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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 2015<sup>1</sup>

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)

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

<sup>2</sup> 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.

<sup>3</sup> 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.

<sup>4</sup> 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**

(Article 10 paragraph 3 of the Funding Regulations)

<sup>1</sup> For researchers who usually conduct their research and teaching activities in the context of another professional activity, the special provisions of this article apply with regard to the minimum extent of their scientific activity. The minimum scientific activity of these researchers may be under 50% (relative to a work-time percentage of 100%).

<sup>2</sup> The following persons are regarded as researchers pursuant to paragraph 1:

- a. researchers who do clinical work;
- b. employees of museums and archives.

<sup>3</sup> 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 RIPA<sup>2</sup>. In particular, the institution must show that its purpose is to conduct research and, in the

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<sup>1</sup> [http://www.snf.ch/SiteCollectionDocuments/allg\\_reglement\\_16\\_e.pdf](http://www.snf.ch/SiteCollectionDocuments/allg_reglement_16_e.pdf)

<sup>2</sup> Research and Innovation Promotion Act, SR 420.1

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.

<sup>4</sup> 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)

<sup>1</sup> 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.

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

<sup>3</sup> 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.

<sup>4</sup> 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)

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

<sup>2</sup> 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.

## **II. Institutional constellations**

### **1.6 Institutions with international sponsors**

(Article 10 paragraph 2 of the Funding Regulations)

<sup>1</sup> 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 branch 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)

<sup>1</sup> 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.

<sup>2</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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 applications**

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

<sup>1</sup> If eligibility to apply to the SNSF is limited to a specific period, this period may be extended by a maximum of one year at the applicant's request.

<sup>2</sup> Applicants must explain their reasons for applying for an extension to the SNSF. In particular, the following reasons for delays are acceptable:

- a. maternity, 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, particularly internships, clinical work;
- f. compulsory participation in a doctoral school before starting work on the doctoral thesis.

### **IV. Roles in relation to the submission of applications**

#### **1.12 Applicants and project partners**

(Article 11 paragraph 2 of the Funding Regulations)

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

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

<sup>3</sup> 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 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)

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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)

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

<sup>2</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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 time<sup>3</sup> 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 time<sup>2</sup> on the next working day.

<sup>3</sup> 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;
- 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)

<sup>1</sup> 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

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<sup>3</sup> Amended based on the Research Council's decision of 12 July 2016, in force since 1 October 2016.

- e. medicine
- f. psychology
- g. economics
- h. political sciences

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

<sup>3</sup> 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.<sup>4</sup>

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

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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)

<sup>1</sup> The SNSF does not consider applications that are already being fully financed elsewhere.

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<sup>4</sup> [http://www.snf.ch/SiteCollectionDocuments/ueb\\_org\\_fehlverh\\_gesuchstellende\\_d.pdf](http://www.snf.ch/SiteCollectionDocuments/ueb_org_fehlverh_gesuchstellende_d.pdf)

<sup>2</sup> 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)

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

<sup>2</sup> Only costs that are eligible under the relevant funding scheme may be claimed.

<sup>3</sup> 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)

<sup>1</sup> The submitted budget serves as a basis for defining the grant.

<sup>2</sup> Ineligible costs are deleted, unjustified or disproportionate costs or cost items reduced.

<sup>3</sup> 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.

<sup>4</sup> 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.

<sup>5</sup> Cutbacks based on the scientific quality of the application (rating) are possible.

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

<sup>7</sup> 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)

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

<sup>2</sup> The grant is paid out in annual instalments.

<sup>3</sup> 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)

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

<sup>2</sup> 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.

<sup>3</sup> 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)

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

<sup>2</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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.

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

<sup>4</sup> 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)

<sup>1</sup> Only travel costs directly linked to the research project may be charged to the grant.

<sup>2</sup> All trips must be by public transport.

<sup>3</sup> 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.

<sup>4</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> The salaries of the project partners' employees are not eligible for funding.

<sup>3</sup> 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)

<sup>1</sup> The costs of computing time and cloud computing are eligible.

<sup>2</sup> The costs of data acquisition or for gaining access to data are also eligible.

<sup>3</sup> 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)<sup>5</sup>**  
(Article 28 paragraph 2 letter c of the Funding Regulations)

<sup>1</sup> 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 FAIR<sup>6</sup> 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.

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<sup>5</sup> Amended based on the decision of the National Research Council of 21 March 2017, in force since 1 April 2017.

<sup>6</sup> 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]).

<sup>2</sup> 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.

<sup>3</sup> The maximum charge per grant is generally CHF 10,000.

<sup>4</sup> 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)

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

<sup>2</sup> Expenses for postage, phone calls, photocopies, translations, etc., are not eligible.

<sup>3</sup> 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 publications<sup>7</sup>**

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

#### **2.17 Conferences and workshops<sup>8</sup>**

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

#### **2.18 Costs of career measures: Flexibility grants<sup>9</sup>**

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

<sup>1</sup> 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.

<sup>2</sup> 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)

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

<sup>2</sup> The requirements applicable to these mobility grants are set out in Annex 5.

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

<sup>8</sup> Repealed based on the decision of the National Research Council of 14 February 2017, in force since 1 April 2017.

<sup>9</sup> Amended based on the Research Council's decision of 15 August 2017, in force as of 1 January 2018.

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

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

<sup>2</sup> The eligibility requirements for such costs are set out in Annex 6.

