

## Report on the SNSF Temporary Backup Schemes

### Summary

In response to the change in the status of Switzerland with respect to Horizon 2020, the SNSF set up and conducted the Temporary Backup Schemes between March 2014 and February 2015. Two calls were launched, one for SNSF Starting Grants and one for SNSF Consolidator Grants. A total of 48 proposals were approved for a total budget of CHF 92.2 million. The participation and the success rates were very similar to those of Swiss-based researchers at the ERC in the previous years.

### 1. Background and preparation

The SNSF set up the Temporary Backup Schemes (TBS) in March 2014. The aim of these schemes was to allow excellent researchers working or planning to work at Swiss research institutions to apply for grants at the SNSF which are comparable to the frontier research grants of the ERC. This became necessary due to Switzerland's exclusion as an associated member state from the Horizon 2020 programme from the end of February 2014 to mid-September 2014 (partial re-association). In this period, the SNSF launched a call for SNSF Starting Grants (StG) and SNSF Consolidator Grants (CoG). It strived to stay as close as possible to the ERC schemes regarding submission and evaluation procedures as well as the size and nature of the grants.

The TBS were set up in close consultation with the State Secretariat for Education, Research and Innovation (SERI). When it became clear on 26 February 2014 that Swiss institutions would be excluded from the ERC Starting Grants (call deadline 25 March 2014), Swiss-based researchers eligible to this call had in many cases already prepared their proposals for the ERC. The SNSF prepared the TBS Starting Grants Call within three weeks and opened the call on 15 March, 2014. Thus, researchers could hand in the proposals which had been prepared; the call deadline of the ERC was kept (25 March). There was more time to prepare the call for the SNSF Consolidator Grants. The SNSF also started to prepare a possible SNSF Advanced Grant Call, but this became obsolete with the partial re-association of Switzerland in September.

Concerning the financial needs of the TBS, the SNSF analysed and evaluated the available statistics concerning the participation and the success rate of Swiss-based researchers at the ERC. Through all the years since the creation of the two instruments, Swiss-based researchers were more successful than the average (24% versus 12% in the ERC Starting Grants and 21% versus 9% in the ERC Consolidator Grants). As the budgets for the two ERC instruments and the demand of Swiss-based researchers developed with time, the approximate number of 'Swiss' grants to be funded by the TBS had to be extrapolated. On this basis, and applying an overhead of 15% (SNSF) instead of 25% (ERC), the SNSF proposed to the SERI a budget of CHF 94 million for the TBS Starting and Consolidator Grants. A similar calculation was done for the ERC Advanced Grants. The two calls had to be launched without knowing if or when the budget would be approved by the Swiss Parliament and if a TBS Advanced Grant call would be necessary. The budget was finally

approved on 1 December 2014. The forecast turned out to be quite realistic in terms of the demand, and an overall success rate of 18% came out.

It was clear from the beginning on that the SNSF could not integrate this heavy additional and unforeseen workload in its usual procedures and evaluation committees. Therefore, the presiding board decided to delegate the supervision of the TBS activities to a specific commission and to run the evaluation by panels and not in the National Research Council. On the level of the SNSF Administrative Offices, the deputy director was responsible for setting up and running the calls, the evaluation procedure and the lifetime management of the TBS proposals / grants. For the call and the evaluation of the proposals, approximately 1 - 1.5 FTE of SNSF staff were made available between February 2014 and February 2015. Additional staff (approximately 3 FTE) had to be employed on temporary contracts, one person still being employed for the lifetime management of the TBS grants.

## **2. Legal and procedural framework**

A Commission for Temporary Backup Schemes (CTBS) was appointed by the Presiding Board of the National Research Council. The commission comprised four members, all highly reputed scientists. Three of them were former members of the National Research Council, and the fourth member is the current president of the National Research Council:

- Gisou van der Goot, EPFL, for the Life Sciences
- Jean-Pierre Eckmann, University of Geneva, for Physical Sciences and Engineering
- Thomas Bernauer, University of Zürich, for the Social Sciences and Humanities
- Martin Vetterli, president of the National Research Council, as observer

The CTBS was responsible for coordinating and processing the TBS, appointing the evaluation panels and allocating the funds (see Appendix 1A: Regulations of the Commission of the Swiss National Science Foundation for the Temporary Backup Schemes for 'Horizon 2020').

The following documents (see Appendix 1) were produced for the SNSF StG and CoG each:

- Call for Temporary Backup Schemes for 'Horizon 2020' (legally binding call documents) [Appendices 1B and 1C]
- Extended call documents [Appendices 1D and 1E]
- Description of the evaluation process and guidelines for evaluators [Appendices 1F and 1G]

For all aspects not mentioned specifically in one of these documents, the requirements set out in the Funding Regulations of the SNSF applied.

For each funding instrument, three ad-hoc evaluation panels were set up by the CTBS; one in Social Sciences and Humanities (SSH), one in Physical Sciences and Engineering (PE) and one in Life Sciences (LS).

## **3. Procedure**

Evaluation of the TBS proposals comprised two phases. In the first phase, extended synopses of five pages and the CVs of the applicants were evaluated independently by three panel members. The CTBS reviewed the preliminary decisions of the panels after the first stage and approved them. In the second phase, full proposals of 15 pages were evaluated independently by three panel members and at least two external reviewers. The candidates were invited for interviews. The CTBS

reviewed the preliminary decisions of the panels and addressed a request to the Presiding Board of the National Research Council for a final decision. The Presiding Board approved the decisions, and the applicants were informed accordingly. Overhead for both schemes was paid to the institutions in May 2015.

The total budget finally assigned to the TBS was **CHF 94 million**. The CTBS decided to distribute this funding evenly among the two funding instruments, proportionally to the expected demand. Within the two schemes, the budget was distributed among panels according to the effective demand (ca. 18% success rate in all panels). Finally **CHF 46.7 million** were attributed to the SNSF Starting Grants and the remaining **CHF 47.3 million** were attributed to the SNSF Consolidator Grants, in both cases including 15% overhead. Whereas the entire sum of CHF 46.7 million was used for the SNSF Starting grants (see Appendix 2A), only CHF 45.5 million were used for the SNSF Consolidator Grants (see Appendix 2B).

