



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

Formas' Handbook 2009

Formas' Handbook 2009

- for application of grants and evaluation of proposals

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Formas' handbook for application of grants and evaluation of proposals

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

1. News this year

Changes since 2008 to the application instructions are:

- Formas' regular expert panels have decreased from 18 to **6 standing expert committees** ([Formas' standing expert committees](#)).
- There is no longer a special call for information projects. Projects that fall within this category can be applied for consecutively during the year.
- There is no longer a special call for interdisciplinary projects. Interdisciplinary projects will be assessed in Formas' standing expert committees along with all other applications.
- The evaluation criteria have been altered. Applications shall now be assessed with respect to the evaluation categories **Scientific Value** and **Societal Value**. The relevance section on the application form has been excluded and the applicant is now expected to include information regarding Societal Value in appendix A.
- In the call for Open postdoctoral scholarships (where Swedish scientists can apply for a post-doc who has acquired her/his PhD at a foreign university) a **standard salary** shall be used in appendix B (Budget).
- The research programme, appendix A, is restricted to **25,000 characters** for grants for research projects and 18,000 for all other applications such as applications for all postdoctoral scholarships, position as assistant professor, funds for equipment and grants that can be applied for consecutively.
- Grants for research projects may involve financing the salary of researchers, doctoral students and technical staff. A maximum of 50 per cent of a full-time position for researchers may be applied for. For doctoral students and technical staff 100 per cent of their full-time positions may be applied for. When several researchers are included in the proposed project, their combined applied **salaries may not exceed 200 per cent** of a full position. Please note that the 50 per cent limit per researcher still applies.

2. Formas research funding

Formas is a governmental, tax-financed research-funding agency which supports basic research and applied research within the areas of environment, agricultural sciences and spatial planning. Formas promotes ecologically sustainable growth and development in society, multidisciplinary and cross-disciplinary research as well as international research collaboration and the exchange of experiences. The projects financed by Formas should be characterized by a high relevance to the society and be of importance to Sweden. The Council also disseminates information about ongoing research and results from the projects.

2.1 The task of Formas

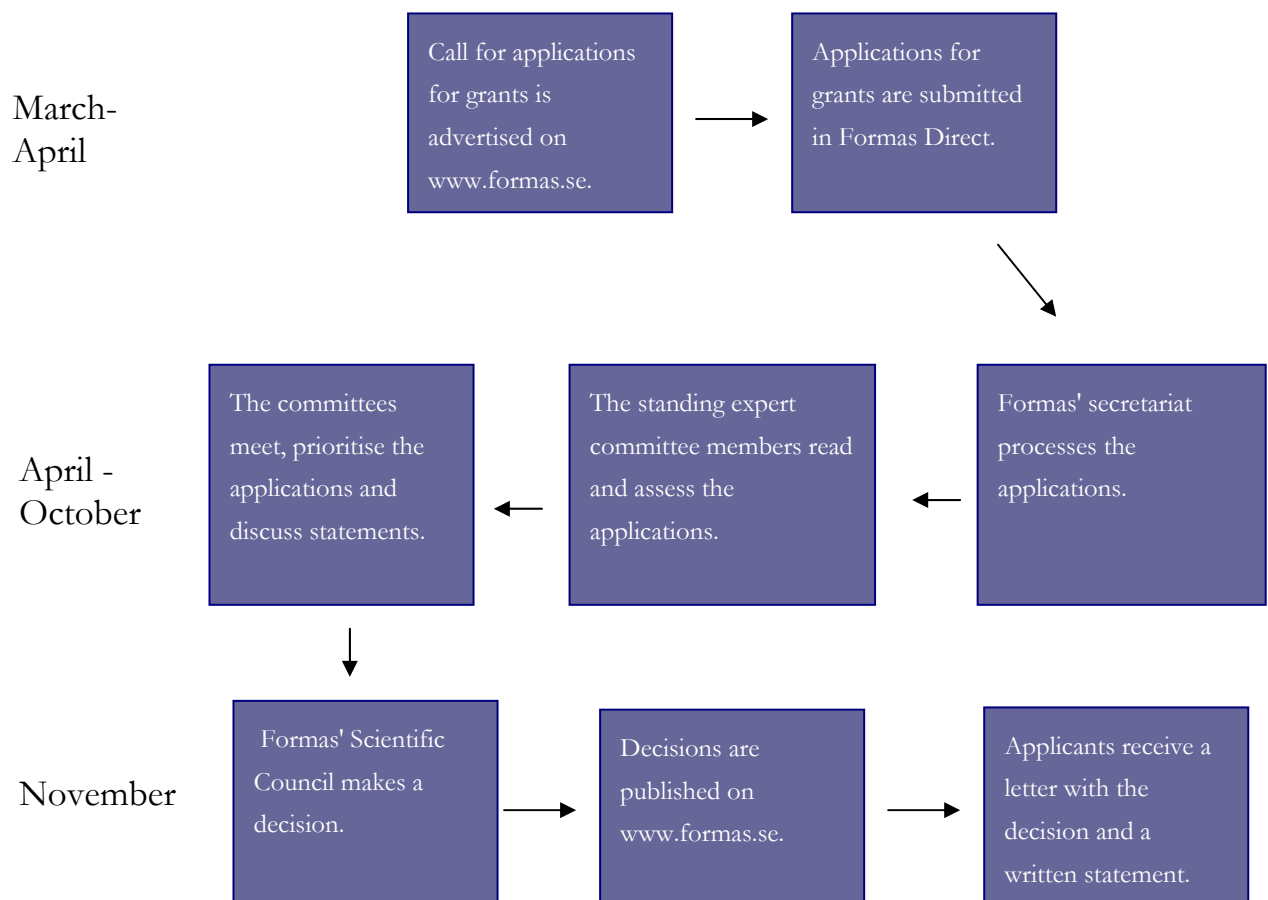
Formas-financed research should contribute to the sustainable development of society. This presupposes that human and animal health and welfare, biodiversity, the environment, the productivity of ecosystems, economics, and ethics as well as social and cultural values are taken into consideration.

