



Guidelines for application and evaluation – Tuffo Stage 1 and Stage 2

Call 2023

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Appendix 1 (separate document)

Appendix 2 (separate document)

1 Introduction

The Swedish Geotechnical Institute (SGI) can grant financial support to research and development projects through the research program Tuffo (*Research and development relating to contaminated sites*), supported by statute (2017:721) regarding financial support to research and development projects. Within the Tuffo program, SGI has specifically allocated funding towards project operational costs, dissemination of knowledge, as well as financial aid to projects.

These instructions are primarily directed toward potential applicants for funding within the Tuffo program and to those who will evaluate Tuffo applications. The document contains a description of the application process, the requirements for the funding application and a description of the assessment process with criteria. The instructions also describe the requirements of those who have been granted Tuffo funding, therefore they are a binding document together with other project conditions, see general terms and conditions for Tuffo. The document is valid from and including 2024-02-29 and applies to the projects that have been granted funds within call 2023. For more information on current calls, please see the website www.sgi.se/Tuffo.

2 Vision and objectives

The primary vision of the research program Tuffo is that it should contribute towards fulfilling the Swedish Environmental Goals in part through lowering risks towards humans and the environment resulting from anthropogenic contamination of soil, groundwater and marine sediments; as well as contributing to better environmental management of natural resources. Additionally, Tuffo aims to contribute to the reduction of landfill-based remediation strategies in favour of more sustainable remediation strategies.

Aims of the research program are that Tuffo should lead to:

- increased pace of remediation actions,
- more efficient remediation,
- stronger connection between research and development as well as actual remediation projects,
- increased cooperation between different actors,
- stronger Swedish research environment,
- increased knowledge in the remediation business.

The vision is further that Tuffo should contribute to global sustainability goals within Agenda 2030¹. The global sustainability goals include, in addition to the environmental perspective, socio-economic dimensions of sustainability. For example, against the background of the requirements for societal contribution and collaboration within projects granted financial assistance through Tuffo both the research program and

¹ <https://www.globalamalen.se/om-globala-malen/>

projects should also contribute to several of Agenda 2030's social and economic sustainability goals.

3 About the calls

SGI finances through Tuffo applied needs-based research, innovation and technology development in the investigation and remediation of contaminated sites. Knowledge needs are described, for example, in SGI's inventory of knowledge gaps². SGI's calls within Tuffo can be general or directed towards specific problems within the subject area of contaminated sites (contaminated soil, polluted groundwater and contaminated sediment). Through Tuffo SGI provides financial support to pre-studies and full-scale studies, where pre-studies entail, for example, limited laboratory- or field studies. Full-scale studies entail examples of pilot- and/or demonstrations projects which can result in future practical applications of study results.

The focus of the call is described in the call text, which is published on the website www.sgi.se/Tuffo, in connection with the call.

The annual call is a two-stage application and peer review process, including Stage 1 – Outline application and Stage 2 - Complete application. Stage 1 is open to all qualified applicants. During Stage 1 a project idea and a project organization are requested. Applicants may submit several outline applications during Stage 1 for both pre- and full-scale studies within the same research area or different research areas, but a maximum of one pre-study and one full-scale study per main applicant can progress to Stage 2, see section 4.2. Received project ideas are screened and a number are selected to go on to Stage 2. Applicants who are selected to progress to Stage 2 will be invited to submit a complete application during this stage.

The evaluation is carried out with the support of two groups, the Tuffo Stakeholders' panel, which consists of representatives of the industry and authorities, and the Tuffo Scientific review panel consisting of experienced Swedish and international researchers. In Stage 1, the Tuffo Stakeholders' panel evaluates and ranks the outline applications, and the applicants submitting the highest ranked outline applications are invited to submit full applications. In Stage 2, applications are ranked by both the Tuffo Stakeholders' panel and the Tuffo Scientific review panel. The final decision of funding is taken by SGI.

4 Eligibility criteria

This section sets out the formal requirements that must be met for an application to be considered for evaluation. Incomplete applications, or applications which do not meet the requirements in other ways, will not be processed.