<sup>3</sup> 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)

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

<sup>2</sup> 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)

<sup>1</sup> 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;
- 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.

<sup>2</sup> Personnel, research and travel costs are eligible.

<sup>3</sup> Personnel costs for collaboration partners and for non-scientific staff are not eligible.

<sup>4</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> The eligibility requirements for such costs are set out in Annex 8.

<sup>3</sup> The eligibility of these costs is limited to applications submitted between 1 October 2016 and 1 April 2019.

### **3. Cross-border research**

#### **3.1 Money follows Co-operation Line**

(Article 9 of the Funding Regulations)

<sup>1</sup> 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 Money follows Co-operation Line 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*.

<sup>2</sup> Money follows Co-operation Line 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.

<sup>3</sup> For Money follows Co-operation Line, 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%.

<sup>4</sup> 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.

<sup>5</sup> Approved Money follows Co-operation Line 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)

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

<sup>2</sup> 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.

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

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

<sup>5</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> The SNSF may bind Money follows researcher to certain conditions.

<sup>4</sup> 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.

<sup>5</sup> 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)

<sup>1</sup> 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).

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

<sup>3</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> Applications must include the reasons for the request and must be submitted electronically via mySNF.

<sup>4</sup> 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**

### **5.1 Administration of grants: grant administration offices**

(Article 37 of the Funding Regulations)

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

<sup>2</sup> 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.

<sup>3</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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.

<sup>4</sup> 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)

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

<sup>2</sup> 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.

<sup>3</sup> The SNSF may bind Money follows researcher to certain conditions.

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

## **6. Special provisions with regard to grant administration**

### **6.1 Budget items in the total budget**

(Article 37 of the Funding Regulations)

<sup>1</sup> 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).

<sup>2</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> Printouts of receipts read into optical data carriers are regarded as original receipts.

<sup>3</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> In response to a written request stating reasons, the SNSF may cover additional personnel costs in the following cases:

- a. additional costs due to the increased salaries of doctoral students as a result of the higher rates for doctoral students defined by the SNSF;
- b. additional costs due to mandatory increases in the employer's social security contributions.

<sup>3</sup> Additional personnel costs are only reimbursed if they cannot be covered by reducing expenditure or through third-party funds. The relevant amount is credited after receipt and examination of the final financial report. Deficits of less than CHF 50 are not covered.

## **6.5 Credit balances; repayment of remaining amounts**

(Article 37 of the Funding Regulations)

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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 staff**

## **7.1 Employment of staff**

(Article 38 of the Funding Regulations)

<sup>1</sup> If staff employed in SNSF-funded research projects are fully or partially remunerated through funds from the SNSF grant, the following rules must be observed.

<sup>2</sup> The employment of staff members remunerated through funds from the SNSF grant, the management of the corresponding employment relationships and the fulfilment of all duties of the employer are the responsibility of the relevant employer. In particular, the latter must settle the social security contributions with the appropriate insurers.

<sup>3</sup> Compliance with the rules of the relevant research institution, in particular with regard to its limits on employment duration, are the responsibility of the employer.

## **7.2 Employee categories**

(Article 38 of the Funding Regulations)

<sup>1</sup> The following employee categories apply:

- a. doctoral students;
- b. postdocs (employees with a doctorate);
- c. other employees; these include employees with a degree who do not intend to do a doctorate; employees with a doctorate whose post is not intended for researchers pursuing an academic career; technicians; auxiliary staff.

<sup>2</sup> Doctoral students are persons collaborating in research work funded by the SNSF who seek to obtain a doctoral degree based on their scientific work for the research project and who are registered as doctoral students. As a rule, their doctoral thesis must be supervised by a grantee who bears responsibility for the funded research work.

<sup>3</sup> Postdocs are persons who strive to be scientifically independent after obtaining their doctorate; they generally hold temporary positions within academia. In particular, the postdoc phase serves as a qualification for the independent development and leadership of research projects and for scientific leadership positions.

<sup>4</sup> Employees pursuant to paragraph 1 letter c may only be remunerated with SNSF funds if they were engaged specifically for the research project. The SNSF does not finance permanent positions. No career measures may be requested for employees pursuant to paragraph 1 letter c.

<sup>5</sup> Visiting professors may not be engaged or remunerated as employees of an SNSF-funded research project.

## **7.3 Duration of employment; extension of employment periods**

(Article 38 of the Funding Regulations)

<sup>1</sup> The maximum period of employment funded by the SNSF is:

- a. four years for doctoral students;
- b. five years for postdocs.

<sup>2</sup> The relevant start date for calculating the period pursuant to paragraph 1 is:

- a. for doctoral students, the day of registration for doctoral studies;
- b. for postdocs, the date of the viva voce or of the official acceptance of the thesis.

<sup>3</sup> Upon request, the start date pursuant to paragraph 2 may be postponed by at the most one year, particularly if the delay is for the following reasons:

- a. maternity, 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, particularly internships, clinical work;
- f. compulsory participation in a doctoral school before starting work on the doctoral thesis.

<sup>4</sup> If delays occur during an ongoing employment relationship due to the reasons set out in paragraph 3, the time window for the maximum employment duration may be extended by at the most one year upon request.

<sup>5</sup> The reasons for the delay must be explained to the SNSF.

<sup>6</sup> Extension of the time windows in accordance with the provisions of paragraphs 3 and 4 does not in any way affect the maximum funding period pursuant to paragraph 1, which lasts from four to five years. The prolongation of funding due to continuing salary payments in the event of maternity, adoption, illness, accident and military or other services remains reserved.