The three primary support areas of Formas are:

- Environment
- Agricultural Sciences
- Spatial planning

For a more detailed description of strategies and research programmes, see the Formas website (www.formas.se).

2.2 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.
- Indirect costs (overhead costs) should not be included 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.
- Within the main annual call, the main applicant can be granted a maximum number of three applications: Grants for research projects or a position as Assistant professor or a Postdoctoral scholarship and in addition to this an Open postdoctoral scholarship and Funds for equipment.

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, symposia and workshops are exceptions to this rule.

Formas awards grants for up to three years. However, funding for a position as assistant professor ('forskarassistent') is granted for four years. Postdoctoral scholarships are awarded for one or up to two 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. However, a postdoctoral scholarship is a personal scholarship to the applicant.

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 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 including references, and 18,000 characters for all other applications such as postdoctoral scholarships, position as assistant professor, funds for equipment and 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 are 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.

Formas financing can be used for co-funding of EU-financed research projects with a similar focus.

4.1 Indirect costs and standard salaries

Indirect costs or overhead costs (rent, electricity, heating, telephone, bench etc.) should not be included in the application. Formas makes a calculation and adds the amount in accordance with an agreement between universities and university colleges (currently 35%) and research funding agencies.

For already existing employments, the current salary at the time of application (including social fees) should be indicated. When the salary for a new post is applied for, the standard salaries (per year) should be used:

- Assistant professor SEK 600,000
- Doctoral student SEK 430,000 (this sum is intended for salary only, scholarships or the like to Doctoral students will not be accepted)
- Senior lecturer (50 per cent) SEK 330,000
- Research engineer SEK 450,000
- Laboratory assistant SEK 400,000
- Technician SEK 400,000
- Open postdoctoral scholarship SEK 450,000

4.2 Public accessibility

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

4.4 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 web 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).

The ethical review of animal experimentation is performed by ethical boards. The application form can be obtained from the Swedish Board of Agriculture's website (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 standing expert committee

The applicant must suggest an expert committee for the evaluation of the proposal. If the application falls between different subject areas, the applicant may suggest two expert committees in order of priority. Formas secretariat decides which committee will evaluate the application.

5. Types of grants in Formas' main annual call

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

5.1 Grants for research projects

To be eligible to apply to Formas' grants for research and development projects, the main applicant (the person responsible for the suggested research project) must have a Doctoral degree. The main applicant must be the researcher who performs the main part of the research in the project. 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 and 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.

Grants for research projects may involve financing the salary of researchers, doctoral students and technical staff. A maximum of 50 per cent of a full-time position for researchers may be applied for. For doctoral students and technical staff 100 per cent of their full-time positions may be applied for. When several researchers are included in the proposed project, their combined applied salaries may not exceed 200 per cent of a full position. Please note that the 50 per cent limit per researcher still applies.

The names of all the researchers in the project, their CVs and their list of publications must be given in the application. If 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. Salary for foreign guest researchers may be applied for up to a maximum of 50 per cent of a full-time post. For new doctoral student positions, the main supervisor must be indicated in the research programme.

Researchers should apply on their own merits, but previous supervisors may be co-applicants. A description of the work assignments of all those involved in the project, for which salary is applied for, 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, including budget and popular science description.

- Appendix A. The research programme is restricted to 25,000 characters for grants for research projects including references, and 18,000 characters for all other applications such as postdoctoral scholarships, position as assistant professor, funds for equipment and grants that can be applied for consecutively.
- Appendix B. Budget. All the applied salary costs must be justified, and the research assignments of all persons in the project with a Doctoral degree for whom salary is applied for must be clearly described and their names must be stated. All other costs applied for in the project must also be clearly justified. The maximum length of appendix B is two pages.
- Appendix C. Brief CV for the main applicant and co-applicant/co-applicants (maximum of 8000 characters per person).
- Appendix D. Publication list for the main applicant and co-applicants for the last eight years (maximum of 8000 characters per person).

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

5.2 Position as assistant professor

The position as assistant professor is a full-time position (100 per cent funding of own salary). The applicant must be the intended holder of the post to be considered for funding for the employment of assistant professor, a maximum of five years may have passed since the applicant received her/his Doctoral degree, counted from January in the year when the degree was awarded. Parental leave, illness, military service or other similar circumstance that has prevented research activities during the period soon after the degree was received may be considered as reason for an exception to the five-year rule. In order to get a position as assistant professor postdoctoral experience is desirable.

An application for position as assistant professor is made for four consecutive years. If the applicant has had an earlier employment as assistant professor, this must be specified in the CV (Appendix C).

Basic conditions are regulated in the Ordinance (2000:1472, amended in 2004:384 and 2007:429) on research councils' appointments. When Formas decides on a position as assistant professor, it also decides on the appointment for the grant recipient. Before taking a definite appointment decision, Formas contacts the university/institution where the prospective holder wishes to conduct his or her activity (the host university/institution) to obtain its approval of the person working there. Formas' appointment decision can be appealed. When appeals, if any, have been dealt with in full and the Councils decision has gained legal force, employer responsibility for the appointment is assumed by the host university/institution. The host university decides when the appointments commence. The

grant may be used during the grant period plus one year. In order for the entire grant period to be completed during its time of disposal the appointment should commence within one year after Formas' appointment decision has gained legal force.

