

# **The Swedish Research Council's general terms and conditions for grants to research or research-supporting activities**

*The terms and conditions were adopted by the Swedish Research Council on 15 January 2018<sup>1</sup>. The terms and conditions apply for grants decided on as from 1 January 2018. The terms and conditions shall be applied unless otherwise follows from the grant decision or from specific terms and conditions. In the event of a conflict between the general terms and conditions and specific terms and conditions issued for a decision, the specific terms and conditions shall take precedence.*

## **Definitions**

In these terms and conditions, the following definitions are used with the meaning stated below.

### **Administrating organisation**

A legal entity approved by the Swedish Research Council as a recipient of a research grant.

### **Applicant**

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

### **Research or research-supporting activity**

The activity or activities covered by the research grant.

### **Terms and conditions**

All the terms and conditions that apply to a grant awarded.

## **1. About the grant**

### **1.1. Grant decision**

The Swedish Research Council's decision to award a grant is valid as from the day both the administrating organisation and the applicant have accepted the terms and conditions for the grant through signing in the Swedish Research Council's application system. The terms and conditions for the grant decision are valid up to and including the date when final scientific and financial reports have been received by the Swedish Research Council and, as applicable, unused funds have been repaid.

The grant is paid to the administrating organisation. The grant amount and grant period stated in the decision are valid on condition that the Swedish Research Council is allocated central government funds to the extent on which the decision is based.

### **1.2. Grant period and availability period**

The grant decision states the period during which the grant will be paid out (the grant period). Unless the decision states otherwise, the grant is available for one further year after the end of the grant period. If special reasons exist, and following application, a further extension of the period during which the grant is available may be allowed. Such an application shall be submitted before the end of the availability period, but after the end of the grant period, by the administrating organisation and the applicant jointly via the Swedish Research Council's application system. The application for such an extension shall be accompanied by an explanation of the special reasons, a statement of the funds as yet unused and a summary plan of how the research or the research-supporting activity will be completed.

The grant shall be used to carry out the research or the research-supporting activity mainly in the way stated in the grant application, however with such adjustments as 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 terms and conditions for the

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

grant. A joint written request to the Swedish Research Council from the administrating organisation and the applicant is required for more major changes to the use of the grant. Such as request shall be made in conjunction with the need for changes arising. Following re-evaluation and within the framework for the grant decision, the Swedish Research Council may allow changes.

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

### **2.1. Responsibility for ensuring the research or research-supporting activity is carried out according to applicable Swedish legislation**

The applicant and the administrating organisation are responsible for ensuring the research or research-supporting activity is carried out according to applicable Swedish legislation.

### **2.2. Employment relationship**

The applicant for the research or research-supporting activity shall be employed by the administrating organisation stated in the application, or by a new administrating organisation following a change approved by the Swedish Research Council, throughout the grant period and any further availability period. An exception may be allowed for applicants employed by a county council, or otherwise where the Swedish Research Council on application allows an exception.

### **2.3. Equipment**

Except as stated in Item 4.1.3, the administrating organisation is the owner of equipment and other fixtures and fittings acquired for the research or research-supporting activity using a grant from the Swedish Research Council. The equipment shall be used for the research or research-supporting activity for as long as this is conducted.

### **2.4. Reporting**

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

Accounts and reports relating to the research or research-supporting activity funded by the Swedish Research Council shall be submitted in the order stated in the grant decision, or when the Swedish Research Council so requests.

### **2.5. Publication of research results**

The scientific responsibility for the research for which a grant has been awarded includes publishing the results of the research in scientific periodicals and books with national and international reach, or making them available in another corresponding way.

An agreement with a commercial actor or other stakeholder may not limit the opportunities to publish the results of research carried out with a grant from the Swedish Research Council. Nor may such an agreement delay publication by more than two months. However, the delay may amount to at most four months if the purpose is to enable a patent application based, wholly or partly, on the research results referred to above.

