excluded, the authority should provide them on request.

This policy is intended to protect the individual against disclosure of unfavourable information. If this interest is not jeopardised, the documented reasons for a decision should be reported.

Definitions
Person charged with handling a matter
Anyone who can influence the outcome of a matter during the processing phase (e.g. research project managers) and the decision-making phase (e.g. Council members).

Handling
All action taken by an authority on a matter, from start to finish (including decision-making and any re-evaluation).

Matter
In a context of a legislative Act, the expression “handling a matter” usually refers to an administrative authority’s decision-making process.

Exercise of public
Decisions rendered in accordance with Acts or regulations that concern the rights
authority in relation to someone

and responsibilities of the individual. In the context of the Swedish Research Council, typical examples would be the decisions rendered on matters involving research grants and employment.

Conflict of interest

Conflict of interest refers to a situation which undermines confidence that a particular official or administrator will act impartially in handling a matter.

Conflicts of private interest, personal involvement, and family ties

The focus here is on private interests. The latter two situations are sufficiently self-explanatory. Conflicts of private interest are said to exist if the person charged with handling a matter can expect extraordinary advantage or detriment from the outcome of the matter. This does not refer to the legal interest (compare personal involvement) but to the actual interest of the person. Extraordinary advantage is not the same as special advantage, but something substantially greater is required for this situation to exist. A classic case would be if the person charged with handling a matter owns shares in a corporation involved in the matter. The decisive factors would be the amount of holdings and the importance of the matter to the corporation.

Conflicts of legal representation

In this context, legal representative refers mainly to persons authorized to sign for a company, an association, or any other legal entity, or those who are guardians, executors, or trustees for other physical persons, e.g. minors. The conditions are generally similar to those described above in section 1.

Conflicts of organisational roles

The person charged with handling a matter at a higher level of authority has already dealt with the matter at a lower level to the extent that his or her objectivity can be called into question. This assumes that the matter has arisen either through an appeal process or because of supervisory responsibilities. This also assumes that the person charged with handling a matter at the higher level had participated in final handling of the matter in question at the lower level. Usually, it does not include cases where someone within one and the same administrative authority participates in different phases of handling a matter.
General Guidelines from the Board of the Swedish Research Council to Scientific Councils other Councils and Committees for Evaluations in 2013

The following general guidelines from the Swedish Research Council apply to the Scientific Councils and other councils and committees (SCCCs) in evaluating grant applications prior to funding decisions.

10.1 Applications that bridge or overlap subject areas
Every SCCC is to take full responsibility to assure that each application receives sufficient review. This includes grant applications that fall on the borderline with other SCCC within the Swedish Research Council, or on the borderline with other research funding bodies. Applications that involve multiple SCCC must be jointly addressed so that those involved reach a consensus opinion prior to the funding decision. From 2014 onwards, a special review process for interdisciplinary research will be determined. The process relates only to those applications whose subject areas span more than one scientific council/committee area.

10.2 Researchers in early career stages/researcher recruitment
While maintaining high quality standards, SCCC are to give high priority to initiatives that aim to provide favourable conditions for researchers early in their careers. As a benchmark 1/3 of the annually decided total sum for project funding and funding of employment and scholarships (forms of grant in accordance with appendix 2 of the annual report of the Swedish Research Council) for every SCCC should be allocated to young researchers, meaning researchers who have a career age of less than 8 years. If the decided amount differs substantially from this benchmark this should be justified. The total sum for these forms of grant concerns all decisions made during the year, regardless of the origin of the funds. The total sum per SCCC must also include the Director General’s decisions regarding International Postdoc and International Career Grant (INCA).

10.3 Increased long-term perspective
The SCCC should make initiatives to increase the long-term perspective and strengthen the prerequisites for research by striving for higher average funding amounts and longer average funding periods. These actions should be taken in a way that does not worsen the prerequisites for junior researchers to receive funding nor threaten gender equality. The Secretary Generals should present recommendations for funding decisions so that the average funding level and the average funding period are made clear prior to decision. Written statements about the development of these factors should be added to the decision of the SCCC. The statement should be included in the Secretary Generals’ reporting to the Board.

10.4 Assessing budget and indirect costs
The grants of the Swedish Research Council for research projects at universities and university colleges must include financing for direct and indirect costs in the same proportions as calculated for the project as a whole. The Swedish Research Council thus requests that information on the total cost of each project, that is, both direct and indirect costs, is reported in the application for Project Research Grants.