Otherwise, what has been stated above regarding applications for grants for research projects is applicable.

5.3 Postdoctoral scholarships

The aim of postdoctoral scholarships is to provide young researchers within the areas of responsibility of Formas with the opportunity of working abroad for a certain period in an internationally prominent research environment. The application for a postdoctoral scholarship is to be written by the recipient of the scholarship. If there are special conditions (which must be fully motivated) a Swedish university or research institute may be considered, but it must be different from the one where the doctoral degree was obtained.

The scholarship is awarded for one or up to two years. The visit may be divided into several periods, with a minimum length of three months each. Applications for extensions to postdoctoral scholarships awarded no later than 2007 can be submitted consecutively.

To be eligible to apply for a postdoctoral scholarship, the doctoral degree must have been obtained five years before the closing date for the call, counted from January in the year when the applicant received her/his Doctoral degree. Parental leave, illness, military service or other similar circumstance which have prevented research activities after the degree was awarded are acceptable reasons to make an exception from the five-year rule. If the applicant has not been awarded the Doctoral degree by the time the application is submitted, a copy of the degree diploma/certificate must be submitted to Formas no later than 1st of November in the year of the main annual call.

Applicants for the postdoctoral scholarship must have Swedish citizenship or permanent residence permit in Sweden.

The recipient is granted a personal scholarship according to the following:

- An annual scholarship of SEK 250,000-350,000 depending on the costs of living in the host country and the number of accompanying family members. The scholarship conforms to the levels established by EMBO (European Molecular Biology Organisation, www.embo.org).
- Formas covers expenses for return tickets for the recipient of the scholarship and accompanying family members. The most economical travelling option should be chosen.
- A total standard sum of SEK 50,000 for research costs.

The application for a postdoctoral scholarship should be organised in applicable areas in the same manner as a regular grant application, but the research plan should be written for one or up to two years. However, the budget (Appendix B) need not be filled in. The signature appendix (Appendix S) is signed by the applicant only (as the scholarship is personal, no other signature is necessary). The scholarship is personal, and no administrative bodies need to be indicated in the application form. The applicant's home address should be provided instead of the institutions. The research plan should include information regarding the proposed host institution as well as a justification for the choice.

The application must contain a letter of invitation from the host institution verifying that the applicant will be able to participate in the institution's research as well as be able to carry out her/his own research. The application is reinforced by a letter of recommendation from the faculty professor or the previous supervisor indicating the importance of the postdoctoral visit.

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 is limited to a maximum of 18,000 characters, including references
- Appendix C. Brief CV (maximum of 8000 characters)
- Appendix D. List of publications (maximum of 8000 characters).
- Appendix G. Letter of invitation from the host institution. Letter(s) of recommendation from previous supervisor(s) are mandatory but reinforces the application. Non-Swedish citizens should include a certificate indicating permanent residence permit.
- 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) is optional (maximum length of two pages).

Please note that the signature appendix (Appendix S) which is automatically generated upon registration is to be signed by the applicant for the postdoctoral scholarship only.

Extensions up to one year, for postdoctoral scholarships awarded no later than 2007, can be applied for consecutively (not later than 3 months before the visit ends). The continuation application should include a status report as well as a letter of invitation from the institution. The progress report must include a fully motivated justification for the extension.

5.4 Open postdoctoral scholarships

This call is intended for researchers at Swedish universities/university colleges or research institutes, who in their research would like to work together with a young researcher who

acquired her/his Doctoral degree at a foreign university. By 'young researcher' it means that a maximum of five years may have passed, counted from January in the year when the candidate for the open post-doc acquired her/his Doctoral degree. The main applicant and the eventual co-applicant apply on their own merits for the open post-doc position. The grant is awarded for one or up to two years.

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 18,000 characters, including references.
- Appendix B. Budget. Maximum length: two pages.
- Appendix C. Brief CV (maximum of 8000 characters per person).
- Appendix D. List of publications (maximum of 8000 characters per person).

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

If no specific person is named for the open postdoctoral scholarship by the time of deadline for the application, the main applicant must submit the CV of the open post-doc that has been granted the position if the application is accepted for funding.

5.5 Development projects

Formas finances development projects within the field of building sciences. 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.

Otherwise, what has been stated above regarding applications for grants for research projects is applicable.

5.6 Funds for equipment

Funding for research equipment that costs between SEK 500,000 and 2,000,000 should be applied for in this separate call. Equipment that costs less than SEK 500,000 should be included in the application for the research project. Applications for funding for equipment that exceeds the cost of SEK 2,000,000 should be made to The Swedish Research Council (www.vr.se).

What has been stated above regarding applications for grants for research projects is applicable when relevant. The application should specifically state in which projects the equipment is planned to be used. The scientific objectives of the projects as well as the equipment's strategic significance in reaching these objectives should be presented in Appendix A. If equipment is planned to be included in a larger strategic effort, this should also be stated. In addition, the application must include:

- Appendix F. Research equipment (application for equipment costing between SEK 500,000 and 2,000,000).

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 problems 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. In other aspects, 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. 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.
- Travel in connection with research education or with clearly defined research undertakings in collaboration with another country. Short research visits to foreign research institutes or laboratories. A letter of invitation from the foreign institute must be enclosed with the application (Appendix I).
- 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 publications (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). If the application concerns research visits to foreign research institutes or laboratories, a letter of invitation should be included in appendix I. Salary costs are not funded for travel grants, but allowance for expenses may be awarded.

