Guidelines for the Submission of SPIRIT Applications

Table of contents

1. General remarks 3
2. Objectives 3
3. Gender awareness 3
4. Submitting an application 4
   4.1 mySNF user account 4
   4.2 Creating a new application 4
   4.3 Language 5
   4.4 Submission deadline 5
   4.5 Resubmissions 5
   4.6 Non-consideration 5
5. Evaluation 5
   5.1 SPIRIT Evaluation Commission 5
   5.2 Procedure 6
   5.3 Evaluation criteria 6
   5.4 Evaluation time span 6
6. Eligibility 6
   6.1 Scientific investigation team 6
   6.2 Partner countries 7
   6.3 Applicants in Switzerland 7
   6.4 Applicants in partner countries 7
   6.5 Applicants’ employment 8
   6.6 Project partners 8
7. Application 8
   7.1 Budget 8
   7.2 Data management plan DMP 9
   7.3 Project plan 10
   7.3.1 Good scientific practice 10
   7.3.2 Format, structure and content 10
   7.4 Curriculum vitae, publication list and list of major scientific achievements 11
   7.4.1 Curriculum vitae 12
   7.4.2 Publication list 12
   7.4.3 List of major scientific achievements 12
Abbreviations
AO: Administrative Offices
SPIRIT: Swiss Programme for International Research Projects by Scientific Investigation Teams
SEC: SPIRIT Evaluation Commission

Mentioned regulations
SPIRIT Regulations
Funding Regulations
General Implementation Regulations
Regulations on scientific misconduct
1. **General remarks**

The following guidelines are based on the Regulations on the Swiss Programme for International Research Projects by Scientific Investigation Teams (SPIRIT Regulations) and on the Organisational Regulations of the Evaluation Commission for the Swiss Programme for International Research Projects by Scientific Investigation Teams (SPIRIT) (SEC Regulations).

The first part of these guidelines provides additional information on the programme’s framework and conditions. The second part advises on the application process and reflects the structure of the application in mySNF.

2. **Objectives**

SPIRIT grants aim to lower barriers to international co-operation and assist cross-border collaboration. They also enable researchers from all disciplines to conduct collaborative scientific projects with clearly defined goals. For this reason, there are no restrictions with respect to discipline and topics can be chosen freely by the researchers. Furthermore, SPIRIT grants foster institutional co-operation and aspire to increase scientific capacity in research communities, especially in countries receiving development assistance. Such scientific capacity building can take various forms: these include not only the support and fostering of scientific capacity of persons in partner countries, but also the support and fostering of scientific capacity of researchers in Switzerland, of young researchers in general and of women. Furthermore, the encouragement of gender awareness is also understood as a form of capacity development.

The list of eligible partner countries is established by the Specialised Committee International Collaboration (Specialized Committee) and updated on a regular basis.¹ The partner countries are determined on the basis of the list of official development assistance recipients established by the OECD Development Assistance Committee.²

SPIRIT supports fair and equitable research cooperation with partner countries. The Commission for Research Partnerships with Developing Countries (Kommission für Forschungspartnerschaften mit Entwicklungsländern (KFPE)) developed the Guide for Transboundary Research Partnerships for researchers who plan to engage in equal partnership towards a common goal. Its 11 principles and 7 fundamental questions provide a framework for transboundary and intercultural research in partnership as a continuous process of sound knowledge generation, building mutual trust, mutual learning and shared ownership. SPIRIT applicants are strongly encouraged to adopt the KFPE’s principles for their planned project.

3. **Gender awareness**

SPIRIT grants promote gender awareness and equal opportunities. This is manifest in various points, e.g., in the fact that costs for the organisation of conferences and workshops in connection with the SPIRIT project or linked to project-related gender awareness raising activities can be

---

¹ For the complete list of eligible partner countries, refer to [www.snsf.ch/spirit](http://www.snsf.ch/spirit) and to point 4.4 of these guidelines.
requested. More decisively, if two or more applications are evaluated as scientifically equivalent during the evaluation process, the SPIRIT Evaluation Commission (SEC) gives priority to applications by female applicants, or to those applications that show better gender awareness. This gender awareness may be reflected on the level of content, e.g., when the dimension of gender is taken into account in the elaboration of the research question, or on the level of the project team, e.g., when the team includes female or gender non-binary team members.

