



Forskningsrådet för miljö, areella näringar och samhällsbyggande, Formas  
*The Swedish Research Council for Environment, Agricultural Sciences and Spatial Planning*

## Formas' Handbook 2011



# Formas' Handbook 2011

- for grant applications and evaluation of proposals

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# Formas' handbook for grant applications and evaluation of proposals

This handbook is intended for persons applying for grants and for members of Formas' evaluation panels. It contains instructions for grant applications, management of conflicts of interest, guidelines for evaluation panel members and a description of the evaluation process. This Handbook also describes the procedures and obligations for grant receivers.

## 1. News this year

News and changes since 2010 are:

- Formas no longer finance postdoctoral scholarships. The scholarships have been replaced by mobility starting grants (see section 5.2.2).
- Formas no longer have a special call for positions as assistant professor. A call for grants for young researchers will be launched (see section 5.2.1)
- Formas no longer have a special call for open postdoctoral grants. Open postdoctoral grants can be included in the applications for research and development projects.
- Please note that travel grants can not be applied for consecutively after 2012. Applications for travel grants to attend conferences and for research trips shall from now on be included in the research application.
- The budget appendix (B) has been changed and now includes an obligatory form (B1) and a free text section (B2).
- Appendix K, Climate and environmental data, shall be used where data collection is included as an important aspect of the project (see section 9.9).
- Formas no longer provides standard salaries when a new position is applied for. Please use the starting salary (*ingångslön*) at your home university/research institute.
- The evaluation criteria have been revised.

## 2. Formas' mission

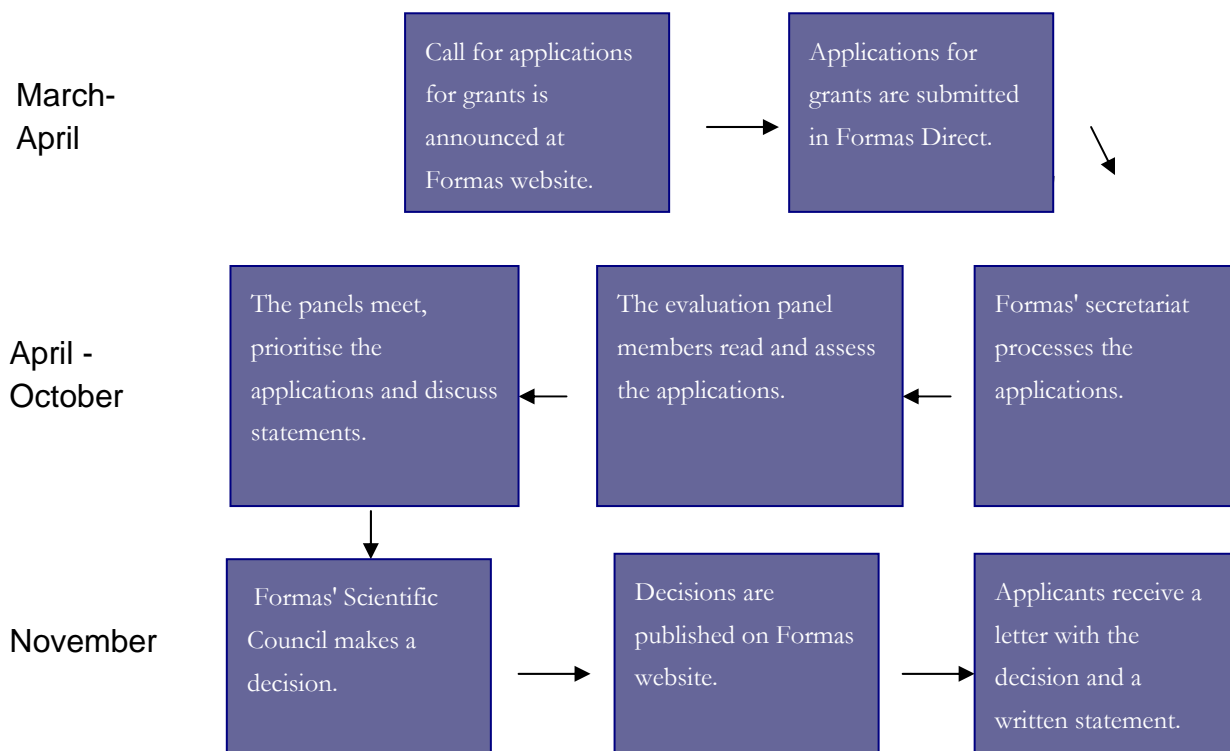
Formas is a governmental, tax-financed research-funding agency which supports basic and needs-driven research within the areas of environment, agricultural sciences and spatial

planning. The funded research shall be of highest scientific quality and of relevance to Formas areas of responsibility.

Formas should promote sustainable development in society - a development that implies that finite resources and the environment are not consumed or degraded in an irrevocable manner, to the detriment of future generations. This presupposes that the health and welfare of humans and animals, biodiversity, the environment and the viability of nature, economics, ethics, and social and cultural values are taken into consideration. Formas has a responsibility to promote and fund multidisciplinary and cross-disciplinary research as well as international research collaboration. Formas also has a responsibility to disseminate information about ongoing research and results from the projects.

For a more detailed description of strategies and research programmes, please see the Formas web site ([www.formas.se](http://www.formas.se)).

## 2.1 Formas' research application and evaluation process



### 3. Instructions to applicants to be especially observed

- The application should contain a correctly completed application form, research programme, budget, CVs, publication lists and other relevant appendices.
- The total costs of the project, divided into direct costs (excluding overhead) and total costs (direct costs plus overhead) should be included and specified in the application.
- The applicant should consider whether there are specific ethical aspects to the project.
- Please note that previously completed projects must have been reported in order for a new application to be processed.
- When a maximum number of characters are specified spaces and carriage return are included.
- Appendix S is a guarantee that the application is accepted by the university or research institute.
- In order to attach/upload appendices E, I, J and/or K you actively have to select these appendices in the application form first.

### 4. General instructions to applicants

To be eligible to apply to Formas for funding, the main applicant must have a doctoral degree. Applications for information projects or for organising conferences and workshops are exceptions to this rule.

The length of a grant awarded by Formas may differ depending on the call. Please check the call text carefully. Research and development projects are typically awarded for three years, while research projects for young researchers are granted for up to four consecutive years.

There is no age limit for grant applicants, but fully retired researchers cannot obtain funds for their own salary from Formas.

Grants are normally administered by Swedish universities, university colleges, research institutes or authorities with research undertakings.

Applications must be submitted electronically via the web based application form, “Formas Direct”. When the application is completed and registered, the applicant should print out a signature form (Appendix S) which must be signed by the applicant and an authorised representative of the university or research institute (generally the head of the department) where the research will be performed. The signature implies that the application is approved and that the project can be implemented (or equipment made available) at the department/institute/authority.

The signature also implies that the cost estimation in the application has been approved and that any ethical permit, in cases where human or animal experimentation is included, has been issued (or the permit is pending). The applicant shall have discussed these conditions with the representative of the administrative body before the application is signed.

The signature form must be received by Formas, Box 1206, 111 82 Stockholm, **within five working days** after the closure of the actual call.

Supplements after the final date of application, which are not requested by the secretariat, will not be considered.

The research programme (Appendix A) is restricted to 25,000 characters for grants for research projects and for grants for young researchers (including references) and 18,000 characters for all other applications such as grants that can be applied for consecutively.

The recommended font for all types of applications is: Times New Roman, and the recommended font size: 12 pts.

It is highly recommended that the whole application is written in English since Formas is using non-Swedish speaking reviewers. However, the popular science description must be written in Swedish, while the short project description must be written both in Swedish and in English. Applications for information projects may be written in English or in Swedish.

Funds from Formas may be used for co-funding of EU-financed research projects with a similar focus.

