

## **General conditions for grants to research or research-supporting activities from the Swedish Research Council**

*The conditions were adopted by the Swedish Research Council on 12 December 2016<sup>1</sup>. They apply to grant decisions as of 1 January 2017. The conditions shall apply unless otherwise follows from the grant decision or specific conditions. In the event of a conflict between the general conditions and specific conditions issued for a decision, the specific conditions for the decision shall take precedence.*

### **Definitions**

In these conditions, the following definitions are used with the meaning specified below:

**Administrating organisation** A legal entity that has been approved by the Swedish Research Council and is the recipient of the research grant.

**Applicant** The person or organisation applying for a research grant from the Swedish Research Council, who is responsible for planning and implementing the research or research-supporting activities, such as a project leader.

**Research or research-supporting activities** The activity or activities covered by the research grant.

**Conditions** All conditions that are part of the grant decision.

### **1. The grant decision**

The Swedish Research Council's grant decision is valid as from the date when the administrating organisation and the project leader have accepted the conditions of the grant by means of signing the document. The conditions of the grant decision apply up to and including the date when the final scientific and financial reports have been submitted to the Swedish Research Council and, where appropriate, any unused funds have been repaid.

Disbursement of grants is made to the administrating organisation according to the payment schedule set out in the decision.

The grant amount and grant period stated in the decision are valid on condition that the Swedish Research Council is allocated the funds proposed by the Government.

### **2. Undertakings by the grant recipient**

#### **2.1. Responsibility for the research or research-supporting activities being conducted in accordance with Swedish law**

The applicant and administrating organisation are responsible for ensuring the research or research-supporting activities are conducted in accordance with applicable Swedish law.

#### **2.2. Employment relationship and conditions of employment**

The applicant for the research or research-supporting activities shall be employed by the administrating organisation specified in the application. An exception may be made for applicants employed by a county council.

#### **2.3. Equipment**

Except in the circumstances set out in 4.1.3, the administrating organisation is the owner of the equipment and other inventory acquired for the research or research-supporting activities with a grant from the Swedish Research Council. The equipment shall be made available to the research or research-supporting activities as long as they are ongoing.

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<sup>1</sup> This is a translation of the adopted version of the general conditions. In the event of a conflict between the Swedish version and this English version, the former shall take precedence.

## **2.4. Reporting**

The administrating organisation shall provide the information and data requested by the Swedish Research Council in conjunction with follow-up and evaluation of the research or research-supporting activities, both during an ongoing grant period and after it has ended.

Statements and reports relating to the research or research-supporting activities shall be submitted in the order set out in the grant decision or as requested by the Swedish Research Council.

## **2.5. Publication of results**

The scientific responsibility for the research awarded the grant includes ensuring that the results of the research activities are published in scientific journals and books with national and international scope or made available in another corresponding manner.

Any agreement with a commercial actor or other stakeholder must not limit the ability to publish the results of the research conducted with a grant from the Swedish Research Council. Nor may such an agreement delay publication for more than two months. A delay may, however, last a maximum of four months if the purpose is to facilitate a patent application based, in whole or in part, on the aforementioned research results.

The research results shall be made freely available, i.e. have “open access”, within six months of publication. In cases where the release is in the form of parallel publication in open institutional archives, the deposition of the research results shall be made at the time of publication and made openly accessible within six months. The Swedish Research Council may allow an extension of the period before the results become available with open access or parallel publication of up to a maximum of 12 months, on condition that the researcher can produce clear documentation that all efforts have been made to fulfil the six-month requirement, or that special reasons apply, such as for publications within the HS area. Open access applies to research results in academically assessed texts that have been published in journals and conference reports. The obligation to publish research results with open access does not apply to monographs and book chapters.

Research results of more general interest are also disseminated to those outside the scientific community.

## **2.6. Mention the Swedish Research Council as funding body**

When publishing or otherwise disseminating results, it shall be stated that the research has been conducted with a grant from the Swedish Research Council. When publishing original scientific articles, the reference number of the research grant shall be stated under the heading Acknowledgements or a corresponding heading.

