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General implementation regulations for the Funding Regulations

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General implementation regulations for the Funding Regulations

of 9 December 2015

The National Research Council

based on Article 48 of the Funding Regulations of 27 February 2015¹

issues the following Regulations:

1. Requirements for applicants and for submitting an application

I. Employment, work-time percentage and scope of research

1.1 Proof, assurance of employment

(Article 10 paragraphs 2 and 5 letter e of the Funding Regulations)

¹ In the application, the applicants must provide proof of employment for the duration of the proposed research project.

² The proof provided pursuant to paragraph 1 generally takes the form of a declaration by the applicant. For certain funding schemes, the SNSF may ask applicants to submit documents that confirm their status as employees.

³ If only an assurance of employment has been given or if the employment relationship has not yet started, written confirmation or the employment contract will generally need to be submitted. In any case, plausible evidence of the prospective employment must be provided.

⁴ If the proof or assurance of employment does not cover the entire duration of the proposed research project, the SNSF will consider the application, provided the proposed research project is to be started in the context of the applicant's appointment to a position for researchers pursuing an academic career whose duration depends on the tenure-track procedures in place at the relevant research institution.

1.2. Clinical research; research at museums and archives; research in allied healthcare professions²

(Article 10 paragraph 3 of the Funding Regulations)

¹ If researchers usually carry out their scientific research and teaching activities as part of another professional activity, they must be employed or work in a professional capacity of at least 50% (0.5 FTE). The minimum scientific activity of these researchers may lie under 50% (relative to a work-time percentage of 100%). In any case, the extent of scientific activity must be sufficient for conducting research projects.

² The following persons are regarded as researchers pursuant to paragraph 1:

- a. researchers who do clinical work;
- b. employees of museums and archives.
- c. Researches in allied health professions such as patient care, occupational therapy, physiotherapy, midwifery, nutrition/dietetics, health promotion/disease prevention.

¹ http://www.snf.ch/SiteCollectionDocuments/allg_reglement_16_e.pdf

² Changed based on the Research Council decision of 9 June 2020, in force as of 1 July 2020.

³ The applicant must be employed at a research institution within the higher education sector or at a non-commercial research institution outside the higher education sector as defined in the RIPA³. In particular, the institution must show that its purpose is to conduct research and, in the event of employment at institutions with private and/or public sponsors, that the said sponsors or owners do not derive any pecuniary benefits from the research activity.

⁴ Researchers pursuant to paragraph 2 must meet the following formal requirements in order to be eligible to submit applications to the SNSF:

- a. they must be employed at a minimum of 50% (relative to one FTE or 100%); and
- b. they are engaged in scientific research and teaching activities that enable them to make a substantial contribution to a research project pursuant to Article 10 paragraph 6 of the Funding Regulations.

1.3 Self-employed researchers

(Article 10 paragraph 4 of the Funding Regulations)

Self-employed researchers earn an income from their research activities and are eligible to submit an application if

- a. they can provide written evidence that their research activities are their main source of income and correspond to at least 50% FTE; and
- b. the research work is carried out in Switzerland or is closely associated with Switzerland, which condition is met if the research activities and corresponding earnings are subject to Swiss law.

1.4 Acquiring emeritus status; retirement

(Article 10 of the Funding Regulations)

¹ Eligibility to submit applications to the SNSF ends with the conferral of emeritus status or with retirement. The SNSF does not consider applications from emeritus professors or retired researchers.

² If the researcher attains emeritus status or retires during the prospective funding period, the SNSF will not consider the application.

³ Retired persons or persons with emeritus status continue to be eligible to submit applications if they are employed in accordance with the provisions of Article 10 of the Funding Regulations.

⁴ The retirement age according to Swiss law shall be binding in this respect.

1.5 Employment at research institutions

(Article 10 paragraph 2 of the Funding Regulations)

¹ Only researchers duly employed at a recognised research institution at a minimum of 50% FTE are eligible to apply.

² Other links with a research institution, such as positions of less than 50% FTE, lecturing assignments per se, honorary professorships per se or other roles as well as links within the scope of collaborations or visiting professorships do not entail any eligibility to submit applications, unless an employment relationship pursuant to paragraph 1 is in effect at the same time.

³ Research and Innovation Promotion Act, SR 420.1

II. Institutional constellations

1.6 Institutions with international sponsors

(Article 10 paragraph 2 of the Funding Regulations)

¹ In the case of employment at an institution with international sponsors, eligibility to apply depends on whether

- a. the institution has its registered office in Switzerland or, in the event that its head offices are located abroad, whether the applicant is employed at a legally independent establishment of the institution;
- b. the researchers are subject to Swiss law as regards the statutory employment and social security conditions for the duration of the research project; and
- c. the basic financing of the institution or independent Swiss branch is predominantly Swiss (public funds from Switzerland).

1.7 Research abroad

(Article 10 paragraph 2 of the Funding Regulations)

¹ If the research activities are partially or fully carried out abroad, eligibility to submit applications depends on whether

- a. the researchers are employed according to Swiss law at a Swiss institution at a minimum of 50% FTE for the duration of the planned research project;
- b. the research project is administered in Switzerland;
- c. subject to Clause 1.14, the corresponding applicant has a Swiss delivery address; and
- d. the funding principles of the SNSF are not breached at institutional level, particularly with regard to the non-commercial purpose and independence of the research.

² The SNSF may demand that applicants meet additional requirements in connection with the research institution abroad, in particular that they provide evidence that the professional, legal and ethical standards applicable in Switzerland are met, above all for research work that needs to be authorised.

1.8 Collaborations; financing or co-financing

(Article 10 paragraph 2 of the Funding Regulations)

¹ If a research institution abroad is financed or co-financed by funds from Switzerland, the persons employed there are not entitled to apply to the SNSF.

² Conversely, if an institution in Switzerland is financed or co-financed by funds from abroad, this cooperation does not entitle the researchers employed abroad to apply to the SNSF.

1.9 Contractual arrangements

(Article 10 paragraph 2 of the Funding Regulations)

Researchers working abroad who are entitled to apply to the SNSF based on contractual arrangements between Switzerland or the SNSF and the country in question are treated in the same way as researchers working in Switzerland.

III. Scientific qualifications and other eligibility requirements

1.10 Doctorate and comparable research experience

(Article 10 paragraphs 5 and 6 of the Funding Regulations)

¹ If eligibility to submit applications depends on when the doctoral degree was obtained, the date of the viva voce or the official acceptance of the doctoral thesis will be the relevant date.

² Comparable research experience in the case of applicants without a doctoral degree generally comprises at least three years of research work as their main source of income after graduating from a higher education institution.

1.11 Extension of the eligibility period for the submission of applications⁴

(Article 10 paragraphs 5 and 6 of the Funding Regulations)

¹ If eligibility to apply to the SNSF is limited to a specific period, this period may be extended at the applicant's request.

² Applicants must explain their reasons for applying for an extension to the SNSF. Maternity (pursuant to paragraph 4) and, in particular, the following reasons for delays are acceptable:

- a. paternity, adoption or parental leave;
- b. inability to work due to illness or accident;
- c. care duties;
- d. services that benefit the general public, particularly military or civilian service;
- e. continuing education in connection with the applicant's research activities, particularly internships or clinical work;
- f. preparatory activities connected to the dissertation, e.g. participation in classes at a doctoral school.⁵

³ The weeks during which the research activity was interrupted, reduced or not increased for an acceptable reason pursuant to paragraph 2 will be considered for the extension. The difference in percentage between the actual work-time percentage and 100% is recognised. If the research work is interrupted, the relevant weeks will be recognised for the extension in full (100%).

⁴ In the event of maternity, the relevant period is extended by 18 months per child.⁶ If the applicant can prove that the delay exceeds 18 months, the additional time will be added to the said period. Paragraph 3 applies *mutatis mutandis* to the calculation of further extensions.

IV. Roles in relation to the submission of applications

1.12 Project partners

(Article 11 paragraph 2 of the Funding Regulations)

¹ Project partners and their contributions to the planned research project must be described in the application.

² The contribution to the project made by the project partners is assessed in its entirety during the evaluation of the project.

³ Project partners are accepted if their contribution is necessary for carrying out the planned research project and does not serve any commercial purposes. In particular, researchers at higher

⁴ Changed based on the Research Council decision of 11 July 2018, in force as of 1 August 2018.

⁵ Amendment of 19 June 2017, comes into force as of 1 April 2018.

⁶ Changed based on the Research Council decision of 9 June 2020, in force as of 1 July 2020.

education institutions, public institutions and non-profit organisations may be accepted. Project partners from commercially oriented institutions may be accepted, provided they do not derive any pecuniary benefits based on their contribution or participation.

1.13 Incompatibility between the roles of grantee and SNSF-funded project employee

(Article 11 paragraph 3 of the Funding Regulations)

¹ Applicants must take into account that grantees of the SNSF may not at the same time be employed as staff members in an SNSF-funded project.

² The SNSF does not consider applications in which overlaps pursuant to paragraph 1 are envisaged. This also applies if the overlap arises during the evaluation procedure. If the researcher concerned eliminates the overlap immediately after submitting the application by withdrawing from one of the applications, the SNSF may revoke its non-consideration decision.

³ Employees with SNSF-funded salaries may submit an application for career funding for a date prior to the termination of the funded employment if they terminate their employee status before starting their project, should the latter be approved.

V. Further rules for the submission of applications

1.14 Swiss delivery address

(Article 14 of the Funding Regulations)

¹ Applicants or grantees must register a Swiss delivery address with the SNSF, even if the place of research and/or residency are located abroad.

² If it is not possible to provide a Swiss delivery address, the SNSF will be entitled to send its messages via e-mail, which communication shall be binding. In the context of an appeal procedure, however, it is compulsory to provide a Swiss delivery address.

1.15 Electronic submission and deadlines

(Article 14 of the Funding Regulations)

¹ The rules for the electronic submission of applications and for meeting deadlines are defined by the SNSF's system administrators. The terms of use for mySNF are set out in Annex 1.

² A funding proposal is regarded as submitted in due time if received by the SNSF on the last day of the deadline or by 17.00h Swiss local time⁷ on the submission date. If the deadline or the submission date falls on a Saturday, a Sunday or a holiday recognised under Swiss federal law, the deadline or submission date will be moved forward to 17.00h Swiss local time² on the next working day.

³ Upon request, the SNSF may, as an exception, treat a proposal submitted after a specific submission date as if it had been submitted on time, if

- a. there are important reasons for the delay beyond the applicants' control and it occurred just before the submission deadline;
- b. the cause of the delay is immediately communicated to the SNSF;

⁷ Amended based on the Research Council's decision of 12 July 2016, in force since 1 October 2016.

- c. the application is subsequently submitted within a very short new deadline period set by the SNSF and
- d. the cause of the delay is verifiably documented.

Important reasons for a delay are: technical problems in the SNSF infrastructure; serious acute illness or accident suffered by the applicant; accident/illness/death of family members.

1.16 Language of applications (Article 14 of the Funding Regulations)

¹ Unless otherwise regulated for individual funding schemes, the scientific part of an application relating to the following areas of research must be written in English:

- a. mathematics
- b. natural sciences
- c. engineering sciences
- d. biology
- e. medicine
- f. psychology
- g. economics
- h. political sciences

² It is permissible to enclose an English translation with an application submitted in one of the official Swiss languages.

³ Upon request, applicants in the political sciences may submit the research plan in an official Swiss language in justified cases, particularly if working in an official Swiss language is more appropriate to the nature of the research topic. The request must be submitted together with the application. If the request is not justified or if the application cannot be sent for external review, the SNSF will set a reasonable deadline by which the applicants must submit an English translation of the research plan.

1.17 Research integrity (Article 15 of the Funding Regulations)

The procedure with respect to scientific misconduct is governed by separate provisions issued by the National Research Council.⁸

1.18 Conflicts of interests (Article 16 of the Funding Regulations)

¹ In order to prevent conflicts of interests, the SNSF applies the basic rule that persons who are related or otherwise closely associated with each other should not collaborate scientifically on the same project, particularly in the event of any lack of independence and/or hierarchical issues. The SNSF respects the employment policies of the relevant employer.

² Situations pursuant to paragraph 1 must be declared in the application. The rules of good practice, which are aimed at preventing conflicts of interests, must be adhered to for the entire duration of the approved research project.

⁸ http://www.snf.ch/SiteCollectionDocuments/ueb_org_fehlverh_gesuchstellende_d.pdf

³ Confirmation, reference or support letters or similar documents may not be issued by persons who are closely associated with the applicants pursuant to paragraph 1. If such a document is not replaced by a valid document, the SNSF will not consider the application.

1.19 Impermissible overlap of funding periods

(Article 17 of the Funding Regulations)

The SNSF does not consider applications if their approval would lead to an impermissible overlap of funding periods pursuant to Article 17 of the Funding Regulations or other provisions of the SNSF.

1.20 Further funding

(Article 18 of the Funding Regulations)

¹ The SNSF does not consider applications that are already being fully financed elsewhere.

² If parallel applications have been submitted to the SNSF and to third parties, the SNSF may, when awarding the grant, take into account any third-party funding already awarded or applied for.

2. Eligible costs

2.1 Principles

(Article 28 of the Funding Regulations)

¹ The cost items of the requested grant must be listed in the application (budget)

² Only costs that are eligible under the relevant funding scheme may be claimed.

³ The submitted budget must meet the requirements and comply with the rules defined for the individual cost categories. The estimation of costs must always be proportionate and economical.

2.2 Estimation of grants and reductions

(Article 28 of the Funding Regulations)

¹ The submitted budget serves as a basis for defining the grant.

² Ineligible costs are deleted, unjustified or disproportionate costs or cost items reduced.

³ Costs are regarded as unjustified or inappropriate if they are not necessary and/or are budgeted disproportionately highly in view of reaching the proposed research targets and maintaining the quality of research.

⁴ Grants may also be cut for research projects with overlapping funding periods or scientific topics submitted by the same applicant and approved by the SNSF or a third party.

⁵ Cutbacks based on the scientific quality of the application (rating) are possible.

⁶ Cutbacks can take the form of an overall deduction or cuts to specific budget items.

⁷ If a research project is regarded by the SNSF as no longer feasible due to the cutbacks, the application will be rejected.

2.3 Total budget

(Article 28 of the Funding Regulations)

¹ The SNSF awards a total amount for the approved research project (total budget).

² The grant is paid out in annual instalments.