² <https://www.sgi.se/sv/vagledning-i-arbetet/fororenade-omraden/forskning-och-teknikutveckling/kunskapsbehov-och-effektivitetshinder/>

4.1 Application documents

4.1.1 Stage 1

The following instructions apply to the application:

- The application must be received by 15:00 on the last day of application's open period. Late applications are not considered. Supplements after the application deadline are not accepted.
- The application templates for Stage 1 should be used. The application, including attachments, should be sent as a Word file and as a PDF file to sgi@sgi.se. Enter "Tuffo / current year /" in the subject line of the email.
- The application must be correctly filled in with the specified font, font size and must not exceed the specified number of characters or pages.
- The application for Stage 1 must be written in Swedish.
- For a project to be granted financing, the research must be within the research category *industrial research* or *experimental development* according to the definitions in the Commission Regulation (EU) no. 651/2014³ (research category should be indicated directly on the application), refer to the template for application Stage 1 and Appendix 1.
- To be granted funding, at least 20 percent of the project's total budget must consist of co-financing. In other words, a maximum of 80 percent of the eligible project costs can be financed by SGI (see further below under the section Finance).
- For a project to be granted financing, the financed portions allocated to project partners should not exceed maximum financial aid intensity according to section 4, article 25 in Commission Regulation (EU) no. 651/2014 (see appendix 2).
- For the application Stage 1, attach the requested appendices in the specified templates (CV, publication list and list of conference contributions for the main applicant).

4.1.2 Stage 2

The following instructions apply to the application:

- The deadline for applications is 15.00 on the last day of application's open period. Late applications are not considered. Supplements after the application deadline, except for the two signature forms (see below), are not accepted.
- The application template for Stage 2 should be used. The application, including attachments, should be sent as a Word file and as a PDF file to sgi@sgi.se. Enter "Tuffo / current year /" in the subject line of the email.
- The application must be correctly filled in with the specified font, font size and must not exceed the specified number of characters or pages.

³ Commission Regulation (EU) no. 651/2014, June 7, 2014

- The application for Stage 2 must be written in English, except for a popular scientific description in Swedish.
- To be granted funding, the research must be within the research categories *industrial research* or *experimental development* according to the Commission Regulation (EU) no. 651/2014⁴.
- To be granted funding, at least 20 percent of the project's total budget must consist of co-financing, in other words a maximum of 80 percent of the eligible project costs can be financed by SGI (see further below under the section Finance).
- For a project to be granted financing, the financed portions of project parts should not exceed maximum financial aid intensity according to section 4, article 25 in Commission Regulation (EU) no. 651/2014 (see appendix 2).
- For the application Stage 2, the requested appendices must be attached (Appendix A, B1, B2, C, D, E and Q). Please note that Appendices C, D and E must be submitted for both the main applicant and all co-applicant researchers.
- In connection with the application Stage 2, a Signature Form (Appendix S1) must be signed by both the applicant and the authorized representative of the project's administrating organization. The signature means:
 - o that the application is approved by the organization,
 - o that it is possible to conduct the project,
 - o that resources and equipment are available,
 - o that the cost estimate stated in the application has been approved by the applicant's organization.
- In connection with the application Stage 2, a letter of commitment from each prospective co-financer (Appendix S2) must be signed by the respective company's signatory. The signature guarantees that the co-financing organization undertakes:
 - o to co-finance the project, provided that the project is allocated funds in the current year's call for Tuffo funds,
 - o to co-finance the project with the amounts for the specified project work packages specified in the letter,
 - o to assist the project with specified roles and tasks.
- In order for a project where economic actors apply for funding to be granted funding, a guarantee regarding company size from each project part is to be attached to the application. The form *Model Declaration* in Appendix S3 is to be used.
- Signature forms, Appendix S1, Letter of commitment for co-financing, Appendix S2 and Appendix S3 should be received as original copies by SGI (Statens

⁴ Commission Regulation (EU) no. 651/2014, June 7, 2014

geotekniska institut 581 93 Linköping) within 5 working days after the closure of the call. Label the envelope “Tuffo application”.

4.2 Applicant

For applicants to SGI’s calls within Tuffo program, the following apply:

- The main applicant must have a doctorate degree and be employed by the administrating organization.
- The main applicant and all co-applicant researchers must have an employment of at least 20 percent at a research institution where the researcher carries out the intended research.
- Other staff working within the project need not have a doctorate degree.
- There is no age limit for applicants or participating researchers within a project, but fully retired researchers cannot receive Tuffo funds for their own salary.
- Main applicants may submit several outline applications in Stage 1, for both pre-studies and full-scale studies within the same research area or within different research areas, but a maximum of one pre-study and one full-scale study application per main applicant can move on to Stage 2.

SGI will consider the main applicant as project manager if the project is granted funds (see further generella villkor [general terms and conditions]).