## **2.7. The Swedish Research Council's right to disseminate information from and about the research or research-supporting activities**

The Swedish Research Council may reproduce and distribute the whole or part of reports from the research or research-supporting activities and also otherwise disseminate information from activities financed by the Swedish Research Council.

## **2.8. Access to the research material**

On request, the Swedish Research Council shall be given access to the complete research material for scientific scrutiny.

## **2.9. Obligation to provide information about other grants**

If a grant from another funding body is offered or received for the same purpose during the period while the research or research-supporting activities are in progress, this shall be notified to the Swedish Research Council as soon as possible. The report to the Swedish Research Council shall specifically indicate the extent to which another funding body could influence the implementation, analysis, interpretation and reporting of results. In addition, it shall be clarified who will dispose of the results. The Swedish Research Council may reconsider its grant decision on the basis of new information about other funding.

## **2.10. Other undertakings**

The administrating organisation shall:

- receive and manage the funds awarded;
- be responsible for ensuring the funds are used in accordance with the conditions that apply for the grant;
- as the employer of the applicant, ensure that he/she can organise his/her own and other employees' working hours to the extent required for the research to be implemented in accordance with the research

plan submitted to the Swedish Research Council, which also includes the publication of the results of the research;

- be responsible for ensuring the applicant and other personnel involved have access to premises, equipment and other resources required for the implementation of the research or research-supporting activities;
- be responsible for ensuring the research or research-supporting activities conducted within the activities financed by the Swedish Research Council do not have commercial ties that influence their objectivity, independence and transparency;
- submit an annual financial report to the Swedish Research Council in accordance with the Swedish Research Council's guidelines; and
- use the grant according to the conditions stated in the decision and be responsible for the administration of the activities.

The applicant shall:

- have the scientific responsibility for the project as described in the grant application to the Swedish Research Council with regard to object and method. This responsibility includes planning and implementing the research in accordance with the research plan submitted to the Swedish Research Council, but with the adjustments that may be required if the Swedish Research Council's grant is less than the amount applied for;
- be responsible for the necessary permits and approvals being obtained, such as approval by an ethical review board or ethical committee on animal experiments in cases where the research includes research involving people or laboratory animals, or a permit from the Swedish Medical Products Agency; and
- be responsible for scientific reports being submitted in accordance with the Swedish Research Council's instructions.

### **3. Financial provisions**

#### **3.1. Grant period and right of use**

The grant decision sets out the period during which the grant is paid out (grant period). Unless otherwise stated in the decision, the grant may be used during one further year following the end of the grant period. If special reasons exist, a further extension of the availability period of the funds awarded may be granted on request. Such a request shall be submitted by the administrating organisation and the applicant jointly before the availability period expires. The request shall be accompanied by a justification in support of the special reasons, a statement regarding non-utilised funds as well as a summary plan for how the research or research-supporting activities will be completed.

The grant shall be used in the manner specified in the research plan submitted to the Swedish Research Council, but with the adjustments that may be required if the Swedish Research Council's grant is less than the amount applied for. The grant shall also be used in accordance with the conditions for the decision. More significant changes concerning the grant's use requires a joint written petition to the Swedish Research Council from the administrating organisation and the applicant. The Swedish Research Council may approve changes following a review and within the framework of the grant decision.

Grants to research projects at universities and higher education institutes shall cover funds for direct and indirect costs in the same proportions as calculated for the research or research-supporting activities in their entirety.

The grant may not be used for scholarships, unless otherwise stated in the decision.

#### **3.2. Final financial report**

The administrating organisation shall submit a final financial report no later than three months after the availability period expires. The Swedish Research Council may decide that the financial report shall be submitted at another time.

If the research or research-supporting activities are terminated prematurely, special provisions shall apply (see Section 4.2 below).

#### **3.3. Repayment of surplus**

Unused grant funds reported in the final financial report shall be repaid to the Swedish Research Council no later than 30 days after the final financial report has been submitted. A surplus equivalent to a maximum of half a base

amount may be retained and used for research purposes similar to those intended with the grant. If the surplus exceeds half a base amount it shall be repaid in full.

Costs for the premature termination of the research or research-supporting activities are regulated in Section 4 below.