## 4.1 Indirect costs and salaries

Indirect costs (or overhead costs) should be included and specified in the application according to the cost unit (kostnadsbärare). The applied amount per year should include indirect costs, but also the total direct cost per year should be entered into the application form. Further details on costs and applied amounts should be described in Appendix B1 and B2 (see section 9.2)

For already existing employments, the current salary at the time of application (including social fees, LKP) should be indicated and used for all succeeding years. All amounts should be in kSEK (SEK 100,000 = kSEK 100). When the salary for a new position is applied for,

the institution's expected starting salary the application year for the particular worker category should be used for all succeeding years.

## 4.2 Public accessibility

The whole application to Formas is a public document. Decisions regarding awarded grants are published on Formas website.

## 4.3 Intellectual property and access issues

When applicable, the applicant must observe international agreements and contracts regulating access to, utilisation and exchange of biological material for research purposes, as well as intellectual property.

### 4.3.1 Open Access

Researchers who receive funding from Formas from 2010 and onwards must guarantee that their future research findings will be available to all (Open Access) within six months of publication. The Open Access regulations currently only apply to scientifically peer-reviewed text published in scientific journals and conference reports. The regulations do not currently apply to monographs or book chapters. Research results published with Open Access on the Internet are available for anyone to read and download. Researchers may either archive previously published articles in large public access databases or publish in journals on the Internet that practice Open Access.

### 4.3.2 Consultation on the establishment and decommissioning of databases

Formas wants to improve the accessibility and use of existing data. This can be done by making data available in existing databases. Swedish National Data Service (SND) at the University of Gothenburg and the SMHI Swedish National Data Service for Climate and Environmental Research Data (SND-KM) can be consulted.

SND is a national strategic resource for research that conveys data of interest to several research areas, the humanities, medicine, social sciences and educational sciences. The database is at the disposal of the scientific community.

SND-KM is a national strategic resource for research that generates and uses climate and environmental data.

Formas wants to encourage researchers to contribute to these initiatives by consulting with and working together with the SND and SND-KM to establish new databases, in addition to maintaining or decommissioning databases/archiving existing data in the above named

research areas. Those applying for project or equivalent funding where the collection of data in the areas named above forms a substantial part of the research should contact the SND or SND-KM before submitting an application to Formas.

#### 4.4 Ethical considerations

The applicant should always consider whether the project includes specific ethical aspects. If this is the case, the ethical issues in question and the way they will be treated in the research should be presented. This might pertain to, for example, research involving utilisation of personal data or experiments on humans or animals. The page number in the research programme, where the ethical consideration presentation can be found, should be indicated in the application form.

Of particular relevance to the following issues:

**Research on humans and personal data (individual data)** If the project concerns research on humans or personal data (information on and from living persons and deceased persons where there is a risk that survivors may feel discomfort due to publication of research results) and approval has not been obtained from an ethical panel, the applicant must present ethical considerations that concern the project. If no ethical problems are presumed to exist with the research, this should be indicated and justified. The presentation should also clarify how ethical aspects are observed and related to the ethical codes within the area.

**Human and animal experimentation** If the project contains experiments involving humans or animals, consent must be obtained from a research ethics panel. If such consent has not been obtained when the application is submitted, it should be obtained as soon as possible. Indicate on the application form if consent has been obtained or if it will be applied for. When a grant is awarded, it is assumed that the university/university college/corresponding institution where the work will be carried out guarantees that consent have been given prior to commencement of research. The representative of the university/university college/corresponding institution confirms this by approving the contract.

**Central ethical review board** The Act concerning the Ethical Review of Research Involving Humans (2003:460), including biological material from humans is applicable to research that involves physical intervention or is performed with a method intended to affect a human physically or mentally. Research involving physical intervention with a deceased person or concerning studies of biological material removed from a living person or for medical purposes from a deceased person that can be traced to the persons involved must also be ethically considered. The Act also applies to research that is performed without the express consent of an individual and that concerns sensitive personal data according to the Personal Data Act (1998:204).

Ethical review of research shall in accordance with legislation be performed by regional boards which are independent authorities. The regional boards are located in Göteborg, Linköping, Lund, Stockholm, Umeå and Uppsala and appeals against their decisions may be made to the Central Ethical Review Board.

More information may be obtained on the Central Ethical Review Board's website ([www.epn.se](http://www.epn.se)).

The ethical review of animal experimentation is performed by ethical boards. The application form can be obtained from the Swedish Board of Agriculture's web site ([www.sjv.se](http://www.sjv.se)).

## 4.5 Gender aspects

The intention of Formas is that gender perspectives should have an impact in research. Applicants should always consider whether gender perspectives are relevant to the issues dealt with in the project. If that is the case, these aspects and the way they will be treated in the research should be presented in the application.

## 4.6 Popular science description

A popular science description in Swedish must be included in the application. If the project is granted funds, Formas can use the popular science description for dissemination of the research.

## 4.7 Choice of evaluation panel

The applicant should suggest one of the evaluation panels (that appears in the scroll list in the application form) for the evaluation of the application. If the application falls between different subject areas, the applicant may suggest two evaluation panels in order of priority. Formas secretariat decides which panel will evaluate the application. Further information regarding how applications are evaluated can be found under the "Guidelines for evaluation of research projects" (see section 14).

# 5. Types of grants in Formas' main annual calls

The following types of grants can be applied for from Formas. Applications for additional types of grants may be made in connection with targeted calls.

## 5.1 Grants for research and development projects

To be eligible to apply to Formas' grants for research and development projects, the main applicant (the project leader responsible for the suggested research project) must have a doctoral degree. The co-applicant/co-applicants must also have a doctoral degree. Other person(s) who contribute to the implementation of the project, i.e., laboratory assistants, technicians, need not have a doctoral degree. In projects involving a doctoral student, this person should normally perform the majority of the research undertakings in the project.

Grants for research projects are administered by Swedish universities, university colleges, research institutes or authorities with research undertakings.

Development work is defined as systematic, methodical use of research results, scientific knowledge and new ideas to bring about new products, new processes, new systems or significant improvements in those already existing (OECD Frascati manual). Joint financing (minimum 50 per cent) is a requirement for development projects.

Grants for research and development projects may involve financing the salary of researchers, doctoral students and technical staff. Researchers may apply for 100 per cent of their full-time positions. But, if the same researcher applies for, and receives, funds for several projects, the total funding from Formas can never exceed 100 per cent of that researcher's full-time position. For doctoral students and technical staff 100 per cent of their full-time positions may be applied for.

The names of all the researchers in the project, their CV and their list of publications must be given in the application. If the application for funding includes a foreign guest researcher, the name of this researcher has to be stated, and a CV and a publication list must be attached. For new doctoral student positions, the main supervisor must be indicated in the research programme.

A description of the work assignments of all those involved in the project must be described in the budget (Appendix B).

### 5.1.1 Application documentation

The following documents must be supplied via Formas Direct web based form:

- Completed application form and popular science description.
- Appendix A. The research programme is restricted to 25,000 characters for grants for research projects and for grants for young researchers (including references) and 18,000 characters for all other applications such as grants that can be applied for consecutively.
- Appendix B1 and B2. Budget. All the applied salary costs must be justified, and the research assignments of all persons in the project with a doctoral degree must be

clearly described and their names must be stated. Indirect costs or overhead costs should be included and specified in the application. The maximum length of appendix B is three pages.

- Appendix C. Brief CV for the main applicant and co-applicant/co-applicants (maximum of 8,000 characters per person). Enclose each CV separately.
- Appendix D. Publication list for the main applicant and co-applicants for the last eight years (maximum of 8,000 characters per person). Enclose each publication list separately.

Appendix J (figures, tables or other illustrations relating to the research programme in Appendix A) and appendix K (Climate and environmental data) are optional (maximum length of two pages each).