#### **4. Schedule**

##### ***SNSF Starting Grants***

- Opening of the call: 15 March 2014
- Call deadline: 25 March 2014
- Panel meetings 1<sup>st</sup> stage in June 2014
- Approval CTBS: end of June 2014
- Information to applicants: beginning of July 2014
- Panel meetings 2<sup>nd</sup> stage (with interviews): end of September and early October 2014
- Review CTBS: 29 October 2014
- Approval Presiding Board: 4 November 2014
- Information to applicants: mid-November 2014
- Earliest possible starting dates for approved projects: February 2015

##### ***SNSF Consolidator Grants***

- Opening of the call: 28 April 2014
- Call deadline: 20 May 2014
- Panel meetings 1<sup>st</sup> phase in October 2014
- Approval CTBS: 29 October 2014
- Information to applicants: mid-November 2014
- Panel meeting 2<sup>nd</sup> phase (with interviews): January 2015
- Review CTBS: End of January 2015
- Approval Presiding Board: 10 February 2015
- Information to applicants: mid-February 2015
- Earliest possible starting dates for approved projects: March 2015

#### **5. Outcomes for SNSF Starting Grants**

A total of 145 proposals were submitted. Applicants could ask at maximum for CHF 1.5 million (+ 0.5 million for installation costs), excluding overhead. The maximum grant duration was five years. Two proposals were withdrawn and the administrative offices dismissed one, as it did not fulfil the formal criteria. Therefore, 142 proposals, asking in total for CHF 214.8 million (without overhead), were evaluated in the first phase. Fifty-five applicants (rated A) were invited to the interviews of the 2<sup>nd</sup> round. One applicant withdrew his application at this stage. After the interviews, 28 proposals (rated A) were recommended for funding by the panels. After close examination, the

CTBS, in consultation with the LS panel chair, recommended to fund 27 proposals as the preliminary decisions of the LS panel exceeded budget allowance. The presiding board of the SNSF approved this decision.

Panel	First phase				Second phase		
	Total	Rated A	Rated B	Rated C	Total	Rated A	Rated B
<b>SSH</b>	28	10	7	11	10	5	5
<b>LS</b>	49	20	20	9	20	10	10
<b>PE</b>	65	25	24	16	24	12	12
<b>Total</b>	142	55	51	36	54	27	27

Panel	Total budget granted	Subcontracting costs*	Basis Overhead	Overhead	Total amount
<b>SSH</b>	6'808'842	97'300	6'711'542	1'006'731	7'815'573
<b>LS</b>	14'967'246	58'000	14'909'246	2'236'387	17'203'633
<b>PE</b>	18'869'815	-	18'869'815	2'830'472	21'700'287
<b>Total</b>	40'645'903	155'300	40'490'603	6'073'590	46'719'493

\*excluded from overhead

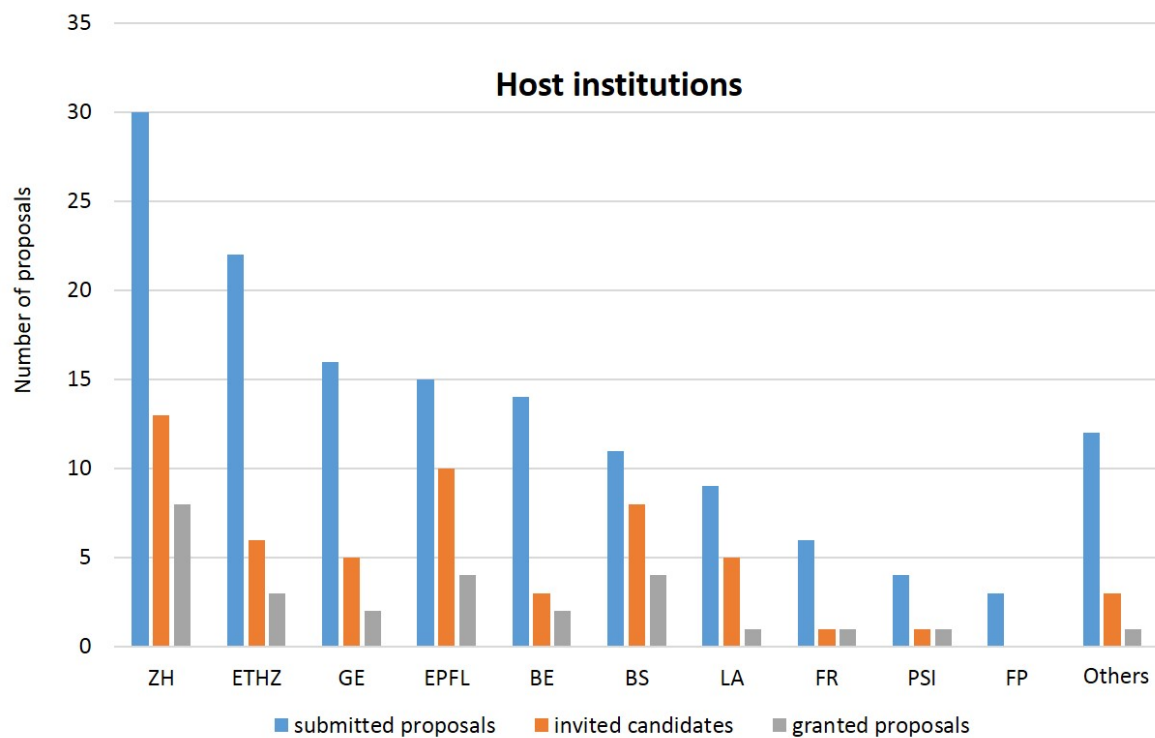
Appendix 2A contains a list of the approved Starting Grants with their budgets.

**Host institutions:** The University of Zurich, the ETHZ and the University of Geneva submitted the highest number of proposals. The University of Zurich, the EPFL and the University of Basel had the most applicants in the 2<sup>nd</sup> phase. The same three institutions had the most grantees at the end.