The primary objective of the evaluation panels is to assess the scientific quality of the applications according to the instructions given by the SCCCs. In their scientific assessments, the evaluation panels should not
consider different levels of indirect costs. The evaluation panels should assess the reasonableness of the applicant’s proposed budget in relation to the project’s implementation and can suggest cutbacks in the project’s budget.

10.5 Addressing Open Access in grant applications to the Swedish Research Council
Scientific publications must be assessed independently of publication method. All peer-reviewed conference and journal publications emanating from research funded wholly or in part by the Swedish Research Council must be published with Open Access. In the event of parallel publication in open institutional archives, the document must be submitted upon publication and become openly accessible within six months (twelve months following special permission). Applicants for project funding from the Swedish Research Council may apply for funding to cover any extra costs in conjunction with Open Access publication, in accordance with the conditions given above.

10.6 Conflicts of interest in the evaluation and decision-making process
The conflict-of-interest policy of the Swedish Research Council approved by the Board on 3 April 2001 and later ratified by the Director General on 21 February 2006, are to be followed during the evaluation and decision-making process.

10.7 Gender equality
The gender equality strategy of the Swedish Research Council prescribes men and women should have the same success rate and the same average grant size with regards to the nature of the research and the grant type. Before the evaluation panel makes a recommendation for the allocation of grants, the approval rate in the recommendation and the average grant size should be determined for women and men, respectively. Gender equality should be used as a boundary condition for the prioritization of applications of equal (or near equal) quality. In these cases, applications from underrepresented gender are given higher priority. Before the SCCCs make their decision, the Secretary General presents the recommendations of the evaluation panels for grant approval from an equality perspective and comments on any differences in the approval rate and the average grant size between women and men. When the SCCCs then present the results to the Board, these are to include comments on any differences regarding the aspects stated above and a plan for correcting these differences.

10.8 Special priority areas
For special grants where decisions have been delegated to SCCCs, the respective SCCC is responsible for assuring that these lead to investments in the intended areas and for reporting the results to the Board after deciding on allocations.

10.9 Documentation for reviewing applications
The completed grant application forms, including the attachments, etc specified in the call, serve as the basis for the evaluation panel’s review of a grant application. Letters of recommendation, letters of support or similar documents received by the Swedish Research Council are not part of the application. Hence, they should not be accorded any value in assessing the application.
APPENDIX 9. STRATEGY FOR GENDER EQUALITY AT THE SWEDISH RESEARCH COUNCIL

MINUTES OF THE BOARD OF THE SWEDISH RESEARCH COUNCIL NR 4, 2013
APPENDIX 1

Strategy for Gender Equality at the Swedish Research Council

Decision 2013-06-13

Goals for Achieving Gender Equality at the Swedish Research Council

In compliance with the Instructions Ordinance, the Swedish Research Council promotes gender equality throughout its sphere of activities. The strategy for achieving this aim is to strive for gender equality throughout the organisation. Hence, the Swedish Research Council has established the following operational goals:

The Swedish Research Council should:

6) achieve and maintain an equal gender distribution in its evaluation panels,
7) ensure that the percentages of female and male applicants for grants from the Swedish Research Council correspond to the percentages of women and men among the potential research grant applicants,
8) ensure that women and men have the same success rates\(^1\) and receive the same average size of grants, taking into account the nature of the research and the type of grant.\(^2\)

The Board has the responsibility for implementation of the Swedish Research Council’s strategy. Achieving the goals requires the involvement of the entire agency, including the Scientific Councils and the other councils and committees (SCCCs).\(^3\) Unless otherwise specified, the Director General is responsible for advancing the efforts towards achieving equality.

Introduction

This strategy applies to the Swedish Research Council as a research-funding organisation. A special equal opportunities plan addresses the work of achieving equality within the Swedish Research Council as a public agency.

The primary objective of the Swedish Research Council is to allocate funding to research of the highest scientific quality and that best promotes innovation. Achieving this objective requires impartial assessment of grant applications. Impartial assessment implies gender neutrality; that the Swedish Research Council supports the best researchers, regardless of gender.

The Swedish Research Council assumes that research capacity exists to the same extent in both sexes. Moreover, the Swedish Research Council assumes that research is benefited when both genders participate and apply their expertise and experience.