4.3 Administrating organization

Administrating organizations for projects which are granted funding from SGI within the Tuffo program shall:

- be a Swedish university or college or other Swedish public research provider⁵.
- be a legal person with a Swedish organization number.
- guarantee academic freedom within the scope of their assignment by allowing research problems to be freely chosen, research methods freely developed, and research results freely published.
- ensure that the results of research conducted with the support of Tuffo are made openly available to other researchers as well as companies and interested public.

An administrating organization may not:

- be an organizational entity that conducts economic activities (in other words an economic actor).

⁵ Being a research provider means that you have a documented research activity and are judged to be able to meet the commitments stated in the “Generella villkor för bidrag till forskning från Tuffo” (General Terms and Conditions for funds for research from Tuffo). These conditions stipulate, inter alia, that the project manager should be employed by the administrating organization and that the administrating organization as employer is responsible for obtaining the necessary resources for the research project.

4.4 Project duration

The maximum project duration is three years for full-scale studies and two years for pre-studies.

4.5 The project

The project's implementation and expected societal value should be described in the application. In addition, the application must state criteria below fulfilled. It is up to the applicant to describe, in the application, how and to what extent the project applied for meets these criteria. Please note that it is only what is stated in the application that will be evaluated in the review process. Our international assessors do not always know about Swedish conditions and the complexity of problems regarding contaminated sites in Sweden.

The project applied for should:

- be relevant to Tuffo's vision and objectives,
- be in line with prioritized research questions of the call (www.sgi.se/Tuffo),
- be connected to one or several governmental or private remediation projects, either already initiated or potential,
- focus on Swedish conditions,
- concern research or development that would not take place otherwise, i.e. it should not consider work that could be regarded as part of the investigation of a contaminated site,
- address questions that are relevant for several remediation sites,
- include participation of researchers as well as one or several relevant stakeholders/end users (e.g. authorities, consultants, contractors and facility owners),
- in addition to scientific publication, also include the dissemination of knowledge and communication to end users.

5 Economy

The application in Stage 1 only needs to contain an indicative budget. The complete organization and expected co-financing need not be confirmed in Stage 1.

The application in Stage 2 must contain a detailed budget with breakdown of respective elements in the form of salary costs for applicants and co-applicants as well as expenses. Costs for planned subcontractors should be clear within the budget in addition to type of subcontractor (i.e. branch or type of occupation). Within the budget co-financing should be disclosed. Note that in Stage 2 of the application the availability of 20 percent co-financing of the project should be confirmed (see further the explanation under section 5.1). Each co-financer should sign a letter of commitment, Appendix S2, which should be submitted with the Stage-2 application. Provided templates should be completed and

attached to the application. The total direct costs (excluding overhead costs) and the total costs (direct costs and overhead costs) should be indicated. How the costs should be calculated are described in Appendix 2.

Maximum Aid Intensities for economic actors vary and depend on, for example, the project's research category and co-applicant's company size (refer to section 5.3).

Each party which could be considered an economic actor and is applying for funding from SGI through the Tuffo program should also submit a guarantee of company size to SGI. The form in Appendix S3 *Model Declaration*⁶ can be downloaded from SGI's website together with other relevant documentation pertaining to the application. The guaranty is necessary for SGI to ensure that the maximum funding is not exceeded according to Commission Regulation (EU) no. 651/2014⁷. The term economic actor is defined according to Commission Regulation (EU) no. 651/2014⁸.

5.1 Eligible expenses

Eligible expenses are the basis on which granted funding is calculated. All costs presented in the application to SGI should meet eligibility requirements. In order to meet these requirements, a cost should:

- Be factual and auditable, which entails that these expenses should be accounted for in the applicant's accounting records.
- carried by project partners,
- have arisen during the project period set out in the grant decision,
- be established in accordance with the project partner's usual accounting principles and generally accepted accounting principles,
- be posted, and
- be reasonable and have arisen solely for the implementation of the project.

Eligible costs must, in the project partner's account, be distinguishable from the organization's other transactions.

Eligible expenses are⁹:

- direct expenses for personnel (gross salary and additional salary costs¹⁰),
- expenses for equipment, equipment depreciation, or premises,
- expenses for consultants, licenses etc., with the exception being license expenses between project partners including scholarships and similar,

⁶ European Commission's user guide for definition of SME-Business.

<https://ec.europa.eu/docsroom/documents/42921>

⁷ Commission Regulation (EU) no. 651/2014, June 7, 2014. Appendix 1, article 2.