³ In individual cases, the SNSF may stipulate specific rules regarding the total budget when awarding the grant.

2.4 Use of the budget, personnel changes

(Article 28 of the Funding Regulations)

¹ Grantees are obliged to use the total budget in accordance with the approved research plan.

² Significant deviations in the implementation of the research project and in the use of the approved grant may be approved by the SNSF upon request.

³ With regard to the use of the budget for personnel, the provisions on the employment of staff members and on changes of personnel also apply.

2.5 Salaries of employees

(Article 28 paragraph 2 letter a of the Funding Regulations)

If staff members are employed and remunerated in the context of grants approved by the SNSF, Clause 7 on the employment of staff (Implementation Regulations for Article 38 of the Funding Regulations) applies.

2.6 The applicants' own salaries

(Article 28 paragraph 2 letter b of the Funding Regulations)

The applicants' own salaries generally count as eligible costs only in the career funding schemes. The specific provisions of these funding schemes apply in this regard.

2.7 Material costs: principles

(Article 28 paragraph 2 letter c of the Funding Regulations)

¹ Material costs are eligible for funding if they are directly linked to the research project.

² Material costs include different types of research costs such as, in particular, the cost of expendable items, field expenses and other costs according to the following provisions.

2.8 Material costs: material of enduring value, equipment

(Article 28 paragraph 2 letter c of the Funding Regulations)

¹ The costs of equipment and material of enduring value (in the following: equipment) are eligible for funding if the equipment is of key importance to the research work and was acquired specifically for the research project.

² If the costs of equipment exceed CHF 100,000, co-financing by the institution will be required. Such co-financing generally corresponds to 50% of the costs. Other arrangements may be approved by the SNSF subject to a request stating the reasons.

³ With regard to any reuse of the equipment financed or co-financed by the SNSF, Clause 11.4 applies.

⁴ Equipment and facilities that generally form part of the basic infrastructure, operation and standards of a scientific institution may not be debited to the SNSF grant. These include, in particular:

- a. standard IT equipment incl. hardware and software;
- b. laboratory facilities and equipment;
- c. any other facilities and equipment routinely made available for the relevant research field in a research institution or environment.

2.9 Material costs: travel

(Article 28 paragraph 2 letter c of the Funding Regulations)

¹ Only travel costs directly linked to the research project may be charged to the grant.

² All trips must be by public transport.

³ Economy class flights may be charged to the grant. The offer with the best price/performance ratio must be chosen. Additional costs for business class may be assumed in exceptional cases if valid reasons are given.

⁴ Room and board costs may be charged to the grant according to the rates applicable at the grantee's institution. The costs at mid-price hotels and restaurants constitute the maximum reference price.

2.10 Material costs: expenses of third parties: costs incurred by project partners

(Article 28 paragraph 2 letter c of the Funding Regulations)

¹ The cost of services provided for the research project by project partners (Article 11 paragraph 2 of the Funding Regulations) may be charged to the grant in accordance with the SNSF rules for eligible costs.

² The salaries of the project partners' employees are not eligible for funding.

³ The costs generated by project partners must be of minor significance compared to the total budget for the project. They should generally correspond to no more than 20% of the overall grant.

2.11 Material costs: expenses of third parties: subcontracting

(Article 28 paragraph 2 letter c of the Funding Regulations)

Costs generated by third parties mandated by the research project (outsourcing through subcontracting) may be charged to the grant in exceptional cases if the following conditions are met:

- a. the involvement of third parties must be justified and necessary and
- b. the costs of services provided within the scope of subcontracting should correspond to no more than 10% of the grant.

2.12 Material costs: computing time and data

(Article 28 paragraph 2 letter c of the Funding Regulations)

¹ The costs of computing time and cloud computing are eligible.

² The costs of data acquisition or for gaining access to data are also eligible.

³ Costs according to paragraphs 1 and 2

- a. must have been incurred specifically for services provided in the context of the approved research project and
- b. may not include any general costs for service and maintenance of the infrastructure.

2.13 Material costs: Costs for granting access to research data (Open Research Data)⁹

(Article 28 paragraph 2 letter c of the Funding Regulations)

¹ The costs of enabling access to research data that was collected, observed or generated under an SNSF grant are eligible if the following requirements are met:

- a. The research data is deposited in recognised scientific, digital data archives (data repositories) that meet the FAIR¹⁰ principles and do not serve any commercial purpose.
- b. the costs are specifically related to the preparation of research data in view of its archiving, and to the archiving itself in data repositories pursuant to letter a.

² All costs charged to the grant must be linked to archiving of data that is thematically related to research that was funded by the SNSF.

³ The maximum charge per grant is generally CHF 10,000.

⁴ The costs must be taken into account at the time of submission of the application. Other requirements set by the SNSF concerning the accessibility of research data must be met during the submission of the application in mySNF. This holds in particular for the submission of a data management plan (DMP).

2.14 Material costs: operating expenses

(Article 28 paragraph 2 letter c of the Funding Regulations)

¹ IT hardware and software, scientific literature, tools and aids, and objects comprising the usual basic equipment of an operational scientific facility are not eligible.

² Expenses for postage, phone calls, photocopies, translations, etc., are not eligible.

³ In addition, outlays for rent, electricity, water, insurance, maintenance and service, service centres and repairs are not regarded as eligible costs.

2.15 Direct costs of infrastructure use

(Article 28 paragraph 2 letter d of the Funding Regulations)

The costs for using infrastructures directly linked to the execution of the funded project are eligible, with the exception of general costs for the maintenance and service of the infrastructures.

2.16 Cost of scientific Open Access publications¹¹

Grants for Open Access publications are awarded in accordance with the Regulations on the funding of Open Access publications.

⁹ Amended based on the decision of the National Research Council of 21 March 2017, in force since 1 April 2017.

¹⁰ The FAIR principles stand for Findable, Accessible, Interoperable and Reusable (Wilkinson, M. D. *et al.* The FAIR Guiding Principles for scientific data management and stewardship. *Sci. Data* 3:160018 doi: 10.1038/sdata.2016.18 [2016]).

¹¹ Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

2.17 Conferences and workshops
(Article 28 paragraph 2 letter f of the Funding Regulations)

¹ Organisation and travel costs for conducting conferences and workshops in the context of the SNSF-funded research project are eligible.

² ¹²

2.18 Costs of career measures: Flexibility grants¹³
(Article 28 paragraph 2 letter g of the Funding Regulations)

¹ Costs for measures aimed at promoting a balance between scientific activities and academic careers, on the one hand, and child care duties, on the other.

² The requirements applicable to these grants are set out in Annex 4.

2.19 Costs of career measures: mobility grants
(Article 28 paragraph 2 letter g of the Funding Regulations)

¹ The costs of stays abroad by doctoral students employed in an SNSF-funded research project are eligible for funding.

² The requirements applicable to these mobility grants are set out in Annex 5.

2.20 Costs of career measures: research time for clinicians
(Article 28 paragraph 2 letter g of the Funding Regulations)

¹ For medical projects receiving project funding, the costs incurred due to the reduction of clinical work are eligible.

² The eligibility requirements for such costs are set out in Annex 6.

³ The eligibility of these costs is limited to applications submitted between 1 October 2015 and 1 October 2020. For grants awarded by the SNSF between March 2015 and March 2017, grants for research time may also be applied for during the funding period for the main grant.

2.21 Costs of gender equality measures: gender equality grant
(Article 28 paragraph 2 letter h of the Funding Regulations)

¹ The costs of gender equality measures in the context of an SNSF-funded project are eligible.

² The eligibility requirements with regard to the costs of gender equality measures are set out in Annex 7.

2.22 Other eligible costs: collaboration costs
(Article 28 paragraph 2 letter i of the Funding Regulations)

¹ Costs of collaboration activities directly linked to the research project are eligible subject to the following conditions. The activities

a. are of a scientific nature;

¹² Repealed based on the decision of the National Research Council of 14 February 2017, in force since 1 April 2017.

¹³ Amended based on the Research Council's decision of 15 August 2017, in force as of 1 January 2018.

- b. are conducted in the context of collaborations whose scope is appropriate to the research project;
- c. are conducted by the scientific staff. The work-time of employees of the SNSF-funded project should not be devoted primarily to collaboration activities.

² Personnel, research and travel costs are eligible.

³ Personnel costs for collaboration partners and for non-scientific staff are not eligible.

⁴ To the extent that the costs of conferences and workshops linked to the research project pursuant to Article 28 paragraph 2 letter f of the Funding Regulations are claimed, these costs are not additionally eligible as collaboration costs.

2.23 Other eligible costs: reduction of teaching commitments

(Article 28 paragraph 2 letter i of the Funding Regulations)

¹ For humanities and social sciences projects funded by the SNSF, the costs incurred due to the reduction of teaching commitments are eligible. The reduction must directly benefit the funded research.

² The eligibility requirements for such costs are set out in Annex 8.

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3. Cross-border research

3.1 International Co-Investigator Scheme

(Article 9 of the Funding Regulations)

¹ Research projects that are to be conducted in collaboration with applicants based abroad may be submitted and approved via the usual SNSF funding process in accordance with the International Co-Investigator Scheme principle. In the event of approval, the sub-projects abroad are co-financed by the SNSF. The applicants from abroad must meet the SNSF application requirements *mutatis mutandis*.

² International Co-Investigator Scheme may be implemented with countries and in areas with which the SNSF has signed the relevant, generally reciprocal, agreements. Information on the accepted countries and the conditions can be found on the SNSF website.

³ For International Co-Investigator Scheme, the following requirements must be cumulatively met:

- a. the research project cannot be conducted without the additional applicants from abroad;
- b. the foreign sub-projects demonstrably add significant value to the overall project;
- c. the corresponding applicant is from Switzerland and is responsible for the overall project;
- d. the share of financing abroad amounts to no more than 50%.

⁴ The importance of cross-border co-operation to the project's chances of success (value added) constitutes one of the central evaluation criteria. If necessary, the SNSF may ask the funding organisations of the participating countries to recommend external experts.

¹⁴ Repealed based on the decision of the National Research Council of 12 December 2018, in force with immediate effect.

⁵ Approved International Co-Investigator Scheme grants include the foreign share of the grant; they are paid in Swiss francs to the grant administration office in Switzerland, which forwards the foreign share to the relevant office abroad. This share is calculated and transferred without overhead and according to the usual costs in the relevant country, particularly with regard to salary rates.

3.2 Lead Agency process

(Article 9 of the Funding Regulations)

¹ Researchers in Switzerland who wish to implement a cross-border project may submit an application according to the Lead Agency process.

² The Lead Agency process may be implemented with countries where the SNSF has signed the relevant, generally reciprocal, agreements with partner organisations. Information on the accepted countries can be found on the SNSF website.

³ Researchers in these countries and in Switzerland may submit their joint application to only one organisation, the so-called Lead Agency.

⁴ The Lead Agency evaluates the overall project according to its own procedures, and the partner organisation accepts the Lead Agency's decision.

⁵ If the project is approved, each organisation finances the part of the project conducted in its own country.

3.3 Money follows researcher

(Article 9 of the Funding Regulations)

¹ The SNSF approves applications for the continuation of an ongoing grant abroad if the grantees find a new job and transfer their project abroad with the aim of continuing their research work. A detailed and well-founded application for "Money follows researcher" must be submitted to the SNSF as early as possible before the move abroad. In principle, Money follows researcher can be implemented in all countries.

² The SNSF makes a decision on the transfer and reuse of SNSF funds abroad on a case-by-case basis. Prior to approval, the requirements for continuing the project at the research institute abroad must be met.

³ The SNSF may bind Money follows researcher to certain conditions.

⁴ At the time of the move abroad, the share of the SNSF grant that the researchers intend to transfer abroad may continue to be managed in Switzerland or transferred to an administrative office abroad for management. In the event that grant administration is transferred to an office abroad, an interim financial report as at the transfer date will need to be submitted.

⁵ The grantees must meet their reporting duties vis-à-vis the SNSF until the conclusion of the SNSF-funded research project.

3.4 Further provisions: foreign employees

As project staff, applicants from Switzerland may select researchers working at an institution abroad with links to Switzerland who, mutatis mutandis, meet the requirements for employees in SNSF projects.

4. Release of funds, start and conclusion of project

4.1 Release of funds; start of project

(Article 33 of the Funding Regulations)

¹ The requests for release of the grant and for release of the further annual instalments must be submitted by the corresponding grantee via mySNF. The request must mention the start date (first day of calendar month) of the SNSF-funded research work (start of project).

² The release of funds and start of the project will be confirmed to the corresponding grantee in writing.

³ The payments are made to the grant administration office, exclusively for attention of the corresponding grantee.

4.2 Grants for completing projects

(Article 36 of the Funding Regulations)

¹ Grant applications for the completion of projects must be submitted to the SNSF during the running time of the research project. The application should be submitted as soon as it becomes clear that the awarded financial resources are not sufficient for completing the project. However, it may not be submitted before the last instalment has been transferred.

² Grantees are obliged to

- a. explain the specific reasons and show that they were not in a position to influence or foresee the lack of funds;
- b. show what measures they have taken to prevent the funding gap; and
- c. specify the additional resources needed to complete the project.

³ Applications must include the reasons for the request and must be submitted electronically via mySNF.

⁴ If a project receiving a grant for project completion is to be extended, the grantee may submit a new application, whereby the extension phase is not affected by the SNSF restrictions with regard to multiple parallel grants.

5. Grant administration in general, grant extension

5.1 Administration of grants: grant administration offices

(Article 37 of the Funding Regulations)

¹ Grants are generally administered by the designated grant administration office of the grantees' research institution.

² Grant administration offices are recognised by the SNSF if they can guarantee administration of the grant in accordance with rules and regulations and if they administer at least 20 grants per year on average. A list of recognised grant administration offices can be found in Annex 9.

³ In exceptional cases where the grant cannot be administered by a recognised grant administration office, the grant is administered by the grantee or by another office that assumes this fiduciary role. In such cases the SNSF stipulates the duties of administration, monitoring and due diligence in a written agreement. The money transferred must in any case be managed in a separate account intended only for the grant.

5.2 Rights and duties in grant administration

(Article 37 Funding Regulations)

¹ Grant administration offices act as fiduciaries for the grantees. The grantees are responsible for ensuring that funds are used appropriately in line with the conditions of the grant.