Considering which role gender and sex play for a study may add important dimensions to one’s research. At the same time, neglecting to ask how gender and sex may pertain to one’s research may lead to skewed results and missed opportunities. The interaction of gender and sex with certain research topics may be central to the overall research question, or it may be evident only for certain parts of the research, or it may not be immediately discernable. Challenging first impressions and common biases regarding the significance of gender and sex for certain kinds of research can lead to unexpected insights and extraordinary discovery.

At the same time, it is possible that some research does not lend itself to the inclusion of questions on gender and sex. However, this does not imply that researchers should not deliberate how gender and sex may be relevant for their research, even if in the end they conclude that this is not the case. In order for the gender awareness criterion in SPIRIT to be positively assessed, researchers need not necessarily ask questions of gender and sex, but much rather show that they have gone through a reflective process, even if the conclusion is that there is no significant relevance.

The same is true for the composition of research teams. Applicants must show that they have taken all the possible and necessary steps to arrive at a gender-balanced team and to support women and gender non-binary person in their academic work and careers. In order to achieve a desirable number of female and gender non-binary members in SPIRIT Scientific Investigation Teams, the SNSF invites women and gender non-binary persons in particular to apply.

4. Submitting an application

4.1 mySNF user account

Applications must be submitted to the SNSF electronically, on mySNF (mySNF.ch), which requires a user account. We recommend planning in sufficient time for the request of a new mySNF account and the elaboration of an application. Validating a new mySNF user account may take up to one week. For technical questions: mySNF support (German/French/English: +41 31 308 22 00; E-mail: mysnf.support@snf.ch. Mon - Fri, 8.30 to 11.30 / 13.30 to 16.30 Swiss time).

4.2 Creating a new application

To create an application, the option ‘Create a new application’ in the mySNF user account must be chosen. Next, under ‘Programmes’, the applicants select ‘SPIRIT’ and continue. The application

---

3 Cf. art. 10 par. 1d of the SPIRIT Regulations.

4 Sex commonly denotes biological differences between people with different reproductive organs or germ cells. Gender refers to the different social roles performed by and expected from people according to their assumed sex. SPIRIT employs an understanding of sex and gender as inherently linked: While biology in itself can be important to consider, it is essential to also understand biology as shaped by social roles. Social roles shape, for example, access to socio-economic resources, education, ways of using one’s body, nutrition patterns and exposures to stress and harmful chemicals, all of which influence biology and health. Cf. e.g. Stanford Gendered Innovations: https://genderedinnovations.stanford.edu/case-studies-science.html.
now appears under ‘Applications and Projects’, alongside other applications and projects created by the responsible applicant.

4.3 Language

All information must be provided in English. By doing so, applicants ensure that international reviewers will be able to assess the application adequately.

4.4 Submission deadline

The submission deadline is 2 November, at 17:00 Swiss local time. Applicants are welcome to submit their applications before this deadline.

4.5 Resubmissions

Applicants whose applications have been rejected are excluded from applying for SPIRIT contributions for four months from the date of the ruling. This applies to each individual applicant of an application, including co-applicants.

Re-submissions of applications are possible. A rejected application may be revised and resubmitted no more than twice. The SNSF will not consider a resubmitted application if it has not been substantially changed from the rejected version.

If a SPIRIT application is a revised version of a rejected SPIRIT application, upload a separate document containing a point-for-point response to the critique raised in the rejection letter. This statement must not exceed three pages. It must be uploaded as a separate document in the section “Project plan”, it must be in English and it must be named “revision_notes_[name of applicant].pdf”. Significant changes/additions in the research plan must be pointed out, if applicable.

4.6 Non-consideration

If an application does not meet the requirements for the project plan and/or is manifestly inadequate, it will not be considered.

5. Evaluation

5.1 SPIRIT Evaluation Commission

SPIRIT applications are evaluated by the SPIRIT Evaluation Commission (SEC). The SEC is composed of international experts in numerous research fields. The composition of the SEC can be viewed online: www.snf.ch > The SNSF > Research Council and evaluation bodies > Members of the evaluation bodies.