<sup>7</sup> If a project is extended due to the delays set out in paragraphs 3 and 4, the grantee may submit a new application, whereby the extension phase will not be affected by the SNSF restrictions with regard to multiple parallel grants.

#### **7.4 Minimum work-time percentage of employees**

(Article 38 of the Funding Regulations)

<sup>1</sup> For doctoral students, a minimum work-time percentage of 60% FTE is compulsory.

<sup>2</sup> No restrictions as regards work-time percentage apply to the other employees.

#### **7.5 Salary rates**

(Article 38 of the Funding Regulations)

<sup>1</sup> The SNSF defines salary rates for doctoral students. These rates are the same throughout Switzerland (Annex 12).

<sup>2</sup> For the other employees, the SNSF defines salary ranges and guidelines (Annex 12).

<sup>3</sup> The following rules apply to the SNSF-funded salaries of doctoral students:

- a. in principle, the SNSF grants salaries at the full rate to doctoral students;
- b. the award of partial rates is permissible in exceptional cases if the grantees are able to show that the full salary of the doctoral students corresponds to at least one full SNSF rate for doctoral students;
- c. In all cases, grantees or their employer institutions are entitled to use third-party funds to top up the rates applied to doctoral students by the SNSF.

#### **7.6 Minimum rules applicable to doctoral students and postdocs**

(Article 38 of the Funding Regulations)

The following minimum requirements must be met when employing SNSF-funded doctoral students and postdocs:

- a. doctoral students must devote at least 60% of their work-time (calculated on the basis of a full-time equivalent of 100%) to their doctoral thesis (minimum work-time percentage for this "protected time"). If the work-time percentage is higher than the protected time of 60%, the doctoral students may devote no more than an additional 20% to other tasks at the institute.
- b. Postdocs funded by the SNSF may devote no more than 20% of their time to tasks within the institution (calculated on the basis of a full-time equivalent of 100%) that do not directly affect their scientific qualifications. Postdocs who are simultaneously funded via other means may also devote only a small portion of the work-time percentage financed by the SNSF to tasks within the institution.

## **7.7 Personnel changes**

(Article 38 of the Funding Regulations)

The employment of new staff, changes of personnel and salary adjustments must be approved by the SNSF. They must be submitted to the SNSF in advance using the "Change of personnel" form via mySNF. Employment positions with an annual gross salary of less than CHF 5,000 are exempted from this reporting duty.

## **7.8 Employment contract for employees, duties of the grantees**

(Article 38 of the Funding Regulations)

<sup>1</sup> Written employment contracts must be signed with the staff members. Such contracts shall be governed by the guidelines and standards issued by the institution employing the staff members, provided they do not fall short of the minimum requirements set out in the SNSF's specimen contract pursuant to Annex 13.

<sup>2</sup> On request, the grantees must provide the SNSF with copies of the employment contracts of their staff members.

<sup>3</sup> Grantees are responsible for ensuring that the commitments made do not exceed the duration, amount or other conditions of the SNSF grant. The SNSF shall not be held liable for any commitments made by grantees to staff members.

## **7.9 Social security contributions, benefits and allowances**

(Article 38 of the Funding Regulations)

<sup>1</sup> For employees remunerated on the basis of an SNSF grant, the SNSF pays the grantees the equivalent of the statutory social security contributions required to be paid by employers in accordance with AHVG/IVG/EOG, BVG, AVIG and UVG (Swiss federal acts on social security contributions) as well as any family allowances, if applicable, or any other lump-sum benefits commonly paid at the place in question. The respective rates are defined in Annex 12. Allowances attached to a fixed salary (e.g. local bonuses) are not covered by the SNSF grant.

<sup>2</sup> The social security contributions to be made by the employees are taken into account in the salary rates (gross salaries) defined by the SNSF.

<sup>3</sup> The social security contributions (actual amounts paid) must be indicated in the financial reports (cf. Clause 9.2). The SNSF is entitled to forward copies of the financial reports to the Federal Social Insurance Office for auditing purposes.

<sup>4</sup> With the exception of contributions towards increases in earnings (Verdiensterrhöhungsbeiträge), purchases of additional benefits in pension schemes and the like may not be covered by means of SNSF grants. In relation to mandatory non-occupational accident insurance, the SNSF respects the splitting of contributions between employer and employees in accordance with the corresponding local provisions.

## **7.10 Continuing salary payments and additional costs**

(Article 38 of the Funding Regulations)

<sup>1</sup> If the employer continues to pay salaries in the event of maternity, adoption, illness, accident, military service or other services, the SNSF shall follow the customary local rules and cover any resultant additional costs for one year at the most.

<sup>2</sup> The relevant insurance benefits must be credited to the grant, however.

<sup>3</sup> The maximum funding periods pursuant to Clause 7.3 paragraph 1 will be extended for the duration of the continued salary payments recognised by the SNSF.

#### **7.11 Maternity and adoption leave**

(Article 38 of the Funding Regulations)

<sup>1</sup> In the event of maternity or of infants placed for fostering and upbringing purposes with a view to subsequent adoption, the SNSF recognises the customary local rules with regard to holidays and the continued payment of salaries.

<sup>2</sup> Where the customary local rules provide for less than two months' adoption leave, the SNSF will finance a two-month holiday and continued payment of salary when an infant is placed. The SNSF covers any resulting additional costs.