## 5.2 Grants for young researchers

### 5.2.1 Grants for research and development projects – young researchers

Grants for research and development projects for young researchers is a grant with up to 100 per cent funding of own salary. Project costs may be granted, but not salary costs for other staff e.g. assistants or doctoral students. Applications can be made for up to four consecutive years.

To be eligible to apply for research and development grants for young researchers, the applicant must have been awarded her/his doctoral degree within the previous eight years (meaning the 1st of January 2003 at the earliest and the 1st of November 2011 at the latest). Time for parental leave, illness, military service, or other similar circumstances that have prevented research activities during the period soon after the degree was received, should be specified in the CV and may be considered as reason for an exception to the eight-year rule. The candidate for the grant must be the main applicant.

Otherwise, what has been stated regarding applications for grants for research projects (see section 5.1) is applicable.

### 5.2.2 Mobility starting grants

The purpose of the mobility starting grant is to encourage young researchers, who recently have been awarded their doctoral degree to broaden their horizon and visit other research environments different from the one where they got their doctoral degree. It is expected that they will develop with respect to their academic carrier including learning new tools, working on research questions with a different focus compared to before and expanding their network. The grant enables the young researcher to work in a different environment for up

to two years and at the Swedish home university or research institute where they are employed.

Application for a mobility starting grant can be made for up to three years. The candidate for the grant must be the main applicant. The position has to be at a Swedish university or research institute for the full time period. This can be the same university where the doctorate was awarded, but that is not necessary.

The grant enables a visit, with a minimum length of one year and a maximum length of two years, to a host university or research institute other than the one where the doctorate was awarded and other than the one where the applicant will be employed. The host university or research institute can be in Sweden or abroad; international visits are encouraged. The visit may be divided into several periods; however the periods must be continuous with a minimum length of three months. More than one host university or research institute may be visited.

To be eligible to apply for a mobility starting grant the person concerned must have been awarded her/his doctoral degree within the previous three years (meaning the 1st of January 2008 at the earliest and the 1st of November 2011 at the latest). Time for parental leave, illness, military service, or other similar circumstances that have prevented research activities during the period soon after the degree was received, must be specified in the CV and may be considered as reason for an exception to the three-year rule.

The following can be applied for (Appendix B1 and B2):

- The applicant's salary at the home university/research institute according to the applicant's current salary or the corresponding starting salary (ingångslön) at the home university/research institute.
- Overhead and premises costs (direkta lokalkostnader) according to the practices at the home university/research institute. Running costs and costs for equipment will not be granted.

Formas covers expenses for return tickets (at least for one roundtrip journey) for the applicant and accompanying family members. The expenses will be covered according to a standard sum, depending on what country the applicant will visit. A travel plan should be described in Appendix G.

Formas will add a standard sum depending on i) the costs of living in the host country and ii) number of accompanying family members.

The application for a mobility starting grant should be organised in applicable areas in the same manner as a regular grant application, with a research programme for up to three years. The research programme should include a description of how the research environment at the host- and the home institutions will contribute to the applicant's development.

The following documents must be supplied via the Formas Direct web based form:

- Application form, including a popular science description.
- Appendix A. Research programme comprising a maximum of 25,000 characters, including references.
- Appendix B1 and B2. Applicant's salary, overhead and premise costs.
- Appendix C. Applicant's brief CV (maximum of 8,000 characters).
- Appendix D. Applicant's list of publications (maximum of 8,000 characters).
- Appendix G. Travel plan. Letter of invitation from the home institution. Letter of invitation from the host institution(s).
- Appendix I. Copy of diploma or certificate of the doctoral degree.

Appendix J (figures, tables or other illustrations relating to the research programme in Appendix A) and appendix K (Climate and environmental data) are optional (maximum length of two pages each).

## 6. Grants which can be applied for consecutively

### 6.1 Urgent grants

The aim of urgent grants is to give researchers an opportunity to deal with suddenly arising research questions or to utilise transient material. Urgent grants are normally awarded for a maximum of one year. For longer projects, the application should be submitted to the annual main call. The urgent nature of the project should be especially verified. Otherwise, what has been stated above regarding applications for grants for research projects is applicable.

### 6.2 Travel grants

Formas awards travel grants to conferences and research trips. Please note that travel grants can not be applied for consecutively after 2012. Applications for travel grants to attend conferences and for research trips shall from now on be included in the research application.

The application should be submitted to Formas no later than six weeks before the intended journey. Note that the main applicant must have a doctoral degree.

The following types of travel grants are awarded:

- Participation at international conferences or corresponding meetings on condition that the researcher is giving an oral presentation and the conference is relevant to research within Formas' areas of responsibility.

- Participation as a Swedish representative at an international organisation's meeting.
- Brief guest researcher visits (maximum two months) to a Swedish institution. The grant is intended to cover/contribute to the expenses in connection with the research visit (lodgings, travel, etc). The research assignment of the visiting researcher has to be clearly described (Appendix A). CV and the list of publication (Appendices C and D) for the main applicant as well as for the visiting researcher must be enclosed in the application.

The following information should be given in Appendix A: abstract of the project/presentation, information on the conference and confirmation that the contribution has been accepted for presentation.

For applications concerning travel grants, what has been stated above regarding applications for grants for research projects is applicable when relevant (Appendix A, B, C, D). Appendix J (Illustrations relating to the research programme in Appendix A) is optional (maximum of two pages in length). Salary costs are not funded for travel grants, but allowance for expenses may be awarded.

### 6.3 Conferences and workshops

Formas may finance arranging of conferences and workshops (called 'meetings' below) within Formas' areas of responsibility. In order to receive a grant from Formas, the meeting must reach a high level of scientific quality and societal value of importance for Swedish researchers and/or Swedish research. The grant may cover a limited number of primarily foreign participants' travel, organisational costs and per diem expenses in connection with attending the meeting.

The organiser of the meeting should submit the grant application well in advance, preferably one year prior to the meeting. A doctoral degree is not required for applications for grants to organise meetings. The application should contain information about the meeting's scientific objective, title, preliminary programme, a list of invited lecturers and time and place. The application should also contain a detailed budget with an explanation of how the costs have been estimated and distributed to different financing sources.

The standard figure for the grant is up to SEK 200,000 for a large conference (more than 200 participants) and up to SEK 30,000 for a small workshop (less than 30 participants).

When a grant has been awarded, a representative from Formas is expected to be given the opportunity to attend the meeting. Furthermore, Formas expects that the organiser of the Formas-supported meeting will provide information about the meeting in a suitable manner. Support from Formas should be acknowledged in the invitation and in the documentation.

The following documents must be included in the Formas Direct web based form:

- Application form, including budget and popular science description.
- Appendix A. Description of the meeting comprising a maximum of 18,000 characters, including references.
- Appendix B1 and B2. Budget. Calculations for the costs of the event and the way these costs are distributed amongst the different funding sources must be stated. Maximum length: three pages.
- Appendix C. Brief CV for the main applicant and co-applicants (maximum of 8,000 characters per person).
- Appendix D. List of the main applicant's and co-applicant/co-applicants' publications (maximum of 8,000 characters per person).

Appendix J (figure, tables or other illustrations relating to the research programme in Appendix A) is optional (maximum length two pages).

## 6.4 Information projects

Information projects should communicate research-based knowledge within the areas of responsibility of Formas. Formas prioritises information projects that focus on areas that are being emphasised in Formas research strategy 2009-2012. Grants can be applied for to support popular science publications, exhibitions, conferences, seminars, film and video productions, digital productions as well as other popular science activities.

In addition to a description of the information project, the application must include a description of target groups, the objective of the communication activity, a discussion of the choice of channels/media and a market analysis. Total project budget, not only the portion applied for from Formas, should be presented. Other financing of the project should be stated.