A Gender Equality Expert is part of the SEC. This designated member ensures that the actions of the SEC are guided by gender awareness and gender equality policy. In particular, they alert the SEC to gender issues, bring attention to the gender aspects of the application documents and pay attention to the equal treatment of the applicants.

---

5 Cf. art. 8 and 14 of the SPIRIT Regulations.
6 Cf. art. 14 and 22 of the Funding Regulations.
5.2 Procedure

Following an initial eligibility check, all applications undergo peer review. The SEC evaluates the applications and issues a recommendation for funding. The Specialized Committee and the Presiding Board of the National Research Council approve the decisions. The AO communicate the decisions by way of rejection letter or approval (ruling).7

5.3 Evaluation criteria

In particular, scientific evaluation is conducted in accordance with the following criteria:

- Scientific relevance
- Originality of the aims and objectives
- Appropriateness of the methodology and feasibility
- Track record and expertise of the researchers
- Complementarilty of the research partners
- Contribution to increasing scientific capacities in the relevant research field
- Contribution towards raising gender awareness and promoting equal opportunities8

Under the term “increasing scientific capacities”, the SNSF not only subsumes the support and fostering of scientific capacity of persons in partner countries, but also the support and fostering of scientific capacity of researchers in Switzerland, of young researchers in general and of women. Furthermore, the encouragement of gender awareness is also understood as a form of capacity development.

If two or more applications are found to be equivalent with regard to their scientific merit, the SNSF will give priority to applications by female applicants, or to those applications that show better gender awareness.9

5.4 Evaluation time span

Generally, the process from submission of the application to reception of the ruling (i.e., rejection or approval) takes approximately seven months.

6. Eligibility

6.1 Scientific investigation team

All applicants must be based either in Switzerland or in an eligible partner country, with at least one applicant being based in Switzerland and at least one in a partner country. Further applicants may be added, either in a partner country or in Switzerland. The total of applicants may not exceed four persons.10 It is possible to have more than one applicant from the same partner country.

---

7 Cf. art. 14 of the SPIRIT Regulations.
8 Cf. art. 13 par. 1-2 of the SPIRIT Regulations.
9 Cf. art. 13 par. 3 of the SPIRIT Regulations.
10 Cf. art. 7 of the SPIRIT Regulations.
6.2 Partner countries

The Specialized Committee establishes the list of partner countries. The list of eligible partner countries, called partner countries, is published on the SNF website and regularly updated.

Member countries of the European Union, countries associated to the Research and Innovation Framework Programme of the European Union, and countries who are involved in a bilateral call initiative with the SNSF are not eligible as partner countries and persons conducting research in these countries may not submit an application for a SPIRIT grant.

6.3 Applicants in Switzerland

Each applicant is personally responsible for the project and must meet the eligibility requirements for the submission of applications. Researchers are eligible to apply if they meet the requirements set out in article 10 of the Funding Regulations and in article 1.1 of the General Implementation Regulations for the Funding Regulations. If any applicant does not meet the eligibility requirements, the application will not be considered.

The applicants must designate one person in Switzerland as the responsible applicant, i.e. the representative of all applicants vis-à-vis the SNSF.

Each applicant (i.e., the responsible applicant and the other applicant(s) in Switzerland and in the partner countries) may only hold one SPIRIT grant at a time. Hence, if a person already holds a running SPIRIT grant, they may not submit an application for an additional one, unless the running grant's planned end date precedes the planned starting date of the submitted application. Furthermore, SPIRIT grants may not have overlapping funding periods with Ambizione or PRIMA grants. Eccellenza grantees and SNSF professors may not submit SPIRIT applications during the first two years of their grants.

6.4 Applicants in partner countries

Each applicant is personally responsible for the project and must meet the eligibility requirements for the submission of applications. Researchers from partner countries are eligible to apply if they meet the requirements set out in article 10 of the Funding Regulations and in article 1.1 of the General Implementation Regulations for the Funding Regulations. If one applicant does not meet the eligibility requirements, the application will not be considered.