6.3 Conferences, symposia and workshops

Formas may finance arranging of conferences, symposia and workshops (called 'meetings' below) within Formas' areas of responsibility. In order to receive a grant from Formas, the meeting must reach high levels of scientific and societal values. The grant may cover a limited number of primarily foreign participants' travel and per diem expenses in connection with attending the symposium, organisational costs, etc.

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. If a conference report or proceedings is planned to be published, the plan for the publication format as well as an estimate of publication costs should be attached.

The standard figure for the grant is up to SEK 200,000 for a large conference, up to SEK 75,000 for a symposium, and up to SEK 30,000 for a small workshop.

When a grant has been awarded by Formas, 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 B. Budget. Calculations for the costs of the event and the way these costs are distributed amongst the different funding sources must be stated. If there is a conference publication, a plan for publication and an estimate of publication cost must be presented. Maximum length: two pages.
- Appendix C. Brief CV for the main applicant and co-applicants (maximum of 8000 characters per person).
- Appendix D. List of the main applicant's and co-applicant/co-applicants' publications (maximum of 8000 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 Formas' areas of responsibility. Formas prioritizes information projects that focus on areas that are being emphasized 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. However, Formas can provide grants for production of a manuscript on condition that Formas is given an option on any future book publication. Formas does not provide grants for teaching materials.

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

- Application form, including budget and popular science description.
- Appendix A. Information programme, (maximum 18,000 characters including references).
- Appendix B. 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: two pages.
- Appendix C. Brief CV for the main applicant and co-applicants (maximum 8000 characters per person).
- Appendix D. List of main applicant's and co-applicants' publications or other reference material (maximum 8000 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 values and societal values 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' annual 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. Don't 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.

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 is 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 at the appropriate time. It is possible to attach more than one enclosure of the same kind, i.e. several enclosures in Appendix C. To do so repeat the procedure above for enclosure of the same type. When conversion/uploading is complete, click on the back button.

Please note that 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 complete, it must be registered in Formas Direct by the user. To do this, save the application and click on 'Register'. Read and follow the instructions that appear in the new window. In order to register the application, click on 'OK' or on 'Cancel' if you wish to cancel. A form in PDF format will be created for signature at registration. It should be printed by the user, completed, signed and sent to Formas. This form must have been received by Formas within five working days after the closure of the call. Note that once the

application has been registered, no changes may be made, so make certain that the application is completed before registration.

7.4 Finances

Information on the amount of time that the main applicant and other persons will devote to the project should be indicated, even if funds for salary are not being sought.

Provide only the name of the main applicant in the first box. For the research staff in the project provide: name, sex, year of birth, year of doctoral degree as well as monthly salary at the time of application. All information should be entered on one line. The person's work effort in the applied project in per cent of full-time should be indicated in the next box. In the remaining boxes, indicate the amount of salary applied for, including social fees. All amounts should be in TSEK (SEK 100,000 = TSEK 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.

For already existing employments, the current salary at the time of application (including social fees) should be indicated. When the salary for a new post is applied for, the standard salaries (per year) should be used (see section 4.1).

In the case of granted joint financing, indicate the financier and the funds granted for this project. All amounts should be in TSEK. 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.

8. Description of appendices

Check which appendices are expected to be submitted in each call for applications and for each type of grant. The recommended font for all applications is *Times New Roman* and the recommended *font size: 12 pts*.

8.1 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 including references, and 18,000 characters for all other applications such as postdoctoral scholarships, position as assistant professor, funds for equipment and grants that can be applied for consecutively. For certain strategic calls, the number of characters could differ from the above. In that case it will be clearly indicated in the specific call.

The appendix should contain a brief text with a complete description of the intended research, including the following:

- Specific objectives; an account of the aim of the proposed research project.
- Overview of the area; outline of one's own and others' research and previous results within the research area. Indicate key references.
- Project description; a summary of the project's organisation.
- Theory, method and performance must be clearly described.
- Plan for scientific deliverable and deliverables to stakeholders.
- Societal value of the research; a brief description of the project's significance for important societal issues for sustainable development.

In addition, when relevant, the research programme should also present and comment upon:

- Equipment; brief description of existing basic equipment, relevant to the project, that the main applicant/group may make use of.
- International collaboration; brief description of collaboration with foreign researchers/research groups.
- That international agreements and rules will be complied with.
- Ethical considerations.
- Gender aspects.
- Preliminary results; a description of one's own experiments/preliminary studies within the research area.
- Staff in the research group/project group.
- Co-applicants' other grants; an account of awarded and sought grants from other financiers that are of significance to the project.
- For new doctoral student positions, the main supervisor must be indicated in the research programme.

8.2 Appendix B. Budget

In this appendix all the salary costs must be motivated. The research assignments must be clearly described and the full names of all persons with a Doctoral degree in the project, whose salary is being applied for, must be stated. All other costs applied for in the project must also be clearly motivated. Maximum length: two pages.

8.3 Appendix C. CV

CVs should be provided for the main applicant as well as the co-applicant/co-applicants who are indicated in the application form. The CV should comprise a maximum of 8000

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).
- Postdoctoral 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).
- Postdoctoral students who collaborate or have collaborated with the applicant in the research group (name, year).
- In cases where the CV is part of an application for an employment as assistant professor, the applicant has to state whether she/he have had this position earlier.

8.4 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 8000 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).

8.5 Appendix E. 'Status Report' for continuation projects

The 'Status Report' appendix pertains to applications for continued grants for the employment of assistant professor (granted no later than 2007) and Postdoctoral scholarship (first year granted no later than 2007). The following should be presented:

- A brief account of results achieved so far in the original project. The account may be a maximum of two pages.
- For continuation of a Postdoctoral scholarship the reason for the continuation must also be fully motivated.