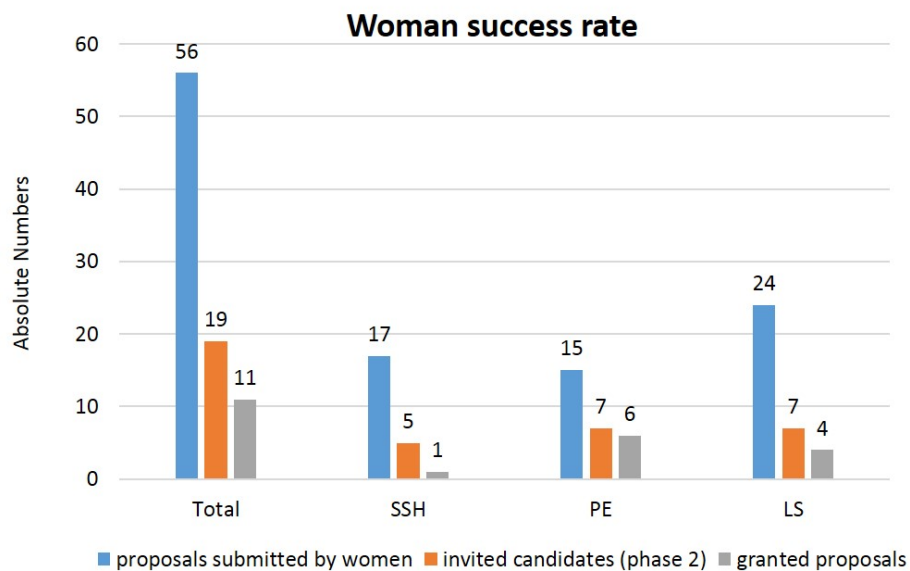
**Incoming researchers:** A total of 18 applicants that submitted a proposal worked abroad at the time of submission (13%). Six of these were invited to the interviews (11% of the invited candidates). In the end, two of these proposals were retained for funding (7% of the funded projects).

**Nationalities:** 36% of all applicants were Swiss citizens and 20% were German citizens. Italian, Greek and French citizens formed the next most numerous groups. Of the grant recipients, 13 (48%) were Swiss; of the remaining recipients, only German (3), French (3) and Italian (2) citizens number more than one.

**Non-academic entities:** Only 3 applicants wanted to be hosted at commercial research centers (2 IBM, 1 Nestlé). None of these were invited to the interviews.



**Women:** 25% of the SNSF Staring Grant proposals were submitted by women. Their overall success rate was 17% (general success rate: 18%).



## 6. Outcomes for SNSF Consolidator Grants

A total of 113 proposals were submitted. Applicants could ask at maximum for CHF 2.0 million (+ 0.75 million for installation costs), excluding overhead. Maximum grant duration was five years. One proposal was withdrawn and one was dismissed by the administrative offices as the applicant did not submit a research plan on time. Therefore, 111 proposals, asking in total for CHF 216.4 million (without overhead), were evaluated in the first phase. 46 applicants were invited to the interviews for the second phase; one of these proposals was withdrawn, so that 45 proposals were evaluated in the second phase. Of these, 21 were determined to qualify for the grant in question by the evaluation panels, and confirmed by the CTBS and the SNSF presiding Board.

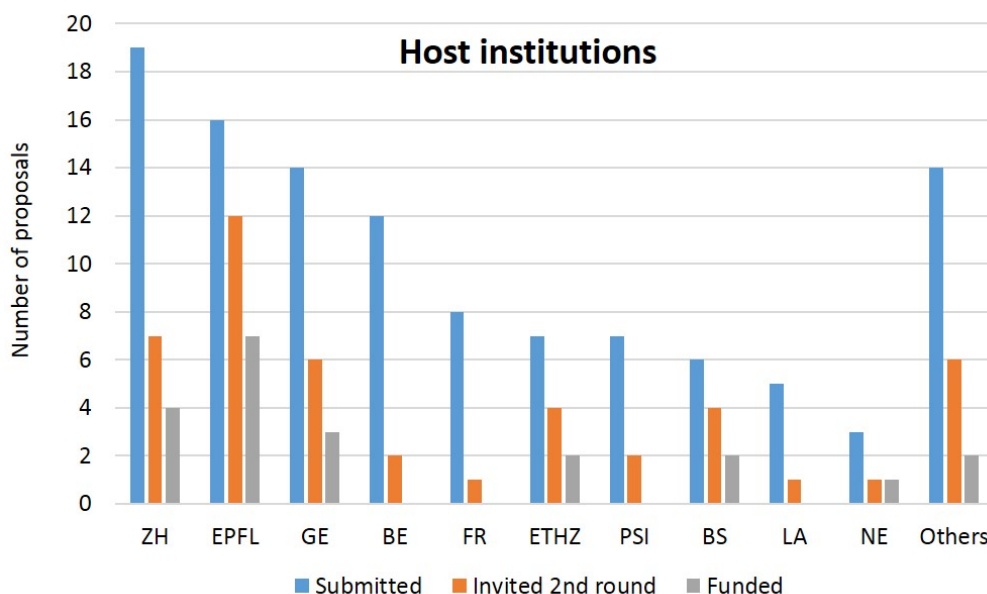
Panel	First phase				Second phase		
	Total	Rated A	Rated B	Rated C	Total	Rated A	Rated B
<b>SSH</b>	21	7	5	9	7	4	3
<b>LS</b>	35	13	16	6	13	6	7
<b>PE</b>	55	26	23	6	25	11	14
<b>Total</b>	111	46	44	21	45	21	24

Panel	Total budget granted	Subcontracting costs*	Basis Overhead	Overhead	Total amount
<b>SSH</b>	6'629'339	-	6'629'339	994'401	7'623'740
<b>LS</b>	12'591'863	601'200	11'990'663	1'798'599	14'390'462
<b>PE</b>	20'405'475	-	20'405'475	3'060'821	23'466'296
<b>Total</b>	39'626'677	601'200	39'025'477	5'853'822	45'480'498

\*excluded from overhead

Appendix 2B contains a list of the successful grant holders with their granted budgets.

**Host institutions:** The University of Zurich, the EPFL and the University of Geneva submitted the highest number of proposals. The same institutions had the most applicants in the second phase, and also ended up with the most grantees.