Gender equality is also a matter of justice. Women and men should have equal opportunities to conduct research and develop professional careers as researchers.

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\(^1\) Success rates for women and men refer to the percentage of applications approved among total applications received from women and men respectively.

\(^2\) Attainment of the goal must be assessed in the context of a sufficiently large number of decisions.

\(^3\) These include the Scientific Council for Humanities and Social Sciences, the Scientific Council for Medicine and Health, the Scientific Council for Natural and Engineering Sciences, the Council for Research Infrastructures, the Educational Sciences Committee, the Committee for Artistic Research and Development and the Committee for Development Research.
Achieving gender equality throughout the Swedish Research Council’s spheres of activity requires a persistent, long-term effort and continuous attention to assure that the ground gained towards equality is not lost. The agency must continually monitor and analyse its activities from an equality perspective and take necessary steps based on the results. The Swedish Research Council should also inform others about its actions in gender equality.

Moreover, the Swedish Research Council must consider how the results of gender research might contribute towards improving equality throughout the agency’s sphere of activity.

Laws, Ordinances, and Appropriation Directions

Equality between women and men is addressed by a body of laws and regulations, e.g. the Instrument of Government Chapter 1 Section 2 (part of the Constitution), the Discrimination Act (2008:467), the Higher Education Act (1992:1434), and the Higher Education Ordinance (1993:100).

According to the Swedish Research Council Instructions Ordinance (2009:975) Chapter 1 Section 14, the Swedish Research Council must promote equality between women and men within its sphere of activity. In accordance with the requirements established by the Government in the Appropriation Directions, the goals achieved must be presented in the Annual Report of the Swedish Research Council.

Processes for Achieving Goals

The Swedish Research Council must analyse its activities from a perspective of gender equality and follow up on the extent to which the goals have been achieved. This should be done annually in conjunction with the presentation to the Board regarding the outcome of the year’s general call and in conjunction with producing the Annual Report. Equality issues must be discussed by the Board and by other parts of the organisation, and necessary actions must be taken. Furthermore, a comprehensive analysis of gender equality must be conducted at the end of the Board’s 3-year term of office. When a new Board takes office it must review the gender equality strategy and where necessary decide on changes to the strategy.

The following points describe how the operational goals should be achieved.

1. Equal gender distribution in Swedish Research Council evaluation panels

“The Swedish Research Council should achieve and maintain an equal gender distribution in its evaluation panels.” (Goal 1)

In this context, equal gender distribution is considered to exist in a group when neither of the sexes comprises less than 40% of the panel members.

Gender distribution should be considered before appointing the evaluation panels. Work involving equality should take a long-term perspective. This means, e.g. that in certain areas where men are greatly underrepresented among teachers and researchers at higher education institutions, the Swedish Research Council must be observant not to over-utilise those few men. The same applies in instances where women are greatly underrepresented.

If the proposed composition of an evaluation panel falls outside of the 40% to 60% range, this must be specified in the decision-making material prepared for the Secretary General concerned. This material must also include justification for the deviation and describe the actions taken to achieve an equal gender distribution.

Gender equality aspects should also be considered when appointing participants to other groups and when making decisions concerning Swedish Research Council representation on external (national and international) bodies.
2. Grant applications by women and men

“The Swedish Research Council should ensure that the percentages of female and male applicants for grants from the Swedish Research Council correspond to the percentages of women and men among the potential research grant applicants.” (Goal 2)

Currently, women and men are applying for research grants from the Swedish Research Council at rates corresponding to their proportion in the potential pool of research grant applicants. Should this situation change in the future, the Swedish Research Council would actively recruit more applications from the underrepresented gender.

3. Same success rates for women and men

“The Swedish Research Council should ensure that women and men have the same success rates and receive the same average size of grants, taking into account the nature of the research and the type of grant.” (Goal 3)

Before the Swedish Research Council decides to introduce a new type of grant or makes a new research investment the effects on gender equality must be analysed and consideration given to whether any special measures are necessary. The analysis should address gender equality at the total level and also be according to the different types of grants and subject areas.

The task of the Swedish Research Council to promote gender equality throughout its sphere of activities, as well as gender equality as a factor for raising quality should be emphasized in the text of the calls, the evaluation criteria and types of evaluations should be considered from an equality perspective.