8.6 Appendix F. Research equipment

Formas presupposes that the applicant has first investigated if the necessary equipment can be obtained from the institution. Note: it is important that the applicant indicates in the form within which project/projects the equipment will be utilised. Maximum length: two pages.

The appendix should contain:

- An account of how the equipment will be used within the project/projects.
- Information concerning the opportunities and improvements that the equipment offers.
- A status report for ongoing projects with grants from Formas in the event that it is only equipment grant that is being sought on this occasion.

8.7 Appendix G. Postdoctoral scholarship

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

- Home address – Indicate home address including telephone number, and email 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 five years, counted from January in the year when the applicant acquired her/his Doctoral degree).
- Host institution – Indicate the contact person at the host 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 host institution's mailing address (in the following order: university/institution, address, country).
- Time for the visit to the host institution – Indicate the dates when the visit to the host institution is planned to begin and to end. The period should be a minimum of 12 months up to two years long. The visit may also be divided into several periods, but the

shortest period is 3 months per visit. The maximum time of the grant may be reduced by the time that the applicant has had other similar grants.

- 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.
- Similar application – Indicate if funds from another financier are being sought or have been granted for the same purpose. This should also be indicated under points 4 and 16 in the application form.

The applicant should also attach:

- A letter of invitation from the host institution, i.e. certificate from the host 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 recommendation from the Swedish home institution/supervisor (are not mandatory but will reinforce the application). The letter should contain a statement concerning the applicant and the applicant's research as well as the benefit that the visit abroad may confer on the applicant. Other issues that may be of interest to mention are justification of the choice of foreign institution, the planned project's scientific relevance as well as what significance the newly gained knowledge may have for Swedish research when the person returns. Always indicate the sender's email address so that Formas can verify the authenticity of the letter by contacting that person.
- A certificate indicating permanent residence permit (for Non-Swedish citizens only).

8.8 Appendix I. Copy of diploma/Letter of invitation etc.

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

8.9 Appendix J. Illustrations

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

8.10 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. This form must be received by Formas ***within five working days*** after the closure of the call.

9. Common mistakes

Below are some examples of common mistakes that can be avoided by ticking off the below bullet points before submitting the application.

Examples:

- grants are sought in the incorrect call for applications,
- grants are sought for a longer period than what is indicated in the call for applications and/or in the instructions to applicants,
- the total combined salary cost for the researchers in the project exceeds 200%,
- the main applicants' research effort is too low in proportion to that of the co-applicant/co-applicants (the main applicant should normally perform the majority of research in the project),
- co-applicants' CVs and publication lists are missing,
- the name of the researcher(s) whose funding is applied for in the project is missing,
- material (e.g. articles/manuscripts/reports) that has not been requested is included as extra attachments,
- information regarding other projects in which the applicant is involved is missing from the application form,
- text on the popular science summary are missing in the application form, and
- the institution's address rather than the applicant's home address is indicated on the postdoctoral scholarship application.

10. Evaluation of applications

10.1 Evaluation of grant applications which can be applied for consecutively

The applications are handled by Formas' secretariat, which will assess if the applications are eligible for this type of grant. Applications that should have been submitted in one of Formas' calls will be rejected. 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 standing committee or the Scientific Council take longer.

10.2 Evaluation of applications within the main annual call

Applications that arrive to Formas within the main annual call will be assessed by the standing expert committees. The normal procedure is for all the committees' members to read and assess all the applications that the committee has to evaluate. Each application has a rapporteur who presents it at the meeting and who proposes a statement of opinion. The committee prioritises applications, and submits a proposed decision to Formas' Scientific Council. The Scientific Council then makes a decision.

A standing expert committee is responsible for a specific research area. The committee should be able to handle approximately 100-200 applications and consist of maximum 15 members. Together, the members should as far as possible cover the committees' areas of responsibility.

If a committee receives a large number of applications to prepare, a two-step evaluation process may be used. This procedure will be handled by the expert committee who will assess and rank the applications.

10.3 Evaluation of applications for postdoctoral scholarships

Applications are prepared in two steps. The standing expert committees make an assessment in step 1. After that, Formas' secretariat makes a considered ranking and estimation of the size of the grants for the applications, based on the expert committees' assessments. Formas' Scientific Council then makes the decision.

10.4 Standing expert committees

The standing expert committees (members, chairman and vice chairman) are appointed annually by Formas Secretary General through an administrative decision. This decision should be made by 1 June every year. A few members can be added afterwards if needed and formally decided. Expert committees are made public on the Formas website when they have been appointed.

The expert committees comprise prominent and active researchers as well as stakeholders in society. Together the expert committee members should assess the applications according to criteria of Scientific Value and Societal Value. The researchers should be senior lecturers or professors, or be assessed to have corresponding expertise. The expert committee members should primarily be active abroad.

Preferably, persons who have previous experience of proposal evaluation should be appointed as chairman and vice chairman. The vice chairman steps in when the chairman is unable to lead efforts for some reason, such as illness or conflicts of interest. Supported by Formas' secretariat, the chairman/vice 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).

Each expert committee should have as even a sex ratio as possible. The collected group of chairmen and vice chairmen of Formas should have an even distribution in terms of sex.

It is possible to be an expert committee 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' standing expert committees. It is important that replacement of expert committee members is carried out gradually, so that only a minority is replaced each year.