Each applicant (i.e., responsible applicant or other applicant, in Switzerland or in the partner countries) may only hold one SPIRIT grant at a time. Hence, if a person already holds a running

---

11 The partner countries are determined on the basis of the list of official development assistance recipients established by the OECD Development Assistance Committee. The DAC List of ODA Recipients shows all countries and territories eligible to receive official development assistance (ODA). These consist of all low and middle income countries based on gross national income (GNI) per capita as published by the World Bank, with the exception of G8 members, EU members, and countries with a firm date for entry into the EU. The list also includes all of the Least Developed Countries (LDCs) as defined by the United Nations (UN). The list is adapted approximately every other year. The current DAC List of ODA recipients is available here: http://www.oecd.org/ > Departments > Development Co-operation Directorate > Development finance statistics > DAC List of ODA Recipients.
12 Cf. art. 4 and 7 of the SPIRIT Regulations.
13 Cf. art. 5 of the SPIRIT Regulations.
14 Cf. art. 7 par. 3, as well as art. 15, 16 and 17 of the SPIRIT Regulations.
15 Cf. art. 6 of the SPIRIT Regulations.
16 Cf. art. 5 of the SPIRIT Regulations and art. 12 par. 3 of the Funding Regulations.
SPIRIT grant, they may not submit an application for an additional one, unless the running grant’s planned end date precedes the planned starting date of the submitted application.

6.5 **Applicants’ employment**

All applicants must provide indication of employment. This information is used in the grant evaluation process to assess the applicants’ eligibility for submitting an application. For each applicant, one contact person must be named who can confirm the information provided (for example supervisor, responsible person in the HR department, etc.). The SNSF reserves the right to contact this person in order to verify the information provided.

6.6 **Project partners**

Project partners are researchers who make a partial contribution to the research project without assuming responsibility for the project as a whole. They may not refer to the support received from the SNSF as a grant they have themselves acquired.

Project partners are allowed if their contribution is necessary for carrying out the planned research project and does not serve any commercial purposes. In particular, researchers at higher education institutions, public institutions and non-profit organisations may be accepted. Project partners from commercially oriented institutions may also be accepted, provided they do not receive any financial benefits based on their contribution or participation.\(^{17}\)

Their contribution, such as services, analyses, etc., may be included in the project costs. However, the salaries of the project partners or their employees are not eligible for funding. The costs assigned to project partners should generally correspond to no more than 20% of the overall grant.

Services provided by project partners may include:

- Designing databases or websites (e.g., in digital humanities)
- Data preparation and analysis
- Recruiting patients
- Curating biobanks
- Elaborating legal reviews

Project partners may be based outside Switzerland and the partner countries.

7. **Application**

7.1 **Budget**

The maximum amount that can be requested for one SPIRIT grant is CHF 500'000, the minimum amount is CHF 50'000. The amount requested should be proportionate to the running time of the project.\(^{18}\) Applicants must provide a plausible explanation if proportionality cannot be warranted.

\(^{17}\) Cf. art. 11 of the Funding Regulations and 1.12 of the General Implementation Regulations.

\(^{18}\) Cf. art. 3 par. 2 of the SPIRIT Regulations.
At least 30% of the approved amount must be spent in Switzerland. At least 30% of the approved amount must be spent in the partner countries, regardless of their number.\textsuperscript{19} The remaining 40% can be distributed according to project needs.

Applicants’ salaries in Switzerland and in the partner countries are not included in the eligible costs.\textsuperscript{20}

Overhead costs may not be requested.\textsuperscript{21} However, applicants in the partner countries may ask for an augmentation of up to 5\% of the costs requested for the partner countries to cover general costs incurred by the research project.\textsuperscript{22} This augmentation must be calculated as follows: max. 5\% of the costs requested for the partner countries excluding the augmentation itself. The total requested amount, including the augmentation, may not exceed the maximum amount of CHF 500’000.

