

English is not an official language of Switzerland. This translation is provided for information purposes only and has no legal force.

Regulations on information, valorisation and rights to research results

17 June 2008

Based on Article 46 of the Funding Regulations of 14 December 2007,
the National Research Council issues the following regulations:

1. Information provided by the SNSF

1.1 Website of the SNSF

¹ Communication by the SNSF is web-based. Information for researchers and the general public is published on the SNSF's website www.snsf.ch.

² All documents regulating funding activities are available electronically to applicants and grantees on our website. The SNSF is under no obligation to provide hard copies of documents.

³ As a rule, information on the website is provided in German, French and/or English. The SNSF is under no obligation to publish information in all three languages.

1.2 Information provided by the SNSF

¹ General legally binding information is communicated to applicants and grantees via e-mail, generally by means of the electronic SNSF newsletter. Additional information is provided in written form. Applicants and grantees must provide the SNSF with a valid e-mail address.

² The recipients of information pursuant to paragraph 1 have a duty to take note of this information. If they fail to do so and experience disadvantages as a result, they bear sole responsibility.

2. Information about projects and programmes

2.1 Database on research projects

¹ The SNSF maintains a web-based, publicly accessible database on research projects to fulfil its duty to make information available.

² Before starting, during and after completing a project, grantees are obliged to supply the SNSF with the required information and data for the publicly accessible project database (Article 33 Funding Regulations).

³ The duty to supply information and data as defined in paragraph 2 continues to apply for a maximum of three years after completion of the research. The three-year period starts on the date indicated on the final report. If a follow-up application has been approved, the date of the final report for the second phase is decisive.

2.2 Lay summary and keywords

¹ The responsible applicant 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 (Article 33 Funding Regulations).

² The grantees are responsible for the content of the lay summary and keywords, which must comply with the conditions set out in the funding decision and the specifications detailed on the SNSF website. The SNSF reserves the right to edit lay summaries and keywords.

³ The lay summary and keywords must be submitted after receiving the funding decision and no later than when submitting the request to release the grant.

⁴ Details 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. This update is a mandatory requirement for the approval of the final report in accordance with Article 40 of the Funding Regulations.

2.3 Further data for the database of research projects

¹ In addition to the lay summary and keywords, the SNSF normally publishes the following additional information and data in the publicly accessible database on research projects:

- a. Title of the project or programme
- b. Names and addresses of grantees
- c. Institution or town where research is being conducted
- d. Duration of the grant
- e. Normally the amount of SNSF funding

² If permitted under the SNSF regulations, further information on the grantees and their research projects may be published in the database on research projects. The SNSF always respects the privacy rights of researchers in relation to published data.

³ If the project or programme changes considerably, entries in the database for research projects must be adapted. Grantees must inform the SNSF of such changes unprompted.

2.4 Research date in the context of reporting and monitoring

In addition to data intended for publication, grantees of the SNSF are obliged to share additional research data as part of the reporting and monitoring procedures (Article 40 Funding Regulations). The details are stipulated in the General Implementation Regulations for the Funding Regulations.

3. Valorisation of research results

3.1 Principles

¹ The valorisation of results obtained in publicly funded research projects is an important task of the SNSF. It supports researchers with relevant measures. In return, they are obliged (pursuant to Article 44 Funding Regulations) to comply with the following principles.

² When taking valorisation measures, grantees must respect the quality standards of the SNSF (see Clause 3.3 below).

³ Irrespective of the publication, reference must be made to the support provided by the SNSF must be mentioned. (Article 44 paragraph 1 Funding Regulations; Clause 3.4 below regarding Branding).

⁴ In the case of sensitive issues (Clause 3.5 below), valorisation measures must be planned and implemented with particular care.

⁵ The SNSF supports the publication of research results by a variety of suitable measures (Clause 3.6 below). In return, grantees support the SNSF in public relations work regarding research projects and results (Clause 3.7 below).

3.2 National Research Programmes (NRPs), National Centres of Competence in Research (NCCRs) and other programmes

The valorisation measures described in these Regulations also apply to NRPs, NCCRs and other programmes. Additionally, these programmes must respect conditions set out in the relevant programme regulations.