² The rights and duties of the recognised grant administration offices are based on paragraph 4 as well as on the agreement these offices have signed with the SNSF (cf. Annex 10) or on an individual agreement pursuant to Clause 5.1 paragraph 3 in the other cases.

³ The grantees are obliged to communicate all necessary information to the grant administration office and to submit all documents and receipts. It is their responsibility to submit only expenses that are eligible in accordance with SNSF rules and regulations.

⁴ The main duties of the grant administration offices are as follows:

- a. grant administration;
- b. financial reporting;
- c. monitoring grantees' compliance with SNSF provisions on the use of the grant;
- d. monitoring salaries, terms of employment and social security contributions of employees remunerated on the basis of SNSF grants;
- e. warning the grantees as soon as possible in the event of any irregularities or breaches of rules and regulations, and demanding the relevant corrections;
- f. informing the SNSF as soon as possible about any conflicts or substantial breaches of the rules concerning use of the grant.

5.3 Change of research location and Money follows researcher

(Article 37 of the Funding Regulations)

¹ Grantees who wish to continue their research work at another research location must inform the SNSF about the move well in advance.

² Researchers may move to another research location and take the grant with them (Money follows researcher) if

- a. the requirements for continuing the project at the new research location are met;
- b. arrangements have been made for the SNSF-funded employees working in the project and
- c. the administration of the grant has been arranged.

³ The SNSF may bind Money follows researcher to certain conditions.

⁴ The provisions on "Money follows researcher" pursuant to Clause 3.3. apply to grantees who move abroad.

5.4 Extension of career grants¹⁵

(Article 37 Funding Regulations)

¹ Career funding grants¹⁶ may be extended on request and only for the following reasons pertaining to the grantee. Only uninterrupted delays of at least two months' duration are considered.

- a. Maternity, paternity, parental or adoption leave;

¹⁵ Inserted based on the Research Council's decision of 9 June 2020, in force as of 1 July 2020.

¹⁶ This provision also applies to SNSF grants that finance the grantee's salary.

- b. Incapacity to work through illness or accident;
- c. Responsibilities as a carer;
- d. Services that benefit the general public, particularly military and civilian service;

² The maximum funded extension is one year.

³ In justified exceptional cases, the SNSF may approve cost-neutral extensions that exceed one year.

⁴ If the employer continues to pay salaries in the event of maternity, paternity, adoption, illness, accident, military service or other services, the SNSF follows the usual local rules and covers any resultant additional costs for a maximum of one year. The relevant insurance benefits must be credited to the grant, however. Where the usual local rules provide for less than two months adoption leave, the SNSF finances a two-month holiday and continued payment of salary when an infant is placed. The SNSF covers the additional cost incurred due to the extended adoption leave.

6. Special provisions with regard to grant administration

6.1 Budget items in the total budget

(Article 37 of the Funding Regulations)

¹ The budget items mentioned in rulings or in approvals issued during the funding period of the grant and the corresponding amounts are regarded as approximations. Transfers between budget items are permissible without obtaining prior approval from the SNSF, provided the total awarded amount is not exceeded (total budget).

² In exceptional cases the SNSF may define binding budget items. In such cases, the amounts allocated to the individual items are binding and it is not permissible to transfer amounts of money between budget items without the prior written approval of the SNSF.

6.2 Advance payments

(Article 37 of the Funding Regulations)

In justifiable cases, the SNSF may exceptionally grant an advance payment. The advance payments and their use must be stated in the financial reports.

6.3 Receipts

(Article 37 of the Funding Regulations)

¹ Signed original invoices must be forwarded to the SNSF for all expenses covered by the SNSF grant. If payments are made based on invoice copies, the latter must bear the note "deemed to be an original receipt". The receipts must be submitted along with the financial report.

² Printouts of receipts read into optical data carriers are regarded as original receipts.

³ If the invoices enclosed with the financial report do not include any receipts for cash payments, the receipts of the grant administration office, the bank or financial institution must clearly show that the invoice has been paid.

6.4 Additional expenses and personnel costs

(Article 37 of the Funding Regulations)

¹ Subject to paragraph 2, if the costs incurred within the scope of approved research projects exceed the SNSF grant, the difference shall be borne by the grantees.

² In response to a written request stating reasons, the SNSF may reimburse additional expenses as additional personnel costs if they are the result of mandatory increases in the employer's social security contributions or an increase in the minimum of the salary range defined by the SNSF.¹⁷

³ Additional personnel costs are only reimbursed if they cannot be covered from other sources or by reducing expenditure.¹⁸ The relevant amount is credited after receipt and examination of the final financial report. Deficits of less than CHF 50 are not covered.

⁴ If the SNSF has approved a cost-neutral extension, no additional personnel costs will be reimbursed.¹⁹

6.5 Credit balances; repayment of remaining amounts

(Article 37 of the Funding Regulations)

¹ If the SNSF grants awarded for the approved research work are not used up, grantees are obliged to repay the relevant credit balances. Amounts under CHF 50 need not be refunded.

² Repayment of a credit balance is due on the due date of the final report. Without being prompted, the grantee shall repay the amount due within 30 days. The SNSF expressly reserves the right to make further claims after reviewing and approving the final financial report.

³ Upon request, the SNSF may in exceptional cases permit grantees to transfer a credit balance to another SNSF grant. In particular, transfers of credit balances to excellence grants within the scope of the project funding scheme may be approved.

6.6 Debit balances

(Article 37 of the Funding Regulations)

Grantees are obliged to settle any debit balances on completion of the funded research work. The reimbursement of additional costs in accordance with SNSF regulations shall remain reserved.

6.7 Contact persons at the SNSF

The relevant contact persons of the SNSF for questions and advice on the use and administration of grants are listed in Annex 11.

7. Employment of staff²⁰

7.1 Employment of staff; principles

Costs for project employees in research projects fully or partially funded by the SNSF may be charged to the grant, subject to the following conditions. Both the institutions (in particular letters

¹⁷ Amendment of 19 June 2017, comes into force as of 1 April 2018.

¹⁸ Amendment of 19 June 2017, comes into force as of 1 April 2018.

¹⁹ Amendment of 19 June 2017, comes into force as of 1 April 2018.

²⁰ Wording based on the Research Council decision of 24 September 2019, in force since 2 October 2019.

a.-g. below) and the grantees (in particular pursuant to Clause 7.2) are responsible for compliance with these conditions. The institutions

- a. shall employ project staff based on written employment contracts that meet the minimum requirements of the sample employment contract pursuant to Annex 13;
- b. are fully responsible for the employment relationship and for protecting the employees as regards their rights and obligations. In particular, they ensure that the person's integrity is protected, that the ban on discrimination and the gender equality requirement are complied with, and that they are protected against sexual harassment and bullying;
- c. ensure that effective measures have been taken and suitable information provided to prevent and penalise any breaches of research integrity;
- d. fulfil all the duties of an employer and, in particular, settle the social security contributions with the responsible insurances;
- e. support and account for the objectives pursued in funding the position within the relevant research project;
- f. ensure conditions that enable the employee to spend at least as much time as specified by the SNSF doing scientific work for the project; and
- g. comply with the salary ranges and other guidelines (particularly Annex 12) of the SNSF.

7.2 Obligations of the grantees

Grantees are obliged to:

- a. monitor compliance with all provisions applicable to project staff;
- b. send the SNSF all necessary information without delay, in particular personnel-related messages in the event of hires, transfers and salary adjustments and work together with the responsible grant administration office in such cases;
- c. submit copies of employment contracts to the SNSF on demand;
- d. support project staff in matters relating to their academic career, in particular giving sympathetic consideration to applications for career grants²¹ or grant extensions in favour of project staff while paying due regard to valid interests and, if justified, submitting such applications to the SNSF; and
- e. fulfil their responsibilities in conflict situations or in the event of any difficulties with project staff in connection with employer institutions and inform the SNSF about important events.

7.3 Project staff: doctoral students

¹ Doctoral students are researchers who collaborate on research work funded by the SNSF and seek to obtain a doctoral degree in connection with their scientific contribution to the said research work. As a rule, their dissertation must be supervised by a grantee who bears responsibility for the funded research work. Applications for SNSF career grants²² may be applied for on behalf of such researchers irrespective of their actual work-time percentage.

² Doctoral students must spend most of their time working on their dissertation and may only be enlisted to perform other tasks for the institution to a minor degree. Completion of the dissertation within the regular timeframe of four years must not be jeopardised.

²¹ Flexibility Grant, Mobility Grant for doctoral students, Gender Equality Grant

²² Flexibility Grant, Mobility Grant for doctoral students, Gender Equality Grant

³ The work-time percentage of doctoral students is defined by the employer. It must generally be appropriate to the task of completing a dissertation within a period of four years. This is based on the presumption that 80-100% of a full-time equivalent position (FTE) is devoted to a dissertation.

⁴ Doctoral students must be compensated in accordance with the relevant salary ranges defined by the SNSF. Employers are entitled to top up the maximum salary granted by the SNSF with their own funds.

⁵ The maximum period of employment for doctoral students funded by the SNSF is four years. The relevant start date for calculating the four-year period is the actual start date of the dissertation, as communicated to the SNSF by the grantee. The four-year time window funded by the SNSF starts one year after the said start date at the latest. This year may be used for preparatory activities linked to the doctoral studies, e.g. attending doctoral schools.

7.4 Project staff: postdocs

¹ Project staff are employed as postdocs if they aim to become scientifically independent and achieve the qualifications required to independently develop and conduct research projects and to assume scientific leadership positions.

² They must make a specific contribution to the research project and work primarily on achieving the said scientific qualifications. SNSF career grants²³ may be applied for on their behalf.

³ Postdocs must be remunerated in accordance with the relevant salary ranges defined by the SNSF.

⁴ For postdocs, a maximum employment period of five years is chargeable to the SNSF. The relevant start date of the five-year period is the date of the viva voce or of the official acceptance of the dissertation. In the event of any substantiated reasons for delay pursuant to Clause 7.6 paragraph 2, the SNSF shall accept upon request a postponement of the start date by a maximum of one year.

7.5 Project staff: other employees

¹ Project staff who do not intend to do a doctorate, employees with a doctorate who do not meet the requirements for the postdoc category as regards period of employment and time window as well as technicians and auxiliary staff are engaged as "other employees".

² They must make a specific contribution to the research project. SNSF career grants may not be applied for on behalf of other employees.

³ Other employees must be remunerated in accordance with the relevant rates defined by the SNSF.

⁴ Visiting professors may not be engaged and remunerated as other employees of an SNSF-funded research project.

7.6 Duration of employment, time windows and grant extension

¹ Subject to the maximum funding periods and time windows, project staff of all categories are employed for the duration of the approved research project. The employer is responsible for ensuring that all obligations under Swiss labour legislation in respect of project staff are fulfilled at the end of the project or in the event of the project being abandoned.

²³ Flexibility Grant, Gender Equality Grant

² If delays occur during the employment period of doctoral students or postdocs due to the reasons set out below, the time window for the maximum employment duration may be extended by a maximum of one year upon request. In particular, the following delays of at least two months' duration will be taken into account, provided they are substantiated and uninterrupted:

- a. Maternity leave, paternity leave, adoption leave or parental leave;
- b. Inability to work due to illness or accident;
- c. Responsibilities as a carer;
- d. Services that benefit the general public, particularly military or civilian service;
- e. Professional development, particularly internships, clinical work.

³ The extension of time windows due to delays pursuant to paragraph 2 has no effect on the maximum funding periods for doctoral students and postdocs. However, the maximum funding periods are extended by a maximum of one year to cover a period of continued salary payments in case of maternity, paternity, adoption, illness, accident, military service or other services.

⁴ Grants may be extended by a maximum of one year at the grantee's request. Extensions must be proven to be necessary as a result of delays incurred by project employees pursuant to paragraph 2 and are only granted for uninterrupted delays of at least two months' duration. Extensions to cover a period of continued salary payment in the event of maternity, paternity, adoption, illness, accident, military service or other services are generally approved. In justified exceptional cases, the SNSF may approve cost-neutral grant extensions that exceed one year, together with a corresponding extension of the employment duration for project employees.²⁴

⁵ If a grant is extended pursuant to paragraph 4, the grantee may submit a new application without the extension phase being affected by the SNSF restrictions concerning multiple parallel grants.

7.7 Salary and social security costs

¹ The salary ranges, flat rates for social security (AHVG/IVG/EOG, BVG, AVIG and UVG) and guidelines for project staff are set out in Annex 12 and are legally binding.

² Any family or other customary local allowances as well as any contributions to top up the employee's salary are chargeable to the grant, whereas allowances attached to a salary (e.g. local bonuses) and purchases of additional benefits in pension schemes and the like are not. In relation to mandatory non-occupational accident insurance, the SNSF respects the splitting of the contributions between the employer and the employees in accordance with the corresponding local provisions.

³ The SNSF is entitled to forward copies of financial reports to the Federal Social Insurance Office for auditing purposes.

7.8 Continuing salary payments, maternity, paternity and adoption leave

¹ If the employer continues to pay salaries in the event of maternity, paternity, adoption, illness, accident, military service or other services, the SNSF shall follow the usual local rules and cover any resultant additional costs for a maximum of one year. The relevant insurance benefits must be credited to the grant, however.

²⁴ Inserted based on the Research Council's decision of 9 June 2020, in force as of 1 July 2020.

² Where the usual local rules provide for less than two months adoption leave, the SNSF finances a two-month holiday and continued payment of salary when an infant is placed. The SNSF covers the additional cost incurred due to the extended adoption leave.

³ If it is absolutely necessary to employ a deputy to ensure the successful continuation of the research work during maternity, paternity or adoption leave, the SNSF may approve such an arrangement and bear the corresponding additional costs. These provisions apply mutatis mutandis to deputies.

8. Duty to inform

8.1 Reporting of changed circumstances (Article 39 of the Funding Regulations)

Grantees must report to the SNSF and the grant administration office without delay any substantial changes in circumstances relating to the awarded grant.

8.2 Duty to take note of information (Article 39 of the Funding Regulations)

¹ General legally binding information is communicated to applicants and grantees by e-mail, usually in the form of the electronic SNSF newsletter. Additional information is provided in written form and on the SNSF website.

² Applicants and grantees must provide the SNSF with a valid e-mail address.

³ Should they fail to take note of information and experience disadvantages as a result, they shall bear sole responsibility.