Members of the Scientific Councils and the other councils and committees and the members of evaluation panels must be informed about the gender equality strategy of the Swedish Research Council. The evaluation panels shall be instructed in gender equality issues during the information meetings prior to the evaluation work. Other experts involved must also be informed of the strategy (available in Swedish and English).

The Swedish Research Council’s evaluation handbooks must include written instructions for the evaluation panels, giving attention to the following:

- that all evaluation criteria must be clear and explicit. When the call is issued, the criteria and the instructions for applicants must be published on the Swedish Research Council’s website,
- that only “active research years” should be considered in evaluating the extent of scientific productivity, i.e. time off for parental leave, sick leave, or similar circumstances should be deducted.

Prior to each new round of evaluations, the assistant research secretaries of the Swedish Research Council must discuss the above instructions with the evaluations panels. Before an evaluation panel submits its proposal for allocating research grants, it must calculate the proposed success rates and average size of grants for women and men, respectively.

The secretaries general must present the evaluation panels’ grant allocation proposals, from an equality perspective, to the respective Scientific Councils and the other councils and committees (SCCCs), commenting on possible gender disparities in success rates and average size of grants. These presentations must be delivered before the SCCCs make their decisions. The respective SCCCs must attach to their decision a collective assessment of the results in relation to the Swedish Research Council’s gender equality strategy. These assessments should include comments by the SCCCs concerning possible disparities, as mentioned above, and a plan/strategy to rectify them. A written consensus opinion from each of the SCCCs must be forwarded to the Board.

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4 See footnote 1.

5 See footnote 2.
In conjunction with the Director General’s and the SCCCs’ presentation to the Board regarding the outcome of the annual calls for proposals, the success rates for women and men must be presented for each of the SCCCs and each type of grant. The average size of the grants must also be reported by gender. A summary of the results shall be included in the Annual Report of the Swedish Research Council. Presentations by the SCCCs to the Board must include comments on possible disparities, as regards the matters mentioned above, and a plan to rectify any disparities.
APPENDIX 10. TRIAGE – SORTING OUT PROJECT GRANT APPLICATIONS

In the case where an evaluation panel has a large number of proposals to assess, the chair can decide after consultation with the Swedish Research Council staff that the panel meeting should start with a triage. The intention of Triage is to enable thorough discussions of the applications of high scientific quality that can be considered for funding. All proposals will, as previously, receive the same qualitative evaluation by individual reviewers since they are read and graded by five of the panel members. Only the applications within reasonable chances of being funded will be subject to further discussion at the panel meeting. There should be a margin for the triaged applications and more than 50 % of the applications must never be triaged.

Handling procedure:

1) During a telephone meeting between the chair and the council staff, a suggestion on applications to triage is developed. The supporting material for the meeting includes all assessments, median grades, individual grades and individual rankings. If the individual grades and rankings on an individual application differ to a large extent, the application should not be suggested to be triaged.

2) The suggestion on triaged applications is sent to the reviewers a week before the panel meeting.

3) In the beginning of the panel meeting, the suggestion is discussed and the panel members agree on which applications that should be triaged and not be subject to further discussions. During the meeting, the panel should also agree on an overall assessment of the scientific quality (1-7) for each triaged application as well as a relevance grade (1-3). There should be a margin for sorting out applications – the triaged applications are those that clearly do not meet the standards for receiving funding. Only applications with an overall assessment of 4 or lower may be triaged. If the panel disagrees on whether or not an application should be triaged, the application in question should always remain for further discussion at the panel meeting – giving the benefit of the doubt should prevail.

4) At the continuation of the panel’s meeting, the triaged applications are normally not subject for further discussions. It is however possible for a panel member to, at any time and without specific grounds, bring a triaged application back into the panel for discussion.

5) The applications that remain after the triage procedure should reflect the original application rates for each gender.

6) After the panel meeting, the draft evaluations for the triaged applications will be finalized into an evaluation containing the overall quality grade and the relevance grade only.
APPENDIX 11. THE SWEDISH RESEARCH COUNCIL’S TRAVEL POLICY

Plan ahead for your trip to make it as time- and cost-effective as possible!