3.3 Quality standards

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 scientific 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. Respect for the rights of co-authors (Article 14 paragraph 6 Funding Regulations);
- f. Adherence to the SNSF guidelines regarding public science communication, which can be found on the SNSF website.

² The SNSF penalises violations of the rules and principles listed above based on Article 45 of the Funding Regulations. Examples of violations include tendentious propaganda, manipulation, dissimulation, fraud and disinformation.

3.4 Branding of SNSF projects and programmes

¹ It is mandatory to mention SNSF support (Article 44 Funding Regulations) in all scientific publications as well as in other public communications regarding research projects.

² Grantees must use the phrase "supported by the SNSF" if the project is receiving or has received SNSF funding. 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.

3.5 Sensitive issues

¹ 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 theme (see also Clause 3.1, paragraph 4).

² 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.

3.6 Support by the SNSF

¹ The SNSF actively engages in communicating science to the public and in valorising research results. Activities by researchers in this sphere are greatly valued.

² The SNSF may support the measures detailed in these regulations by the following means:

³ It may support researchers

- a. in the area of scientific communication by providing advice and making available Best Practices, professional standards and training services;
- b. by involving them in its own PR activities and by producing its own publications;
- c. by organising and running public events or by supporting such events;
- d. by other means which serve the aim of better communicating research projects and valorising research results obtained with the support of public grants.

3.7 PR work regarding research projects and research results

¹ The SNSF expects grantees to valorise the results of their research with a high degree of professionalism and integrity (see Clause 3.3). They must make results accessible and understandable to the general public and engage in an open dialogue with society.

² During and after the project, grantees must identify topics and results which are suitable for publication or relevant to the wider public or interested groups. The relevant rules regarding scientific reporting (Article 40 Funding Regulations and corresponding implementation rules) must be respected. The SNSF may be contacted at any time, including times outside the reporting deadlines.

³ When planning national media campaigns regarding research projects or results supported by the SNSF, grantees must contact the Communication division¹ of the SNSF in good time to discuss whether the research institute or the SNSF will be responsible for the campaign. They must

¹ Editorial adaption of 1 July 2012 to the new terminology and classification, in force with immediate effect.

facilitate the close coordination of the research institutes' PR activities with those of the SNSF and respect branding rules pursuant to Clause 3.4.

3.8 Data for secondary research

¹ The decision letter normally regulates the duty to enter data obtained with SNSF funding into recognised scientific databases pursuant to Article 44 Funding Regulations.

² The SNSF has the right to impose on grantees the duty to make data available for secondary research during the running of a project or after its completion.

3.9² Specimen copies

3.10 Duty of secrecy

The SNSF may free grantees from communication and publication duties (Article 44, paragraph 3 Funding Regulations) if they present a written document explaining why secrecy must be respected.

4. Open access

4.1 Principle

¹ The SNSF supports the principle of open electronic access to scientific knowledge nationally and internationally.

² The SNSF is a co-signatory of the "Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities" of October 2003³.

³ The SNSF requires grantees to provide open access to research results obtained with the help of SNSF grants (Article 44 Funding Regulations).

⁴ These provisions do not limit the grantee's freedom to choose a publishing partner.

4.2 Duty

¹ Grantees have a duty to publish research results in digital form on free Internet publication sites (open access publication).

² Grantees must show that they have fulfilled this duty in their reports to the SNSF (scientific report).

³ Clause 4.5 regulates any exceptions to the duty to provide open access.

4.3 Form and deadlines

¹ Except when the original publication appears in an open access journal (see paragraph 2), the duty to provide open access must be fulfilled in addition to publication in a traditional medium.

² Open access may be achieved by placing the publication in a discipline-specific or institutional electronic archive ("green road") or directly in a renowned, i.e. peer-reviewed, open access journal ("gold road").

² Repealed based on the decision of the Research Council of 18 March 2014, in force since 1 July 2014.

³ <http://oa.mpg.de/openaccess-berlin/berlindeclaration.html>

³ Institutional electronic archives pursuant to paragraph 2 are the publicly accessible repositories of universities or other recognised research institutions.

⁴ Open access publication must be initiated by the grantee at the same time as or at the earliest possible time but no more than 6 months after the publication in a traditional medium.

