

## General Terms and Conditions for Research Grants from the Swedish Research Council, the Swedish Council for Health, Working Life and Welfare (Forte), and the Swedish Research Council for Environment, Agricultural Sciences, and Spatial Planning (Formas)

*Ratified by the Swedish Research Council, for its part on November 3<sup>rd</sup>, 2014, and applicable to funding decisions where grant payments start no earlier than the 1<sup>st</sup> of January 2015 (decision GD-2014-205). These terms and conditions apply unless otherwise specified in the funding decision.*

### Definitions

**Administrative entity** refers to the legal person that manages the research funds allocated by the Swedish Research Council (the Council). The Council can approve new administrative entities after performing an examination.

**Project leader** refers to the person responsible for the grant application (applicant) submitted to the Council, and for planning and implementation of the project.

**Applicant** refers to the person or organization responsible for the application submitted to the Council. When an organization serves as the applicant, it has the same responsibilities as a project leader would.

**Project** refers to the activities supported by the research grant.

### General

The Council's funding decision becomes effective when both the administrative entity and the project leader accept the commitments defined below.

### Commitments

#### *Commitments by the Council*

The Council agrees to pay the sum of the specified grant to the administrative entity in accordance with the payment plan specified in the decision. Payments are made monthly (i.e. one twelfth of the annual sum granted) unless otherwise specified in the decision. Payments commence after the decision becomes effective. The amounts specified in the decision are definitive. No compensation will be granted for increases in the cost of salaries, or other cost increases.

Grants for research projects at universities and institutions of higher education must include funding for direct and indirect costs at the same ratio as calculated for the project as a whole.

Decisions on grants apply under the condition that the Council receives the budgetary funds proposed by the Government.

#### *Administrative entity commitments*

The administrative entity agrees:

- to, as employer of the project leader, ensure that the project leader can allocate his/her own time, and the time of other employees, to the extent needed to implement the project in a manner that complies with the project plan as presented to the Council, and to enable publication of the project's results,
- to ensure that the project leader and other relevant personnel have access to the facilities, equipment, and other resources needed to implement the project,
- to ensure that the research conducted in the project meets the terms and conditions specified in Swedish law,
- to ensure that the research conducted in the project has no commercial ties that would affect its objectivity, independence, and transparency,
- to report annually to the Council on withdrawal of direct and indirect project related costs, in accordance with the instructions issued by the Council,
- to manage the grant in compliance with the terms and conditions of the decision and be responsible for the administration of the project.

#### *Project leader commitments*

The project leader (applicant) has the scientific responsibility for the project and its objectives and methods as described in the grant application to the Council. This includes planning and implementation of the project in fundamental compliance with the plan submitted to the Council and the terms and conditions specified in the decision – but with any adjustments that might be required if the Council receives less budgetary funding than the amount requested. The project leader has the responsibility to ensure that all required permits and approvals have been obtained. If the project includes research

involving humans or laboratory animals, the project leader must ensure that approval is obtained from the regional ethics committee and the Ethical Committee on Animal Experiments in compliance with the law and government regulations. Moreover, the project leader must ensure that the project complies with the ethical principles issued by the Council.

Part of the scientific responsibility is to ensure that the research results are published in scientific journals with international distribution, or are otherwise made accessible in a similar manner. The project leader has an obligation to ensure that he/she does not enter into agreements with commercial or other interests that could hinder him/her from publishing the results of research conducted with Council funding, or that could delay publication by more than two months. However, if the purpose is to apply for patents based fully, or in part, on the aforementioned research findings a delay of up to four months is acceptable.

The project leader must guarantee that the research findings are accessible to everyone (Open Access) within six months of publication. In cases where publishing involves parallel publication in open institutional archives, arrangements should be made at the time of publication for open accessibility within six months. The Council may prolong the allowed time period until Open Access or parallel publishing up to 12 months, provided that the project leader can present a clear documentation stating that all possible effort has been made to reach the six-month limit. Until further notice, the Open Access rules apply only to peer-reviewed texts in journals and conference reports, not to monographs and book chapters.

The project leader must also ensure that, when relevant to objectives presented in the grant application, findings of more general interest are disseminated to recipients outside of the scientific community. At the Council's request, the project leader must allow access to all material for scientific review by the Council.

When disseminating the results, the project leader must indicate that the research was conducted with funding from the Swedish Research Council. When publishing original scientific articles the registration number (Reg. No.) of the research grant must be included under the heading "Acknowledgements".

### ***Grant funding period***

The decision specifies the *funding period* for which the grant is given and for how long the funds may be used. The Council, the administrative entity, and the project leader commit to their responsibilities starting on the day that all parties approve the terms and conditions. The commitments remain in effect up to and including the day that the Council approves the

final report and any unused funds are repaid.

### ***Right of Use***

The decision specifies the period during which funding is disbursed. Unless otherwise stated in the decision, the grant may be used during the period specified plus one additional year, calculated from the final day of the funding period (grant funding period). Under special circumstances the funding period may be extended. Such a request may be submitted jointly by the administrative entity and the project leader in good time before the funding period has expired. The request should be accompanied by information on yet unused funds and a broad plan for conclusion of the project.