Appointed travel suppliers

You as a traveller determine your own itinerary. Every portion of a trip, such as the tickets, car rental, and other travel arrangements, must be booked with one of the following travel suppliers, appointed by the Swedish Research Council:

**American Express Business Travel**
Phone +46 243-21 30 50
Fax +46 243-21 30 60
E-mail: businessstravel.se@service.americanexpress.com

State customer: **Swedish Research Council / Vetenskapsrådet**
State customer number: 1612002115
State reference code and reference person: This information is provided by the administrator for your review panel.

When you book travel using this information, the invoice will be sent directly to the Swedish Research Council.

**SJ**
Phone: +46 (0) 771-75 75 55, press 1

State customer: **Swedish Research Council / Vetenskapsrådet**
State customer number: 937608
State reference code and reference person: The information is provided by the administrator for your review panel.

When you order using this information, the invoice will be sent directly to the Swedish Research Council. When you order directly at [www.sj.se](http://www.sj.se), you will pay for the travel and later claim the cost using the reimbursement form (see the section “Reimbursement for Travel Expenses,” below).

Mode and means of transport

You are responsible for choosing the most suitable mode of transport, taking into account the cost and time involved, as well as safety and environmental considerations.

Travel by plane and train
Air and train journeys should normally be reserved in economy class or the equivalent. Trips of up to 500 kilometres are preferably to be booked by train, if time allows. Contact the travel supplier for a consultation well before your departure.
Travel by private car
You may use your own car if this is the least expensive mode of travel. You will be refunded for the number of
kilometres driven in the course of your official duties. Tax-free compensation for the distance driven is
currently SEK 1.85 per kilometre.

Travel to and from the airport
Journeys to and from airports often make up a large proportion of travel costs. Travelling by taxi is generally
expensive, but by planning the journey to and from the airport can considerably reduce costs. The airport bus or
airport train should be the primary choice. An airport taxi may be used if you are travelling with heavy luggage.
Taxi journeys to and from airports should always be booked at a shared rate to reduce costs.

Hotel stays
Accommodation in connection with the evaluation-panel meetings is arranged by the Swedish Research
Council according to the information you provide the administrator of your review panel. Should you need
additional accommodation before or after the meeting, you must provide this information when you make your
reservation.

Reimbursement for travel expenses
A form for reimbursement of expenses related to your travel can be found on our web page
(http://www.vr.se/forskningsfinansiering/blanketter) and should always be used for claiming reimbursements
from the Swedish Research Council.

The form, which must be signed by you, the traveller, must contain all the particulars needed in order to
arrange for reimbursement of expenses: original receipts, vouchers, and train and air tickets (e-tickets) should
be enclosed. Amounts in foreign currency should be recalculated according to the exchange rate at the time of
transaction. Send the reimbursement form to the administrator of your review panel. The costs for which you
are entitled to reimbursement according to the Swedish Research Council’s reimbursement rules will be paid
out to you.

Expenses for food and beverages are not reimbursed.
A reimbursement form related to a particular month should be sent in before the end of the following month.
The traveller’s entitlement to reimbursement expires if the travel claim is not submitted within one year
of the month in which the trip took place.
The administrative entity has the responsibility to ensure that the research project complies with the terms and conditions established by Swedish law.

The applicant (project leader) has the responsibility to acquire all necessary approvals for the research that receives a grant from the Swedish Research Council.

- Research involving animal experiments requires approval from the Ethical Committee on Animal Experiments, in accordance with the Swedish Animal Welfare Act (1988:534).
- Research concerning humans and biological material from humans, and which falls under the Act on Ethical Review of Research Involving Humans (2003:460), requires review and approval from an ethical review board.
- Some research may require additional approvals e.g. research involving pharmaceuticals, genetically modified organisms, and ionizing radiation.

The Swedish Research Council assumes that the necessary permits and approvals have been obtained for the research covered by a grant application to the Swedish Research Council.

- Approvals should NOT be sent to the Swedish Research Council.
- For projects awarded funding from the Swedish Research Council, the project leader and the representative of the administrative entity must confirm, when they accept the terms and conditions of the funding decision, that they take responsibility for acquiring necessary approvals.

The Swedish Research Council assumes that research conducted with funding from the Swedish Research Council adheres to good research practice.

- In the grant application, the applicant must present the ethical issues associated with the research and describe how they will be addressed during the research project.

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6 Administrative entity: A state agency or physical or legal person within whose organisation the research is conducted. Universities or higher education institutions often serve as the administrative entity for research conducted with funding from the Swedish Research Council.