8.3 Lay summaries and keywords (Article 40 of the Funding Regulations)

¹ The corresponding grantees must provide the SNSF with a written summary of the planned research that is understandable for non-experts (lay summary). They must also provide thematic keywords to be used on the website of the SNSF.

² The corresponding grantees are responsible for the content of the lay summary and for the keywords. The information must comply with the conditions laid down in the funding decision and must be compiled according to SNSF standards. The SNSF reserves the right to edit lay summaries and keywords.

³ The lay summary and keywords must be submitted upon receipt of the funding decision, but no later than upon submission of the request for the release of funds.

⁴ They will be published in the project database of the SNSF once the grant has been released.

⁵ The lay summary and keywords may be edited while the research project is running. This is mandatory if significant changes occur.

⁶ Once the research has been completed, grantees are required to update the lay summary with the research results. Such updates are a mandatory requirement for approval of the scientific report.

8.4 Research database

(Article 40 of the Funding Regulations)

¹ Grantees are obliged to report the relevant information to the SNSF for entry in the publicly accessible project database. This data is submitted together with the application prior to the start of research work, but also during the project and after its completion. The information forms part of the scientific reporting (Clause 9.3) and comprises, in particular:

- a. name, academic degree, gender, ORCID and institution of the grantees and the employees and project partners;
- b. title of the project/programme;
- c. discipline(s) represented in the project;
- d. associated projects;
- e. duration of the grant;
- f. normally, the amount of funding awarded;
- g. scientific summary (abstract);
- h. publications;
- i. scientific events;
- j. knowledge transfer events;
- k. information about communication with the public;
- l. cooperation with other researchers and institutions;
- m. use-inspired output;
- n. awards.

² Pursuant to paragraph 1, the SNSF publishes the data in the project database along with the lay summaries and keywords.

³ If there is a significant change in the project or programme, entries in the database for research projects must be adapted. Grantees must inform the SNSF of such changes without being prompted.

⁴ When publishing personal data, the SNSF protects the privacy rights of those concerned.

9. Reporting duties

9.1 Reporting duties; principles

(Article 41 of the Funding Regulations)

¹ The following reports are to be submitted to the SNSF.

- a. financial reports on how the SNSF grants were used and
- b. scientific reports describing the findings of the funded research and stating the scientific output data.

² Interim and final reports must be written and submitted in accordance with the rules applicable to the relevant funding scheme.

³ The duty to report lies with the corresponding grantee.

⁴ The SNSF will confirm the approval of reports to the corresponding grantee, provided the requirements are met. If this is not the case, the SNSF will return the reports to the corresponding grantee for revision.

⁵ In no circumstances does the duty to report represent a service provided in return for payment.

9.2 Financial reports

(Article 41 of the Funding Regulations)

¹ The interim and final financial reports provide an account of the use of grants.

² Financial reports are compiled by the grant administration offices. They must be reviewed, signed and sent to the SNSF via mySNF in good time. Grantees who administer their grants themselves shall compile the reports in accordance with the rules laid down by the SNSF.

³ In all circumstances, consolidated financial reports covering the entire grant must be submitted, i.e. also in cases where employees and persons involved in the project do research or other work at different institutions.

⁴ Unless the SNSF stipulates otherwise, financial reports must be submitted annually.

9.3 Scientific reports

(Article 41 of the Funding Regulations)

¹ The interim and final scientific reports shall provide an account of the attainment of research targets as well as the findings and the progression of the project.

² The scientific reports shall contain data needed to assess the scientific achievements and impacts of the project. The reports may serve as an additional basis for the award of further research funds.

³ The data provided in the scientific report shall be compiled in accordance with the rules of the relevant funding scheme and shall generally comprise a qualitative and a quantitative (output data) section.

⁴ The duty to provide output data will remain in place after the final report has been completed and end three years after its submission date. If a follow-up application has been approved, the date of the final report for the second phase is relevant.

⁵ If a follow-up application is approved, the qualitative section of the final report becomes redundant. Only the output data need to be submitted.

9.4 Difference between scientific reports and lay summaries

(Article 41 of the Funding Regulations)

The duty to submit lay summaries is not linked to the duty to submit scientific reports.

10. Monitoring and sanctions

10.1 Monitoring procedure

(Article 42 of the Funding Regulations)

Based on the scientific and financial reports submitted by the grantees, the information provided by the grant administration offices or third parties, and the SNSF's own findings, the SNSF regularly assesses whether the grants are used as prescribed.

10.2 Sanctions

(Article 43 of the Funding Regulations)

¹ The SNSF imposes sanctions in the event of:

- a. breaches of the Funding Regulations or other provisions applicable to the submission of applications or to the grant.
- b. breaches of research integrity or good scientific practice in connection with the application for or use of SNSF grants.

² The procedure for imposing sanctions is based on:

- a. Clause 10.3 to Clause 10.6 below in cases pursuant to paragraph 1 letter a;
- b. the Regulations on scientific misconduct in cases pursuant to paragraph 1 letter b.

³ In the event of suspected scientific misconduct in connection with the use of SNSF grants, the proceedings pursuant to paragraph 1 letter b are subsidiary to the proceedings conducted at the institution where the misconduct occurred. The SNSF may decide not to open its own proceedings if the research institution concerned is bringing or has brought proceedings against the suspected party. However, based on the findings of the relevant institution, the SNSF may in such cases initiate proceedings pursuant to paragraph 1 letter a and impose sanctions.

10.3 Initiation of proceedings; right to be heard

(Article 43 of the Funding Regulations)

¹ The SNSF may initiate proceedings based on its own findings or on reports from third parties.

² The person responsible shall be granted a hearing before any sanctions are imposed.

10.4 Nature and scope of sanctions

(Article 43 of the Funding Regulations)

¹ The imposed sanctions must be proportionate and in particular must reflect the seriousness of the breach and in certain instances the extent of any losses or damage caused.

² Sanctions may include prohibition from submitting further applications for up to five years.

10.5 Protection of persons reporting misconduct, self-reporting

(Article 43 of the Funding Regulations)

¹ With regard to the proceedings to be conducted by the SNSF, the latter shall ensure confidentiality for persons who report cases of misuse or breaches by others.

² If the person concerned reports him or herself for an instance of misuse or a breach, the SNSF may take this into account when deciding on sanctions.

10.6 Reports to third parties

(Article 43 of the Funding Regulations)

Where the SNSF imposes sanctions, it is entitled to inform the respective person's research institution or employer if, in the individual case in question, knowledge of such sanctions is required by the recipient to fulfil a legal obligation.

11. Rights to research results; use, publication and accessibility of research results

11.1 Rights to intellectual property, principle

(Article 44 Funding Regulations)

¹ The SNSF does not claim any intellectual property rights or rights in connection with the exploitation of research results obtained through research work funded by the SNSF.

² Commissioned research that is conducted under a research programme and contractually regulated shall be excepted from the above provision.

11.2 Commercial use, patents and protective rights

(Article 44 of the Funding Regulations)

¹ Notice of the commercial use of research results or the filing of patents or similar protective rights must be given to the SNSF by the grantee in the final report.

² If the requirements for notice in accordance with paragraph 1 do not yet apply at the time that the final report is submitted, the grantees remain subject to an obligation to give notice in accordance with paragraph 1 for a period of three years from the date of the final report.

³ Notice shall include the details of the name of the holder, title, number and institution where the protective right or right of use is filed.

⁴ The costs of filing patents and other protective rights may be assumed by the SNSF, in particular in the context of National Research Programmes and National Centres of Competence in Research.

⁵ The costs of patent searches may be covered if they are relevant to scientific research interests at the start of the research project.

11.3 Rights of employees

(Article 44 of the Funding Regulations)

¹ The SNSF expects participants to take appropriate account of the rights of project employees when regulating property rights.

² It welcomes regulations issued by research institutes and other participants to protect intellectual property and promote knowledge transfer.

11.4 Rights to material of enduring value

(Article 45 of the Funding Regulations)

¹ In the final scientific report, grantees must indicate the location, estimated current value and owner of material of enduring value for cases where the SNSF's contribution towards a specific acquisition, particularly equipment or apparatuses, amounted to at least CHF 50,000.

² Notice must be given to the SNSF of the sale to third parties of material of enduring value or the transfer of such material to other research locations. The SNSF will decide on a case-by-case basis whether to demand a refund on its grant, less depreciation.

11.5 Principles of valorisation

(Articles 46 and 47 of the Funding Regulations)

¹ When taking valorisation measures, grantees must respect the quality standards of the SNSF.

² Public communication measures in areas that are of fundamental social or political importance must be prepared by the grantees with the care and professionalism appropriate to the topic.

³ If it is foreseeable that a research subject is likely to cause public controversy (sensitive issue), the grantees are obliged to discuss matters with the SNSF beforehand.

⁴ Regardless of the manner of publication, reference must be made to the funding provided by the SNSF.

⁵ With regard to the valorisation measures concerning the status and results of NRPs, NCCRs and other programmes, the conditions laid down in the relevant programme regulations must be respected in addition to the provisions of these Regulations.

11.6 Quality standards

(Articles 46 and 47 of the Funding Regulations)

¹ Grantees must ensure that the following principles are respected when information on research projects is communicated and research results are published:

- a. respect for ethical principles and rules on research integrity;
- b. maintenance of professionalism, a sense of proportion, transparency, openness and readiness to enter into dialogue;
- c. basing communications and debates on the latest consolidated research results (if possible in compliance with peer review standards);
- d. use of one's own name in communications without imposing any obligation on the SNSF as an institution;
- e. observance of the rights of co-authors;
- f. adherence to the SNSF guidelines regarding public science communication, which are published on the SNSF website.

² On the basis of Article 43 of the Funding Regulations, the SNSF penalises breaches of the rules and principles listed above. Examples of breaches include tendentious propaganda, manipulation, dissimulation, fraud and disinformation.

11.7 Branding of SNSF projects and programmes

(Articles 46 and 47 of the Funding Regulations)

¹ Grantees are obliged to mention the SNSF grant in all scientific publications and communication activities relating to research projects, particularly in press releases.

² Grantees must use the phrase "funded by the SNSF" if the project is being or has been funded with an SNSF grant. The SNSF logo must be placed alongside the said phrase whenever possible. It should also appear in all other forms of publication, such as presentations, posters, conferences, brochures, papers and books.

³ Grantees must use the phrase "evaluated by the SNSF" if a project was only evaluated by the SNSF. In this case they are not entitled to use the logo.

⁴ For research programmes, the specific branding rules applicable to the programmes apply.

11.8 Data for secondary research

(Article 47 of the Funding Regulations)

¹ The decision letter normally regulates the duty to enter data obtained with SNSF funding into recognised scientific databases.

² The SNSF may oblige grantees to make the obtained data available for secondary research while the project is still underway or after its completion.

11.9 Open Access (OA) to publications: Principles²⁵

(Article 47 of the Funding Regulations)

¹ The SNSF supports the principle of open electronic access (Open Access, hereinafter "OA") to scientific knowledge nationally and internationally.

² Scientific publications financed by the SNSF must be made available as follows:

- a. publicly, without any restrictions;
- b. in digital form;
- c. immediately; and
- d. free of charge.

³ Publications pursuant to these provisions are scientific works published in journals and books (monographs, anthologies, book chapters) that were fully or partially financed by SNSF grants (OA commitment). Full or partial financing by the SNSF refers to

- a. financing of the research that has generated the results being published; and/or
- b. direct financing of the publication.

⁴ The OA commitment applies regardless of whether the SNSF awards a grant for the OA publication.

⁵ If the research is co-funded, the OA commitment shall apply if the SNSF provided 50% or more of the funding.

11.10 Open Access (OA): Grants²⁶

(Article 47 of the Funding Regulations)

¹ The publication grants of the SNSF are awarded exclusively for gold-road OA publications, which offer immediate, unrestricted and free access to the digital publication.

² It supports the following kinds of publication:

- a. journal articles;
- b. monographs;
- c. anthologies; and
- d. book chapters.

³ The conditions and amount of the grants are defined in accordance with the Regulations on the funding of OA publications²⁷. The grants must be applied for via *mySNF*.

²⁵ Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

²⁶ Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

²⁷ [Regulations on the funding of Open Access publications](#)

11.11 OA platform of the SNSF²⁸

(Article 47 of the Funding Regulations)

¹ The SNSF operates an electronic Open Access platform (OA platform; part of the *mySNF* web platform) for

- a. entering publication proposals, OA grants, the lifetime management of the grant and
- b. for monitoring fulfilment of the OA commitment.

² The data entered on the OA platform must show how the publication grant is linked to SNSF funding.

11.12 OA commitment: Form and deadlines²⁹

(Article 47 of the Funding Regulations)

¹ The OA commitment is in principle met through digital publication that is immediate, unrestricted and free of charge: gold-road OA journals, books and book chapters. The SNSF may award grants for such publications (Clause 11.10 and Regulations on the funding of OA publications). Publications with restricted access (hybrid publications with author fees) do not meet the requirements for OA grants of the SNSF.

² The OA commitment can also be met through digital publication in a disciplinary or institutional repository granting free and unrestricted access; this is known as the green road to OA.

³ Accessibility to a publication after it has been published by the publisher (green OA pursuant to paragraph 2) must be guaranteed through publication of a version with the same content as the publication effected by the publisher no later than after expiry of the following embargo periods.

- a. six months for journal articles;
- b. twelve months for all other publications.

⁴ Repositories pursuant to paragraph 2 are publicly accessible non-commercial archives or databases of higher education institutions and other recognised research institutions or scientific facilities.

11.13 OA commitment: Right of second publication, legal relationship with publishers³⁰

(Article 47 of the Funding Regulations)

¹ Grantees of the SNSF are obliged to reserve, vis-à-vis the publishers, the right to make their largely SNSF-funded work available to the public free of charge.

² The embargo periods contractually agreed between the grantees and the publishers must not exceed the periods set out in Clause 11.12. After expiry of the embargo periods, it will be up to the publishers themselves to effect OA publication or to tolerate publication by the grantees.

²⁸ Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

²⁹ Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

³⁰ Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

11.14 OA commitment: Proof of fulfilment, exception³¹

(Article 47 of the Funding Regulations)

¹ Grantees must show that they have fulfilled this duty in their reports to the SNSF in accordance with the SNSF's reporting rules and requirements (scientific report).

² In addition to meeting the OA commitment, grantees must comply with the rules on the provision of output data that is linked to their publications and document the OA publication in the research database P3. For OA monitoring purposes, the data will be linked to the OA platform (Clause 11.11).