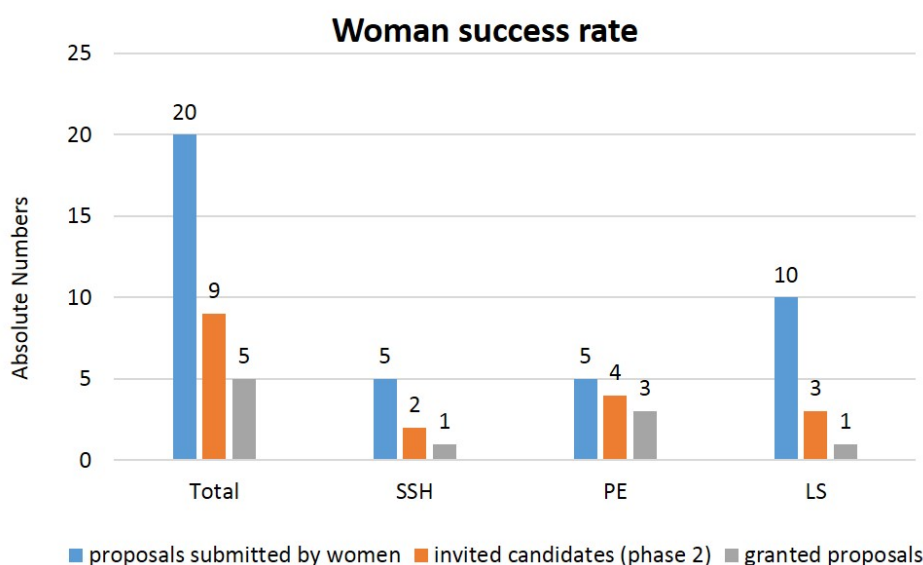


**Incoming researchers:** A total of 7 applicants that submitted a proposal worked abroad at the time of submission (6%). Four of these were invited to the interviews; none of them are among the grant recipients.

**Nationalities:** 43 (38%) of all applicants were Swiss citizens. French (13), German (12), Italian (8), and Spanish (6) citizens formed the most numerous other groups. Of the grant recipients, 9 (43%) were Swiss; of the remaining recipients, only German (2), French (2) and Spanish (2) citizens number more than one.

**Non-academic entities:** Only one applicant wanted to be hosted at a commercial research center (IBM). This applicant was not invited to the interviews.

**Women researchers:** 20 (18%) of all applicants were women. The percentage of women among the applicants invited in phase 2 was 20%; 5 (24%) of the grant recipients are female.

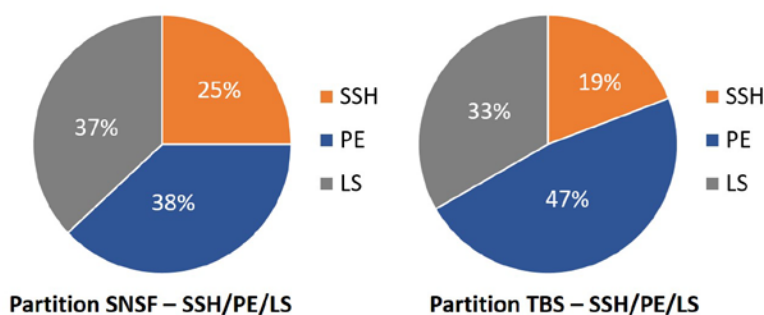


## 7. Observations concerning both instruments

In total, 48 proposals were approved for a budget of CHF 92.2 million, 1.8 million remain at disposal.

The demand in the SNSF TBS schemes (258 proposals in total) corresponded to the forecast by the SNSF. Researchers in Switzerland, or intending to work in Switzerland, used the TBS as they had been using the ERC Starting Grants and Consolidator Grants in the last years in terms of demand.

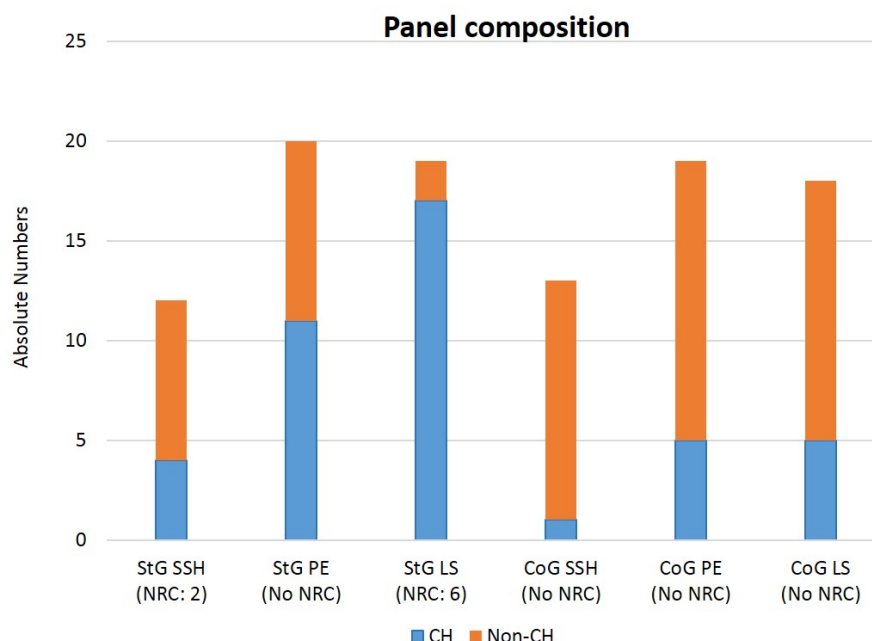
The distribution between the three major research domains (Physical Sciences and Engineering, Life Sciences, Social Sciences and Humanities) was very similar to the distribution at the ERC. The share of the Physical Sciences and Engineering was significantly larger in the TBS proposals and grants (47%) than in regular SNSF proposals and grants (38%), whereas the opposite is true for the Life Sciences (33% in TBS versus 37% at SNSF) and the Social Sciences and Humanities (19% in TBS versus 25% at SNSF); numbers are for 2014.



Most of the TBS proposals came from the University of Zürich, from the EPFL and from the University of Geneva. These are also the institutions which obtained the largest number of TBS grants. This is reflected in the overhead payments as well (Appendix 3). In the usual SNSF instruments, the largest number of grants went to the ETHZ, the University of Zürich and the University of Berne (numbers are for 2014). In the ERC calls for Starting and Consolidator Grants, the largest number of grants went to EPFL, ETHZ and the University of Zürich (average over all calls).

Concerning panel composition, the panels for the SNSF Starting Grants had to be set up in a very short time; overall, the majority of panel members were from Switzerland, some of them were members of the National Research Council (NRC). In contrast, the panels for the SNSF Consolidator Grants only had few members from Switzerland and no NRC members.





## 8. Lifetime Management, status and outlook

From the beginning on it was decided that the TBS grants would be handled at the institutions in the same way as the SNSF grants. It did not seem reasonable and was not possible to set up an entirely different lifetime management system in the given time and for a short period.