⁸ Commission Regulation (EU) no. 651/2014, June 7, 2014. Appendix 1, article 2.

⁹ Other limitations can follow based on Commission Regulation (EU) no. 651/2014, depending on the funding recipient and project content or activity.

¹⁰ Additional Salary Costs refer to social fees according to legislation, obligatory pension payments, obligatory insurance and expenses related to vacation compensation.

- direct expenses and operations expenses and
- indirect expenses which are encompassed by the text below.

Costs for office related equipment such as telephones, computers, printers etc. shall be included as indirect costs in the budget and cannot therefore be included as a direct cost in the project.

Funding can not be granted for activities which began before the funding decision is taken¹¹. Hourly expenses calculated differently depending on whether the party is economic actor or not, see Appendix 2.

5.2 Co-financing

Tuffo can fund a maximum of 80 percent of eligible costs (see section 5.1) within a project. Within each project co-financing should therefore be at least 20 percent from other project partners. Note that the maximum funding per funding recipient is regulated by Commission Regulation (EU) no. 651/2014 while the requirement for 20 percent co-financing per project is a requirement within Tuffo. The purpose is to encourage co-operation between different actors within the project.

Co-financing shall be calculated and documented in the same way as eligible costs (see section 5.1). Co-financing can entail physical currency, but can also entail costs for analyses, chemicals, premises, equipment or vehicle rental, etc. Co-financing of salary costs can also be *in-kind*. Project partners which are co-financers via salary- and personnel *in-kind* costs shall account for their costs according to the descriptions under section 5.2 based on whether they are an economic actor or not, regardless of whether they are applying for funding from SGI or not. Eligible expenses should fall within the duration of the project which is presented within the funding decision. Hourly rates which are used for salary calculations should be documented in the application.

Spent time or financing from private individuals or individual companies can not be counted some co-financing within or towards the project.

Note that in the Stage 2 application it should be confirmed that at least 20% co-financing is available for the project.

In conjunction with Stage 2 of the application, a Letter of commitment for each potential co-financer (see Appendix S2) should be signed by respective signing authority (see section 4.1.2) and original copies sent to SGI.

5.3 Aid Intensities and Funding recipients

How much funding each funding recipient can receive depends on, for example:

- The extent of eligible costs each project partner will incur.
- How much funding each project partner receives (the calls have a maximum funding amount per project).

¹¹ Regulation 2017:721 relating to funding for research and development projects relating to contaminated sites.

- How much co-financing different project partners contribute with (the project must have at least 20 percent co-financing).
- Regulations for state aid according to Commission Regulation (EU) no. 651/2014 (if the recipient is an economic actor).

The regulations regarding funding to economic actors are governed by the EU legal principals that state aid to companies normally affect market competition but can be granted under certain circumstances – among those are funding for research, development and innovation. SGI's funding statute (2017:721) regarding funding for research and developmental projects within contaminated areas is derived from Commission Regulation (EU) no. 651/2014. Within this statute is documentation of maximum aid intensities for different economic actors depending on, for example, research category and company size (see Appendix 1).

Through Tuffo, SGI grants funding for projects within two research categories, industrial research and experimental development. The research categories are defined in Commission Regulation (EU) no. 651/2014 (see also Appendix 1).

5.4 Obligation to inform about other grants and contributions

The applicant shall inform if there are other applications to other financiers regarding funding for the same or similar topics as for the proposed Tuffo project. The same applies to grants already received from other financiers. It is important that it is clear which parts are funded by other projects and which part funding is applied for through SGI's research program Tuffo.

Only "brand new" projects and project parts are eligible for financing through Tuffo where SGI finances at most 80 percent of the total project costs. The remaining 20 percent must come from co-financing. None of the work in the project / sub-project may be started before the Tuffo funding has been granted and a funding agreement with SGI has been signed. This applies regardless of whether the work is to be financed by SGI through the Tuffo program or by co-financing from an already granted project.

The information must indicate to what extent this other financier can influence the execution, analysis, interpretation and reporting of the results. In addition, it should be stated who is in possession of the results.

SGI reserves the right to reconsider Tuffo funding decisions based on information about other grants.

6 Supporting documents for the application and templates

The research call has the following supporting documents:

- Announcement text published on SGI's webpage is unique to each call (see www.sgi.se/Tuffo). This may include formulations that delineate or further define the actual call compared to what is stated in this document. The announcement text also shows the last application date for Stage 1 and Stage 2, respectively.