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

#### **7.12 Extension of the funding period**

(Article 38 of the Funding Regulations)

<sup>1</sup> If necessary, the SNSF shall at the grantees' request extend the duration of the grant so that it covers the period of continued salary payments in the event of maternity, adoption, illness, accident, military service or other services. The grant may be extended by one year at the most (Clause 7.3. paragraph 4).

<sup>2</sup> In the event of illness, accident, military service or other services, an extension of the grant may be applied for after 2 months of uninterrupted incapacity for work or uninterrupted service.

### **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)

<sup>1</sup> 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.

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

<sup>3</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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.

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

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

<sup>6</sup> 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)

<sup>1</sup> 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.

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

<sup>3</sup> 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.

<sup>4</sup> 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)

<sup>1</sup> 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.

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

<sup>3</sup> The duty to report lies with the corresponding grantee.

<sup>4</sup> 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.

<sup>5</sup> In no circumstances does the duty to report represent a service provided in return for payment pursuant to fiscal law.

### **9.2 Financial reports**

(Article 41 of the Funding Regulations)

<sup>1</sup> The interim and final financial reports provide an account of the use of grants.

<sup>2</sup> 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.

<sup>3</sup> 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.

<sup>4</sup> Unless the SNSF stipulates otherwise, financial reports must be submitted annually.

### **9.3 Scientific reports**

(Article 41 of the Funding Regulations)

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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.

<sup>4</sup>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.

<sup>5</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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)

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

<sup>2</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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.

<sup>4</sup> 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.

<sup>5</sup> 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)

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

<sup>2</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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)

<sup>1</sup> When taking valorisation measures, grantees must respect the quality standards of the SNSF.

<sup>2</sup> 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.

<sup>3</sup> 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.

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

<sup>5</sup> 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)

<sup>1</sup> 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.

<sup>2</sup> 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)

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

<sup>2</sup> 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.

<sup>3</sup> 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.

<sup>4</sup> For research programmes, the specific branding rules applicable to the programmes apply.

### **11.8 Data for secondary research**

(Article 47 of the Funding Regulations)

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

<sup>2</sup> 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: Principles<sup>10</sup>**

(Article 47 of the Funding Regulations)

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

<sup>2</sup> 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.

<sup>3</sup> 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.

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<sup>10</sup> Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

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

<sup>5</sup> 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): Grants<sup>11</sup>** (Article 47 of the Funding Regulations)

<sup>1</sup> 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.

<sup>2</sup> It supports the following kinds of publication:

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

<sup>3</sup> The conditions and amount of the grants are defined in accordance with the Regulations on the funding of OA publications<sup>12</sup>. The grants must be applied for via *mySNF*.

#### **11.11 OA platform of the SNSF<sup>13</sup>** (Article 47 of the Funding Regulations)

<sup>1</sup> 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.

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

#### **11.12 OA commitment: Form and deadlines<sup>14</sup>** (Article 47 of the Funding Regulations)

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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;

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

<sup>12</sup> [Regulations on the funding of Open Access publications](#)

<sup>13</sup> Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

<sup>14</sup> Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

b. twelve months for all other publications.

<sup>4</sup> 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 publishers<sup>15</sup>**

(Article 47 of the Funding Regulations)

<sup>1</sup> 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.

<sup>2</sup> 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.

**11.14 OA commitment: Proof of fulfilment, exception<sup>16</sup>**

(Article 47 of the Funding Regulations)

<sup>1</sup> 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).

<sup>2</sup> 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).

<sup>3</sup> 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-compliance<sup>17</sup>**

(Article 47 of the Funding Regulations)

<sup>1</sup> 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.

<sup>2</sup> 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 funding<sup>18</sup>**

(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).

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<sup>15</sup> Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

<sup>16</sup> Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

<sup>17</sup> Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.

<sup>18</sup> Changed based on the Research Council decision of 7 November 2017, comes into force as of 1 April 2018.



## **12. Further provisions**

### **12.1 Disclaimer**

<sup>1</sup> 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.

<sup>2</sup> 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**

<sup>1</sup> 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.

<sup>2</sup> 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.

### **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**

<sup>1</sup> 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;

<sup>2</sup> 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

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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.

<sup>4</sup> 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).

<sup>5</sup> 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 1.1.2016

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](http://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.

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

(Clause 2.16 General implementation regulations for the Funding Regulations); version of 1.1.2016

### **2.1 Principles**

<sup>1</sup> The 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.

<sup>2</sup> With 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.

<sup>3</sup> Anyone 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.

<sup>4</sup> Grants 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**

<sup>1</sup> Costs 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.

<sup>2</sup> The 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.

<sup>3</sup> The 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.

<sup>4</sup> Activation 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.

### **2.3 Costs for digital book publications**

<sup>1</sup> 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.

<sup>2</sup> 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).

<sup>3</sup> Digital versions of printed books are also deemed to be digital book publications.

<sup>4</sup> 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).

<sup>5</sup> 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.

<sup>6</sup> 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**

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

<sup>2</sup> 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.

<sup>3</sup> 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**

<sup>1</sup> 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.

<sup>2</sup> The proposals must be submitted to the SNSF before the relevant text is published.

<sup>3</sup> 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.



<sup>4</sup> 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.

<sup>5</sup> 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.

<sup>6</sup> 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**

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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**

<sup>1</sup> 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.

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

<sup>3</sup> 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.