Currently, 18 TBS grant holders asked for release of funds; 12 have started to work on their projects (9 SNSF Starting Grant holders and 3 SNSF Consolidator Grant holders). The latest possible starting dates for the projects are February 2016 for the SNSF Starting Grants and March 2016 for the SNSF Consolidator Grants. The SNSF has been asked about the transferability of TBS grants in EU countries or associated countries by three grant holders, but no formal request has been made yet. The SNSF, in consultation with the SERI, will allow grants to be transferred to EU countries or associated countries regardless of the status Switzerland will have with respect to Horizon 2020 from 2017 on.

In close consultation with the SERI, the SNSF is currently exploring the possibility of a 'compensation scheme'. Researchers who have obtained ERC grants in the ERC Starting Grant and Consolidator Grant calls in 2014 cannot bring their grants to Switzerland. This is an obstacle for talented young researchers who are to be appointed as professors at Swiss universities – they have to cancel their ERC grants. There is at least one case already in 2015, and more cases may be coming up in the next years. The CHF 1.8 million left over from the TBS budget could be used for compensation of 'lost' ERC grants, but would have to be completed by much higher funds.

The ERC grant design and evaluation procedure differs from that of the standard SNSF schemes, e.g. project funding, in various aspects. In a workshop 'Lessons Learnt', organised within the SNSF, these differences were examined and evaluated. As a consequence, the SNSF will probably adapt its evaluation procedure in some points.

## **9. Appendices**

### **Appendix 1: Documents relevant to the two calls**

- Regulations for the Commission for the Temporary Backup Schemes (Appendix 1A)
- Call document SNSF Starting Grants (Appendix 1B)
- Extended Call document SNSF Starting Grants (Appendix 1D)
- Description of the evaluation process and guidelines for evaluators for the SNSF Starting Grants (Appendix 1F)
- Call document SNSF Consolidator Grants (Appendix 1C)
- Extended Call document SNSF Consolidator Grants (Appendix 1E)
- Description of the evaluation process and guidelines for evaluators for the SNSF Consolidator Grants (Appendix 1G)

### **Appendix 2: Lists of awarded grants**

- SNSF Starting Grants (Appendix 2A)
- SNSF Consolidator Grants (Appendix 2B)

### **Appendix 3: Overhead payments**

## **Appendix 1A: Regulations of the Commission of the Swiss National Science Foundation for the Temporary Backup Schemes for "Horizon 2020"**

### **(Commission for Temporary Backup Schemes; CTBS)**

**of 12 March 2014**

The National Research Council,  
based on Article 9 letter d of the Organisational Regulations of the National Research Council  
issues the following Regulations:

#### **Article 1            Scope**

<sup>1</sup> Under the name of Commission for Temporary Backup Schemes of the Swiss National Science Foundation, a Commission has been appointed by the Presiding Board of the National Research Council pursuant to Article 9 letter d of the Organisational Regulations of the National Research Council.

<sup>2</sup> These Regulations regulate the organisation, responsibility and competencies of the Commission for Temporary Backup Schemes, hereinafter CTBS. The Organisational Regulations of the National Research Council apply subject to any specific provisions of these Regulations.

#### **Article 2            Objectives, coordination**

<sup>1</sup> The CTBS is responsible for coordinating and processing the Temporary Backup Schemes offered by the SNSF as a result of the changed status of Switzerland with regard to the European research programme "Horizon 2020".

<sup>2</sup> The CTBS coordinates its activities with the Presiding Board of the Research Council and the Administrative Offices of the SNSF.

<sup>3</sup> It coordinates its activities with the responsible federal offices within the scope of tasks assigned to the SNSF.

### **Article 3                      Composition, constitution**

<sup>1</sup> The CTBS comprises:

- a. the President of the Research Council
- b. one member from the humanities and social sciences;
- c. one member from biology and medicine;
- d. one member from mathematics, natural and engineering sciences;

<sup>2</sup> The members of the Commission are elected by the Presiding Board of the Research Council, in all other respects the CTBS constitutes itself. The President of the Research Council is an advisory member without the right to vote.

<sup>3</sup> All members of the Commission have an excellent scientific reputation. They are current or former recipients of an Advanced Grant of the European Research Council and current or former members of the Research Council, or they have gained a similar degree of experience in international scientific review panels and as grantees of other research funding organisations.

<sup>4</sup> While working for the Commission, members of the CTBS may not submit any applications that fall within the sphere of responsibility of the CTBS.

### **Article 4                      Meetings, administration**

<sup>1</sup> The CTBS meets as often as is necessary.

<sup>2</sup> It is supported by the Administrative Offices in administrative matters.

### **Article 5                      Tasks and responsibilities**

The CTBS is responsible for:

1. The entire coordination and handling of the Temporary Backup Schemes for "Horizon 2020" of the SNSF and the tasks assigned to the SNSF by the Confederation in this context
2. The recommendations submitted to the Presiding Board of the Research Council in connection with the calls issued by the SNSF within the scope of Temporary Backup Schemes
3. Appointing and supporting the evaluation panels, selecting the chairpersons of the panels and, in particular, ensuring that there are no conflicts of interests
4. Verifying whether the recommendations of the panel at the first stage of evaluation comply with the procedural rules and deciding which proposals are to be admitted to the second stage of evaluation or definitively rejecting proposals
5. Verifying whether the provisional decisions of the panel at the second stage of evaluation comply with the procedural rules as well as forwarding the verified decisions to the Presiding Board of the Research Council for endorsement
6. Delegating observers from the Research Council to sit on the panels if necessary
7. Allocating funds to the panels for the individual calls within the scope of the Confederation's requirements for the Temporary Backup Schemes "Horizon 2020".

## **Article 6            Panels**

<sup>1</sup> When appointing panels for the evaluation procedure, the CTBS considers the following principles.

<sup>2</sup> For each call, it sets up at least one panel - whose composition should be as international as possible - for each of the following areas:

- a. Humanities and social sciences;
- b. Mathematics, natural and engineering sciences;
- c. Biology and medicine.

<sup>3</sup> The Commission may appoint further panels if necessary.

<sup>4</sup> The panels generally have between 6 and 20 members

<sup>5</sup> Panel members have an excellent scientific reputation as well as experience as members of international review panels.

<sup>6</sup> While working for the CTBS, panel members may not submit any applications that fall within the sphere of responsibility of the relevant panel.