The applicant's experience in communicating research-based information should be clearly specified in the CV. Academic qualifications and affiliations are not required for information project applicants. Formas welcomes applications from science journalists and information officers. The application can be made in Swedish or in English, and there is no given sum that can be applied for. All participants and their respective areas of expertise should be clearly stated. The sum applied for should be well motivated and in proportion with the proposed information project.

Formas does not provide continuous support to journals, but can provide a start-up grant for a new journal or for a special edition which contents fall within Formas' areas of responsibility. The same applies to Internet projects, which may receive a start-up grant but not funds for permanent operation. In both these cases it is important for the applicant to

carefully state how future publishing of the journal or operation of the Internet project will be managed.

As a rule, Formas does not provide general support for commercial publishing firms. Formas does not provide grants for teaching materials.

The application for an information project can be in English or in Swedish and must include the following documents:

- Application form, including budget and popular science description.
- Appendix A. Information programme, (maximum 18,000 characters including references).
- Appendix B1 and B2. Budget. The assignments of all project participants whose salaries are applied for must be described and motivated. All other costs applied for must also be clearly motivated. (Maximum length three pages).
- Appendix C. Brief CV for the main applicant and co-applicants (maximum 8,000 characters per person).
- Appendix D. List of main applicant's and co-applicants' publications or other reference material (maximum 8,000 characters per person).

Appendix J. Illustrations relating to the information programme in Appendix A is optional (maximum length two pages).

## 6.5 “Miscellaneous” grants

The aim of “miscellaneous” grants is to give researchers the opportunity to apply for research projects of the highest scientific quality and societal benefit that are not suitable for the main annual call. It could, for example, be that a prerequisite for the project is that several funding agencies jointly fund the project.

The applicant should clearly specify why Formas' calls are not suitable for the project applied for. In other aspects, what has been stated above regarding applications for grants for research projects is applicable.

## 7. How to create an application in Formas Direct

Upon logging onto Formas Direct, click on the “New application” button. Then follow the steps below to complete the application.

Complete the basic information concerning type of grant and call for applications on the first page. Click on “Continue” and complete the rest of the form. If a doctoral student is

involved in the project, please tick the appropriate box in the Budget section in the form (applicable only for some calls). Do not forget to save often. For more detailed assistance on the various fields, click on the heading of each field.

## 7.1 Appendices

In order to attach/upload appendices to the application, click the “Appendices” button. Please note that in order to attach/upload appendices E, I, J and/or K you **actively** have to **select** these appendices **in the application form** first.

To attach appendices to the application choose “Appendix” in the drop-down list and browse for your document by clicking on “Browse/Bläddra”. Upload the document by clicking on “Save”. The document will be uploaded to the server, and if it is not in PDF-format, it will be converted. The appendix will then be displayed in the list “Attached appendices”. The name of the document and a PDF icon will be shown when conversion and/or uploading are complete. In order to show the uploaded document, click on the relevant PDF icon. Repeat this for all the documents you would like to attach. It is possible to attach more than one enclosure of the same kind (e.g. several enclosures in Appendix C and D) to do so repeat the procedure above for enclosure of the same type. When conversion/uploading is completed, click on the “Back” button.

Please note. If you are able to convert the files into PDF-format before uploading, the process will be much faster.

## 7.2 Preview

In order to ensure that the application looks correct, it is possible to preview it in PDF format. To preview the application, click on the “Preview” button. This will open the application in PDF format so that it can be downloaded to the local hard drive or be printed for review. Observe that this is only a preview of the document and should not be sent to Formas.

## 7.3 Registration and signature

When the application is completed, it must be registered in Formas Direct. To do this, save the application and then click “Register”. Read and follow the instructions. In order to register the application click “OK”. If you wish to cancel, click “Cancel”. A form in PDF format (Appendix S) will be created for signature at registration. Sign and send the original version to: **Formas, Box 1206, 111 82 Stockholm**. This form must be received by Formas within five working days after the closure of the call. Note that once the application is registered no changes can be made.

## 8. Finances

### 8.1 Total amount applied for in Formas Direct

Applicants should indicate two amounts per year in the Formas Direct application form; the total direct cost (excluding overhead cost) and the total cost (total direct cost plus overhead cost). All amounts should be in kSEK (SEK 100,000 = kSEK 100). No letters, full stops or commas may be used in the fields with amounts. If the amount is SEK 0, leave the field empty.

To summarise and motivate the budget the applicant should upload two appendices as part of the application; Appendix B1 (calculation table) and B2 (a text description of maximum 2 pages). Appendix B1 (a template Excel file) can be downloaded from Formas Direct. Use the guidelines in section 9.2.

For already existing employments, the current salary at the time of application (including social fees) should be indicated and used for all succeeding years. For new employments, the starting salary (ingångslön) at the home university/research institute should be used for all succeeding years. All amounts should be in kSEK (SEK 100,000 = kSEK 100).

### 8.2 Granted joint financing

Indicate the financier and the funds granted for this project. All amounts should be in kSEK. If the amount is SEK 0, leave the field empty. One's own efforts may be evaluated at a maximum of SEK 500 per hour.

## 9. Description of appendices

Please note that all appendices are not applicable to all types of grants. The recommended font for all applications is Times New Roman and the recommended font size: 12 pts. When a maximum number of characters are specified spaces and carriage return are included.

### 9.1 Appendix A. Research programme

The research programme, appendix A, should be attached to all applications.

The research programme is restricted to 25,000 characters for grants for research projects and for grants for young researchers (including references) and 18,000 characters for all other applications such as grants that can be applied for consecutively. For targeted calls, the

number of characters could differ from the above. In that case it will be clearly indicated in the call text.

Appendix A should comprise a complete description of the intended research, including the following:

- Specific objectives and aim of the proposed research project
- Overview of the research area, including key references
- Project description and a summary of the project's organisation
- A description of theory, method and performance
- Plan for scientific deliverables
- A description of the societal value of the research
- Plan for communication with stakeholders/end users
- A brief description of existing basic equipment that is relevant to the project
- A brief description of collaboration with foreign researchers/research groups
- Affirmation that international agreements and rules will be complied with
- Ethical considerations
- Gender aspects
- For doctoral student positions, the main supervisor should be indicated

## 9.2 Appendix B1 and B2. Budget

Appendix B1 (an Excel template that can be downloaded from Formas Direct) is a calculation table for displaying the budget for the requested funding. In appendix B1 the applicant should enter all direct costs (exclusive VAT) together with percentage for overhead costs under 4 categories (according to SUHF):

1. Salaries
2. Running costs
3. Equipment (depreciation costs)
4. Premises costs

The percentage for overhead costs should be entered for each item according to the model for cost unit (kostnadsbärare) used at the research organisation. There can not be overhead costs on "equipment depreciation costs" or "premises".

When the applicant fills in the columns "Direct costs" and "OH", a calculation of total costs will be made automatically by default formulas. However, the applicant is responsible for the correctness of the budget.

The total amount applied per year (Direct costs excluding overhead costs and Total costs including overhead costs) should be transferred to the application form.

Appendix B2 (maximum length 2 pages):

In this appendix all salaries and other costs can be motivated. Full names of all involved persons with a doctoral degree and their work effort in % of full time should be indicated, even if funds for their salaries are not being applied for. All other costs applied for should be clearly motivated, such as participation in conferences etc.

For already existing employments, the current salary at the time of application (including social fees) should be indicated and used for all succeeding years. For new employments, the starting salary (ingångslön) at the home university/research institute should be used for all succeeding years. All amounts should be in kSEK (SEK 100,000 = kSEK 100).