- Instructions for application and evaluation - Tuffo Stage 1 and Stage 2 year / current year / year announcement (this document), can be updated between calls but the current version is always available as a downloadable PDF file in conjunction with the call.
- In Stage 1, the following template for application should be used:
 - o Tuffo - Announcement / current year / - Outline application Stage 1, which also includes templates for CV, publication list and list of conference contributions.
- In Stage 2, full application, the following templates for application should be used:
 - o Tuffo - Call / current year /: Application Stage 2
 - o Appendices
 - A. Time & action plan
 - B1. Costs applied for from Tuffo
 - B2. Total costs & funding
 - C. CVs
 - D. Publication lists
 - E. Lists of conference contributions
 - Q. Competence
 - S1. Signature form
 - S2. Letter of commitment from co-funding partners
 - S3. Certificate of company size, *Model Declaration*

All the announcement documents are available on the website www.sgi.se/Tuffo. The templates are Word or Excel files available for download.

7 Ethical considerations

The applicant should always indicate whether there are specific ethical aspects of the project. If so, the current ethical issues, and how they should be handled in the research work, must be reported.

The administrating organization and project partners are responsible for ensuring that research conducted with awarded grants follows ethical principals, is conducted in accordance with good research practice¹² set out in Swedish legislation and follows appropriate laws and regulations.

8 Decisions and funding agreements

Granted projects are published on the website www.sgi.se/Tuffo. Decisions are notified to applicants by e-mail as follows:

¹² Refer to rules pertaining to good research practice, for example Statute 2019:504 regarding responsibility for good research practice and examination of misconduct in research and the Higher Education Ordinance (1993:100)

- Stage 1, granted: Decision is notified via email.
- Stage 1, rejection: Decision with justification is notified via email.
- Stage 2, granted: Decisions with justification, contract documentation and General conditions for funding from Tuffo, will be notified via e-mail. Contract documentation is sent in the original by regular mail.
- Stage 2, rejection: Decision with justification is notified via email.

Decisions cannot be appealed¹³. The project can only start when the funding agreement is established.

8.1 Payment and financial requirements

The financial resources are given as grants, which prerequisites that state funds for this purpose have been paid to SGI. The granted research funding is distributed to the main applicant's administrating organization. Granted funding may only be used under the specified duration of the project, in other words from the start date of the project to the end date of the project as specified in the funding agreement, unless the administrating organisation is granted an extension of the project duration by SGI (see general Terms and Conditions). When the funding agreement is signed by both parties and all co-financing agreements are received by SGI, 75 percent of the granted funds can be dispensed to the administrating organisation. Granted funding is dispensed however on the date which given as the project start date in the application. The remaining 25 percent is dispensed after an approved final report. Funding can be withheld or reimbursement of dispensed funding can be required in those cases where the project is not conducted according to the project description and funding agreement.

9 Reporting of projects

Updated project information (how the project proceeds according to the project schedule and budget, as well as results achieved) must be provided to SGI at least once a year upon request. In addition to scientific publications, all projects must be finalized in a final report written in Swedish in Tuffo's report template. Language should be reviewed for accuracy and correctness prior to submission and the reports accessibility must be adjusted before being sent to SGI.

All projects, if SGI requests this, must also be reported during the project period on at least one occasion that SGI arranges through Tuffo and when the project is completed. In total, two compulsory meetings during the project period must be apparent in the budget.

Costs for reporting and participation in project reports shall be included in the project budget. Reporting requirements are specified in the contract based on the need for knowledge dissemination and follow-up of the project.

¹³ https://www.riksdagen.se/sv/dokument-lagar/dokument/svensk-forfattningssamling/forordning-2017721-om-stod-till-forsknings-_sfs-2017-721

10 Availability of results, scientific data and other research material

The administrating organisation and project partners must ensure that project results, after peer review, are published in a scientific journal or made available in another equivalent way according to the project plan. Project terms and conditions are written such that all conditions apply to granted research funding, that is general conditions and specific conditions which follow a funding decision, call text or instructions for application. Publication should be available with Open Access so that the research results are free to read and download from the Internet.

Open Access publication costs can be included in the research application's budget as a direct cost.

The administrating organisation and project partners must ensure that data and metadata from the project is made available within open databases to the greatest extent possible within a reasonable time after the research results are published¹⁴.

The administrating organization is responsible for ensuring that a data management strategy exists for data which is produced within the project. The data management strategy should be made available at the request of SGI.