<sup>4</sup> 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.

<sup>5</sup> 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**

<sup>1</sup> 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).

<sup>2</sup> 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.

<sup>3</sup> 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.

<sup>4</sup> 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.

<sup>5</sup> 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.<sup>19</sup>

## **2.10 Quality assurance**

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

<sup>2</sup> 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.

<sup>3</sup> 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**

<sup>1</sup> 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.

<sup>2</sup> 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.

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

<sup>4</sup> 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.

<sup>5</sup> 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

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<sup>19</sup> 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 grants<sup>20</sup>**

(Clause 2.17 General implementation regulations for the Funding Regulations)

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<sup>20</sup> 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 15 August 2017, in force as of 1 January 2018

### **4.1 Principle and objectives**

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

<sup>2</sup> The SNSF awards grants towards the cost of hiring a support person and towards child care costs (flexibility grants) to junior researchers who can show that they are the main child care provider pursuant to the following provisions.

<sup>3</sup> 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.

<sup>4</sup> 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**

<sup>1</sup> The grant towards hiring a support person allows the recipient to reduce his/her work quota 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.

<sup>2</sup> 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 quota (the latter amount must not exceed 40% of the relevant gross salary of the person benefiting from the flexibility grant).

<sup>3</sup> The grant towards hiring a support person may be applied for even if the work quota is not reduced. In such cases, the work quota 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**

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

<sup>2</sup> The work quota must correspond to at least 80%.

### **4.4 Personal requirements: funding by the SNSF**

<sup>1</sup> The following junior researchers may be awarded family grants:

- a. Grant holders under the career funding schemes Ambizione (with salary), PRIMA and Doc.CH;
- b. SNSF-funded postdocs, pursuant to Clause 7.2 paragraph 1 letter b 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.

<sup>2</sup> 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 requirements**

<sup>1</sup> Junior researchers must meet the following additional requirements:

- a. for both types of grant: proof of child care. The junior researcher is the main carer for his/her children, or provides at least half of the child care. The grant covers children who have not yet finished primary school pursuant to Swiss law<sup>21</sup>. 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% after the reduction in working hours, or of at least 80% if a support person is hired without any simultaneous reduction in the work quota. 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 quota of at least 80%.

<sup>2</sup> If the two types of grant are combined, the work quota must correspond to at least 80%.

#### **4.6 Submission of applications and deadlines**

<sup>1</sup> Applications may be submitted at any time within the scope of an ongoing research project funded by the SNSF, but no later than four months before the end of the project.

<sup>2</sup> The grants may start two months after submission of the application at the earliest.

<sup>3</sup> 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.

<sup>4</sup> 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 procedure and budget**

<sup>1</sup> Applications are evaluated in the order of their submission. The SNSF makes a limited budget available for the grants each calendar year. Grants are only awarded until the funds are exhausted.

<sup>2</sup> 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.

<sup>3</sup> The SNSF may reject the application or lower the requested amount should the measure be deemed unwarranted or only partially warranted.

<sup>4</sup> The SNSF will not consider any applications that fail to meet the requirements pursuant to Clauses 4.4 and 4.5.

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<sup>21</sup> 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 6<sup>th</sup> year.

#### **4.8 Award and transfer of funds**

The awarded grants will be charged to the overall grant for the approved research project. Funds are transferred at the request of the corresponding grantee (payment in instalments).

#### **4.9 Eligible costs**

<sup>1</sup> 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 quota are credited to the grant.

<sup>2</sup> 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.

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

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

#### **4.10 Use of the grant, modifications and extensions**

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

<sup>2</sup> 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**

<sup>1</sup> 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

<sup>2</sup> 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 1.1.2016

### **I. General provisions**

#### **5.1 Principle**

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

<sup>2</sup> The mobility grants give the doctoral students greater flexibility in organising their careers. The SNSF views mobility as an essential element of an academic career.

#### **5.2 Duration and location of stay abroad**

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

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

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

### **II. Formal requirements**

#### **5.3 Personal requirements**

Doctoral students may apply for mobility grants if they:

- a. are employed to work on an SNSF-funded research project, are striving to gain a doctoral degree through their scientific activities in relation to the research work, and are registered as a doctoral student;
- b. submit confirmation from the responsible supervisor and, if not the same person, the head of the SNSF-funded project, to the effect that the latter supports the project from a scientific perspective and guarantees continued employment in the SNSF-funded research project during the period spent abroad;
- c. submit confirmation in which the host institution guarantees provision of the requisite specialist support and access to infrastructure.

#### **5.4 Objective requirements**

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

<sup>2</sup> 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 scientific research plan for the period to be spent abroad with information on the significance of the planned work for the doctorate and for the research project;



- b. a detailed budget for the additional costs;
- c. confirmation from the responsible supervisor and, where applicable, the head of the research project and of the host institution pursuant to Clause 5.3 letters b and c.

### **5.5 Submission of applications and deadlines**

<sup>1</sup> The applications should be prepared by the doctoral students themselves. Subsequently, they must be submitted by the head of the project funded by the SNSF.

<sup>2</sup> The applications should be submitted electronically using the mySNF web platform.

<sup>3</sup> The applications must be submitted no later than three 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.

<sup>4</sup> 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 nine months before the project end date.

## **III. Evaluation procedure**

### **5.6 Allocation process**

<sup>1</sup> The applications are evaluated in the order of their submission.