The following costs are eligible:

- Salaries of scientific and technical staff in the SPIRIT grant within the scope of the salary ranges and rates prescribed by the SNSF. Employees in partner countries may ask for salaries that correspond to the local standards of their country. Furthermore, salaries requested for employees in partner countries must be gross salaries and may not contain tuition fees.
- Material costs directly linked to the research work, namely material of enduring value, expendable items, field expenses, travel expenses, third-party charges, costs of computing time and data as well as costs of providing open access to research data
- Direct costs incurred through the use of research infrastructure linked to the research work
- Costs for organising conferences and workshops in connection with the SPIRIT grant or linked to project-related gender awareness raising activities
- Costs for national and international cooperation and networking activities relating to the SPIRIT grant.\textsuperscript{23}

As of 1 April 2018, costs for open access publications are no longer regarded as eligible costs under SNSF grants and must be applied for separately via mySNF. The SNSF will consider applications for coverage of book processing charges (BPCs) as of 1 April 2018 and applications for coverage of article processing charges (APCs) and book chapter processing charges (BCPCs) as of 1 October 2018. Publication costs for articles and book chapters published as of 1 April 2018 will be refunded as of 1 October 2018. For further information: www.snf.ch/oa.

### 7.2 Data management plan DMP

A data management plan must be filled out for each SPIRIT application. The aim of a DMP is to plan the life cycle of data. It offers a long-term perspective by outlining how data will be generated, collected, documented, shared and preserved. The SNSF provides a template to help researchers complete their data management plan. Each project’s DMP will refer to discipline specific standards and practices and thus its content may be different.

\textsuperscript{19} Cf. art. 3 par. 3 of the SPIRIT Regulations.
\textsuperscript{20} Cf. art. 10 par. 2a of the SPIRIT Regulations.
\textsuperscript{21} Cf. art. 10 par. 2b of the SPIRIT Regulations.
\textsuperscript{22} Cf. art. 11 par. 1 of the SPIRIT Regulations.
\textsuperscript{23} Cf. art. 10 of the SPIRIT Regulations.
The DMP form must be completed in English. The information you enter in the DMP is not part of the scientific evaluation and will not be shared with external reviewers. Note, however, that the final version of the DMP will be published on P3 at the end of the project.

Detailed guidelines are available for the DMP in the respective data container on mySNF. Furthermore, answers to a set of Frequently Asked Questions (FAQs) about open research data (ORD) are also available.

7.3 Project plan

The project plan is used in the evaluation process to assess the scientific quality of the research project and the scientific qualifications of the applicants.

7.3.1 Good scientific practice

The project plan must be written in accordance with the rules of good scientific practice and all sources must be cited correctly. It must consist of original text written by the applicants themselves. A limited amount of text (or other material, graphs, etc.) by third parties or text published by the applicants themselves is permissible in the sections concerning the state of research and the state of their own research as well as when describing standard methods, provided that the quoted texts are clearly designated as such (quotation marks or appropriate wording) and that a verifiable source is mentioned nearby and in the bibliography. The SNSF uses software to compare texts and it analyses suspected cases of plagiarism. A number of universities have made such programs available to their students and employees. The SNSF recommends that applicants contact their institution for further information.

Note that all applicants take responsibility for the correctness of their contributions. If the project plan is not written in accordance with the rules of good scientific practice all applicants are accountable and the project may not be considered. Reference is made to internationally recognized standards on scientific integrity.

Applicants are also advised to consider the SNSF dossier on scientific integrity; and article 15 of the Funding Regulations on research integrity and good scientific practice.

7.3.2 Format, structure and content

A SPIRIT project plan comprises parts 1-3 and must be structured as described below. It may not exceed 20 pages and 80'000 characters (including spaces), including summary (maximum 1 page), table of contents, illustrations, footnotes, formulae and tables, if applicable, but excluding the bibliography. A minimum font size of 10 points and 1.5 line spacing must be used. Annexes are not accepted.

1. Summary (maximum 1 page)

   Present the background and rationale of the project, list its overall objectives and specific aims, mention the methods to be used, and discuss the expected results and their impact for the field.

2. Research plan
   2.1. Current state of research in the field

---

24 Cf. Regulations on scientific misconduct.
Describe your project in the context of the current state of knowledge in your field. Make reference to the most important publications, particularly by other authors. Describe which previous insights provided the starting point and the basis for the planned studies, in which areas research is needed, and why. Explain which relevant research projects are currently underway in Switzerland and abroad.