The research results shall be made available with “open access” within six months after publication. In the event the publication is done in the form of parallel publication in open institutional archives, the research results shall be deposited at the time of publication and be made available with open access within six months. For publications within humanities, social sciences, and educational sciences, the research results shall be made available with open access within 12 months. Open access applies to research results in scientifically reviewed texts published in periodicals and conference reports. The obligation to make research findings openly accessible does not apply to monographs and book chapters.

In the event the person publishing has paid a fee for his/her open access publication, the publication shall be by means of a cc-by licence.

Research results of more general interest shall also be disseminated to recipients outside the research community.

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

When publishing or otherwise disseminating research results, the fact that the research was conducted with a grant from the Swedish Research Council shall be stated. When publishing original scientific articles, the name “Swedish Research Council” and the registration number of the research grant shall be stated under the heading “Acknowledgements” or corresponding heading.

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

The Swedish Research Council may reproduce and disseminate whole or parts of reports from the research or research-supporting activity, and also otherwise disseminate information on what the Swedish Research Council is funding.

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

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

## **2.9. Obligation to inform about other grants**

If a grant from another funding body is offered or received for the same purpose during the period when the research or research-supporting activity is ongoing, this shall be reported to the Swedish Research Council as soon as possible. The report to the Swedish Research Council shall particularly state to what extent the other funding body may influence the conduct, analysis, interpretation and reporting of the results, and the financial prerequisites that apply. It shall also state who will dispose of the results. The Swedish Research Council may reassess a grant decision on the basis of new information about other grants.

## **2.10. Other undertakings**

The administrating organisation shall

- receive and administer the funds awarded,
- ensure the funds are used only for research or research-supporting activities and according to the terms and conditions that apply to the grant,
- as employer of the applicant, ensure the applicant can dispose of their own and other employees’ working hours to the extent required to implement the research or research-supporting activity according to the plan submitted to the Swedish Research Council, which also includes publishing the results of the research,
- ensure the applicant and other personnel involved have access to premises, equipment and other resources required to implement the research or research-supporting activity,
- ensure that the research or research-supporting activity conducted within the activity funded by the Swedish Research Council does not have any commercial ties that impact on its objectivity, independence or openness,
- annually submit a financial report according to the Swedish Research Council’s instructions, and
- be responsible for the administration of the grant.

The applicant shall

- have scientific responsibility for the research or research-supporting activity as described in the application to the Swedish Research Council in terms of objective and method. The responsibility includes planning and conducting the research according to the research plan or plan for research-supporting activity submitted to the Swedish Research Council, however with the adjustments that may be required if the grant from the Swedish Research Council is less than the amount applied for,
- ensure the permits and approvals required have been obtained before the research is started. Examples of these are a permit from the Swedish Medical Products Agency or approval from an ethical review board or an ethical committee on animal experiments, and
- ensure scientific reporting is submitted according to the Swedish Research Council’s instructions.

### **3. On funding**

Grants to research or research-supporting activities at universities and higher education institutions or other approved administrating organisations shall include funds for direct and indirect costs in the same proportions as calculated for the research or research-supporting activity as a whole. The grant may only be used for the costs of conducting the research or the research-supporting activity covered by the application.

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

#### **3.1. Final financial reporting**

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

If the research or research-supporting activity is terminated early, special provisions apply (see Section 4.2 below).

#### **3.2. Repayment of surplus**

Unused grant funds accounted for in the final financial report shall be repaid to the Swedish Research Council within 30 days after the final financial report has been submitted via the Swedish Research Council's application system. A surplus corresponding to maximum one half of a price base amount for social security purposes may be retained and used for research purposes similar to those to which the grant related. If the surplus exceeds one half of a price base amount, it must be repaid in its entirety.

The costs of early termination of research or a research-supporting activity are regulated in Section 4.