<sup>2</sup> The SNSF makes a limited budget available for mobility grants each year. Mobility grants are only awarded until the funds are exhausted.

### **5.7 Assessment criteria**

<sup>1</sup> Applications that meet the formal requirements are sent for scientific review.

<sup>2</sup> The following assessment criteria are applied:

- a. correlation between the proposal and the aims of the doctorate and research project;
- b. added value to the doctorate of a period of stay abroad;
- c. significance of a period of stay abroad with regard to personal career.

## **IV. Eligible costs**

### **5.8 Costs**

<sup>1</sup> 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, specifically accommodation costs;
- c. a grant for participation in scientific congresses that are relevant to the doctoral student's own research and cannot be financed through the research project.

<sup>2</sup> No research costs may be claimed.

<sup>3</sup> 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).

<sup>4</sup> The SNSF may reduce the duration and budget compared with the submitted application.

## **5.9 Salary**

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

# **V. Rights and obligations of grantees**

## **5.10 Release of funds**

The awarded funds are released on receipt of a corresponding request from the head of the research project funded by the SNSF. The 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**

<sup>1</sup> Reporting shall be effected within the scope of the regular scientific report on the research project funded by the SNSF. No separate scientific report has to be submitted.

<sup>2</sup> The financial statement shall be submitted within the scope of the regular financial report. The costs of the period abroad should be detailed separately.

<sup>3</sup> Funds that are not used may not be allocated for any other purposes within the project and must be refunded to the SNSF. Only verifiable costs will be covered.

# **VI. 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.

## **Annex 6: Research time for clinicians**

(Clause 2.20 General implementation regulations for the Funding Regulations);  
version of 1.1.2016

### **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**

<sup>1</sup> 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.<sup>22</sup>

<sup>2</sup> 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.

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<sup>22</sup> Amendment of 20 July 2017, in force with immediate effect.

## **6.5 Eligible costs**

<sup>1</sup> 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. Any salary components deriving from private practice or other sources are not eligible and must be borne by the employer in full.

<sup>2</sup> 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.

<sup>3</sup> 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**

<sup>1</sup> 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.

<sup>2</sup> 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*.

## **Annex 7: Costs for gender equality measures: Gender equality grant** (Clause 2.21 General implementation regulations for the Funding Regulations); version of 1.1.2016

### **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 SNSF**

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

- a. beneficiaries of SNSF funding schemes (with the exception of SNSF professorships and Assistant Professor Energy Grants)
- b. female collaborators in SNSF-funded projects and career funding schemes 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.

### **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).

## **Annex 8: Grants for exemption from teaching duties**

(Clause 2.23 General implementation regulations for the Funding Regulations);  
version of 1.1.2016

### **8.1 Conditions and application**

Grants for exemption from teaching duties (Article 8, paragraph 5 of the Project Funding Regulations<sup>23</sup>) 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 project**

Grants for exemption from teaching duties will be awarded under a pilot project covering the project funding submission deadlines from 1 October 2016 to 1 April 2019.

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<sup>23</sup> <http://www.snf.ch/SiteCollectionDocuments/projektfoerderungsreglement-e.pdf>

## **Annex 9: Recognised grant administration offices**

(Clause 5.1 General implementation regulations for the Funding Regulations);  
version of 1.1.2016

### **Basel**

University of Basel  
Finance Department  
Attn. Mr Peter Xander  
National Funds and Third-party Funds Department  
Petersgraben 35  
P.O. Box 732

4003 B a s e l

Tel. 061 / 267 12 28  
E-mail peter.xander@unibas.ch

### **Bern**

University of Bern  
Financial department  
Hochschulstrasse 6

3012 B e r n

Tel. 031 / 631 53 98  
E-mail walter.baertschi@fin.unibe.ch

### **Freiburg**

University of Freiburg  
Financial Services  
Miséricorde

1700 F r i b o u r g

Tel. 026 / 300 70 75 (Ms M.-A. Offner)  
E-mail marie-antoinette.offner@unifr.ch

### **Geneva**

University of Geneva  
Central Accounting department  
Attn. Mr Roger Amoos  
24, Rue du Général Dufour

1211 G e n e v a 4

Tel. 022 / 379 75 81  
E-mail roger.amoos@unige.ch

Graduate Institute  
of International and Development Studies  
Attn. Ms H. Lenggenhager  
Chemin Eugène-Rigot 2A  
P.O. Box 1672

1211 G e n è v e 1

Tel. 022 / 908 57 25  
E-mail helene.lenggenhager@graduateinstitute.ch

## **Lausanne**

University of Lausanne  
Finance Department  
Attn. Mr Pierre Wyss  
Bâtiment du Rectorat et de  
l'Administration centrale

1015 L a u s a n n e

Tel. 021 / 692 23 21  
E-mail pierre.wyss@unil.ch

EPFL RI SF  
Attn. Ms Giuseppa Mandra  
BI A1 518  
Station 7

1015 L a u s a n n e

Tel. 021 / 693 20 89  
E-mail SF.FNSComm@epfl.ch

Centre Hospitalier Universitaire Vaudois  
Accounts  
Attn. Ms M.-P. Harris  
Rue du Bugnon 21

1005 L a u s a n n e

Tel. 021 / 314 69 77  
E-mail marie-pierre.harris@chuv.ch

## **Lugano**

Università della Svizzera italiana (USI)  
Servizio Ricerca  
Ms Paola Colferai  
Via Lambertenghi 10a