2.2. Current state of your own research and partnership aspect
Describe the work done by the different applicants in the relevant research field or in related fields and indicate the relevant publications. Explain how the different applicants complement each other for the proposed research project. Describe past collaborations between the applicants, if applicable.

2.3. Detailed outline of planned research
Based on the information provided under 2.1 and 2.2, please specify the approach you will take and the concrete objectives that you aim to achieve in the period of funding. Describe the envisaged studies or experiments. Assess the risks involved and propose alternatives if necessary. Characterise existing sources and datasets and describe the data collection strategy and possible alternative strategies. Explain the role of each member of the research team (incl. applicants, employees, project partners and collaborations). Mention transdisciplinary elements, if applicable. (The description should be as detailed as is necessary to enable external experts and the SEC to assess whether the methodology is appropriate and the project feasible.)

2.4. Collaboration, work division, schedule, milestones and visits
Outline the most important milestones and indicate how you plan to divide the work among the different partners. List the planned visits between applicants in Switzerland and applicants in the partner countries. Elaborate on visiting scientist(s), hosting scientist(s), purpose and duration of visit.

2.5. Relevance and impact
Describe the expected impact of your project for the discipline(s) and for science as a whole (research and education/teaching). Mention the form in which you wish to publish your research results (articles in scientific journals, monographs, conference proceedings, etc.).

3. Bibliography (does not count towards the limit of the research plan of 20 pages and 80'000 characters with spaces)
Record all the sources referred to in the research plan. Give the full reference and provide a complete author list.

7.4 Curriculum vitae, publication list and list of major scientific achievements
The SNSF signed the San Francisco Declaration on Research Assessment (DORA), which recommends funders to be explicit about the criteria used in evaluating the scientific productivity of applicants. The scientific quality, value and impact of the entire research output is taken into consideration (including datasets, software, prototypes) in addition to research publications. In this context, the scientific content of a paper is much more important than publication metrics or the name of the journal in which it was published. Within the scope of this evaluation, the scientific discipline, academic age and personal situation (e.g., career breaks) of the applicants will be considered.

Each applicant must provide three documents: a Curriculum Vitae, a publication list and a list of major scientific achievements. These documents are sent out for peer review. Applications that lack the relevant information will not be considered for evaluation.
7.4.1 Curriculum vitae

This document may not exceed two pages and must be written in English. Photographs may not be included. Publications may not be listed. It must include the following information, if applicable, in this order:

1. Current position(s)
2. Education
3. Professional and academic experience
4. Research career breaks (e.g., care duties, parental leave, prolonged illness, sabbaticals, change of career direction, military service, travel, voluntary work, etc.)
5. Mentorship activities, supervised PhD theses, important contributions to the career of scientists
6. Teaching duties, administrative activities, institutional responsibilities, managerial duties, clinical work
7. Research projects as leading investigator
8. Prizes, fellowships, distinguished memberships
9. Organisation of conferences
10. Entrepreneurship
11. Outreach and contribution to open science (e.g., technology and knowledge transfer activities)

The individual points can be limited to the latest and/or for the present application most relevant activities.

7.4.2 Publication list

Each applicant may list up to ten scientific publications. The document must be written in English. There is no temporal frame for these publications. Items may include:

1. Publications in international peer reviewed scientific journals
2. Monographs
3. Contributions to books
4. Review articles
5. Peer reviewed conference proceedings
6. Patents
7. Invited contributions to international conferences
8. Other publications (maps, documents, software, databases, arXiv articles, etc.)

Links to the full publication list may not be mentioned. The applicant’s name in the list of authors and the publication year must be clearly visible (e.g., boldfaced or underlined). The sub-categories “published” and “in press” are permissible in all of the above points, if applicable. Articles connected to the present application must be clearly highlighted as such. “Et al.” to shorten the list of authors must be avoided, unless the research project was conducted by a large international collaboration with more than 50 authors and a direct link to the full publication is given.

7.4.3 List of major scientific achievements

Each applicant may list up to three major scientific achievements. Each item must be contain the applicant’s specific contribution and the overall impact of the work. The list must not exceed 1 page DIN A4. The document must be written in English.
8. Further information

For more information, refer to www.snf.ch or write to spirit@snf.ch.