## **Article 7            Budget, overhead**

<sup>1</sup> The Commission allocates the funds among the panels in proportion to the requested funding.

<sup>2</sup> The overhead is paid additionally from separate, earmarked funds.

## **Article 8            Organisational provisions for the panels**

<sup>1</sup> The panels act in accordance with the provisions of the Organisational Regulations of the National Research Council of the SNSF.

<sup>2</sup> The Commission may stipulate further organisational provisions for the panels.

## **Article 9            Compensation**

Members of the CTBS and the appointed panels are compensated in accordance with the regulations on the compensation of the Foundation Council, the Executive Committee of the Foundation Council, the National Research Council and the Research Commissions of the Swiss National Science Foundation (Compensation Regulations)<sup>1</sup>.

## **Article 10          General provisions for the Temporary Backup Schemes**

The duration of Temporary Backup Schemes depends on decisions as to the status of Switzerland with respect to the European research programme "Horizon 2020". The provisions concerning organisation and contents of the Temporary Backup Schemes are subject to changes in the relevant conditions for Switzerland. The SNSF reserves the right to transfer its measures to "Horizon 2020"

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<sup>1</sup> [http://www.snf.ch/SiteCollectionDocuments/entschaedigungsreglement\\_d.pdf](http://www.snf.ch/SiteCollectionDocuments/entschaedigungsreglement_d.pdf)

and terminate the Temporary Backup Schemes in the event of Switzerland's participation in "Horizon 2020". Approved grants will in any case remain valid. Their handling may be adjusted to the new conditions, however.

**Article 11            Entry into force**

These Regulations enter into force on 15 March 2014.

## **Appendix 1B: Call for Temporary Backup Schemes for**

### **"Horizon2020" SNSF Starting Grants 2014**

#### **1. Scope and objective of the call**

The changed status of Switzerland with regard to the European research programme "Horizon 2020" has led the SNSF to initiate Temporary Backup Schemes as a transitional measure. This call offers a substitute for the ERC call for Starting Grants with deadline 25 March 2020, for which proposals with destination Switzerland are not eligible.

#### **2. Eligibility**

<sup>1</sup> Researchers who would like to conduct a research project at a host institution in Switzerland are eligible to participate in the call. For the duration of the project, they must be employed at a research centre of a higher education institution or a research centre outside academia that is domiciled in Switzerland. In all other respects, the requirements set out in the Funding Regulations of the SNSF apply [http://www.snf.ch/SiteCollectionDocuments/allg\\_reglement\\_e.pdf](http://www.snf.ch/SiteCollectionDocuments/allg_reglement_e.pdf).

<sup>2</sup> Applicants:

- a. must have obtained their doctorate or a similar qualification between 11 December 2006 and 11 December 2011. If the relevant date is before 11 December 2006, exceptions will be made to a certain extent in the event of maternity, paternity or illness (see extended call document);
- b. must have published at least one article as main author in an international, peer-reviewed journal; the article must have been written without the help of the supervisor of the doctoral thesis;
- c. spend at least half of their total working time in Switzerland pursuant to paragraph 1. This is subject to the re-association of Switzerland in "Horizon 2020", in which case this restriction would be changed to 'spend at least half of their total working time in an EU member or associated state'.
- d. devote at least 50 per cent of their work-time to the planned research project.

<sup>3</sup> Restrictions apply to applicants who simultaneously submit an application to the European Research Council under the Call Identifier ERC-2014-StG, and applicants with rejected and approved applications within the scope of previous work programs of the ERC (see extended call document).

### 3. Submission of applications and deadline

<sup>1</sup> The applications must be submitted to the SNSF electronically via the mySNF platform.

<sup>2</sup> mySNF will be open for applications for the programme "Horizon 2020"/Starting Grants from **15 to 25 March 2014**.

<sup>3</sup> The following documents need to be submitted with the application:

- Extended Synopsis (5 pages)
- Curriculum vitae (2 pages)
- Track record (2 pages)
- Research plan (15 pages)
- Letter of support from the host institution
- Doctoral certificate (copy)
- Administrative information as per the requirements set out in mySNF
- other documents as per the extended call document

### 4. Procedure and assessment criteria

#### 4.1 The evaluation procedure comprises two phases

In **phase 1**, the extended synopses are evaluated by the responsible panel, provided that the formal requirements for the submission of proposals are met. The panel recommends proposals for admission to phase 2 to the Commission for Temporary Backup Schemes (CTBS). The unsuccessful proposals are rejected through a ruling once the Commission has made its decision.

In **phase 2** the proposals are also evaluated externally and interviews are held with the applicants. On the basis of this, the panels recommend that proposals be either funded or rejected by the Commission.

#### 4.2 Assessment criteria

The scientific quality of the research proposals and the scientific qualifications of the researchers are relevant for the scientific evaluation. For all particulars, the provisions set out in the extended call document apply.

#### 4.3 Funding decisions

The funding decisions are made by the CTBS based on the panels' recommendations and approved by the Presiding Board of the National Research Council.

The decisions are communicated to the applicants in the form of a ruling.

For phase 1: no later than the end of September 2014.

For phase 2: by the end of December 2014.



#### **4.4 Start of project, project duration**

Projects may start on 1.2.2015 at the earliest. The grant is awarded for a maximum of 5 years.

#### **4.5 Grant administration**

Grants are administered pursuant to the rules set out in the Funding Regulations and its Implementation Regulations.

#### **4.6 Reporting**

Reporting is effected pursuant to the requirements and information set out in the rulings.

### **5. Information on right of appeal**

Rulings of the SNSF may be appealed against before the Swiss Federal Administrative Court. No one is legally entitled to receive funding.

### **6. Amount and composition of the grant**

A maximum amount of CHF 1,500,000 is awarded for 5 years. To this may be added a maximum amount of CHF 500,000 for installation costs in connection with the move to Switzerland due to the SNSF Starting Grant and/or for the acquisition or utilisation of scientific infrastructure.

### **7. Eligible costs**

The following costs, which are directly linked to the research project, may be claimed:

- a. the applicants' salaries
- b. the salaries of scientific and technical collaborators in research projects within the scope of the salary or hourly rates prescribed by the SNSF;
- c. material costs that are directly related to the research work, namely material of enduring value, expendable items, field expenses, travel costs or third-party charges;
- d. The costs of scientific publications produced in the context of the funded research;
- e. Costs of conferences and workshops in connection with the funded research
- f. Costs of tasks assigned to third parties, as long as they do not constitute an essential part of the planned work (sub-contractors)

<sup>2</sup>The costs must be applied for and quantified in the proposal.