6904 Lugano

Tel. 058 / 666 48 18  
E-mail paola.colferai@usi.ch

## **Lucerne**

University of Lucerne  
Financial and Accounts Department  
Attn. Ms Doris Schmidli  
Froburgstrasse 3  
P.O. Box 4466

6002 L u c e r n e

Tel. 041 / 229 50 40  
E-mail doris.schmidli@unilu.ch



## **Neuchâtel**

University of Neuchâtel  
Third-party Funds Office  
Faubourg de l'Hôpital 106

2000 N e u c h â t e l

Tel. 032 / 718 10 73  
E-mail mireille.jeanmonod@unine.ch

## **St. Gallen**

University of St.Gallen  
Financial and Accounts Department  
Attn. Mr. Thomas Rempfler-Neff  
Bodanstrasse 3

9000 S t . G a l l e n

Tel. 071 / 224 28 12  
E-mail thomas.rempfler@unisg.ch

## **Zurich**

Financial department  
of the University of Zurich  
Third-party Funds unit  
Künstlergasse 17

8001 Z u r i c h

Tel. 044 / 634 21 08  
E-mail drittmittel@fi.uzh.ch

ETH Zurich  
Accounting department  
Attn. Mr. Pasquale Nigro  
SEW C 27  
Scheuchzerstrasse 70

8092 Z u r i c h

Tel. 044 / 632 55 73  
E-mail pasquale.nigro@fc.ethz.ch

Swiss Federal Institute for Forest,  
Snow and Landscape Research  
Attn. Ms Esther Moor  
Zürcherstrasse 11

8903 B i r m e n s d o r f

Tel. 044 / 739 22 01  
E-mail esther.moor@wsl.ch

E.A.W.A.G.

Attn. Ms Barbara Breu Rütli  
Ueberlandstrasse 133

8600 D ü b e n d o r f

Tel. 058 / 765 50 08

E-mail [barbara.breu@eawag.ch](mailto:barbara.breu@eawag.ch)

EMPA

Attn. Ms Heidi Leutwyler  
Ueberlandstrasse 129

8600 D ü b e n d o r f

Tel. 058/ 765 45 91

E-mail [heidi.leutwyler@empa.ch](mailto:heidi.leutwyler@empa.ch)

Paul Scherrer Institute

Attn. Ms Tanja Hogg & Ms Carola Bernauer  
Third-party Funds unit

5232 V i l l i g e n P S I

Tel. 056 / 310 26 74

E-mail [tanja.hogg@psi.ch](mailto:tanja.hogg@psi.ch)

## **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:

Rosemarie Pécaut  
Vice-director

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:

Rosemarie Pécaut  
Vice-director

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 1.1.2016

### **Heads of finance units (contact persons) at the SNSF Responsables financiers des secretariats (personne de contact) au FNS**

#### **Humanities and Social Sciences division / Division des sciences humaines et sociales**

Daniel Waelti  
Tel. 031 / 308 23 14 (direct dial)  
031 / 308 22 22 (switchboard)  
E-mail daniel.waelti@snf.ch

#### **Mathematics, Natural and Engineering Sciences division / Division des mathématiques, des sciences naturelles et de l'ingénieur**

Thomas Schwarzenbach  
Tel. 031 / 308 23 22 (direct dial)  
031 / 308 22 22 (switchboard)  
E-mail thomas.schwarzenbach@snf.ch

#### **Biology and Medicine division / Division de biologie et médecine**

Adrian Schenk  
Tel. 031 / 308 23 31 (direct dial)  
031 / 308 22 22 (switchboard)  
E-mail adrian.schenk@snf.ch

#### **Interdisciplinary and International Co-operation division/ Division pour la coopération interdisciplinaire et internationale (InterCo)**

Jürg Schüpbach  
Tel. 031 / 308 21 44 (direct dial)  
031 / 308 22 22 (switchboard)  
E-mail juerg.schuepbach@snf.ch

**Careers division / Division Carrières**

*SNSF professorships/SNF-Förderungsprofessuren/Professeurs boursiers FNS, Assistant Professor (AP) Energy Grants, Ambizione, Ambizione Energy, Marie Heim-Vögtlin (MHV), Mobility fellowships/Mobilitätsstipendien/bourses de mobilités, Return grants/Rückkehrbeiträge/subsides de retour, ProDoc – Doctoral programmes/ProDoc – Doktoratsprogramme/ProDoc – Programmes doctoraux, Doc.CH)*

Philippe Berset

Tel. 031/308 21 10 (direct dial)

031 / 308 22 22 (switchboard)

E-mail [philippe.berset@snf.ch](mailto:philippe.berset@snf.ch)

**Programmes division / Division Programmes**

*(National Research Programmes (NRP)/Nationale Forschungsprogramme (NFP)/Programmes de recherche nationaux, National Centres of Competence in Research (NCCR)/Nationale Forschungsschwerpunkte (NFS)/Pôles de recherche nationaux (PRN), r4d thematic call/r4d Thematischer call/r4d call thématique)*

Roman Sollberger

Tel. 031 / 308 21 05 (direct dial)

031 / 308 22 22 (switchboard)

E-mail [roman.sollberger@snf.ch](mailto:roman.sollberger@snf.ch)

## Annex 12: Salary scales for doctoral students, salary ranges and guidelines for postdocs and other staff members, blanket amounts for social security contributions

(Clause 1.5 et seq. General implementation regulations for the Funding Regulations); version of 12.7.2017

### 12.1 Salary scales for doctoral students

The following salary scales are minimum annual gross salaries, excluding social security contributions made by the employer:

1st year	CHF 47,040
2nd year	CHF 48,540
3rd and 4th years	CHF 50,040

The length of employment funded by the SNSF is a maximum of four years following matriculation in the case of doctoral students. For details regarding the length of employment and minimum employment level, see also Clauses 7.3 and 7.6 of the General implementation regulations for the Funding Regulations.