³ If the OA publication of books without publication grants from the SNSF is demonstrably linked to disproportionately high costs for image rights, the SNSF may exceptionally waive the commitment on request.

11.15 OA commitment: Non-compliance³²

(Article 47 of the Funding Regulations)

¹ Publishers that do not support the OA commitment specified by the SNSF will not be chosen to publish research results obtained with the aid of SNSF grants.

² Non-compliance with the OA commitment breaches the Regulations of the SNSF pursuant to Article 43 of the Funding Regulations and may be sanctioned.

11.16 OA: Note on SNSF funding³³

(Article 47 of the Funding Regulations)

Funding of the research project and/or the publication by the SNSF must be mentioned in the OA publication (Clause 11.7).

12. Further provisions

12.1 Disclaimer

¹ The SNSF shall not be held liable for any accidents or illnesses or their consequences, or for any losses or damage that occur in the context of the research work funded by the SNSF.

² The SNSF is never in a legal sense the sponsor or initiator of the research it funds and in the context of research on humans, in particular, it shall not be held liable in any circumstances under the relevant provisions.

12.2 Insurance

¹ It is the responsibility of the grantees or their employer institutions to obtain personal liability insurance at their own discretion. Insurance costs may not be debited to an SNSF grant.

² Grantees shall ensure that material of enduring value acquired by means of an SNSF grant is covered by the property insurance policies of the employer institution.

³¹ Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

³² Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

³³ Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

12.3 Value-added tax

The research grants awarded by the SNSF are regarded as subsidies pursuant to Article 18 paragraph 2 letter a of the Federal Act on Value Added Tax. As such, they are not subject to value added tax. If funds from the SNSF are forwarded to project partners pursuant to the Funding Regulations, or to other grantees, the SNSF recommends notifying them in writing that the funds are in effect subsidies.

13. Final provisions

13.1 Repeal and integration of existing regulations

¹ With the entry into force of these Regulations, the following regulations and provisions will be repealed:

- a. the General implementation regulations for the Funding Regulations of 17 June 2008, including all annexes;
- b. the Regulations on information, valorisation and rights to research results of 17 June 2008;

² The provisions of the Regulations on grants for postdocs with family care duties who are employed in SNSF research projects - 120% support grants - of 13 February 2013 and the Regulations on the funding of doctoral mobility in research projects supported by the SNSF of 1 November 2011 have been integrated into the Annexes of these Regulations.

13.2 Transitional provisions

¹ These Regulations are applicable to any proposal under evaluation at the time when they enter into force, unless this results in a disadvantage for applicants. The proposals are evaluated and the relevant funding decisions made on the basis of the forms valid at the time the proposal was submitted.

² These Regulations are applicable to any funding arrangement initiated prior to their entry into force. However, if rights assigned to grantees on approval of funding are not in accordance with the new Regulations, such rights will nonetheless remain in force.

³ These Regulations are applicable to any proposal submitted after their entry into force. If individual provisions of these Regulations have not been implemented in the application forms or other forms available on mySNF at the time of submission, this shall not entail any disadvantages for the grantees, and the proposals shall be evaluated based on the forms valid at the time of submission.

⁴ Various new stipulations, including in particular the declaration to be made by the applicant, project partner status and the duty to report third-party funding, will not apply to the submission deadlines listed below. The relevant requirements in mySNF will therefore be based on the existing provisions:

- a. in respect of proof and assurance of employment in the form of a declaration by the applicant: Clause 1 paragraph 2 (Article 10 of the Funding Regulations) and
- b. in respect of project partners: Clause 12 (Article 11 of the Funding Regulations) are not applicable to the following submission deadlines:
 1. Submission of pre-proposals for the NRPs 72 "Antimicrobial Resistance" (11 January 2016); NRP 74 "Smarter Health Care" (18 January 2016); NRP 75 "Big Data" (13 January 2016)

2. Advanced Postdoc.Mobility (1 February 2016)
3. Advanced Postdoc.Mobility return grants for Switzerland (1 February 2016)
4. Ambizione (12 February 2016)
5. Doc.Mobility (1 March 2016)
6. Early Postdoc.Mobility (1 March 2016)
7. NRP 69 Research phase 2 (1 March 2016)
8. Doc.CH (10 March 2016)
9. Project funding (1 April 2016)
10. OAPEN-CH Pilot project (13 April 2016)
11. SNSF professorships - pre-proposals (2 May 2016)
12. R'Equip (15 May 2016)
13. Submission of full proposals for the NRPs 72 "Antimicrobial Resistance" (30 June 2016); NRP 74 "Smarter Health Care" (18 July 2016); NRP 75 "Big Data" (24 June 2016).

⁵ Costs are considered to be eligible and may be claimed in applications once they are officially designated as eligible costs in the forms on mySNF. Eligible costs not considered under the grants because they could not be claimed in the application forms for the relevant proposals may nonetheless be debited to these grants as of 1 January 2016, provided the grant amount as a whole is not exceeded. The SNSF does not, however, reimburse such costs as additional costs.

13.3 Entry into force

These Regulations enter into force on 1 January 2016.

Annex 1: mySNF Terms of Use

Clause 1.15 General implementation regulations for the Funding Regulations; Version of 1 January 2016

mySNF is the web platform of the Swiss National Science Foundation. It allows applicants, evaluators, research institutions and the Administrative Offices of the SNSF to interact with each other. Access to the mySNF.ch website and its use are governed by the following rules.

1. General provisions

- 1.1 User account, registration, user agreement
- 1.2 Login data
- 1.3 Confidentiality
- 1.4 mySNF Support
- 1.5 Technical requirements
- 1.6 Liability
- 1.7 Misuse
- 1.8 Legal force
- 1.9 Jurisdiction

2. Specific provisions for applicants

1. General provisions

1.1 User account, registration, user agreement

Within the meaning of these terms of use, users are persons who have a “normal” or a “restricted” user account in mySNF. In order to use a **normal user account**, the user must sign the mySNF user agreement and return it to the SNSF. In this case, the provisions of the user agreement apply in addition to this document. All users from whom the SNSF has not received a signed user agreement in physical form have a **restricted user account** with restricted functionality. A restricted user account may be converted into a normal user account at any time by submitting the user agreement in written form.

Anyone may register for a mySNF user account as an applicant. The SNSF decides whether to assign any further roles and functions.

New user accounts for applicants may only be used once they have been verified by the SNSF. Such verification generally takes one working day, but at the most five working days. The user is informed about the successful set-up of the user account by e-mail.

1.2 Login data

Access to the user account is protected by a user name and a password or, in the case of external reviewers, by means of a link that is functional for a limited period. In both cases, users are responsible for keeping the login data secret. They alone are responsible for the content of the data submitted via mySNF to the SNSF using their account.

1.3 Confidentiality

All users who have access to data in mySNF that they have not personally submitted must keep these data confidential and must not forward them to unauthorised third parties.

Provided it takes the necessary data protection measures, the SNSF may forward data to third parties in Switzerland and abroad should it consider this to be necessary to ensure adequate evaluation.

1.4 mySNF Support

The SNSF takes due care to guarantee the availability of mySNF. Interruptions are generally announced in advance and as early as possible. The mySNF Support team can be contacted (at minimum) from 8.30 am to 12 noon and from 1.30 pm to 5 pm on working days by phone or e-mail.

1.5 Technical requirements

Files must be transmitted exclusively in the data formats defined by the SNSF (PDF, JPG, GIF, PNG, AVI, MOV) and must not exceed the file size defined by the SNSF. The SNSF is not obliged to process files that do not comply with these provisions. If the transmitted files cannot be processed, the user will be informed accordingly.

1.6 Liability

The SNSF takes due care to ensure that the mySNF website is as secure as possible and to safeguard the integrity and confidentiality of the data entered and submitted. However, data manipulation and data loss cannot be ruled out entirely. To the extent that this is legally permissible, the SNSF excludes any liability for loss or damage incurred when using the mySNF website.

1.7 Misuse

Users who misuse the system in any way may be barred from further using mySNF.

1.8 Legal force

If at any time any part or individual formulation of these terms of use no longer corresponds to or does not correspond in full with the current legal situation, the content and validity of the other parts remain unaffected.

The SNSF reserves the right to amend these provisions without prior notice. The version published on www.mysnf.ch is the valid version.

1.9 Jurisdiction

In the event of any disputes in connection with the mySNF.ch website, Swiss law applies exclusively. The place of jurisdiction is Bern.

2. Specific provisions for applicants

- 1) All applications for grants from the SNSF must be submitted via mySNF. The SNSF reserves the right to ask for paper documents at a later stage.
- 2) Applications submitted to the SNSF must comply with the formal requirements set out in Article 10 et seq. of the SNSF's Funding Regulations, the corresponding provisions of the General implementation regulations for the Funding Regulations, and the personal and formal requirements of the relevant funding scheme.
- 3) Each application must be submitted via the user account of the responsible applicant. He/She is solely responsible for the data transmitted via mySNF. If the applicant is a legal person, the application must be submitted via the contact person's user account.
- 4) An application is regarded as submitted only when the user explicitly executes the submission in mySNF. Data entered prior to the submission are stored for five years, during which period they can be retrieved and modified. Such data is not processed by the SNSF, however.
- 5) Applicants who avail themselves of a restricted user account (see section 1.1) must, when submitting their application, sign the application overview they received by e-mail and send it by post to the SNSF.
- 6) The SNSF checks each submitted application to verify whether the formal requirements are met. If there is an error in the application that can be easily rectified, the SNSF will set a deadline for this in an e-mail to the applicant. In order to make corrections within this deadline, the applicant must be contactable by e-mail for two weeks after the submission deadline for the relevant funding scheme.

Repealed based on the decision of the National Research Council of 7 November 2017, in force as of 1 April 2018; partially valid under the transitional provisions of the [Regulations on the funding of Open Access publications](#).

Annex 2: Grants for scientific open access e-publications (publication grants)³⁴

Clause 2.16 General implementation regulations for the Funding Regulations;
Version of 1 January 2016

2.1 Principles

¹The SNSF awards grants to help cover the costs and fees for scientific open access e-publications pursuant to the following provisions. It makes a distinction between:

- a. grants towards the publication of research results from research projects funded by the SNSF in **open access journals** in the form of eligible costs from a grant awarded by the SNSF; and
- b. grants towards the **publication of digital books** in the form of eligible costs from a grant awarded by the SNSF and also as independent publication grants for publications that have not been produced in the context of a research project funded by the SNSF.

²With regard to digital books, the SNSF makes a distinction between:

- a. eligible costs for publishing digital books produced in the context of a research project funded by the SNSF; these costs are to be claimed under eligible costs when submitting the funding application for the research project;
- b. publication grants for publishing digital books that have not been produced in the context of a research project funded by the SNSF (independent publication grants); applications for these grants are to be submitted separately to the SNSF.

³Anyone claiming publication grants in relation to an SNSF-funded research proposal may not apply for any independent publication grants for books from the same research project.

⁴Grants in accordance with paragraph 1 letter a may only be awarded in relation to a research proposal funded by the SNSF.

2.2 Eligible costs for publications in open access journals

¹Costs for publication in purely open access (OA) journals with an academically acknowledged level of quality (gold road; cf. Clause 11.11 of the General implementation regulations for the Funding Regulations) are eligible costs for the purposes of the relevant SNSF grant and may be charged to this grant up to a maximum amount of CHF 3,000 per OA publication.

²The open access publication via the green road (cf. Clause 11.11 paragraph 2 of the General implementation regulations for the Funding Regulations) does not form the basis for eligible costs in research proposals. Digital book publications are an exception to this rule.

³The OA costs may only be charged to the relevant account if the publication is related to the SNSF grant or to the preceding application in the event of funding being extended.

⁴Activation fees in relation to subscriptions with partly restricted electronic access (hybrid journals) are not classed as eligible costs and may not be charged to an SNSF grant under any circumstances.

³⁴Repealed based on the decision of the National Research Council of 7 November 2017, in force as of 1 April 2018; partially valid under the transitional provisions of the [Regulations on the funding of Open Access publications](#).

2.3 Costs for digital book publications

¹ The SNSF awards grants towards the publication costs of digital books as part of the eligible costs of grants already awarded by the SNSF, as well as in the form of independent publication grants for publications that have not been produced in the context of an SNSF-funded research project.

² The following provisions on the amount of the grants and the conditions governing the assumption of costs apply to both types of grant. The two differ with regard to the procedure for claiming the grants (cf. Clause 2.1 paragraph 2).

³ Digital versions of printed books are also deemed to be digital book publications.

⁴ The SNSF awards publication grants for digital book publications subject to the condition that the publication is made accessible in a repository of a specific discipline or in an institutional repository free of charge after an embargo period of no more than 24 months (open access commitment).

⁵ The SNSF awards grants towards the costs of the digital publication of:

- a. monographs;
- b. doctoral theses and habilitations;
- c. editions;
- d. anthologies;
- e. NRP final reports.

The SNSF does not award any independent publication grants for publications pursuant to letters c and e. The SNSF awards independent publication grants exclusively for publications pursuant to letter d.

⁶ No grants are awarded for conference proceedings, commemorative publications, new editions without additional scientific results, translations, editions for bibliophiles.

2.4 Claiming publication grants in the context of an SNSF grant

¹ Publication costs within the scope of an SNSF grant are to be claimed under eligible costs when submitting the application.

² Publication costs may only be charged to the relevant grant account once the SNSF has received and approved the publisher's calculation and the publisher agreement regarding open access.

³ For pending applications or already awarded SNSF grants as at 30 June 2014, the applicants and/or grantees may submit a subsequent grant application to the SNSF for digital book publications, doing so no later than by the end of 2017. The grant to be applied for is an independent publication grant.

2.5 Submitting an application for an independent publication grant

¹ Applications for independent publication grants pursuant to Clause 2.1, paragraph 2b must be submitted to the SNSF via mySNF. Proposals can be submitted all year round.

² The proposals must be submitted to the SNSF before the relevant text is published.

³ The SNSF will only consider publication grant applications once it has received the complete, definitive proofs. The work may only be published once the decision to award the grant has been made. Otherwise, the SNSF will not consider the application.

⁴ It is the author of the scientific work who is authorised to submit publication applications. In exceptional cases, and in particular if two or more authors are involved, an application may also be submitted by the editor. In both cases, the applicants must meet the general requirements for the submission of applications to the SNSF pursuant to Art. 10 of the Funding Regulations.