The grant must be allocated in fundamental compliance with the project plan submitted to the Council – however, with necessary adjustments should the Council receive less budgetary funding than the amount requested. Further, the grant must be allocated in accordance with the terms and conditions of the decision. Upon written request from the administrative entity and the project leader, the Council may consider more substantial changes concerning the use of the grant, or the terms and conditions of the decision. Following a review the Council may approve the changes.

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

### ***Employer Situation and Terms of Employment***

The project leader must be employed by the administrative entity, unless otherwise agreed upon by the Council and the administrative entity. If the project leader has another employer, that employer must confirm his/her commitment.

### ***Equipment***

The administrative entity holds the property rights for equipment and other inventory acquired by a project through grants from the Council. The equipment, however, must remain at the disposal of the project for as long as the project continues.

### ***Obligation to Disclose Other Funding***

The applicant must disclose any applications to and any grants received from other funding bodies

concerning resources for the same or similar objectives. If the applicant does not disclose such information, the Council reserves the right to re-evaluate its funding decision. If, during the research project, grants from other funding sources are offered or received for such objectives, the project leader must immediately notify the Council. This notification to the Council must specifically address the extent to which other funding bodies might influence the implementation, analysis, interpretation, and presentation of the findings and who will have access to the results.

The administrative entity, in consultation with the project leader, may decide that part of the grant received from the Council should be used to finance participation (so-called reciprocal funding) in an EU-supported project in the same field, or aimed in the same direction as the project funded by the Council.

### **Reporting**

The administrative entity has the responsibility to provide the Council with the information it requests in conjunction with following up and evaluating the research, either during or after the funding period. Presentations and reports concerning the project must be submitted as specified in the funding decision or on special request by the Council. An auditor or other reviewer appointed by the Council has the right to review the bookkeeping related to the grant decision and has the right of full access to project records, e.g. the right to receive copies of all receipts of expenses and revenues related to the project.

### **Final Financial Statement Report**

Using a special form provided by the Council, the administrative entity must submit a final financial statement report when the project is complete, and no later than three months after the funding period has expired. If an administrative entity has not given the final financial statement in due time for the previous grant period, the Council may dismiss an application for a new grant. The report regarding the decision in question must show the funds granted, the balance, and costs distributed according to the cost categories for which the Council has requested a financial accounting. The Council's aforementioned right to audit the accounting also applies to the final financial statement report.

The Council may decide that the financial report should be submitted at another point in time. Such a decision must specify the date of record and must be communicated to the administrative entity at least three months before the date of record.

If a project is terminated prematurely the following

special regulations apply.

### **Repayment of Surplus**

Unused funds that are accounted for in a final financial statement report must be repaid to the Council by the administrative entity no later than 30 days after the report has been filed. If the surplus is less than one half of one price base amount (a Swedish index that changes from year -to-year) it may be kept and used for research objectives similar to those for which the funding was granted. If the surplus is greater, the entire balance must be repaid to the Council.

### **Premature Termination of the Project**

#### *Difficulties in completing the project – general*

If the project funded by the Council cannot be completed according to plan, and if the discrepancy is not insignificant, the administrative entity must immediately notify the Council of this fact. The same applies if equipment for which the Council has provided funding cannot be acquired. In such cases, the administrative entity must also report on how this affects the project for which the equipment was intended. The Council and the administrative entity, in consultation with the project leader must agree on how the situation will be handled.

#### *Difficulties in completing the project – changes affecting the project leader*

If the project leader cannot complete the project due to prolonged illness, death, change of employer, or other reasons, the administrative entity must immediately notify the Council. The Council, after conferring with the administrative entity and if possible the project leader, decides whether the project receives continued funding or is terminated. If the project is terminated, the administrative entity must repay any unallocated funds intended for the project.

If the change is a result of the project leader transferring his employment to another administrative entity, the Council may decide to move the project so that the work can continue under the same project leader. Before such a decision is made, the Council must confer with the affected administrative entities regarding the terms and conditions of the move.

Costs of prematurely phasing out a project are settled as described below.

#### *Breach of commitment*

In cases where the Council, the administrative entity or the project leader substantially violate the terms and conditions of the decision, and do not cease and

desist within one month (30 days) of written notification, the Council or the administrative entity may immediately terminate their commitment.

The following circumstances in conjunction with research may constitute grounds for a decision by the Council to terminate payment of a grant:

- incorrect information in the application, or omission of required information
- failure to report, during the course of the project, any new circumstances that must be reported under the terms and conditions of the decision
- economic irregularities
- unethical actions
- commercial ties that affect the objectivity, independence, and transparency of the project
- if the project leader, through other actions, is clearly shown to be an inappropriate recipient of Council funding

#### *Equipment*

When phasing out a project prematurely the Council, after consulting with the affected administrative entities, may decide that equipment acquired through Council funding should be surrendered to the Council or to another administrative entity.

#### *Final financial statement report in prematurely terminated projects*

If the Council decides to terminate payment of a grant, or if a project is prematurely terminated for other reasons, the project's final financial statement report must be submitted no later than three months from the date that the parties agreed to terminate the project or that any of the parties unilaterally made such a decision. The Council requires that funding received by and dispensed to the administrative entity be repaid within three months (90 days) after the Council has received the final financial statement report.

#### *Costs of prematurely phasing out projects*

If the Council decides to terminate payment of a grant for reasons that do not constitute a breach of the terms and conditions on the part of the administrative entity, the administrative entity and the Council are expected to reach an agreement on how to finance the legitimate phase -out costs.