### 12.2 Salary ranges and guidelines

The following salary ranges are annual gross salaries, excluding social security contributions made by the employer, calculated on a full-time basis:

Postdocs	CHF 80,000 to 105,000 *)
Other employees: Graduate employees not working towards a doctoral degree; Employees with a doctorate who do not hold a post for researchers pursuing an academic career; technicians; auxiliary staff)	CHF 40,000 to 105,000 **)

\*) This range applies with effect from 1 January 2014.

\*\*\*) This range applies with effect from 1 January 2016.

The amounts relate to a 100% full-time position, and are reduced accordingly for lower employment levels.

In addition, the following **general guidelines** shall apply:

- Institutions may apply their normal salary standards within the salary ranges.
- Institutions are responsible for ensuring salary equality within their institutions.
- The requested percentages of employment for project staff must correspond to the actual planned time requirement for the project.
- The maximum period of employment funded by the SNSF for postdocs is five years following the viva voce and/or official acceptance of the doctoral thesis.

- Other employees can only be paid from an SNSF grant if hired specifically for the proposed project. The SNSF does not finance any permanent posts. It is not possible to request any career measures for additional employees.
- For the purposes of budgeting, vacant positions must be taken into account at no higher than an average rate within the corresponding range and with no incremental increase. Exceptions for higher rates than the average rate must be justified in the application.
- The SNSF only pays additional personnel expenses pursuant to Clause 6.4 paragraph 2 letters a and b of the General implementation regulations for the Funding Regulations and only when these cannot be covered by a reduction in expenditure or by third-party funds.
- The salaries charged to the grant must correspond to the salaries paid in practice. The SNSF does not pay any overhead costs on salaries directly.
- At universities of applied sciences and universities of teacher education, the SNSF approves positions for doctoral students if there is a proven well-documented scientific working relationship with a university in Switzerland. As a general rule, the SNSF does not approve any positions for doctoral students enrolled abroad. Exceptions include the departments of universities of applied sciences and universities of teacher education<sup>24</sup> for which there are no partners at university level in Switzerland.

### **12.3 Adjustments to salary scales and salary ranges**

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

### **12.4 Blanket amounts for social security contributions**

For employees remunerated via an SNSF grant, the SNSF pays the grantees the equivalent of the statutory social security contributions required to be paid by employers in accordance with AHVG/IVG/EOG, BVG, AVIG and UVG (Swiss federal acts on social security contributions) as well as any family allowances, if applicable, or any other flat-rate benefits commonly paid at the place in question. The social security contributions must be shown in the financial reports in the form of the actual costs incurred.

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<sup>24</sup> Amended based on the Research Council's decision of 12 July 2017, in force with immediate effect.

The flat rates<sup>25</sup> for the employer's social security contributions are as follows (as a percentage of the relevant total gross salary):

University of Basel	14%
University of Bern	15%
EPFL	16%
ETHZ	16% <sup>26</sup>
EAWAG, EMPA, PSI, WSL	16% <sup>27</sup>
University of Fribourg	19% <sup>28</sup>
University of Geneva (incl. IHEID)	23%
University of Lausanne (incl. CHUV)	16 %
University of Lugano	14%
University of Lucerne	16%
University of Neuchâtel	22%
University of St. Gallen	14%
University of Zurich	15%
Other Institutions, normally	16%

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<sup>25</sup> Clause 7.9 of the General implementation regulations.

<sup>26</sup> Entry into force as of 1 April 2017.

<sup>27</sup> Entry into force as of 1 April 2017.

<sup>28</sup> Entry into force as of 1 January 2017.

## Annex 13: Sample employment contract

(Clauses 7.8 and 7.9 General implementation regulations for the Funding Regulations); version of 1.1.2016

### 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 7.6):**

The minimum employment level for doctoral students is 60%. Doctoral students with a work-time percentage of 60% will, within the scope of their employment funded by the SNSF grant, only be instructed to undertake activities that are directly linked to the research project referred to above.

Doctoral students with a work-time percentage of more than 60% may, in the context of their SNSF-funded employment, be deployed on other tasks for the institution for no more than 20% of the figure by which their work-time percentage exceeds 60%.

Postdocs funded by the SNSF may devote no more than 20% FTE to tasks within the institution that are not directly related to their scientific qualifications. Postdocs who are simultaneously funded via other means may also devote only a small portion of the work-time percentage financed by the SNSF to tasks within the institution.

## 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 minimum scales are as follows (minimum gross annual salary excluding employer's social security contributions):

a) for doctoral students:

1st year	CHF 47,040
2nd year	CHF 48,540
3rd and 4th years	CHF 50,040

b) for postdocs CHF 80,000 to 105,000

c) for other employees CHF 80,000 to 105,000

(Other employees: these include employees with a degree who do not intend to do a doctorate; employees with a doctorate who do not intend to pursue an academic career; technicians; auxiliary staff.)

**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.

**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.