⁵ With regard to publication grants for doctoral theses and habilitations, the following provisions apply in relation to the personal requirements (Article 10 of the Funding Regulations): During the creation of the work, or at the time of the application being submitted, there must be a formal link to a Swiss higher education institution.

⁶ As a prerequisite for grants towards the publication of doctoral theses and habilitations, the qualification thesis must be assigned to one of the two highest qualification levels of the higher education institution.

2.6 Evaluation of applications

Within the scope of a scientific assessment of the text intended for publication, the SNSF asks for reviews by external experts, which it receives in written form. In exceptional cases, and in particular for smaller grants, the SNSF may choose not to ask any external reviewers for their opinion.

2.7 Manner and amount of funding

¹ For digital books, the SNSF awards grants according to the following rates:

- a. Maximum grant of CHF 12,000 for a basic digital book publication;
- b. Maximum grant of CHF 22,000 for an enriched digital book publication (enriched e-book);
- c. Lump sum of CHF 8,000 for doctoral theses or habilitations.

² The maximum amounts as stipulated under paragraphs 1 letters a and b may be increased if the digital book has to meet higher production requirements, particularly in the case of editions and expensive image rights.

³ The lump sum as stipulated under paragraph 1 letter c may be increased if a publisher's calculation is submitted to the SNSF in which the additional costs are sufficiently documented.

2.8 Use and calculation of grants

¹ Grants awarded by the SNSF must be used to cover the production costs of digital books. Such costs comprise: typesetting, layout, image rights, image processing, proofreading and digitisation.

² Grants may not be used to cover the costs of printing, paper and authors' fees or publishing infrastructure costs.

³ The SNSF funds publishing activities up to a maximum of CHF 5,000, subject to the rates set out in Clause 2.7 not being exceeded.

⁴ The applicants (for independent publication grants) or the grantees (for publication grants within the scope of already awarded SNSF grants) must electronically submit a publisher's calculation to the SNSF in accordance with its requirements (form). The SNSF assesses whether the budgeted costs are reasonable and may decide to make reductions. If the envisaged costs should exceed the maximum grants pursuant to Clause 2.7, the SNSF grant is limited to the applicable maximum amount.

⁵ With regard to doctoral theses and habilitations, a breakdown of costs pursuant to paragraph 4 is not required. However, the publisher agreement pursuant to Clause 2.9 paragraph 2 is required.

2.9 Agreement with the publishers, commitment to open access

¹ The SNSF awards publication grants for digital book publication subject to the condition that the digital publication is made accessible in a repository of a specific discipline or in an institutional repository free of charge after an embargo period of no more than 24 months (open access commitment).

² Applicants or grantees must submit to the SNSF a legally valid, signed agreement with the publishers concerning open access. As far as possible, a non-exclusive exploitation right in respect of electronic publication must be reserved in the publisher contracts for the purpose of securing open access or free non-commercial use on a long-term basis.

³ The publishing houses provide the applicant with a binding guarantee in the publisher's contract that they will carry out the publishing activities and work to produce a digital book publication if this is being funded by the SNSF.

⁴ The agreement between the applicant and publishing house must include the obligation on the part of the publishing house to include a reference in the digital book publication to the SNSF's support.

⁵ If it can be shown that open access publication in accordance with these rules would be disproportionately expensive (e.g. image rights in art studies), the SNSF may remove the open access commitment upon request.³⁵

2.10 Quality assurance

¹ The SNSF generally has applications for independent publication grants reviewed externally. Funding decisions are based on the scientific quality and relevance of the publication.

² For the publication of anthologies, the quality of the individual contributions must have been assessed and deemed to be sufficient based on a recognised peer review procedure.

³ Doctoral theses and habilitations are not reviewed externally. Clause 2.5 paragraph 5 of this Annex applies accordingly.

2.11 Approval and payment of the grant

¹ The SNSF approves publication grants based on the submitted calculation of the production costs, the publisher agreement (incl. open access commitment) and, if applicable, the results of the scientific review.

² The publication grants approved within the scope of an SNSF grant are processed via the grant administration offices. They transfer the funds to the publishing houses in accordance with the stipulated conditions.

³ An independent publication grant is paid to grantees. They transfer the funds to the publishing houses in accordance with the stipulated conditions.

⁴ Decisions on applications for independent publication grants are communicated in the form of a ruling. The publication process may not be started before the decision has been communicated.

⁵ The use of publication grants in the context of SNSF-funded research projects is only approved if the publisher's calculation and the publisher agreement on open access have been submitted electronically to the SNSF before the end of the grant and if they have been positively reviewed by

³⁵ Amended based on the Research Council's decision of 1 November 2016, in force with immediate effect.

the SNSF. The SNSF assesses whether the budgeted costs are reasonable and may decide to make reductions.

2.12 Proof to be provided to the SNSF

The grantees are obliged to add the URL of the OA publication to the output data after expiry of the embargo period.

Annex 3: Conference grants³⁶

Clause 2.17 General implementation regulations for the Funding Regulations

³⁶ Repealed based on the decision of the National Research Council of 14 February 2017, in force since 1 April 2017.

Annex 4: Flexibility grants (previously 120% support grants)

Clause 2.18 General implementation regulations for the Funding Regulations;
Version of 3 November 2020

4.1 Principle and objectives

¹ The SNSF awards flexibility grants to help researchers reconcile their research activities and academic career with care duties.

² To junior researchers with care duties who have to meet exacting professional demands, the SNSF offers a grant towards the costs of hiring a support person and towards child care costs (Flexibility Grants) pursuant to the following provisions.³⁷

³ The grants are awarded within the scope of SNSF research grants for the benefit of either grantees or postdocs and doctoral students employed under the funded project.

⁴ The two measures "Grant towards hiring a support person" and "Grant towards child care costs" may be combined.

4.2 Grant towards hiring a support person

¹ The grant towards hiring a support person allows the recipient to reduce his/her work-time percentage from 80%-100% to a minimum quota of 60% and to simultaneously hire a support person (scientific or technical staff member or assistant) for the research project funded by the SNSF.

² The SNSF covers part of the support person's salary. Its contribution amounts to a maximum of 20% of the gross salary of the person benefiting from the flexibility grant recalculated to the gross salary of a full-time (100%) position, augmented by the gross salary amount saved thanks to the reduction in work-time percentage (the latter amount must not exceed 40% of the relevant gross salary of the person benefiting from the flexibility grant).

³ The grant towards hiring a support person may be applied for even if the work-time percentage is not reduced. In such cases, the work-time percentage of the person benefiting from the measure must be 80-100%. The grant towards hiring a support person (scientific or technical staff member or assistant) is limited to 20% of the relevant gross salary of the person benefiting from the flexibility grant.

4.3 Child care grant

¹ Grants towards child care costs allow junior researchers to continue their research activities with the shortest possible delay.

² The work-time percentage must correspond to at least 80%. Doctoral students (Clause 4.4 paragraph 1 letter c below) may apply for grants towards child care costs irrespective of their work-time percentage.

4.4 Personal requirements: funding by the SNSF

¹ The following junior researchers may be awarded family grants:

³⁷ Amendment of 1 July 2020, in force with immediate effect.

- a. Grant holders under the career funding schemes Ambizione (with salary), PRIMA, Postdoc.Mobility for the return phase and only for child care grants and Doc.CH (for these, letter c also applies);³⁸
- b. SNSF-funded postdocs, pursuant to Clause 7.4 of the General implementation regulations for the Funding Regulations, who are employed at a Swiss institution;
- c. SNSF-funded doctoral students who are employed at a Swiss institution; doctoral students are only eligible to receive child care grants.

² The grants may also be applied for within the scope of National Centres of Competence for Research (NCCR). Specific submission and application arrangements in the case of NCCRs are set out in the NCCR Guidelines "Grants for postdocs and doctoral students with family care duties".

4.5 Further personal requirements³⁹

¹ Junior researchers must meet the following additional requirements:

- a. for both types of grant: the junior researcher needs to provide proof of the days on which child care is outsourced. To qualify for the grant, persons with care duties must outsource child care on at least 3 days of every working week for professional reasons, and they must each provide care themselves on no more than 1 day of every working week.⁴⁰ The grant covers children who have not yet finished primary school pursuant to Swiss law⁴¹. The SNSF may ask for detailed evidence of these circumstances;
- b. for a grant towards hiring a support person: a work quota of at least 60% (0.6 FTE) for cases involving a reduction in working hours, or a work quota of at least 80% (0.8 FTE) if a support person is hired without any concomitant reduction in working hours. Proof of the reduction in working hours and the employment of a support person must be provided; and
- c. for a grant towards child care costs: a work-time percentage of at least 80%. Doctoral students are not required to provide such proof. The requirements pursuant to letter a. must also be met by doctoral students.

² If the two types of grant are combined, the work-time percentage must correspond to at least 80%.

4.6 Submission of applications and deadlines

¹ Applications may be submitted at any time within the scope of an ongoing research project funded by the SNSF, at the earliest on the start date of the project, but no later than four months before the end of the project.

² The grants begin on the start date requested for the Flexibility Grant at the earliest. The earliest possible start date of the grant is the first day of the month in which the application was submitted. Apart from this, no retroactive start date is possible.

³⁸ Amended version of 1 November 2020, in force with immediate effect.

³⁹ Amendment of 1 July 2020, in force with immediate effect.

⁴⁰ The SNSF takes into account the actual child care arrangements. The professional reasons necessitating the outsourcing of child care must be explained. As regards the other person with care duties, these reasons may also comprise irregular working hours, continuing education, incapacity to provide care due to illness/accident, or unemployment.

⁴¹ The duration of primary school is defined in accordance with Article 6 of the Intercantonal Agreement on Harmonisation of Compulsory Education (HarmoS Agreement) of 14 June 2007. Canton of Ticino: applications may be submitted up to and including the 6th year.

³ The applications will be submitted by the corresponding grantee. This shall also be the case if the grant is requested for the benefit of an employee pursuant to Clause 4.4 letters b and c.

⁴ The application must be submitted in electronic form as a supplementary grant application in accordance with the guidelines provided in *mySNF*, and it must contain all mandatory information and enclosures.

4.7 Assessment procedure⁴²

¹ Provided the requirements pursuant to Clauses 4.4 and 4.5 are met, the SNSF shall assess whether the measures are warranted. The measures are considered warranted if they enable the researcher to achieve a better balance between his/her ongoing research activities and child care duties and if delays can be kept to a minimum.

² The SNSF may reject the application or lower the requested amount should the measure be deemed unwarranted or only partially warranted.

³ The SNSF will not consider any applications that fail to meet the requirements pursuant to Clauses 4.4-4.6.

4.8 Award and transfer of funds, and extensions⁴³

¹ In an initial phase, the grants are awarded for a maximum of 24 months and charged to the overall grant for the approved research project.

² Through submission of a follow-up application, the Flexibility Grant can be easily extended for a second phase until the end of the research project, provided the requirements continue to be met.

³ If the approved research project ends no later than 30 months after the start of the Flexibility Grant, the latter is awarded for the entire duration up to the end of the project.

⁴ Funds are transferred at the request of the corresponding grantee (payment in instalments).

⁵ A follow-up application pursuant to paragraph 2 may also be used to request the extension of a Flexibility Grant based on the extension of the approved research project. Approval depends on whether the person using the Flexibility Grant continues to be employed and meet the requirements during the project extension period.

4.9 Eligible costs

¹ In the case of grants towards hiring a support person, the support person's salary is covered by the grant. The SNSF provisions on the employment of personnel apply. The funds saved due to the reduction in work-time percentage are credited to the grant.

² In the case of the grant towards child care costs, only the actual costs of child care by third parties, up to a maximum of CHF 1,000 per child/month, are covered by the SNSF grant. Any contributions towards child care costs which the parents receive from their employers will be deducted.

⁴² Amended based on the decision of the Presiding Board of the National Research Council of 3 November 2020, in force as of 1 January 2021.

⁴³ Amended based on the decision of the Presiding Board of the National Research Council of 3 November 2020, in force as of 1 January 2021.

³ The SNSF offsets any reductions (Clause 4.7 paragraph 2) against the duration and/or amount of the requested grant.

⁴ The entire grant may not exceed CHF 30,000/year.

4.10 Use of the grant and modifications

¹ The grant must be drawn during the funding period of the research project supported by the SNSF.

² Grantees are obliged to inform the SNSF without delay of any circumstances that could change or influence the fulfilment of the grant conditions (Article 39 Funding Regulations). In particular, the SNSF must be informed about any changes to child care arrangements. The SNSF may modify or terminate the grant should the grant conditions no longer be met.

4.11 Reporting

¹ A separate scientific report on the Flexibility Grant is not required. Reporting shall be effected within the scope of the regular scientific report on the SNSF-funded research project

² Accounting will take place within the scope of the preparation of the regular financial report.

4.12 Further provisions

Subject to any specific provisions in this Annex, the provisions of the Funding Regulations and the General implementation regulations for the Funding Regulations apply.

Annex 5: Mobility grants for doctoral students working on SNSF-funded research projects

Clause 2.19 General implementation regulations for the Funding Regulations;
Version of 3 November 2020

I. General provisions

5.1 Principle

¹ Doctoral students employed in SNSF-funded research projects may claim the costs of a single period of stay abroad relating to their doctorate (hereinafter referred to as mobility grants) in accordance with the following provisions.

² A mobility grant gives the doctoral students greater flexibility in organising their careers. The SNSF views mobility as an essential element of an academic career.

³ During the period spent abroad, the grantee will remain matriculated at the Swiss home institution and employed as a doctoral student in the SNSF-funded research project.

5.2 Duration and location of stay abroad

¹ The mobility grant is awarded once for a period of between six and twelve months. The maximum duration of four years for a doctorate funded by the SNSF (Clause 7.3 General implementation regulations for the Funding Regulations) may not be extended by means of a period spent abroad.

² The time abroad must be spent at research institutions that add value to the doctorate and the researcher's career.

³ In addition, the periods of time abroad should serve the aims of the underlying research project.

II. Formal requirements and evaluation procedure

5.3 Personal requirements

Applicants for a mobility grant must be matriculated as doctoral students and employed as such in an SNSF-funded research project.

5.4 Objective requirements

¹ The period spent abroad must take place during the SNSF-funded research project.

² The application for a mobility grant must be submitted in electronic form and in the prescribed file formats and must contain all mandatory data and enclosures.