### **8. Overhead 15%**

The SNSF pays an overhead of 15% on the awarded grants. The overhead is paid to the host institution. Its use is regulated by the principles set out in the Overhead Regulations of the SNSF.

### **9. General provisions for the Temporary Backup Schemes**

The duration of Temporary Backup Schemes depends on decisions as to the status of Switzerland with respect to the European research programme "Horizon 2020". The provisions concerning organisation and contents of the Temporary Backup Schemes are subject to changes in the relevant conditions for Switzerland. The SNSF reserves the right to transfer its measures to "Horizon 2020" and terminate the Temporary Backup Schemes in the event of Switzerland's participation in "Horizon 2020". Approved grants will in any case remain valid. Their handling may be adjusted to the new conditions, however.

## **10. Further provisions**

<sup>1</sup> In addition, the provisions set out in the extended call document apply.

<sup>2</sup> In the event of any issues that are not regulated in the call and the extended call document, the provisions of the SNSF concerning research funding shall apply, in particular the Funding Regulations of the SNSF and its Implementation Regulations.

## **11. Contact**

Swiss National Science Foundation, Wildhainweg 3, P.O. Box 8232, CH-3001 Berne  
Phone: +41 31 308 22 22  
CTBS@snf.ch | [www.snf.ch](http://www.snf.ch)

## **12. Enactment**

The Presiding Board of the National Research Council decided to issue this call on 12 March 2014, and the call was enacted on 15 March 2014.

## **Appendix 1C: Call for Temporary Backup Schemes for**

### **"Horizon 2020" SNSF Consolidator Grants 2014**

#### **1. Scope and objective of the call**

The changed status of Switzerland with regard to the European research programme "Horizon 2020" has led the SNSF to initiate Temporary Backup Schemes as a transitional measure. This call offers a substitute for the ERC call for Consolidator Grants with deadline 20 May 2014, for which proposals with destination Switzerland are not eligible.

#### **2. Eligibility**

<sup>1</sup> Researchers who would like to conduct a research project at a host institution in Switzerland are eligible to participate in the call. For the duration of the project, they must be employed at a research centre of a higher education institution or a research centre outside academia that is domiciled in Switzerland. In all other respects, the requirements set out in the Funding Regulations of the SNSF apply [http://www.snf.ch/SiteCollectionDocuments/allg\\_reglement\\_e.pdf](http://www.snf.ch/SiteCollectionDocuments/allg_reglement_e.pdf).

<sup>2</sup> Applicants:

- a. must have obtained their doctorate or a similar qualification between 11 December 2001 and 11 December 2006. If the relevant date is before 11 December 2001, exceptions will be made to a certain extent in the event of maternity, paternity or illness (see extended call document);
- b. must have published several articles as main author in an international, peer-reviewed journal; the article must have been written without the help of the supervisor of the doctoral thesis;
- c. spend at least half of their total working time in Switzerland pursuant to paragraph 1. This is subject to the re-association of Switzerland in "Horizon 2020", in which case this restriction would be changed to 'spend at least half of their total working time in an EU member or associated state'.
- d. devote at least 50 per cent of their work-time to the planned research project.

<sup>3</sup> Restrictions apply to applicants who simultaneously submit an application to the European Research Council under the Call Identifier ERC-2014-CoG, and applicants with rejected and approved applications within the scope of previous work programs of the ERC (see extended call document).

### **3. Submission of applications and deadline**

<sup>1</sup> The applications must be submitted to the SNSF electronically via the mySNF platform.

<sup>2</sup> mySNF will be open for applications for the programme SNSF Consolidator Grants from **1 to 20 May 2014**.

<sup>3</sup> The following documents need to be submitted with the application:

- Extended Synopsis (5 pages)
- Curriculum vitae (2 pages)
- Track record (2 pages)
- Research plan (15 pages)
- Letter of support from the host institution
- Doctoral certificate (copy)
- Administrative information as per the requirements set out in mySNF
- other documents as per the extended call document

### **4. Procedure and assessment criteria**

#### **4.1 The evaluation procedure comprises two phases**

In **phase 1**, the extended synopses are evaluated by the responsible panel, provided that the formal requirements for the submission of proposals are met. The panel recommends proposals for admission to phase 2 to the Commission for Temporary Backup Schemes (CTBS). The unsuccessful proposals are rejected through a ruling once the Commission has made its decision.

In **phase 2** the proposals are also evaluated externally and interviews are held with the applicants. On the basis of this, the panels recommend that proposals be either funded or rejected by the Commission.

#### **4.2 Assessment criteria**

The scientific quality of the research proposals and the scientific qualifications of the researchers are relevant for the scientific evaluation. For all particulars, the provisions set out in the extended call document apply.

#### **4.3 Funding decisions**

The funding decisions are made by the CTBS based on the panels' recommendations and approved by the Presiding Board of the National Research Council.

The decisions are communicated to the applicants in the form of a ruling.

For phase 1: no later than the end of October 2014.

For phase 2: by the end of January 2015.

#### **4.4 Start of project, project duration**

Projects may start on 1.3.2015 at the earliest. The grant is awarded for a maximum of 5 years.

#### **4.5 Grant administration**

Grants are administered pursuant to the rules set out in the Funding Regulations and its Implementation Regulations.

#### **4.6 Reporting**

Reporting is effected pursuant to the requirements and information set out in the rulings.

### **5. Information on right of appeal**

Rulings of the SNSF may be appealed against before the Swiss Federal Administrative Court. No one is legally entitled to receive funding.

### **6. Amount and composition of the grant**

A maximum amount of CHF 2,000,000 is awarded for up to 5 years. To this may be added a maximum amount of CHF 750,000 for installation costs in connection with the move to Switzerland due to the SNSF Consolidator Grant and/or for the acquisition or utilisation of scientific infrastructure.

### **7. Eligible costs**

The following costs, which are directly linked to the research project, may be claimed:

- a. the applicants' salaries
- b. the salaries of scientific and technical collaborators in research projects within the scope of the salary or hourly rates prescribed by the SNSF;
- c. material costs that are directly related to the research work, namely material of enduring value, expendable items, field expenses, travel costs or third-party charges;
- d. The costs of scientific publications produced in the context of the funded research;
- e. Costs of conferences and workshops in connection with the funded research
- f. Costs of tasks assigned to third parties, as long as they do not constitute an essential part of the planned work (sub-contractors)

<sup>2</sup>The costs must be applied for and quantified in the proposal.