11. Management of conflicts of interest

Committee members, chairmen and vice chairmen may not apply (neither as main applicant nor as co-applicant) for funds in their own committees. If a member/chairman/vice chairman wishes to apply for funding from Formas and there is no other relevant expert committee, Formas will provide a replacement committee 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 expert committees 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 committee meetings, minutes concerning conflicts of interest shall be kept.

12. 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 standing expert committees, 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 committee members, chairmen and vice chairmen may not apply for funds in their own committees.

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 expert committees 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.

12.1 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/postdoctoral 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.

13. Guidelines for evaluation of research applications

13.1 General

The following is a description of what should be observed when a research application to Formas is assessed. In addition, management of issues of gender equality as well as the procedure for ranking applications and for expert committee statements is described.

Formas research support is given for basic research and applied research. Grants are also provided for development projects in the area of building science.

Research should be of the highest scientific and societal values for sustainable development within Formas areas of responsibility, i.e., the environment, agricultural sciences and spatial planning. 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.

During assessment of applications for research and development projects submitted in response to Formas – BIC calls for applications, Guidelines for evaluation of R&I projects, should be observed, for criteria and procedures concerning the evaluation of these type of projects, see Appendix I and Appendix II.

13.2 Evaluation of applications

Applications should be assessed with respect to the evaluation categories Scientific Value and Societal Value. The categories include criteria for assessing the scientific quality of the applications and the applicants, and the relevance and benefits of the research to a sustainable development of the society.

An application should be assessed in an objective and impartial manner. Discrimination of any kind shall not take place. When assessments are made, it is also important to observe the instructions and directions that the applicant has received for preparation of the application.

13.2.1 Criteria of Scientific Value

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:

- Great general value should be given priority over research of limited general value.
- Multi- and interdisciplinary approaches should be considered advantageous.
- 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
- Fairness of budget
- Coordination of project and research group
- Performance of multi- and interdisciplinary approaches
- Ethical considerations

Clarifications:

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

Scientific competence

- Quality of scientific publication
- 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 environment

Clarifications:

- When several researchers are going to collaborate in the project, assessment of the scientific competence is made of both each individual researcher separately and of the research group collectively.
- Project proposal in a new area of experience for the applicant and/or co-applicants should not be considered a disadvantage.

13.2.2 Criteria of Societal Value

Importance for sustainable development

- Aim addresses important societal issue
- Project may contribute to ecologically sustainable growth and development of the society
- Aim in line with the call for applications

Clarifications:

- Society should be regarded as the greater society at global, EU, national and regional levels within Formas' areas of responsibility. Both consumer and producer perspectives should be considered.

Dialogue with society

- Project is planned in dialogue with stakeholders
- Concrete and realistic plan for deliverables to stakeholders
- Adequate experience, including pedagogical skills, of cooperation and communication with stakeholders

Clarifications:

- In case of basic research, the dialogue could e.g. comprise of a description of societal issues constituting the basis for the aim of the project. In case of applied research, the dialogue with stakeholders could include plans of cooperation and implementation.
- Stakeholders should be regarded as actors who can put the research outcomes to use in society, including government, authorities, industry, and civil society, as a contribution to achieving sustainable development. Dialogue with stakeholders may take different forms depending on the degree of immediate applicability of the intended research results.
- Stakeholders do not refer to other researchers in academia. These aspects should instead be considered in the assessment of Scientific Value.

User values

- Specific ideas, including time scale, on how to implement project outcomes
- Estimated effects of project outcomes on different times scales

Clarifications:

- Specific ideas on implementation of project outcomes may take different forms depending on the degree of immediate applicability of the project outcomes.

13.2.3 Scoring

The scores are intended to support the expert committee's review and ranking. They are meant to be used in the discussion for selection of applications and the final ranking. The scores should not be communicated with the applicant, i.e. they are part of the committee's working documents.

For each of the criteria on Scientific Value and Societal Value respectively, the following scores should be used. The aim should be to use the whole score scale when scores are set within the various assessment criteria.

	Scientific Value	Societal Value
10	Outstanding, at the forefront of international research	Research addressing a major challenge for sustainable development and project outcome which may be highly beneficial for society. Prospects of general applicability
7	Excellent, strongly competitive at an international level	Research addressing an important challenge for sustainable development and project outcome which may be highly beneficial for society.
5	Very good, strongly competitive at a national level	Research with high value for sustainable development and project outcome which may be beneficial for society. Applicable in some areas.
4	Good – very good, competitive at a national level	Research with moderate value for sustainable development and project outcome which may be beneficial for society. Limited applicability.
3	Good	Research with limited value for sustainable development and project outcome which may be beneficial for society. Limited applicability.
2	Fair	Limited benefit for society.
0	Poor – Insufficient quality	No benefit for society or outside Formas' area of responsibility.

7 – 10 = **A** = Very good project which should be funded

3 – 5 = **B** = Good project, which should be funded if means are available

0 – 2 = **C** = Should not be funded

13.3 Ranking and standing expert committee statements

Applications will be evaluated in the Formas' electronic assessment system 'Formas Review'. Each application is first given scores by individual members of the standing expert committee. A rapporteur, appointed by the secretariat, issues a preliminary written

statement before the committee meets. The draft is distributed to the whole expert committee prior to the committees meeting.

The statement should be no more than ½ an A4 page in length. The statement must comment on the application and contain a critical scrutiny that provides constructive guidelines on both strong and weak aspects of the application. Proposals for revised cost plans and work schedules must be discussed in the statement. In addition, the statement must contain an overall recommendation as to whether the application is recommended for a grant or not. If the application is not recommended, the reasons must be clearly stated in the report. The report must not contain any disparaging statements.