### **4. Early termination**

#### **4.1. Research or research-supporting activity terminated early**

##### **4.1.1 Difficulties in conducting the research or research-supporting activity awarded a grant – general**

If the research or research-supporting activity cannot be conducted according to plan, and the divergence is not insignificant, the administrating organisation shall immediately inform the Swedish Research Council. The same applies if equipment, for which purchase funds have been awarded, cannot be acquired. In this case, the administrating organisation shall also report how the research or research-supporting activity is affected by the equipment being impossible to acquire. Following consultation with the applicant, the Swedish Research Council and the administrating organisation shall agree on how to manage the situation.

##### **4.1.2. Difficulties in conducting the research or research-supporting activity due to changed circumstances for the applicant**

If the applicant can no longer conduct the research or the research-supporting activity, the administration organisation shall immediately inform the Swedish Research Council. Following application from the administrating organisation, the Swedish Research Council may evaluate whether to change project leaders.

The decision on whether the research or the research-supporting activity shall receive continued funding or be terminated is made by the Swedish Research Council following consultation with the administrating organisation and, where possible, with the applicant.

If the reason for the change is that the applicant is changing employers to another approved administrating organisation, the Swedish Research Council may, on application, evaluate the issue of changing administrating organisations for the grant, and decide that the research or the research-supporting activity can continue to be conducted at the new administrating organisation with the same applicant. An application to change administrating organisations shall be made in consultation with the administrating organisations.

##### **4.1.3. Equipment**

In the event of early termination of the research or research-supporting activity, and after consultation with the administrating organisation involved, the Swedish Research Council may decide that equipment acquired with a grant from the Swedish Research Council shall be transferred to the Swedish Research Council or to another administrating organisation.

#### **4.1.4. Repayment of unused funds**

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

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

If the Swedish Research Council decides to terminate payment of a grant, or if the research or the research-supporting activity is terminated early for any other reason, the final financial report shall be submitted no later than three months after the day on which either of the parties unilaterally terminated the research or the research-supporting activity, or the parties agreed that the research or the research-supporting activity should be terminated. The Swedish Research Council shall require the repayment of unused but paid out funds to the administrating organisation within 30 days after the final financial report has been received by the Swedish Research Council.

#### **4.3. Costs of early termination of research or research-supporting activity**

If the Swedish Research Council decides to terminate payment of a grant, and this is not due to a breach of the terms and conditions, it is assumed that the Swedish Research Council and the administrating organisation will agree on how reasonable termination costs shall be funded.

### **5. Audit**

An auditor or corresponding appointed by the Swedish Research Council is entitled to scrutinise the book-keeping and reporting relating to the research or research-supporting activity funded by the Swedish Research Council. For this purpose, the administrating organisation shall give the person conducting the audit full insight into the research or the research-supporting activity, for example by supplying copies of all verifications relating to expenses and income attributable to the research or research-supporting activity.

### **6. Sanctions, etc. in the event of a breach of terms and conditions**

#### **6.1. Termination of grant**

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

- the applicant or the administrating organisation has caused the grant to be awarded incorrectly or in too high an amount through providing incorrect information or in any other way,
- the grant has been awarded incorrectly or in too high an amount for some other reason, and the recipient should have realised this,
- the terms and conditions for the grant have not been complied with,
- scientific misconduct or other unethical behaviour has occurred, or
- the applicant has proved to be unsuitable to receive a grant from the Swedish Research Council through behaviour or other actions.

A decision to terminate a grant due to a breach of the terms and conditions may be associated with a qualifying period during which an applicant covered by the decision is prevented from applying for new grants from the Swedish Research Council during a specified period.

#### **6.2. Request to comply with terms and conditions**

If a breach against the terms and conditions of the grant is of such a nature that it can easily be corrected, the Swedish Research Council may request the administrating organisation to ensure the terms and conditions for the grant are complied with within a specified period. In such an event, the Swedish Research Council may require the administrating organisation to submit an action plan to the Swedish Research Council showing the measures to be

taken in order to comply with the terms and conditions, and when these may be taken. The Swedish Research Council will evaluate whether the action plan can be approved, or whether the grant shall instead be terminated.