#### **4. Premature termination**

##### **4.1. Research or research-supporting activities that are terminated prematurely**

###### *4.1.1. Difficulties in implementing the research or research-supporting activities awarded a grant - general*

If the research or research-supporting activities cannot be implemented as planned, and the deviation is not insignificant, the administrating organisation shall promptly notify the Swedish Research Council of this. The same applies if equipment, for the purchase of which funds have been granted, cannot be acquired. In these cases, the administrating organisation shall also show how the research or research-supporting activities have been affected by the inability to acquire the equipment. Following consultation with the applicant, the Swedish Research Council and the administrating organisation shall reach an agreement on how the situation should be handled.

###### *4.1.2. Difficulties in implementing the research or research-supporting activities due to a change in circumstances for the applicant*

If the applicant can no longer carry out the research or research-supporting activities, the administrating organisation shall immediately report this to the Swedish Research Council.

A decision on whether the research or research-supporting activities should receive continued funding or be terminated is made by the Swedish Research Council after consultation with the administrating organisation and, where possible, with the applicant.

If the research or research-supporting activities are terminated, the administrating organisation shall repay any unused funds to the Swedish Research Council.

If the reason for the change is that the applicant is transferring to the employ of another approved administrating organisation, the Swedish Research Council may decide to transfer the grant to the new administrating organisation and that the research or research-supporting activities shall continue there with the same applicant. Before making such a decision, consultation about the conditions of the transfer shall be held with the administrating organisations concerned.

###### *4.1.3. Equipment*

In the event of premature termination of research or research-supporting activities, the Swedish Research Council may, after consulting with the administrating organisations concerned, decide that equipment acquired using funds from the Swedish Research Council shall be transferred to the Swedish Research Council or to another administrating organisation.

##### **4.2. Final financial report in the event of early termination of research or research-supporting activities**

If the Swedish Research Council decides to suspend the payment of a grant or if research or research-supporting activities are terminated prematurely for another reason, a final financial report shall be submitted no later than three months after the date when either party unilaterally terminated the research or research-supporting activities or the parties agreed that the research or research-supporting activities should end. The Swedish Research Council shall require repayment of any funds disbursed but unused to the administrating organisation within 30 days of the Swedish Research Council having received the final financial report.

##### **4.3. Costs for premature termination of research or research-supporting activities**

If the Swedish Research Council decides to suspend the payment of a grant and this is not due to breach of conditions, the Swedish Research Council and the administrating organisation are expected to reach an agreement on how reasonable termination costs shall be financed.

#### **5. Audit**

An auditor or equivalent appointed by the Swedish Research Council shall be entitled to audit the records and accounts associated with research or research-supporting activities awarded a grant from the Swedish Research Council. For this purpose, the administrating organisation shall provide the person performing the audit with complete insight into the research or research-supporting activities, for example by providing copies of all

supporting documents regarding expenditure and revenues relating to the research or research-supporting activities.

## **6. Penalties, etc. for breach of conditions**

### **6.1. Termination of payment**

The Swedish Research Council may decide to terminate all or part of the payment of a grant awarded if

- the applicant or the administrating organisation has caused the grant to be awarded incorrectly or in an excessive amount by providing inaccurate information or otherwise;
- the grant has for some other reason been awarded incorrectly or in an excessive amount, and the recipient should have realised this;
- the conditions of the grant have not been fulfilled;
- misconduct in research or unethical behaviour has occurred; or
- the applicant has shown him-/herself to be clearly unsuitable to receive a grant from the Swedish Research Council by means of his/her actions or for another reason.

A decision to terminate a grant due to breach of the conditions may be combined with a qualifying period, during which an applicant covered by the decision is prohibited from applying for any new grant from the Swedish Research Council.

### **6.2. Request to fulfil the conditions**

If a breach of the conditions for the grant can easily be remedied, the Swedish Research Council may request the administrating organisation to fulfil the conditions of the grant within a certain period. In such an event, the Swedish Research Council may request that the administrating organisation submit an action plan to the Swedish Research Council specifying the measures that will be taken to fulfil the conditions and the time frame for these measures. The Swedish Research Council will decide whether the action plan can be accepted, or if the grant shall instead be suspended.