11 Approval of completed project

Final reporting shall be made no later than the time specified in the research funding agreement. Allocated but unused funds must be repaid in connection with this. Upon approval, the remaining 25 percent of the project budget is paid.

11.1 Delay and reclaim

Any delay must be approved by SGI, otherwise SGI reserves the right not to dispense the remaining 25 percent, or part of the remaining 25 percent, of the grant. Not conducting the project according to the project description or research funding agreement constitutes a breach of contract. In such cases SGI reserves the right to abstain from dispensing the remaining 25 percent, or part of the remaining 25 percent, of the grant. In some cases, reimbursement to SGI of already dispensed funding can be required with interest on the reimbursed amount according to the statute 1975:635.

12 Public access to information and personal data handling

An application for research funding, with accompanying appendices, submitted to SGI is regarded as a public document under Swedish law (1949:105). SGI is therefore required to make available certain documents, such as submitted applications, should the request

¹⁴ Open availability of data and metadata must take place to the extent that this is possible and compatible with the continued utilization of project results, e.g. with regard to national legislation, personal privacy, trade secrets, national security, legitimate commercial interests and intellectual property rights of third parties.

be made. SGI has a very limited capacity to classify the application or other documents as confidential. Information in the documents can be classified as sensitive information if and only if there is clear cause according to Swedish statute pertaining to publicity and privacy (2009:400).

Decisions regarding granted research funding are made public, for example on SGI's website. The results of projects financed by SGI through the Tuffo program, such as reports, developed methods, etc. will also be public. Final reports will be published on DiVA where they can be downloaded publicly on the internet.

By applying for a grant, the applicant also agrees that in connection with the decision, SGI may publish information about grants awarded, information about the project and the names of applicants / contributing researchers.

Information on how SGI handles personal data can be found on SGI:s web.

OrcID (Open Researcher and Contributor ID) is an international, open register where researchers can freely and without charge create an identifier, a unique ID number. The purpose of the service is to facilitate the identification of authors globally when publishing scientific literature. As of the 2020 call, OrcID needs to be specified by applicants for research funding from SGI through the Tuffo program, since this information is needed when reporting to SweCRIS, see also section 12.1.

12.1 Reporting to SweCRIS

SweCRIS (Current Research Information System) is a national database for compiling research funders' distribution of grant funds to Swedish recipients. SweCRIS is administered by the Swedish Research Council on behalf of the Government and aims to provide a simple picture of a researcher's contribution to Swedish research regardless of research financier, and to simplify the reporting of research funding data to beneficiary organizations. SGI has had an agreement with SweCRIS since 2019 and will, according to the agreement, supply data for the projects that have been granted funding from SGI.

The information provided to SweCRIS is:

- Full name and e-mail address for the main applicant
- OrcID for main applicant
- Administrating organization
- Organization type (eg. university or college)
- Grant type
- Subject Classification
- Project information - title, project description and active project years

All project information, except OrcID and e-mail address of the main applicant, that have been reported to SweCRIS is open to the public through the SweCRIS website (www.swecris.se).

13 References to Tuffo

When disseminating results, it should be clear that the research was conducted with the support of Tuffo. In this recognition, Tuffo should be mentioned in the following way:

“Tuffo is a research and innovation program relating to contaminated sites. The Swedish Geotechnical Institute manages the program.”

Publications in scientific journals should include SGI diary number relating to the approved funding decision under “Acknowledgements” or comparable.

14 Evaluation of applications

The evaluation is based on Tuffo's objectives and stated requirements, as well as the scope of the call (www.sgi.se/Tuffo). It is done in two stages, where Stage 1 includes an outline application and Stage 2 a complete application. The outline applications received are assessed on the basis of the potential and credibility of the idea in relation to the objectives of Tuffo and the scope of the call. The applications in Stage 2 are assessed on the basis of the scientific quality of the research execution, the quality of the entire implementation, the competence of the project group and the societal benefit and effect that the project results are expected to lead to.

The evaluation is carried out with the support of two groups, Tuffo Stakeholders' panel, which consists of representatives of the industry and authorities, and Tuffo's Scientific review panel, which can consist of both Swedish and international experienced researchers. The Stakeholders' panel assesses the Stage 1 applications, i.e. the outline applications. The applications that proceed to Stage 2 are assessed by both groups. Formal decision on awarding grants is made by SGI.