### 9.3 Appendix C. CV

CVs should be provided for the main applicant and the co-applicant (-s) indicated in the application form. The CV should comprise a maximum of 8,000 characters per person. Note that the list of publications is presented separately in Appendix D. The following should be specified unless otherwise stated in the call for applications.

- Doctoral degree (year, discipline/scientific field, title of dissertation as well as supervisor)
- Post-doctoral visits (year and placement)
- Senior lecturer expertise (year)
- Current post, length of appointment and the amount of time for research in the post
- Previous employment and length of employment
- Parental leave, etc.
- Awards and special commissions
- Persons who have completed their doctoral degree for which the applicant has been the main supervisor (name and year)
- Persons who have completed their doctoral degree for which the applicant has been deputy supervisor (name and year)
- Post-doctoral students who collaborate or have collaborated with the applicant in the research group (name, year)

- Experience of communicating results with stakeholders/end users

## 9.4 Appendix D. List of Publications

The main applicant's and the co-applicants' publications over the last eight years should be set out in the list. The main applicant's and the co-applicants' publications should be compiled in separate lists, maximum of 8,000 characters per person. Organise the publications under the following headings:

- Peer reviewed articles in international journals. Articles, books or chapters in books with international coverage
- Articles in regional or national journals
- Proceedings and other reports in languages of common international currency
- Reports solely in Swedish
- Popular science articles/presentations
- Personally developed generally accessible computer programs
- Presentations at conferences (the applicant should specifically note if she/he was invited as keynote speaker)

## 9.5 Appendix E "Status Report" for continuation projects

The 'Status Report' appendix pertains to applications for continued grants for the positions as assistant professor (granted no later than 2008) and postdoctoral scholarships (first year granted no later than 2008). Maximum length two pages. The following should be presented:

- A brief account of results achieved so far in the original project.
- Continuation for postdoctoral student where the first year was granted no later than 2008. In addition to a brief account of results achieved so far in the original project, the reason for the continuation must be fully motivated.

## 9.6 Appendix G. Mobility starting grants

In this appendix (maximum of five pages in lengths) the applicant should indicate:

- Home address – Indicate home address including telephone number and e-mail address.
- Degree – Indicate the date of your first degree (by first degree is meant the degree that was obtained prior to research studies, for example, master's degree). Indicate the date you were accepted for research studies. Indicate the date for your expected

doctoral degree, or the date you received your doctoral degree (may not be older than three years meaning the 1st of January 2008 at the earliest and the 1st of November 2011 at the latest).

- Home institution – Indicate the contact person at the home institution (given name and surname as well as phone number and email address of the contact person; (this is normally the same person who wrote the letter of invitation from the institution). Indicate the home institution's mailing address (in the following order: university/institution, address).
- Host institution(s) – Indicate the contact person(s) at the host institution(s) (given name and surname as well as phone number and email address of the contact person; (this is normally the same person who wrote the letter of invitation from the institution). Indicate the mailing address of the host institution(s) (in the following order: university/institution, address, country).
- Travel plan. Time for the visit to the host institution(s) – Indicate the dates when the visit to the host institution(s) is planned to begin and to end. The period can be up to two years long. The visit may also be divided into several periods, but the shortest period is three months per visit.
- Accompanying husband/wife/partner/children – Indicate if husband/wife/partner and/or children will be accompanying you on your planned visit. Also indicate the number of accompanying children and their ages.
- A letter of invitation from the home institution, i.e. certificate from the home institution. The certificate should contain a statement regarding the planned research as well as confirmation that necessary facilities will be made available.
- A letter of invitation from the host institution(s), i.e. certificate from the host institution(s). The certificate should contain a statement regarding the planned research as well as confirmation that necessary facilities will be made available.

## 9.7 Appendix I. Copy of diploma/Letter of invitation etc.

In the application for a mobility starting grant, a scanned copy of the diploma is sufficient to be included in the appendix. This appendix can also to be used for invitation letters for travel grants. Maximum length: two pages.

## 9.8 Appendix J. Illustrations

If there is a need for figures, tables or other illustrations in the research programme, they should be placed in this appendix. Illustrations in the research programme shall be referred to this appendix. Maximum length: two pages.

## 9.9 Appendix K. Climate and environmental data

This appendix is mandatory for applications to The Swedish Research Council (VR) and Formas concerning climate and environmental research where data collection is included as an important aspect of the project. The information will provide support for the evaluation of the application. VR and Formas may issue separate conditions for the publication of data based on the appendix and may award financial support for this. Please note that Swedish universities, university colleges and other authorities are responsible for the safe storage of data collected during their operations. Financial support for data storage that may be regarded to be within the responsibility remit of these authorities may not be included in the application.

Data shall be published within a reasonable timeframe and be accessible via relevant national and/or international organs for data collection, such as Global Change Master Directory, GBIF, LifeWatch, ICOS and SND-KM.

VR and SMHI collaborate to enable research data to be accessible via the Swedish National Data Service for Climate and Environmental Data (SND-KM). An important part of the task of the SND-KM is to assist Swedish researchers with data management and data publication issues. Please contact SND-KM before submitting your application.

See: [www.smhi.se/snd-km](http://www.smhi.se/snd-km)

The appendix shall include:

- A description of the data that will be collected during the project. A general metadata declaration should be included with this description.
- A data collection and data publication plan. The plan should provide information about when data will be collected, how data will be stored and when and how data will be made accessible to other users. Delaying the publication of data must be justified.
- A budget for the publication of data. If you are applying for financial support for data publication this must be stated in the application and the justification for applying for funding stated in this appendix.
- Contact details if there should be questions concerning the data.

## 9.10 Appendix S. Signatures

A signature form (Appendix S) is automatically generated when the application is registered. This must be provided in paper format and signed by the applicant and an authorised representative of the university or the authority administering the funds. The original version should be sent to: **Formas, Box 1206, 111 82 Stockholm**. The form must be received

by Formas within five working days after the closure of the call. Appendix S is a guarantee that the application is accepted by the university or research institute.

## 10. Evaluation of grant applications which can be applied for consecutively

Applications submitted according to the descriptions in section 6 (urgent grants, travel grants, conferences and workshops and information projects) are handled by Formas' secretariat, which will assess if the applications are eligible for this type of grant. If eligible, applications exceeding SEK 100,000 will be sent for review by at least three experts with deep knowledge in the relevant subject area. The experts will provide written statements of their opinion.

Decisions concerning these types of applications are made by the Secretary General for amounts up to SEK 100,000. The Director General decides on grants up to SEK 500,000 and the Chairman of Formas' Scientific Council jointly with the Director General on grants up to SEK 1,000,000. A standing committee, comprised of the Director General, the Chairman and the vice Chairman of Formas' Scientific Council, decides on grants up to SEK 5,000,000. However, in cases where it is called for, the Scientific Council will make the decision.

Uncomplicated matters are often completed within a month while matters requiring external review and a decision by the evaluation panel or the Scientific Council take longer.

## 11. Evaluation panels

### **Evaluation panel members**

The evaluation panels (members, chairman and vice chairman) are appointed annually by Formas. Evaluation panels are made public on the Formas website when they have been appointed.

Supported by Formas' secretariat, the chairman is responsible for assessment being made in accordance with Formas' general mandate, research strategy, rules concerning conflicts of interest, guidelines for proposal evaluation and what is otherwise good ethics (Codex Ethicus). The vice chairman is supporting the chair in her/his work and steps in when the chairman is unable to lead efforts for some reason, such as illness or conflicts of interest.

### **Four years**

It is possible to be an evaluation panel member for a continuous period of four years. Chairmen may serve an additional year. When five years have passed from a concluded period, a person may be appointed again as a member/chairman of one of the Formas' evaluation panels. It is important that replacement of evaluation panel members is carried out gradually, so that only a minority is replaced each year.

