

## **General Conditions for Research Grants from the Swedish Research Council**

*The conditions have been established for the Swedish Research Council on 10 November 2015. They apply to grant decisions and disbursements as of 1 January 2016. 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.

**Project leader** The person responsible for planning and implementing the research project.

**Applicant** The person or organisation applying for a research grant from the Swedish Research Council.

**Project** The activities covered by the research grant.

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

### **1. The Swedish Research Council's 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 financial report has been approved by the Swedish Research Council and, where appropriate, the 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 amounts specified in the decision are final and no compensation is payable for increased costs.

Grant decisions are valid on condition that the Swedish Research Council is allocated the funds proposed by the Government.

### **2. Implementation of the research project**

#### **2.1. Responsibility for the research project being conducted in accordance with Swedish law**

The project leader and administrating organisation are responsible for the research being conducted in accordance with applicable Swedish law, including the Act (2003:460) concerning the Ethical Review of Research Involving Humans, the Personal Data Act (1998:204), applicable registry provisions and the Public Access to Information and Secrecy Act (2009:400).

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

The project leader shall be employed by the administrating organisation specified in the application unless the Swedish Research Council and the administrating organisation have agreed otherwise. In order for the Swedish Research Council to pay out the research grant to an administrating organisation other than the project leader's employer, the project leader's actual employer must approve the project leader's commitments under the decision.

#### **2.3. Equipment**

Except in the circumstances set out in 4.1.4, the administrating organisation has right of ownership of any equipment and other inventory acquired for a project with a grant from the Swedish Research Council. The equipment shall be made available to the project as long as the project is ongoing.

## **2.4. Reporting**

The administrating organisation is responsible for providing the information and data requested by the Swedish Research Council in conjunction with follow-up and evaluation of the research, both during an ongoing grant period and after it has ended. Statements and reports on the project shall be provided in the order set out in the grant decision or at the specific request of the Swedish Research Council.

## **2.5. Publication of results**

The project leader assumes the scientific responsibility for the research to which the grant relates. This responsibility includes ensuring that the results of the research activities are published in scientific journals with international scope or made available in a corresponding manner.

The project leader may not enter into agreements with any commercial actor or other stakeholder if such an agreement would limit the project leader's 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 project leader shall make the research results openly accessible, so-called 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. Open access applies to research results in academically assessed texts that have been published in journals and conference reports, not monographs and book chapters.

In connection with what has been stated in the application, the project leader shall ensure that results of more general interest are also disseminated to those outside the scientific community.

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

During publication and other dissemination of 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 project**

The Swedish Research Council may reproduce and distribute the whole or part of reports from the project and otherwise disseminate information from and about the project.

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

At the Swedish Research Council's request, the project leader shall provide access to the full 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 or similar research during the project, the project leader shall immediately notify this to the Swedish Research Council. 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. The administrating organisation's commitments**

The administrating organisation shall:

- as the employer of the project leader, ensure that he/she can organise his/her own and other employees' working hours to the extent required for the project 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 project;
- be responsible for the project leader and other personnel connected with the project having access to premises, equipment and other resources required for the project's implementation;
- be responsible for ensuring the research conducted within the project does not have commercial ties that influence its objectivity, independence and transparency;
- submit an annual report to the Swedish Research Council specifying withdrawals of direct and indirect project-related costs 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.

### **2.11 The project leader's commitments**

The project leader 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 project 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 authorisations and approvals being obtained, such as the approval of an ethics board or committee on animal experiments in cases where the project includes research involving people or animals, or permission from the Medical Products Agency; and
- be responsible for scientific reports being prepared and 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. Unless otherwise stated in the decision, the grant may be used during the specified period and for one further year (period of use). If special reasons exist, an extension of the period of use may be granted on request. Such a request shall be submitted by the administrating organisation and the project leader jointly before the period of use expires but not during the grant period. The request shall be accompanied by a statement regarding non-utilised funds as well as a summary plan for how the project 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 project leader. The Swedish Research Council may approve changes following a review and within the framework of the grant decision.

The grant from the Swedish Research Council may be used to finance participation in an EU-supported project (reciprocal funding), but only within the same field or with the same focus as the project to which the grant from the Swedish Research Council relates.

Grants to research projects at universities and colleges shall cover funds for direct and indirect costs in the same proportions as calculated for the project in its 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 financial report according to the Swedish Research Council's instructions. The final report shall be submitted no later than three months after the period of use expires.

The Swedish Research Council may decide that the financial report shall be submitted at another time. If a project is 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 winding up of a project are regulated in Section 4 below.

## **4. Premature termination**

### **4.1. Projects that are terminated prematurely**

#### *4.1.1. Difficulties in implementing the project - general*

If a project 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 project is affected by the fact that the equipment could not be acquired. Following consultation with the project leader, the Swedish Research Council and the administrating organisation are expected to reach an agreement on how the situation should be handled.

#### *4.1.2. Difficulties in implementing the project due to a change in circumstances for the project leader*

If the project leader can no longer carry out the project, the administrating organisation shall immediately report this to the Swedish Research Council.

A decision on whether the project 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 project leader.

If the project is terminated, the administrating organisation shall repay funds unused to date and intended for the project to the Swedish Research Council.

If the reason for the change is that the project leader 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 project shall continue there with the same project leader. 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 a project, 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 a project**

If the Swedish Research Council decides to suspend the payment of a grant or if a project is terminated prematurely for another reason, a final financial report on the project shall be produced no later than three months after the date when either party unilaterally terminated the project or the parties agreed that the project should end. The Swedish Research Council shall require repayment of the funds disbursed 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 a project**

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 a project 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 project, for example by providing copies of all supporting documents regarding expenditure and revenues relating to the project.

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

### **6.1. Suspension of payment**

The Swedish Research Council may decide to suspend all or part of the payment of an approved grant if

- the project leader, another 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;
- unethical behaviour has been exhibited; or
- the project leader has shown him-/herself to be clearly unsuitable to receive a grant from the Swedish Research Council by means of other action or for another reason.

The Swedish Research Council may suspend payment of the grant with immediate effect.

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

If a breach of the conditions for the grant is of a less serious nature and can easily be remedied, the Swedish Research Council may request the administrating organisation and/or project leader to fulfil the conditions of the grant within a certain time frame after the request. In such an event, the Swedish Research Council may request that the administrating organisation and/or project leader submit an action plan to the Swedish Research Council specifying the measures that will be taken to satisfy the conditions and the time frame for these measures.