14.1 Conflict of interest

Fundamental in the evaluation of applications received is impartiality. Provisions governing conflict of interest can be found in sections 16 and 18 of “The Administrative Procedures Act”¹⁵.

Below are some circumstances when there is a risk of conflict of interest. In such cases, the members of the review panel involved should contact the Tuffo secretariat to discuss whether the circumstances in question may be a situation with a risk of conflict of interest.

- If the person involved in the review process, or any person related to this person, can be affected by the decision to a not insignificant extent.
- An ongoing close collaboration with applicants in a case; for example, being a deputy or representative, doctoral and supervisor relationship, management and employee relations, co-authorship of books and articles or joint research.

¹⁵ SFS 2017:900

- Recently ended close collaborations with applicants in a case may lead to conflict. In some situations, even close collaborations that have been concluded during the last five years can also lead to conflict of interest.
- Belonging to the same department or company as the applicant.

If conflict of interest exists, the panel member must abstain from processing and reviewing the application in question and must leave the meeting room during discussions concerning the application. Meeting notes detailing conflicts of interest will be kept during panel meetings.

14.2 Evaluation criteria – Stage 1

Two main criteria are used in the evaluation: societal value and quality. Evaluation is based on Tuffo's vision and objectives (see section 2) and project relevance (see section 4.5) as well as the direction of the call (www.sgi.se/Tuffo).

14.2.1 Societal value

In order for the project to lead to societal value the research question to be addressed needs to be of sufficient relevance. In addition, the expected result should produce effect and have sufficient scope and applicability. The societal value criterion consists of these three parts:

Relevance

- a) How well does the research question meet Tuffo's objectives set out in section 2?
- b) How well does the research question meet the direction of the call and the requirements (see www.sgi.se/Tuffo)?
- c) Does the research question/project meet the Tuffo relevance requirements specified in section 4.5?

Expected results

- a) Does the project solve the stated research question?
- b) How can the expected results make a difference, in the short or long term, for the remediation of contaminated areas in Sweden, and in relation to Tuffo's and the procurement objectives?
- c) Do the indicators or measures of effect stated in the application indicate, partly, that the project is leading towards the objectives of Tuffo and partly whether the project has succeeded?

Expected scope and applicability

- a) Is there potential for the expected results to reach the target groups and to make them useful?
- b) Do the results have the prerequisites for being used in several remediation projects in addition to the specific object to which the application relates?

14.2.2 Quality

In order for the research to be of high quality, the competence of the project team must be high. In addition, research must be conducted in such a way that it is quality assured. The quality criterion therefore consists of the two parts, competence and implementation. The quality criterion therefore consists of the two parts, competence and implementation. The assessment of quality differs slightly between the different application stages, where the Stage 1 application is more general and the Stage 2 application is more detailed. Note that the complete project organization does not need to be confirmed in Stage 1. The assessment in Stage 1 is made regarding the main applicant's competence and CV and the potential of the intended project's organization. Also note that in Stage 1, the implementation will be assessed in a general way, as only a comprehensive plan is required. The main evaluation of scientific approach and implementation is done in Stage 2.

Competence

- a) Does the intended project group consist of relevant actors and does the group have the potential to solve the research question raised?
- b) Does the main applicant have appropriate scientific competence and project management experience?
- c) Has the main applicant experience of communication and utilization of research results?

Implementation

- a) Are approaches and methods selected appropriate and feasible?
- b) Is the budget realistic and reasonable in relation to the scope of the project?
- c) Is there a plan for how the results should be taken care of, disseminated and utilized?

14.3 Evaluation criteria – Stage 2

Tuffo's objective is to make a significant contribution to better and more efficient contaminated site remediation, so that contaminated areas are dealt with faster and more sustainably and thereby risks to the environment and humans are reduced. The Tuffo funding applications and the results need scientific quality assurance by peer review. In addition, to achieve Tuffo's objectives, the results must be able to provide substantial impact and be applicable in remediation projects. Important in the evaluation of the applications is therefore the benefit and effect that project results, in the short or long term, are expected to lead to. A project that delivers high scientific quality but cannot be expected to lead to, or substantially contribute to, Tuffo's objectives has a lower chance of being allocated funding by Tuffo. The reviewing process and the evaluation criteria have been designed to reflect these expectations on the applications and the projects.

As in the evaluation of Stage 1 outline applications, Stage 2 applications are also evaluated for societal value and quality. The assessment of quality differs somewhat between the various application stages, as the Stage 1 application is more an overview and the Stage 2 application is more in-depth.