### **Guidelines for the Composition of Formas Evaluation Panels**

- Evaluation panels comprise a chairman, a vice-chairman and a suitable number of panel members for the call. By suitable is meant the number of panel members necessary to satisfy the competence requirements for the evaluation of the applications submitted in response to the call. It is expected that between eight and eighteen panel members will be required in addition to the chairman and vice-chairman.
- The panel members have the mandate to evaluate both the scientific quality and the relevance to Formas' areas of responsibility. Each panel member's principal mandate however will be either to evaluate scientific quality or relevance. Which mandate the individual panel member has (evaluation of scientific quality and/or user value/societal benefit) will be determined by the Formas' Secretary General in consultation with the responsible research secretary at the time of allocation of applications to the evaluation panel members.
- The chairman of the evaluation panel is a researcher of professorial level competence, with broad subject knowledge, experience of working strategically and insight into the value of the research for societal sustainable development.
- A user of the research is appointed as vice-chairman. The vice-chairman should have broad knowledge of the issue of value to the user and benefit to sustainable development, as well as significant experience of working strategically.
- The majority of panel members are active researchers who have been selected as panel members of the evaluation panels primarily because of their competence to evaluate the scientific quality of the applications. If possible the majority of panel members should be active outside of Sweden and as a minimum have qualifications equivalent to associate professor. Researchers should have broad subject knowledge and possess the ability to work strategically.

- A minority of panel members are users in society who have been selected principally because of their competence to evaluate user value/societal benefit. They may be active either within Sweden or outside of Sweden.
- The users should have documented research experience, e.g. a PhD qualification, previous evaluation experience or experience of strategically compiling knowledge. Users should have an overview of societal short-term and long-term knowledge requirements and have experience of working strategically.
- The evaluation panel as a whole should be able to evaluate applications within the panel's entire subject area, and be able to evaluate basic research and needs-driven research, as well as user values/societal benefits. When necessary external evaluations may be included as a supplement to a panel evaluation.
- Each evaluation panel (chairman and other panel members) should have an equal gender distribution with a minimum representation of 40% of the minority gender.
- The gender distribution in the posts of chairman and vice-chairman in Formas' evaluation panels should be equal.

## 12. Management of conflicts of interest

Panel members, chairmen and vice chairmen may not have their own application(s) processed in the panel of which they are members, neither as main or co-applicant. If a member/chairman/vice chairman wishes to apply for funding from Formas and there is no other relevant panel, Formas will provide a replacement panel member for that year. Any of the above persons who wish to apply for funds in their own group should inform Formas of this as soon as possible, preferably two months prior to the closing date of the call for applications.

A fundamental requirement for work performed by panels is that it must be characterised by impartiality. Provisions related to conflicts of interest can be found in sections 11-12 in The Administrative Procedures Act (1986:23). A conflict of interest is considered to arise in the following cases:

- The issue concerns the member or someone close to the member, or if the outcome of the matter can be expected to entail particular benefit or damage for the member or anyone close to the member.
- The member or someone close to the member is the deputy or is active at the same university department or company as the applicant, or is deputy for someone else

who can be expected to receive particular benefit or damage from the matter's outcome.

- The member has an ongoing or recently concluded close collaboration with the applicant.
- Reasons for conflicts of interest may also exist if there is any particular circumstance that can affect confidence in a member's impartiality in the matter. Examples might be friendship, enmity and economic dependency.

Members are obliged to ensure that conflicts of interest will not arise, and to declare on their own initiative if there are circumstances that might be considered to influence their standpoint. In the event of a conflict of interest, the member shall refrain from participating in the administration and assessment of the application in question, and shall leave the room when discussions regarding the application take place. During panel meetings, minutes concerning conflicts of interest shall be kept.

### 13. Codex Ethicus

It is important that those who work in or for a research council observe rules of ethics in their work. Members of the Research Council whose task it is to distribute public funds for research have particular duties, and trust in the Council is based on the fact that all those who participate in the Council's work act in such a manner that trust in them is maintained both during and after the mandate period. Specific demands are placed on research councils to be impartial and correct in treating and prioritising applications. The Research Council also lays down research policy prioritisations.

It is for this reason that Formas has produced a Codex Ethicus. The rules are intended to serve as guidance to everyone involved in the Research Council's activities: members of the Scientific Council, members of the evaluation panels, specialist groups and reference groups as well as employees of the authority.

Issues that concern impartiality and correct treatment of applications, conflicts of interests, prioritisations, accounts of argumentation, sizes of research grants, etc. are related to morality. The basis for assessment, for example in terms of employment and applications that are assessed within the Research Council, should be such that the principles regarding conflicts of interest and scientific standpoints are clearly set out. A prioritisation group's morality is, thus, about what it does and does not do. No shadow of a doubt regarding unfair treatment of applications or employment appointments may be allowed to fall over the Research Council.

Formas has therefore decided that members and specialists shall be made familiar with the rules and legislation that concern research ethical issues and issues concerning conflicts of interest, assessments of conflicts of interest, etc. Formas has also decided that panel members, chairmen and vice chairmen may not apply for funds in their own panels.

It is not possible to anticipate every individual situation and all issues that may arise in terms of assessment and distribution of posts, grants and other issues. It is, thus, necessary for members of evaluation panels and specialists in the Research Council to discuss problems and find support in certain common and relatively general guidelines. Anyone affected must assess her/his own actions and activity.

### 13.1 Ethical guidelines

Presented below are the guidelines that direct the Council's work, formulated as rules of ethics with comments.

- Members of Formas' Scientific Council and of Formas' various bodies shall work to promote good research, and to support researchers and provide them with opportunities to develop their research ideas.
- Members of Formas' Scientific Council and of Formas' various bodies shall demonstrate respect for other researchers and their work.

Comments: Disparaging statements or ungrounded claims in written or oral form concerning research colleagues/research groups or their research efforts shall not be made.

- Members of Formas' Scientific Council and of Formas' various bodies shall promote scientific credibility through objectivity in making assessments of applications and official matters.

Comments: Assessments of applications and official matters shall be objectively formulated in a fair manner, and shall as objectively as possible set out the scientific merits and possible weaknesses of the applicant and the application.

- When applications and official matters are assessed, the applicant's scientific, pedagogical and other qualifications should be carefully presented and placed in relation to the corresponding qualifications of other applicants. There shall be no discrimination due to sex, race, ethnicity or similar.
- Consideration shall be given to the fact that research within the various subject areas has different prerequisites regarding methodology and theories.

- Members of Formas' Scientific Council and of Formas' different bodies have an official responsibility. Personal considerations or narrow considerations of their own or their colleagues' activities must not impede impartial assessment of matters that concern research grants or appointments.

Comments: Members of the Scientific Council and specialists in the Research Council should assess and openly account for any relevant commitments which might be of significance to an impartial assessment of research applications or official matters. A high level of personal integrity is assumed.

- In order to avoid potential bias, the member shall refrain from assessing applications or official matters where close friendship, personal antagonism or other animosity may exist. In the same way, assessment should not be performed by researchers within the same university department as the applicant, or if the department is large, the same unit. Neither should members assess applications from their own doctoral students or guest researchers/post-doctoral students.
- Close collaboration with colleagues should also result in the member refraining from assessing the matter. It is impossible to set an absolute time limit for when previous collaboration with doctoral students or colleagues no longer affects objectivity, or is of a minor nature, but a suitable period is 5 years after conclusion of the collaboration.
- The member in question shall leave the meeting premises when applications in which her/his impartiality can be questioned are discussed.
- Members of Formas' Scientific Council and of different Formas' bodies shall in their assessment of research grants be aware that the culture within their own scientific field can lead to bias against deviating scientific perspectives.

Comments: Members shall promote research collaboration when appropriate, and counteract the occurrence of divisions between various scientific perspectives.