The mandatory enclosures include, in particular:

- a. a detailed budget for the additional costs;
- b. confirmation in which the host institution guarantees provision of the necessary specialist support and access to infrastructure.

5.5 Submission of applications and deadlines

¹ The applications must be submitted electronically using the mySNF web platform by the head of the project funded by the SNSF.

² The applications must be submitted no later than two months before the start of the period abroad. Clause 1.15 of the General implementation regulations for the Funding Regulations applies accordingly with regard to the timely submission of applications.

³ Applications for a mobility grant may be submitted at any time during a research project funded by the SNSF. Consequently, applications may be submitted from the day on which the SNSF-funded research project begins and no later than eight months before the project end date.

5.6 Non-consideration

The SNSF does not consider applications that fail to meet the formal requirements specified in sections 5.3-5.5.

5.7 Evaluation procedure⁴⁴

¹ Provided the requirements pursuant to Clauses 5.3 and 5.4 are met, the SNSF will assess whether the mobility stay is warranted. This is the case if the stay in question adds value to the applicant's doctoral thesis and research career.

² The SNSF may reject the application or lower the requested amount should the stay be deemed unwarranted or only partially warranted.

III. Eligible costs

5.8 Costs and supplementary grants

¹ The doctoral students may claim the following costs:

- a. travel expenses for the trip to and from the host institution. As a general rule, the cheapest mode of transport should be selected (train, bus, economy class). The travel expenses of accompanying family members (partner, children) will also be paid provided that these members of the doctoral student's family are staying for the full period abroad;
- b. costs incurred while abroad (accommodation costs, matriculation and infrastructure fees at higher education institutions abroad, e.g. library fees);
- c. a grant for participation in scientific conferences that are relevant to the doctoral student's own research and cannot be financed through the research project.

² No research costs may be claimed.

³ The maximum SNSF grant available for a period of time spent abroad is CHF 20,000. A higher amount may be paid if the doctoral student is accompanied abroad by members of his or her family (partner, children).

⁴ The SNSF may reduce the duration and budget compared with the submitted application.

⁵ The mobility grant will be calculated based on the budget submitted as part of the application (Clause 5.4 paragraph 2 letter a). On request and if justified, the SNSF may award a supplementary grant after taking into account changes in the personal situation occurring after submission of the

⁴⁴ Amended based on the decision of the Presiding Board of the National Research Council of 3 November 2020, in force as of 1 January 2021.

application, provided the reason for the change was neither known nor foreseeable at the time of submission.⁴⁵

5.9 Salary

The doctoral student's salary will continue to be guaranteed through his/her SNSF-funded employment in the context of the research project.

IV. Use of funds; further provisions

5.10 Release of funds⁴⁶

The awarded funds are transferred on receipt of a corresponding request from the grantee of the SNSF-funded project and charged to the overall SNSF project grant. This procedure is governed by Article 33 of the Funding Regulations.

5.11 Insurance

The grantee is responsible for any additional insurance as may be required for the period spent abroad and not covered by the employer.

5.12 Reporting

¹ Reporting shall be effected within the scope of the regular scientific report on the research project funded by the SNSF. No separate scientific report needs to be submitted.

² The financial statement shall be submitted within the scope of the regular financial report.

³ If no stay abroad has been made, this must be shown in the financial report and the funds allocated for the stay abroad must be refunded to the SNSF.

V. Final provisions

5.13 Sundry provisions

Insofar as this Annex does not contain any special provisions, the provisions of the Funding Regulations and General implementation regulations for the Funding Regulations apply.

⁴⁵ Amended based on the decision of the Presiding Board of the National Research Council of 3 November 2020, in force as of 1 January 2021.

⁴⁶ Amended based on the decision of the Presiding Board of the National Research Council of 3 November 2020, in force as of 1 January 2021.

Annex 6: Research time for clinicians

Clause 2.20 General implementation regulations for the Funding Regulations;
Version of 1 March 2021

6.1 Principles

The Swiss National Science Foundation aims to ensure that active clinicians can devote 30% of their working time (30% of a full-time equivalent) to their SNSF-funded research projects, during which they are released from their clinical duties. The SNSF and the employer shall each assume half of the salary costs attributable to the protected research time.

6.2 Personal requirements

Persons may submit a request for a grant for protected research time for clinicians (hereinafter “protected research time”) if they:

- a. meet the personal requirements for applicants as stipulated in Article 10 of the Funding Regulations and Articles 4 and 5 of the Project Funding Regulations;
- b. are doing clinical work at an eligible Swiss hospital as defined by the Research and Innovation Promotion Act (RIPA);
- c. are the applicant of a research project to be evaluated by the Biology and Medicine division;
- d. have never received a grant for protected research time;
- e. do not already hold a structural position with budget responsibility at a hospital or an academic tenured position.

6.3 Objective requirements

Applications for a grant for protected research time must be submitted via mySNF and must include the following data and documents:

- a. a detailed description of the applicant’s role in the underlying research project;
- b. a written and binding agreement between the applicant and their employer, which is signed by both parties and which confirms the start, duration and breakdown of the protected research time and the corresponding release from clinical tasks; the protected research time may vary between 10 and 50%, but must correspond on average to 30% across the entire duration of the project;
- c. an itemised list of the salary costs incurred (incl. social security contributions) and their apportionment to the SNSF and the employer respectively.

6.4 Submission of applications and deadlines

¹ The application for protected research time must be submitted at the same time as the project proposal and must be mentioned in the context of the proposal (in the cover letter). The costs for protected research time must not be entered in the project budget.⁴⁷

² A grant for protected research time may last for the entire duration of the underlying project grant; it starts at the earliest concurrently with the transfer of the project grant and ends at the latest with the conclusion or discontinuation of the project. An extension is not possible.

⁴⁷ Amendment of 20 July 2017, in force with immediate effect.

6.5 Eligible costs

¹ The cantonal rates for the relevant function level serve as a basis for calculating the salary costs for research time, incl. locally applicable employer contributions towards social security.⁴⁸ Any salary components deriving from private practice or other sources are not eligible and must be borne by the employer in full.

² A maximum gross salary of CHF 150,000 (plus employer contributions according to the rates recognised by the SNSF) may not be exceeded. Any additional salary costs shall be borne by the employer in full.

³ Unused grants for protected research time must be refunded to the SNSF and may not be put to any other use.

6.6 Scientific evaluation

¹ Applicants for a grant for protected research time must make a substantial personal contribution to the project that corresponds to at least 30% of a full-time equivalent.

² Decisions on applications for grants for protected research time are taken together with the main funding decision with regard to the underlying research project.

6.7 Duty to inform and scientific reporting

Any changes to the agreement mentioned in Clause 6.3 of this Annex must be submitted to the SNSF for approval.

6.8 Transitional provisions

The initiative for protected research time for clinicians is currently planned to last till 2020.

In the case of project grants with rulings dated between March 2015 and March 2017, grants for protected research time may also be applied for during the funding period of the project grant. In this context, the provisions of these Regulations, in particular the personal and objective requirements, apply *mutatis mutandis*.

⁴⁸ The relevant basis for the calculation of the "Protected Research Time for Clinicians" grants is the gross salary at the time of the award. Any subsequent salary adjustments shall be borne by the employer. (Explanation of practice as of 1.3.2021)

Annex 7: Costs for gender equality measures: Gender equality grant

Clause 2.21 General implementation regulations for the Funding Regulations; Version of 24 September 2019, in force as of 2 October 2019

7.1 Objectives and principles

The SNSF supports the career development and networking activities of young women researchers by covering the costs of measures to promote equal opportunities.

7.2 Eligible costs

The gender equality grant is included in the eligible costs pursuant to Article 28 of the Funding Regulations. A maximum of CHF 1,000 is paid per eligible woman researcher per 12 months' project running time.

7.3 Funded measures

The gender equality grant may be used for mentoring, coaching, career development courses, networking meetings and similar measures. The gender equality grant is not meant to be used to cover family support measures (e.g. child care costs).

7.4 Personal requirements; levels

The gender equality grant may be claimed by young women researchers at the following levels:

- a. doctoral students,
- b. postdocs and
- c. employees of universities of applied sciences without a doctorate.

7.5 Personal requirements; funding by the SNSF⁴⁹

The following young women researchers may receive a gender equality grant:

- a. Grant holders under SNSF career funding schemes (with the exception of Eccellenza, SNSF professorships and Assistant Professor Energy Grants);
- b. SNSF-funded female collaborators who are employed at a Swiss institution.

7.6 Work-time percentage

A work-time percentage of 60%, funded by the SNSF, is generally a prerequisite of a gender equality grant. The SNSF may grant exceptions. Doctoral students may be awarded a Gender Equality Grant irrespective of their work-time percentage.⁵⁰

7.7 Deficit guarantee

The gender equality grant is debited to the project funds and need not be applied for. If the gender equality grant cannot be covered via the awarded project funding, the costs can be claimed in retrospect, provided that reference is made to the corresponding receipts in the final financial report (deficit guarantee).

⁴⁹ Editorial amendment of 30 November 2018, in force with immediate effect.

⁵⁰ Changed based on the Research Council decision of 24 September 2019, in force as of 2 October 2019.

Annex 8: Grants for exemption from teaching duties

Clause 2.23 General implementation regulations for the Funding Regulations;
Version of 12 December 2018

8.1 Conditions and application

Grants for exemption from teaching duties (Article 8, paragraph 5 of the Project Funding Regulations⁵¹) must be applied for when the project application is made. The following conditions must be fulfilled cumulatively in order for the grants to be awarded:

- a. the project must have a minimum duration of two years;
- b. the grant for exemption from teaching duties relates solely to the applicant;
- c. the application must be a professor, associate professor or assistant professor at a higher education institution or a professor at a university of applied sciences/university of teacher education;
- d. there must be a period of at least four years between any two applications for a grant for exemption from teaching duties;
- e. the higher education institution must consent to the application for a grant for exemption from teaching duties.

8.2 Scope and use of grants

The SNSF will award a grant for exemption from teaching duties in the amount of CHF 6,000 for one semester hour per week up to a maximum of CHF 24,000 for four semester hours per week. Only one application may be approved per project. The hours covered by the exemption grant may be spread across one or two semesters. Costs incurred in excess of the approved amount will not be paid by the SNSF. The grants may not be used for any purpose other than exemption from teaching duties.

8.3 Reporting

Holders of grants for exemption from teaching duties are required to inform the SNSF about the value added by the grant in the final scientific report.

8.4 Pilot project⁵²

⁵¹ <http://www.snf.ch/SiteCollectionDocuments/projektfoerderungsreglement-e.pdf>

⁵² Repealed based on the decision of the National Research Council of 12 December 2018, in force with immediate effect.

Annex 9: Recognised grant administration offices

Clause 5.1 General implementation regulations for the Funding Regulations;
Version of 30 October 2020

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Annex 10a: Cooperation agreement with grant administration offices

Clause 5.2 in conjunction with Clause 5.1 para. 1 General implementation regulations for the Funding Regulations

Cooperation agreement between

the Swiss National Science Foundation (SNSF)

and

the grant administration office (GAO)

I. Object of agreement, aim

Pursuant to Article 37 of the SNSF's Funding Regulations, the recipients of SNSF grants must arrange for their grants to be administered by a recognised grant administration office (GAO).

This agreement governs the working relationship between the SNSF and the GAO. The aim is to ensure proper, uniform and timely accountability with regard to the grants awarded by the SNSF.

II. Legal framework

The administration of SNSF grants is based on the following:

1. Funding Regulations of 27 February 2015;
2. General implementation regulations for the Funding Regulations of 9 December 2015 (including Annexes);
3. SNSF provisions relating to individual funding schemes (regulations and calls).

III. Recognition of a GAO

1. An institution's grant administration office (GAO) will be recognised by the Administrative Offices of the SNSF, provided the GAO undertakes to manage the grants in accordance with the relevant and applicable SNSF provisions and with this agreement.
2. The SNSF only recognises grant administration offices that manage at least 20 grants on average per year.
3. Annex 9 of the General implementation regulations for the Funding Regulations contains a list of the recognised grant administration offices.

IV. Rights and obligations of the GAO

1. Grant administration; principles

The GAO takes care of the central administration of the SNSF grants awarded to the employees of its institution. It is obliged to manage and disclose these SNSF grants separately from the institution's other funds. The GAO shall ensure that it has an appropriately staffed unit, in terms of skills and size, to administer the grants properly.

2. Financial reporting

The GAO prepares the interim and final financial reports as prescribed by the SNSF (in terms of layout and degree of detail), generally doing so annually. The GAO ensures that these are submitted to the SNSF on time.

3. Grantees from different institutions

If the SNSF has awarded a grant to several recipients, it will pay the full amount to the GAO of the corresponding grantee (Article 32 paragraph 3 of the Funding Regulations). In such a case, the GAO of the corresponding grantee will carry out the financial reporting for the full amount.

4. Filing and archiving of receipts

The submitted receipts will be filed and archived as agreed with the SNSF. If these processes are electronic, the principles of proper data processing shall apply accordingly.

5. Monitoring of eligible costs

The GAO is obliged to check that the grantees are invoicing their institution only for eligible costs pursuant to the SNSF provisions governing the grant.

6. Monitoring of salaries and employment conditions

The GAO is obliged to review (where necessary together with the responsible personnel department of the institution) whether the salaries, employment conditions and social security contributions with regard to employees being funded by an SNSF grant comply with the SNSF provisions (Annex 12 of the General implementation regulations).

7. Information for the attention of grantees

The GAO will keep the grantees regularly informed of the account balance for their grant.

8. Call-up of annual instalments

The GAO will ensure that the grantees call up the annual instalments in good time.

9. Procedure in the event of inconsistencies and breaches

The GAO will make the grantees aware of any inconsistencies or breaches of the SNSF provisions governing use of the grant without delay and arrange for the required corrective measures to be taken.

10. Information for the attention of the SNSF

In the event of conflicts and serious breaches of the SNSF provisions governing the use of the grant, the GAO will inform the SNSF without delay. In particular, the SNSF should be informed immediately if grantees are permanently or temporarily impeded from carrying out their work. In this

event, no payments may be debited to the SNSF grant until such time as the situation has been resolved. The SNSF will issue the necessary instructions in such cases.

11. Access to mySNF

For the purposes of fulfilling its remit, the GAO will have access to the personal and project data in mySNF to the extent necessary to administer the grant.