The expert committee meets and ranks the applications at its meeting. The scores and the draft statements form a preliminary basis for this ranking. The committee may change the ranking resulting from the preliminary scores when it meets. The customary practice developed for ranking applications is to divide them into three groups:

- A. Very good project which should be funded,
- B. Good project, which should be funded if means are available,
- C. Should not be funded

The above ranking normally only needs to be carried out for applications in group A and for the best applications in group B.

The committee will also suggest a budget for projects that may be considered for funding (those that can be placed within the secretariat's stated framework plus a few more). A total budget is stated for the committee and the proposed funding must not exceed this budget. Cuts will be made when the costs are unduly high. Any cuts should be clearly reported. General cuts that are made in order to stretch available funding so that as many projects as possible may be funded are not acceptable.

The rapporteur is responsible for ensuring that the written statement after the meeting is adjusted to reflect the committee's collective assessment. The committee secretary (the Formas officer) can make this adjustment after the committee discussion if it was not done by the rapporteur for some reason. In that case, the rapporteur and/or the chairman of the committee should be consulted. The chairman of the expert committee has ultimate responsibility for the final statements.

Individual applications may have a subject profile or breadth that prompts Formas secretariat to place them in more than one expert committee. Formas officers communicate the results to one another. The expert committee that suggests the highest budget to an application normally retains financing responsibility in the event that it fits into the committee budget. Ranking of an application that is being dealt with by two expert committees should not be communicated between the expert committees before their meetings are concluded.

13.3.1 Supplementary (Ad hoc) assessments

A supplementary assessment can also be considered if the expert committee lacks an important expertise or if the chairman or the Formas officer of the expert committee considers that such an assessment is required for other reasons. Supplementary assessments are conducted by at least two persons outside the expert committee. No score is given in a supplementary assessment; only a written statement is issued. The principles described above for conflicts of interest also apply to supplementary assessments of this type. The supplementary report should be taken into account in the committee's assessment. The person to carry out the supplementary assessment is appointed by the Formas officer after consulting the chairman of the expert committee.

If an application has gender aspects, the expert committee should consider the need for Ad hoc assessments.

An application from a member of the Formas' Scientific Council must be evaluated by at least two people outside the expert committee.

13.4 Processing of research projects concerning Postdoctoral scholarships, Open postdoctoral scholarships and Assistant professors

13.4.1 Postdoctoral scholarships

The aim is to provide young researchers with an opportunity to work in internationally prominent research groups abroad. The grants provide young researchers with the opportunity to spend one or up to two years at a foreign university or research institute. A Swedish university or research institute may be considered in special circumstances, but not the institution where the researcher acquired his or her doctoral degree.

The grant is awarded for one or up to two years. The visit may also be divided into several periods of at least 3 months.

The postdoctoral programme is aimed at young researchers within Formas' areas of responsibility and who are Swedish citizens or have permanent residence permits in Sweden. The words 'young researcher' mean that a person obtained her/his doctoral degree within five years of when the call in question is closed, counted from January in the year when the applicant acquired her/his Doctoral degree. Parental leave of absence, illness, military service or other similar circumstances hindering research activities in the period soon after the examination can constitute grounds for granting exemption from the five-year rule.

13.4.2 Open postdoctoral scholarships

This call is intended for researchers at Swedish universities/university colleges or research institutes, who in their research would like to work together with a young researcher who acquired her/his Doctoral degree at a foreign university. By 'young researcher' it means that a maximum of five years may have passed, counted from January in the year when the candidate for the open post-doc acquired her/his Doctoral degree. The main applicant and the eventual co-applicant(s) apply on their own merits for the open-post doc position. The grant is awarded for one or up to two years.

13.4.3 Assistant professors

In order to be considered as an assistant professor ('forskarassistent'), the person concerned must have gained her/his Doctoral degree within the previous five years (counted from January in the year when the applicant acquired her/his Doctoral degree). Parental leave of absence, illness, military service or other similar circumstances hindering research activities in the period immediately after the examination can constitute grounds for granting exemption from the five-year rule. An application for employment as an assistant professor may be granted for four years. The application must be submitted by the candidate for the post.

For grants awarded in 2007 or earlier: the assessment for a continuation is carried out by two members of the expert committee, preferably the previous rapporteur and the chairman. The assessment will assess whether the assistant professor's work is carried out according to plan or whether the financing should be terminated for some reason. If the work conforms to the established plan, continued funding will be granted. When applications for extensions are assessed, no score is needed and assessments need only assess whether continued funding is to be granted or not. However, a statement from the expert committee will also be issued for applications for extensions.

14. Gender equality

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

The expert committee 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 expert committee 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.

15. Grounds 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 do not have to wait until Formas' Scientific Council makes their decision concerning the application in November, this type of applications will be rejected at the latest one month after the closure of Formas large main annual call. The applicant may be contacted by the secretariat in order to supplement his/her application if it is incomplete.

Grounds 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:

1. The applicant does not have a Doctoral degree (does not apply for applications for conferences, symposia, workshops and information projects)
2. The Doctoral degree is 'too old' relative to the call in question
3. The applicant for a postdoctoral scholarship or a position as assistant professor has applied for employment for another person
4. The administrative body is not one that can be funded by Formas
5. The applicant for a postdoctoral scholarship does not have a Swedish citizenship or a permanent residence permit in Sweden

16. Decisions

Decisions in the main annual call are taken by Formas' Scientific Council after the standing expert committee's proposal has been reported. Decisions on grants for research and information projects are not subject to appeal.

Decisions on grants awarded in Formas' main annual calls for applications are published on the Formas' website. All applicants receive a written notice of the decision, along with the committee statement. The committee statement is the overall assessment of the application.