- Members of Formas' Scientific Council and the various Formas' bodies may not utilise information from researchers that has been provided in applications or corresponding manner to benefit their own research, or at the expense of other people's activities create scientific advantage for themselves or close colleagues.

Comments: Information provided in applications may not be utilised to benefit one's own research or that of close colleagues by various measures such as delaying, complicating or in any other manner impeding the researcher from implementing her/his ideas or presenting results.

- Members of Formas' Scientific Council and of the various Formas bodies shall observe and conform to Swedish, EU and other agreements ratified by Sweden concerning research and professional ethics rules and legislation that are set up by other organisations, such as ethics rules pertaining to animals, plant protection rules, rules regarding dispersal of infection and rules for transgenic organisms, as well as intellectual property and access issues.
- Members of the Scientific Council should at the same time work to ensure that rules concerning management of research organisms are produced so that they take into consideration, and enable, research and development work.
- It should be particularly emphasised that permission from ethical panels must be obtained prior to the commencement of research projects for applications containing elements that must be tested by such panels.
- Members of the Scientific Council or specialists on the Council should work to ensure that research is carried out in an ethically acceptable manner and that rules are formulated that take this into consideration. Formas is responsible for rules and legislation being communicated and publicised. Responsibility for observance of the rules rests upon the Scientific Councils' members, specialists and Council officials.
- Members of Formas' Scientific Council and of the different Formas' bodies shall clearly present the benefit of other researchers' ideas and results when providing information. If these have not been made public, approval shall be obtained from the researcher in question prior to the results or theories being presented.
- Members of Formas' Scientific Council and of the different Formas bodies shall generously provide information regarding ongoing research to other colleagues and the public. During public appearances, the person shall clarify if she/he is acting as the representative of the Research Council or in another role, for example, university employee. In such settings, the person must carefully distinguish between what is scientifically based and what is based on value judgments and hypotheses. Misleading or exaggerated statements should be avoided.

Members of Formas' Scientific Council and of the different Formas' bodies, as well as officials in the Research Council shall work to ensure that the spirit of these rules is followed.

## 14. Guidelines for evaluation of research projects

### 14.1 Introduction

The mission of Formas is to promote and support basic research and needs-driven research within the areas Environment, Agricultural Sciences and Spatial Planning. Funded research should be of highest scientific quality and of relevance to the areas of responsibility. Formas may also fund development projects to a limited extent.

Research support is granted to universities, university colleges and research institutes in Sweden. Swedish authorities with research undertakings and their own research staff may also be considered.

### 14.2 Evaluation of applications – in general

Applications within the main annual calls are assessed with respect to the evaluation categories Scientific Quality and Societal Value. The categories include criteria for assessing the scientific quality of the applications and the applicants' competences, and the relevance of the research for the society.

Applications within targeted calls should be assessed with respect to the evaluation criteria stated in the call text. If no criteria are given, the criteria within the evaluation categories Scientific Quality and Societal Value should be used.

Applications should be assessed in an objective and impartial manner. Reviewers should also observe the instructions and directions that the applicant has received for preparation of the application.

#### 14.2.1 Criteria of Scientific Quality

##### **Research question**

- Scientific significance of the aim
- Originality, innovativeness and boldness of aim, theories and/or hypotheses
- Potential for scientifically significant outcomes
- Aim in line with the call for applications

Clarifications:

- Multi- and interdisciplinary approaches should be considered advantageous when appropriate to the research question
- Gender perspectives should be included when appropriate to the research question

**Method and performance**

- Feasibility and adequacy of scientific methods
- Innovativeness and boldness of methodology
- Concrete and realistic work plan
- Concrete and realistic plan for scientific deliverables
- Coordination of project and research group
- Suitability of multi- and interdisciplinary approaches
- Ethical considerations

## Clarifications:

- Feasibility and adequacy of scientific approaches and methods should receive primary consideration

**Scientific competence**

- Quality of scientific publications
- Ability to carry out the project according to plans
- Adequate experience of project management
- National and international activities, including projects, networks, assignments, commissions of trust, and participating at or arranging workshops or conferences
- Strength and competitiveness of the research team

## Clarifications:

- Quality of scientific publications should be assessed taking into account the standards within each scientific field
- When several researchers collaborate, assessment of the scientific competence is made both of each researcher separately and of the research group collectively
- For starting mobility grants, strength and competitiveness of the research environment should be assessed for the home university and the host university

**14.2.2 Criteria of Societal Value****Societal value of research question**

- Research question addresses important societal issues and/or issues of importance for Formas' sectors
- Project may, in a short- or long-term perspective, contribute to sustainable development

- Awareness of stakeholder/end user needs when designing the project
- Aim in line with the call for applications

Clarifications:

- Awareness of stakeholder/end user needs may comprise references to e.g. directives, environmental objectives and strategies, and discussions with relevant stakeholders/end users

#### **Communications with stakeholders/end users**

- Description of relevant stakeholders/end users
- Concrete and realistic plan for communicating results with relevant stakeholders/end users
- Experience and ability to communicate research results with stakeholders/end users

Clarifications:

- Stakeholders/end users should be regarded in a wide sense as actors outside the scientific community who can benefit from research outcomes or facilitate its future use in society
- Communication with stakeholders/end users may take different forms and be on different time scales depending on the research question at hand

### **14.2.3 Scoring**

The scores (0-10) are intended to support the evaluation panels' review and ranking, and intended to be a tool in the discussions and the final ranking of applications at the panel meeting. The scores (0-10) will not be communicated with the applicant, i.e. they are part of the panels' working documents. However, a summary grade (A, B or C) for each of the evaluation criteria is communicated to the applicants.

Evaluation panel members should strive to use the whole scale when scores are set for each of the five assessment criteria. Within targeted calls other scores may be used.

Used as a summary grade for the five evaluation criteria and for the overall grade for applications discussed at the panel meeting. Communicated to the applicants.		Scores used in evaluation panel members' individual assessment of applications, for each of the five evaluation criteria. Not communicated to applicants.	
<b>Scientific Quality/Societal Value</b>			
<b>A</b>	Excellent/High	<b>10</b>	Outstanding
		<b>8</b>	Excellent
<b>B</b>	Good/Medium	<b>6</b>	Very good
		<b>5</b>	Good
		<b>4</b>	Acceptable
<b>C</b>	Insufficient/Low	<b>2</b>	Insufficient
		<b>0</b>	Poor

In addition to the summary grade for each of the five criteria, applications discussed at the panel meeting (i.e. assessed in step 1 and 2) will also receive an overall grade (A, B or C). Applications only assessed in step 1 (and not discussed at the panel meeting) will receive the following overall grade.

**X** = not evaluated in step 2

When translating the scores (0-10) into an overall grade (A, B or C) it should be noted that the five criteria may have different weight to the overall grade. Thus, the overall grade should not be an “average” of the scores for the five criteria. Scientific quality is always of high importance, while the two criteria on societal value may receive lower weight. This is applicable in cases where the intended research is clearly a basic research project and where it could be inappropriate to fulfil the criteria of societal value. However, the applicant must in such cases present clear arguments for that in the application.

## 14.3 The two-step evaluation procedure – in practice

### **Indication of competence and conflicts of interest**

Before the evaluation of applications begin all panel members should, for all applications assigned to the evaluation panel, declare his/hers competence to review each application and any conflicts of interest.

The competence to review applications is indicated on three levels:

3 = high competence

2 = medium competence

1 = low competence

### **Designation of reviewers to each application**

The Formas secretariat will, with support from the chair and vice-chair, designate four reviewers for each application. The four reviewers should be the panel members with the highest competence to review the application at hand.

One of the four reviewers is assigned to be the rapporteur. The rapporteur is responsible for compiling the panels' final written statement (to be sent to the main applicant) and also for giving a short introduction of the application at the panel meeting.