14.3.1 Societal value

To reach societal benefit, the research question to be solved must be relevant. In addition, the expected result must have an impact and must also be universal and applicable. The criterion of societal value therefore comprises four sub-criteria, and the description how these criteria are evaluated is described below. In Stage 2, the societal value is evaluated thoroughly by the Stakeholders' panel and briefly by the Scientific review panel.

Relevance - Tuffo

- a) How important is the proposed project for the objective and requirement of the call (see www.sgi.se/Tuffo).
- b) Does the proposed project have the potential to meet the objectives of Tuffo (section 2)?
- c) Do the proposed project and Tuffo's relevance requirements (section 4.5) agree?

Expected impact

- a) Can the indicated indicators or efficacy measurements demonstrate that the project has been successful?
- b) Is there a potential for the expected results to make a difference for the remediation of contaminated areas in Sweden, in the short and long term?
- c) Can the indicated indicators or measurements demonstrate that the project is in line with Tuffo's objectives, the objectives of the call and meets Tuffo's relevance requirements (section 4.5)?

Expected universality and applicability

- a) How will the results be applied and have an impact?
- b) How universal and applicable are the results expected to be?
- c) How effectively will end-users be reached?
- d) How likely is it that the project results can/will be able to be used in several remediation projects?

Coordination and dissemination of results

- a) Are the project organization's (including all participants involved in the project) accumulated competence relevant and is there right and sufficient experience to be able to implement the project and achieve the direction of the call, as well as Tuffo's objectives and requirements?
- b) How is the project group's overall experience used to achieve the project objectives?

14.3.2 Research Quality

In order for the proposed research project to be of societal value, it needs high research quality. As criteria to ensure this, the scientific competence of the project group, relevance of the research question and the method and performance is evaluated in the Tuffo Stage

2 applications. The criterion of research quality therefore comprises those two sub-criteria, and the description of how these criteria are evaluated is described below. In Stage 2, the quality is evaluated thoroughly by the Scientific review panel and briefly by the Stakeholders' panel.

Method and Performance

- a) Is the scientific approach appropriate and feasible?
- b) Is there a concrete and realistic plan for the scientific implementation?
- c) Is the proposed project novel, both in terms of scientific and societal impact?
- d) Is there a concrete and realistic plan for the dissemination and implementation of results, both to the target groups and the national/international scientific community?
- e) Is the budget realistic and reasonable in relation to the scope of the project?

Competence

- a) What experience of conducting research projects, do the main applicant and co-applicant researchers have?
- b) What experience, of communicating research results to stakeholders outside of the academia, do the main applicant and co-applicant researchers have?
- c) What individual scientific quality do the main applicant and co-applicant researchers' publications hold? What other merits do they hold?

14.4 Scoring scale and comments

At the evaluations, each member of the review panel scores the applications based on the evaluation criteria. In addition, each evaluator writes brief comments about the strengths and weaknesses of each application. The comments are mandatory and are used to facilitate discussion at panel meetings and to help compile the written statement in the grant decisions.

In Stage 2, the applications are reviewed by both the Scientific review panel and the Stakeholders' panel. The Scientific review panel meets first and, at its meeting, the Stakeholders' panel receives the overall result of the Scientific review panel assessment as the basis for its discussion. The individually set scores, written comments, and discussions at panel meetings constitute the panel's work material and are not communicated to the applicant.

In the evaluation, scores are set according to the 6-point scale below:

6	Excellent. The application successfully addresses all relevant aspects of criterion in question. Any shortcomings are minor.
5	Very good. The application addresses the criterion very well, although certain improvements are still possible.
4	Good. The application addresses the criterion well, although improvements could be possible.

3	Acceptable. While the application broadly addresses the criterion, there are significant weaknesses.
2	Poor. The application addresses the criterion in an inadequate manner, or there are serious inherent weaknesses.
1	Insufficient. The application fails to address the criterion under examination or cannot be judged due to missing or incomplete information.

In Stage 1, the Stakeholders' panel awards scores for each of the sub-criteria for societal value quality according to the 6-point score scale. For the two quality criteria (competence & methods) a combined score is awarded according to the same scale.

In Stage 2, the Scientific review panel members award scores for each of the sub-criteria for quality and give a combined score for the four societal value criteria according to the 6-point score scale. The Stakeholders' panel, on the other hand, awards scores for each of the sub-criteria for societal value according to the 6-point score scale and for the quality criteria a combined score is awarded according to the same scale.



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