12. Investment of SNSF grants

The GAO may invest the SNSF grants for the purposes of generating a return but will be liable towards the SNSF for any loss incurred. The GAO is not required to provide the SNSF with a statement showing income earned and its use.

V. Rights and obligations of the SNSF

1. Information for the attention of the GAO

The SNSF undertakes to inform the GAO of grants that have been awarded to grantees carrying out research at its institution as well as of all further facts relevant to the administration of the grants. Information on the grants awarded will be provided via mySNF.

2. Non-payment

The SNSF may refrain from paying out instalments to grantees if interim or final reports are outstanding or if conditions or limits imposed by the SNSF have not been fulfilled or observed.

VI. Quality assurance

1. Discussions between the SNSF and GAO

Regular quality assurance discussions and meetings will be held between the managers from the GAO and the SNSF staff responsible for financial control. These discussions will serve to resolve any questions about managing the grants and will promote cooperation.

2. Instructions

The SNSF may issue the GAO with written instructions in individual cases.

For the SNSF:

For the grant administration office:

Annex 10b: Agreement on the administration of a grant

Clause 5.2 in conjunction with Clause 5.1 para. 3 General implementation regulations for the Funding Regulations

Agreement between

the Swiss National Science Foundation (SNSF)

and

..... (administration office)

concerning the administration of

grant no.

grantee.....

I. Object of agreement, aim

In principle, the recipients of SNSF grants must arrange for their grants to be administered by a recognised grant administration office (GAO).

Should this not be possible, however, pursuant to Article 37 paragraph 3 of the Funding Regulations in conjunction with Clause 5.1 paragraph 3 of the General implementation regulations for the Funding Regulations of the SNSF (IR), grants may be administered by the grantees themselves or by another office that assumes this fiduciary role. This Agreement regulates the administration, monitoring and due diligence duties of the administration office provided for in Clause 5.1 paragraph 3 IR.

II. Legal framework

The administration of SNSF grants is based on the following:

- 1. Funding Regulations of 27 February 2015;
- 2. General implementation regulations for the Funding Regulations of 9 December 2015 (including Annexes);
- 3. SNSF provisions relating to individual funding schemes (regulations and calls).

III. Requirements to be met by the administration office

The administration office must be in a position to and must commit itself to administering the grant in accordance with the provisions issued by the SNSF and in accordance with this Agreement.

IV. Rights and obligations of the administration office

1. Grant administration; principles

The administration office takes care of the administration of the above-mentioned SNSF grant. It is obliged to manage and disclose the SNSF grant separately from the office's other funds. .

2. Financial reporting

The administration office prepares the interim and final financial reports as prescribed by the SNSF (in terms of layout and degree of detail), generally doing so annually. The administration office ensures that these are submitted to the SNSF on time.

3. Grantees from different institutions

If the SNSF has awarded a grant to several recipients, it will pay the full amount to the administration office of the corresponding grantee (Article 32 paragraph 3 of the Funding Regulations). In such a case, the administration office of the corresponding grantee will carry out the financial reporting for the full amount.

4. Filing and archiving of receipts

In principle, the original copies of all receipts must be submitted to the SNSF. Electronic submission is permissible if the administration office can show that it has its processes audited and observes the ten-year obligation to archive.

5. Monitoring of eligible costs

The administration office is obliged to check that the grantees are invoicing their institution only for eligible costs pursuant to the SNSF provisions governing the grant.

6. Monitoring of salaries and employment conditions

The administration office is obliged to review (where necessary together with the responsible personnel department of the institution) whether the salaries, employment conditions and social security contributions with regard to employees being funded by an SNSF grant comply with the SNSF provisions (Annex 12 of the General implementation regulations).

7. Information for the attention of grantees

The administration office will keep the grantees regularly informed of the account balance for their grant.

8. Call-up of annual instalments

The administration office will ensure that the grantees call up the annual instalments in good time.

9. Procedure in the event of inconsistencies and breaches

The administration office will make the grantees aware of any inconsistencies or breaches of the SNSF provisions governing the use of the grant without delay and arrange for the required corrective measures to be taken.

10. Information for the attention of the SNSF

In the event of conflicts and serious breaches of the SNSF provisions governing the use of the grant, the administration office will inform the SNSF without delay. In particular, the SNSF should be informed immediately if grantees are permanently or temporarily impeded from carrying out their work. In this event, no payments may be debited to the SNSF grant until such time as the situation has been resolved. The SNSF will issue the necessary instructions in such cases.

V. Rights and obligations of the SNSF

1. Information for the attention of the administration office

The SNSF undertakes to make information that is relevant to grant administration available on its website.

2. Non-payment

The SNSF may refrain from paying out instalments to grantees if interim or final reports are outstanding or if conditions or limits imposed by the SNSF have not been fulfilled or observed.

3. Instructions

The SNSF may issue the administration office with written instructions in individual cases.

For the SNSF:

For the administration office:

Annex 11: SNSF contact persons (heads of finance units)

Clause 6.7 General implementation regulations for the Funding Regulations;
Version of 1 December 2019

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Annex 12: Salary ranges, guidelines for employees in SNSF-funded projects and blanket amounts for social security contributions⁵³

Clause 7.1 et seq. General implementation regulations for the Funding Regulations;
Version of 24 September 2019

Introductory comments

There are three categories of employees in SNSF-funded projects: "doctoral students", "postdocs" and "other employees". This categorisation is based on the employee's official status in the project. This status must be clearly communicated to the SNSF. Doctoral students cannot be employed as "other employees".

The SNSF's commitment to promoting young researchers is an important part of its research funding mandate. Accordingly SNSF-funded employees should not remain in the categories "doctoral students" and "postdocs" over a long period.

The target for **doctoral students** is to complete their dissertation in good time. Experience has shown that, in order to achieve this goal, doctoral students need to devote 80-100% of a full-time equivalent position (FTE) to their dissertation (Clause 7.3 paragraph 3 of the General implementation regulations for the Funding Regulations). Devoting less than 80% of an FTE to the dissertation is only permissible if the following requirements are cumulatively met: a. The doctoral thesis can be completed over the regular four-year period; b. It is the doctoral student's own choice to spend less time on the doctoral thesis; c. Completion of the project is not jeopardised in any way. The maximum funding period is four years.

For **postdocs**, the goal is to become scientifically independent as soon as possible so that they can compete internationally and optimise their academic career prospects. The maximum funding period is five years.

The aim in employing **other employees** is to ensure that each project is adequately staffed with qualified people for specific tasks.

12.1 Salary range for doctoral students

The following salary range comprises an annual gross salary, excluding social security contributions by the employer. Salaries must not fall below the minimum of the salary range for doctoral students regardless of their work quota. If the salary is financed through different sources, the sum total must not be lower than the minimum salary.

Doctoral students

CHF 47,040 to 50,040

The maximum period of employment for doctoral students funded by the SNSF is four years. The other conditions applicable to doctoral students must be complied with, particularly Clauses 7.3 and 7.6 of the General implementation regulations for the Funding Regulations.

⁵³ Wording based on the Research Council decision of 24 September 2019, in force since 2 October 2019.

12.2 Salary ranges for postdocs and other employees

The following salary ranges are annual gross salaries, excluding social security contributions by the employer, calculated on a full-time basis. For employees on shorter working weeks, the amounts must be reduced accordingly:

Postdocs

CHF 80,000 to 105,000

other employees (see rules below):

Minimum of CHF 40,000; Maximum acc. to institution's salary guideline

The "Other employees" category consists of employees with a degree who do not intend to do a doctorate; employees with a doctorate who do not meet the requirements for the postdoc category with regard to employment duration and time window; technicians; auxiliary staff.

12.3 General rules

The following general rules apply to the employment of personnel under an SNSF grant:

- Within the stated salary ranges, institutions may apply their usual salary standards. The SNSF reserves the right to lower any disproportionately high salaries specified by individual institutions for other employees.
- Institutions are responsible for ensuring salary equality within their institutions.
- Employees' work quotas (in percentage terms), if charged to the grant, must correspond to the actual time spent working on the project.
- Other employees' salaries can only be covered by an SNSF grant if they make a specific contribution to the proposed project. It is not possible to apply for career grants for other employees.
- Postdoc positions that are still vacant (NN positions) may be budgeted only at the middle rate of the relevant salary range. For positions for other employees that are still vacant (NN positions), the relevant role must be justified and the salary budgeted proportionately. NN positions for doctoral students may be entered in the budget with annual adjustments (salary for first to fourth year) if the relevant salary range is respected. Positions with an annual gross salary of less than CHF 5,000 do not fall under the reportable personnel changes.
- The salaries charged to the grant may not be higher than the salaries actually paid and may therefore not include any additional costs such as, for instance, overhead costs.
- The SNSF approves positions for doctoral students at universities of applied sciences and universities of teacher education where there is a well-documented scientific cooperation with a university in Switzerland. As a rule, the SNSF does not approve positions for doctoral students who are matriculated abroad. Exceptions are granted in research areas covered at universities of applied sciences and universities of teacher education in which no suitable partnership with a Swiss university is possible.

12.4 Adjustments to salary ranges

The regular review of the salary ranges is delegated to the SNSF Administrative Offices. They shall have the final say in adjustments up to the level of any general increase in salaries that has occurred since the previous adjustment. However, there is no mandatory requirement to match such

general increases. Higher adjustments shall be decided by the Presiding Board of the Research Council. Adjustments will generally enter into force on 1 January and will be communicated to the institutions in advance.

12.5 Lump sums for social security contributions

For employees remunerated via an SNSF grant, the SNSF pays the grantees in the form of a lump sum the equivalent of the statutory social security contributions payable by employers in accordance with AHVG/IVG/EOG, BVG, AVIG and UVG (Swiss federal acts on social security contributions). This also applies to any family allowances or any other benefits commonly paid locally. In the financial reports, the actual amount incurred for social security contributions must be stated. The lump sums (clause 7.7 of the General implementation regulations for the Funding Regulations) for the employer's share in the social security contributions (as percentages of the relevant total gross salary) are:

University of Basel	14%
University of Bern	15%
EPFL	16%
ETHZ	16%
EAWAG, EMPA, PSI, WSL	16%
University of Fribourg	19%
University of Geneva (incl. IHEID)	23%
University Lausanne (incl. CHUV)	16%
University of Lugano	14%
University of Lucerne	16%
University of Neuchâtel	23%
University of St. Gallen	14%
University of Zurich	15%
Other institutions, usually	16%

Annex 13: Sample employment contract

Clauses 7.1, 7.2 and 7.7 General implementation regulations for the Funding Regulations; Version of 24 September 2019

Employment Contract

between

Name of employer (cf. Article 38 of the Funding Regulations)

and

(Name of the employee)

1. Employment

The employee is employed within the scope of SNSF Grant No. _____
for the research project

(Title of the research project)

in the capacity of: postdoc
 doctoral student
 other employee

The employment relationship shall start on _____ (starting date)

It is - limited until _____ (ending date)
- unlimited. (delete as appropriate)

The place of work is _____.

Line manager:

(Name of the responsible grantee)

2. Job description

The job description is attached to the employment contract.

3. Work-time percentage

This position is for _____% full-time equivalent, with average weekly working time of _____ hours. Work that extends beyond the working hours agreed with the employee shall be considered as overtime, and shall normally be compensated by the granting of time off in lieu.

Extract from the General implementation regulations for the Funding Regulations (Clause 7.3 / doctoral students):

The work-time percentage of the doctoral students is defined by the employer. It must generally be appropriate to the task of completing a dissertation within a period of four years. This is based on the presumption that 80-100% of a full-time equivalent position (FTE) is devoted to a dissertation.

4. Holidays

The holiday entitlement shall amount to _____ weeks per year (Article 329a Swiss Code of Obligations).

5. Salary

The gross salary shall amount to CHF _____ per year, based on salary class _____. The statutory, contractual or regulatory social security contributions AHV/IV/EO/ALV/BU/NBU and pension contributions shall be deducted from the gross salary.

Extract from Annex 12 to the General implementation regulations for the Funding Regulations:

The SNSF salary ranges are as follows (minimum gross annual salary excluding employer's social security contributions):

- | | |
|---|-----------------------|
| a) for doctoral students | CHF 47,040 to 50,040 |
| b) for postdocs | CHF 80,000 to 105,000 |
| c) for other employees | minimum: CHF 40,000; |
| maximum: acc. to salary ranges of the institution | |

The SNSF reserves the right to lower disproportionately high salary ranges for other employees in force at the institutions.

6. Payment of salary in the case of illness/accident/maternity/occupational pension

The employment law that is binding on the employer shall apply subsidiarily to the provisions of the Code of Obligations.

7. Protection of privacy

The employer shall not tolerate sexual harassment, discrimination or any other infringements of a person's rights at the workplace. In the event of any corresponding breaches, the employer shall afford the affected employee effective assistance and shall take the necessary punitive measures. See also: Clause 7.1 letter b of the General implementation regulations for the Funding Regulations.

8. Intellectual property

Ownership of the research result produced in the context of the research project referred to under Clause 1 is based on the provisions adopted to this effect by the employer.

The grantees are obliged to reach agreement with their employer on the rights to the research results by no later than the date on which the research work funded by the SNSF is concluded. The grantees will grant those who have collaborated on the scientific work the corresponding codetermination rights and author's rights.

9. Termination

The first three (3) months of employment shall constitute a probationary period during which either party may give notice in writing seven (7) days prior to the end of the working week to terminate the employment contract. After the probation period has been completed, either party may terminate the employment agreement subject to giving the following periods of notice to the end of a month.

Employment duration up to one (1) year	1 month
Employment duration between one (1) and three (3) years	2 months
Employment duration longer than three (3) years	3 months

Notice of termination shall be given in writing.

Either party may terminate the employment relationship with immediate effect for good cause (Article 337 of the Code of Obligations).

Article 336 et seq. of the Code of Obligations on wrongful termination and termination at an inopportune juncture (pregnancy/maternity, illness, accident, compulsory military or civil defence, etc.) shall remain unaffected.

10. Jurisdiction

Except where provision is made in this contract to the contrary, the provisions of the employment law binding on the employer as well as the Code of Obligations also apply.

This contract shall be prepared in three original copies. The employee, employer and line manager shall each receive one fully signed copy.

Place and date: _____

Employer: _____
(Name and signature)

Employee: _____
(Name and signature)

Line manager: _____
(Name and signature)

Enclosures

Job description

Employment law binding on the employer

Pension fund regulations