### **External reviewers**

In cases where all panel members have indicated low competence to review an application, or if such an assessment is required for other reasons (for example gender aspects or conflicts of interest) external reviewers are used. These can be either from some of Formas' other evaluation panels or an external reviewer. The proposal is still reviewed by four panel members, but the external reviewer's assessment should be used as a guide. No scores are given in an external review, only a written assessment. The principles for conflicts of interest apply also to external reviewers.

### **The first step evaluation**

The aim of the first step evaluation is to select the best applications, which will be assessed more thoroughly during the second step.

The reviewer reads their assigned applications and give scores (0-10) on the five evaluation criteria (both for scientific quality and societal value) and give short comments on the applications' strengths and weaknesses. The comments are used to facilitate the discussion at the panel meeting and to help the rapporteur to compile the final statement. The scores and comments at this stage are the panel's working material and will not be communicated to the applicant.

After review and scoring is made for all applications, the reviewers rank their assigned applications in five priority groups. The best 20% applications go to priority group 1, the second best 20% to priority group 2, etc.

### How applications are selected from the first step to the second step

From the ranking described above, each application receives four numbers (one from each of the four reviewers in the step one review). A low number indicates high priority for the application. For each application the four numbers are added and multiplied, thus creating two numbers – the sum and the product. In order to be forwarded to the second step, both these numbers must be below a certain threshold value. For instance, the sum must be below 10 and the product must be below 16.

Depending on the available budget, these thresholds can be defined differently. The table below illustrates how the procedure works. White fields indicate that the application is forwarded to the second step. Dark grey fields indicate that the evaluation panel can choose to forward also these applications to the second step. Light grey fields indicate that the applications will not be forwarded to the second step.

Proposal nr	Priority group by reviewer 1	Priority group by reviewer 2	Priority group by reviewer 3	Priority group by reviewer 4	Sum of priorities	Product of priorities
1	1	1	1	1	4	1
2	2	1	1	1	5	2
3	3	1	1	1	6	3
4	2	2	1	1	6	4
5	5	1	1	1	8	5
6	5	2	2	1	10	20
7	5	4	1	1	11	20
8	4	3	2	1	10	24
9	5	5	3	1	14	75
10	4	2	2	2	10	32
11	4	3	3	1	11	36
12	5	2	2	2	11	40
13	5	5	5	5	20	625

### **Preparation for the second step review**

Based on the distribution of applications in five priority groups, the Formas secretariat will prepare a list of the applications with the ranks of all panel members. The evaluation panel will agree on the number of applications forwarded to the second step at a telephone meeting, or equivalent. The number of applications selected for the second step are normally about 2 \* the available funding. However, the panel can agree to increase this number as long as the work load in the second step is still reasonable.

The Formas secretariat will, with support from the chair and vice-chair, designate four additional reviewers to each proposal. In the second step, all proposals are thus reviewed by eight panel members.

### **The second step review**

The reviewers read their assigned applications and give scores (0-10) on the five evaluation criteria (for scientific quality and societal value) and give short comments on the applications' strengths and weaknesses. The comments are used to facilitate the discussion at the panel meeting and to help the rapporteur to compile the final statement. The scores and comments at this stage is the panel's working material and will not be communicated to the applicant.

Panel members who reviewed the application in the first step may change scores and comments if necessary.

### **The panel meeting**

The panel meets in order to make the final ranking of the second step applications. During the meeting, each application will be shortly presented by its rapporteur. Scores and comments given by the panel members are used as a starting-point for the discussion that follows.

The proposals are eventually given overall grades (A, B or C) and are ranked in three categories according to the different types of grants:

- Research and development projects
- Grants for young researchers
- Mobility starting grants

Each grant type has its own budget. The final ranking for research and development projects will be made at the panel meeting and the panel decides on budget revisions. The final ranking for the other two grant types (young researchers and mobility starting grants) will be made at a meeting with all evaluation panels' chairs and vice chairs. The final ranking for these two grant types are based on the overall grades and ranking made by the individual panels.

### **Final written statement**

All main applicants receive a final written statement as feed-back from the evaluation panel. The written statement includes three parts:

- A summary grade (A, B or C) for each of the five evaluation criteria
- Short written comments (max 850 characters). Please observe that this part is optional, even though the panels are encouraged to write comments
- An overall grade for the whole application. For applications not evaluated in the second step, the overall grade will always be “X – not evaluated in step 2”. Applications evaluated in the second step will receive the overall grade A, B or C.

For applications evaluated in the second step, the final written statement reflects the discussion at the panel meeting and should take into consideration the opinion of the whole panel. For the applications not forwarded to the second step, the rapporteur prepares a draft version, which the other reviewers approve at the panel meeting or electronically. Comments should always be short, polite and to the point.

## **15. Gender equality**

There shall be no discrimination due to gender in the processing of applications. The scientific quality and relevance of applications must take precedence over the equality aspect, though in equal assessments, precedence will be given to the under-represented gender.

The panel must pay attention to differences between the genders with regard to the design of the application and the amount of funding sought for similar projects. The panel should also take care that the gender distribution among the proposed projects does not deviate in a significant and unwarranted way from the gender distribution among the applications. When an applicant's scientific production is evaluated, only years in which research has actively taken place are considered, which means that time spent on parental leave or military service, for example, will be disregarded.

## **16. Reasons for early rejection of an application**

Each year Formas has to reject a number of applications due to the fact that they contain formal errors and/or are incomplete. This may be a result of that the applicant has failed to follow the instructions and as a consequence have submitted incomplete applications and applications with formal errors.

In order to handle this type of applications faster, i.e. so that the applicant does not have to wait until Formas' Scientific Council makes their decision concerning the application after fall review, this type of applications will be rejected at the latest one month after the closure of the call. The applicant may be contacted by the secretariat in order to supplement his/her application if it is incomplete.

Reasons for rejecting an application submitted via the web-based application system "Formas Direct" before or at deadline for the closure of the call are the following:

- The applicant does not have a doctoral degree (not valid for information projects)
- The doctoral degree is "too old" relative to the call in question (valid for grants for young researches)
- The applicant for grants for young researchers has applied for employment for another person
- The administrative body can not be funded by Formas
- Previously completed projects have not been reported in time

## 17. Decisions

Decisions are taken by Formas' Scientific Council after the evaluation panels' proposals has been reported. Decisions on grants are not subject to appeal.

Decisions on grants are published on Formas' website. All applicants receive a final written notice of the decision along with the panel's final written statement.

The processing/status of applications are also shown on Formas' website. Applicants can log in, in the same way as when preparing their applications, and view previous applications and their current status.

Decisions on grant applications which can be applied for consecutively are notified in writing.

### 17.1 Applications granted funding

Applicants granted funds must return the decision notice, signed by the head of department or corresponding person and the applicant, within three months of receiving notification of the decision.

When grants for workshops and conferences are granted it is presumed that a Formas representative may attend the meeting. Furthermore, organisers of meetings supported by Formas are presumed to inform Formas of the meeting in a suitable manner. The invitation

and documentation for the meeting must state that the meeting has received support from Formas.

## 18. Reporting of granted projects

All approved projects must be reported in the Formas electronic system "Formas Direct".

The main applicant for projects that have been granted funds must submit a financial report and a scientific report, containing the parts of the report intended for scientists and the popular scientific summary, to Formas at the date that is stated in the decision letter. Grants below SEK 25,000 only require financial reports. Grants for travel to conferences only require financial reports, regardless of their amount.

The implementation time and the deadline for reporting projects are stated in the notification of the decision.

Please, note that previously completed projects must have been reported in order for a new application to be processed.

More detailed information on how to report the project when it is finished is published on Formas' website ([www.formas.se](http://www.formas.se)).

Publication of results from Formas-funded projects must clearly state that Formas has contributed funding.