The processing/status of applications is also shown on the 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.

16.1 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/symposia/conferences are granted by Formas it is presumed that a Formas representative may attend the meeting. Furthermore, Formas presumes that organisers of meetings supported by Formas will 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.

17. 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 also 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 the Swedish website (www.formas.se).

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

Appendix I (II) Formas – BIC calls

Guidelines for project evaluation - Criteria

Evaluation criteria applicable to collaborative project proposals

Scientific quality "Scientific excellence (relevant to the topics addressed by the call)"

Soundness of concept, and quality of objectives

Progress beyond the state-of-the-art

Quality and effectiveness of the scientific methodology and associated work plan

Project implementation "Quality and efficiency of the implementation and the management"

Appropriateness of the management structure and procedures

Quality and relevant experience of the individual participants

Quality of the consortium as a whole (including complementarity, balance)

Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment)

Impact "Potential impact through the development, dissemination and use of project results"

Contribution, at the national and European level, to the expected impacts listed in the work programme under the relevant topic/activity

Appropriateness of measures for the dissemination and/or exploitation of project results, and management of intellectual property

Evaluation scores will be awarded for each of the criteria, and not for the sub-criteria. The sub-criteria are issues which the expert should consider in the assessment of that criterion. They also act as reminders of issues to rise later during the discussions of the proposal. The relevance of a proposal will be considered in relation to the topic(s) of the given call, and to the objectives of a call. These aspects will be integrated in the application of the criterion 'scientific quality'. When a proposal is partially relevant because it only marginally addresses the topic(s) of the call, or if only part of the proposal addresses the topic(s), this condition will be reflected in the scoring of the first criterion. Proposals that are clearly not relevant to a call ("out of scope") will be rejected on eligibility grounds.

Each criterion will be scored out of 5. Half marks may be given.

The scores indicate the following with respect to the criterion under examination:

0 - The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information

1 - Very poor. The criterion is addressed in a cursory and unsatisfactory manner.

2 - Poor. There are serious inherent weaknesses in relation to the criterion in question.

3 - Fair. While the proposal broadly addresses the criterion, there are significant weaknesses that would need correcting.

4 - Good. The proposal addresses the criterion well, although certain improvements are possible.

5 - Excellent. The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

Appendix II (II) Formas – BIC calls

Guidelines for project evaluation – Procedure

General

An application shall be appraised objectively and impartially. There shall be no discrimination in any shape or form. Proposals are invited from universities, research institutes and other public research organisations following the eligibility criteria.

The procedure for the evaluation will be in three steps:

1. The first step will be to evaluate the eligibility of each proposal. Each proposal needs to meet the respective national eligibility criteria and the eligibility set by the call.
2. The second step will be an individual evaluation by experts/representatives appointed by Formas.
3. The third step is a meeting with the expert panel ranking the applications based on the results from the individual evaluations and deciding which proposals will receive funding.

Experts are expected to be independent, impartial and objective and to behave throughout in a professional manner.

Before the evaluation

Eligibility criteria for each proposal are checked by Formas before the evaluation begins. Proposals which do not fulfill these criteria will not be included in the evaluation. For this call a proposal will only be considered eligible if it meets all of the following conditions:

- It is received by Formas before the deadline given in the call fiche
- It is complete (i.e. both the requested administrative forms and the proposal description are present)
- The content of the proposal relates to the topic(s) and funding scheme(s), including any special conditions set out in the call.
- The requested funding is in line with the specific requirements of the call

Individual evaluation of proposals

At the beginning of the evaluation, experts will be briefed by Formas, covering the evaluation procedure, the experts' responsibilities, the issues involved in the particular area /objective, and other relevant material (including the integration of the international

cooperation dimension). The proposal will be evaluated against pre-determined evaluation criteria.

Expert panel meeting

Once all the experts have completed their individual assessment, the evaluation progresses to a consensus assessment, representing their common views, this entails a consensus meeting to discuss the scores awarded and to prepare comments.

The consensus discussion is moderated by a chairman appointed by Formas. The role of the moderator is to seek to arrive at a consensus between the individual views of experts without any prejudice for or against particular proposals or the organisations involved, and to ensure a confidential, fair and equitable evaluation of each proposal according to the required evaluation criteria.

Formas will designate an expert to be responsible for drafting the consensus report ("rapporteur"). Before the consensus meeting mean values of the individual evaluations scores should be presented to the experts/representatives for each of the criteria that have been evaluated. Comments should be suitable for feedback to the proposal coordinator in an evaluation summary report. They also come to a common view on the questions of scope and ethics.

The tasks of the consensus meeting may also include:

- recommending a priority order for proposals with the same consensus score;
- making recommendations on possible clustering or combination of proposals
- coordinating the timetable for official funding decisions and informing applicants

Outcome of the consensus meeting is a report recording, principally:

- An evaluation summary report (ESR) for each proposal, including, where relevant, a report of any ethical issues raised and any security considerations;
- A list of proposals passing all thresholds. This list will include a final score for each proposal passing the thresholds and the experts/representatives recommendations for priority order.
- A list of evaluated proposals having failed one or more thresholds;
- A list of any proposals having been found ineligible during the evaluation by experts/representatives;

- A summary of any deliberations of the experts/representatives;
- Timetable for informing applicants about the funding decisions

The consensus report is signed by the responsible research officer from Formas and the chairperson. A further special ethical review of above-threshold proposals may be organised by Formas.

Official funding decisions

After the consensus meeting Formas' Scientific Council make official funding decisions according to the funding procedures. Applicants will be informed about the funding decisions according to the common timetable set in the consensus meeting.