⁵ Book publications co-financed by the SNSF must be made accessible in a disciplinary or institutional repository after an embargo period of no more than 24 months.⁴

4.4 Exploitation rights

¹ For the purpose of securing open access or free non-commercial use, grantees are obliged to ensure as far as possible that publication contracts reserve a binding and permanent non-exclusive exploitation right in respect of electronic publication.

² The reservation mentioned in paragraph 1 normally includes the right to simultaneous or near simultaneous open access.

³ If an arrangement in accordance with paragraph 2 is not possible for legal reasons, open access publication must occur immediately after the expiry of the effective waiting period.

⁴ Before signing a publication contract, grantees must normally expressly request that exploitation rights be reserved in order to secure open access.

4.5 Exceptions

¹ If open access publication in accordance with these regulations is impossible for legal reasons, grantees are obliged, if asked, to inform the SNSF and provide it with the relevant documents.

² If the open access book publication co-financed by the SNSF is not possible for insurmountable legal and technical reasons, the SNSF may, on request, approve a text-only open access publication or release the authors from this duty altogether.⁵

³ If the duty to open access cannot be fulfilled due to lack of repository based on Clause 4.3, publication must be made on the websites of grantees as far as possible. On request, the SNSF must be informed.

⁴ Otherwise, the provisions of the Funding Regulations apply, particularly with regard to justified secrecy interests.

4.6 Publication costs

¹ Open access publication via the "green road" (see Clause 4.3 paragraph 2) does not justify any financial claims in the research application. Digital book publications are an exception to this rule.⁶

² The costs of open access book publications are included in the eligible costs pursuant to Article 19 of the Funding Regulations.⁷

⁴ Inserted based on the decision by the National Research Council of 30 June 2014, in force since 1 July 2014.

⁵ Inserted based on the decision by the National Research Council of 30 June 2014, in force since 1 July 2014.

⁶ Inserted based on the decision by the National Research Council of 30 June 2014, in force since 1 July 2014.

⁷ Inserted based on the decision by the National Research Council of 30 June 2014, in force since 1 July 2014.

³ The SNSF awards publication grants to cover the costs of open access book publications of research results that were not generated within the scope of a project funded by the SNSF (independent publication grants).⁸

⁴ Costs of publication in a peer reviewed open access journal ("gold road"; see Clause 4.3 paragraph 2) may be debited to the SNSF grant up to a maximum of CHF 3,000 per publication (eligible costs pursuant to Article 19 of the Funding Regulations of the SNSF).⁹

⁵ In no case does the SNSF pay fees for subscriptions to partially restricted electronic access (hybrid journals).

4.7 Support by the SNSF

As with any other scientific publication of research results which were gained with SNSF funding, the support by the SNSF must be mentioned in open access publications (Article 44 paragraph 1 Funding Regulations; see also Clause 3.4).

5. Rights to intellectual property

5.1 Rights to intellectual property

¹ The SNSF does not claim any intellectual property rights or rights to exploit the research results gained through research work funded by the SNSF (Article 43 Funding Regulations).

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

5.2 Commercial use, patents and protective rights

¹ Notice of the commercial use of research results or the filing of patents or similar protective rights (Article 43 Funding Regulations) must be given to the SNSF by the grantee in the final report (Article 40 Funding Regulations).

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.

5.3 Eligible costs

¹ The costs of filing patents and other protective rights may be assumed by the SNSF, in particular in the case of National Research Programmes and National Centres of Competence in Research.¹⁰

² The costs of patent searches may be assumed if they are relevant to interests in scientific research at the start of the research project.

⁸ Inserted based on the decision by the National Research Council of 30 June 2014, in force since 1 July 2014.

⁹ Amended based on the Research Council's decision of 16 July 2013, in force since 1 October 2013

¹⁰ Editorial adaption of 1 July 2012 to the new terminology and classification, in force with immediate effect.

5.4 Rights of employees

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.

6. Final Provisions

¹ These Regulations come into force on 1 July 2008.

² The SNSF Patent Regulations of January 1999 and the Directive on Open Access of September 2007 are repealed and replaced by the provisions thereon in these Regulations.