### **8. Overhead 15%**

The SNSF pays an overhead of 15% on the awarded grants. The overhead is paid to the host institution and should not be indicated by the applicant in his/her budget. Its use is regulated by the principles set out in the Overhead Regulations of the SNSF.

## **9. General provisions for the Temporary Backup Schemes**

The duration of Temporary Backup Schemes depends on decisions as to the status of Switzerland with respect to the European research programme "Horizon 2020". The provisions concerning organisation and contents of the Temporary Backup Schemes are subject to changes in the relevant conditions for Switzerland. The SNSF reserves the right to transfer its measures to "Horizon 2020" and terminate the Temporary Backup Schemes in the event of Switzerland's participation in "Horizon 2020". Approved grants will in any case remain valid. Their handling may be adjusted to the new conditions, however.

## **10. Further provisions**

<sup>1</sup> In addition, the provisions set out in the extended call document apply.

<sup>2</sup> In the event of any issues that are not regulated in the call and the extended call document, the provisions of the SNSF concerning research funding shall apply, in particular the Funding Regulations of the SNSF and its Implementation Regulations.

## **11. Contact**

Swiss National Science Foundation, Wildhainweg 3, P.O. Box 8232, CH-3001 Berne  
Phone: +41 31 308 22 22  
CTBS@snf.ch | [www.snf.ch](http://www.snf.ch)

## **12. Enactment**

The Commission for the Temporary Backup schemes decided to issue this call on 24 March 2014, and the call was enacted on 28 March 2014.

## **Appendix 1D: Extended call document: SNSF Starting Grants**

Excellent researchers who are currently unable to apply to the European Research Council for ERC Grants at Swiss research institutions because of the successful mass immigration initiative may apply for comparable grants at the SNSF in the context of transitional measures in 2014. The aim is to maintain Switzerland's strong position as a centre of research. Applicants with destination Switzerland who intended to apply for a Starting Grant with the ERC can submit their proposal to the SNSF. This document describes the rules and procedures for submitting a proposal to the Temporary Backup Scheme **SNSF Starting Grants**.

### **1. From the preparation of applications through to the decision – the main points in brief**

The call is open as of **15 March 2014** and will close on **25 March 2014 (midnight Swiss time)**. Applicants of any nationality with destination Switzerland who intended to apply for an ERC Starting Grant can submit their proposal to the SNSF via the electronic platform *mySNF*.

This funding scheme will provide up to **CHF 1.5 million for up to five years** to excellent young scientists who want to pursue ground-breaking, high-gain/high-risk research in Switzerland and propose ambitious but feasible research. Scientific quality of the research project and the applicants' qualifications are the only evaluation criteria. This scheme is open to all research disciplines and topics. Host institutions must agree to ensure conditions in which the applicants can direct the research and manage their funding.

Before submitting an application, the formal and personal requirements should be noted.

As applications must be submitted to the SNSF online via the *mySNF* platform ([www.mysnf.ch](http://www.mysnf.ch)), the applicant needs to apply for a user account in good time. Some parts of the application can be prepared in advance (and uploaded as PDF documents once the account has been activated – PDF uploads). This applies, in particular, to the **extended synopsis (5 pages), the CV (2 pages), the track record (2 pages) and the scientific proposal (15 pages)**. Please enter all other data online in *mySNF*, in particular administrative and financial data. This document offers basic advice on how to draft an application. Help texts for completing individual data containers will be available in *mySNF* when a new application is entered.

Upon submission, the Administrative Offices of the SNSF examine whether the formal and personal requirements are met and, if this is the case, forward the application for scientific evaluation. A **two-phase evaluation** procedure will be conducted by panels of mostly international experts. The outcome of the first phase of the evaluation will be communicated to the applicant at the latest in September 2014. The applicants will be informed of the final decisions in December 2014. The projects can start, at the earliest, in February 2015.

## 2. Points to be clarified before drafting an application

### 2.1 User account in *mySNF*

The applicant must have a user account for *mySNF*. Registration is possible at [www.mysnf.ch](http://www.mysnf.ch). The login information will subsequently be sent by e-mail. To guarantee timely access, new user accounts must be requested no later than two working days before the relevant submission deadline. The *mySNF* access will remain in place for future submissions or for the lifetime management of approved projects.

### 2.2 Eligibility criteria for the applicant

Please clarify before drafting an application whether all the eligibility criteria listed below are fulfilled.

#### Obtainment of PhD degree:

The applicant must have been awarded his/her **PhD** or an equivalent degree<sup>1</sup> between 11 December 2006 and 11 December 2011 (eligibility time window). However, the PhD degree may have been awarded before 11 December 2006 if one or several of the circumstances listed below apply to the applicant:

- Maternity: each child increases the eligibility time window by 18 months;
- Paternity: each child increases the eligibility time window by the actual amount of paternity leave taken;
- For illnesses longer than 90 days, clinical training or national service: the eligibility time window is increased by the actual amount of leave taken for each incident which occurred **after** the PhD was awarded.

The applicant must be able to document these circumstances appropriately. In any case, the PhD degree must not have been awarded before 11 June 2001.

**Medical doctors** are only eligible if they also held a position that requires the equivalent of a doctorate (e.g. post-doctoral fellowship, professorial appointment). If the applicant holds both a PhD and an MD and obtained the MD first, the MD will be considered the first eligible degree. However, the certified date of the MD's completion must lie between 11 December 2004 and 11 December 2009.

#### Multiple applications/funding:

- The applicant may submit a proposal under the call identifier ERC-2014-StG. He/she must, however, inform the SNSF of the parallel submission and will not under any circumstances receive both grants.
- A researcher who submitted an ERC Starting Grant under the Work Programme 2013 and was evaluated as category C may not submit a proposal in response to this call;
- A researcher participating as principal investigator in an ERC frontier research project may not submit a proposal to this call, unless the existing project ends no more than two years after the call deadline.

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<sup>1</sup> Potential applicants who do not have a PhD but a degree they think might be equivalent are invited to contact the SNSF before submitting a proposal in order to clarify their eligibility.



- In case the SNSF organises Temporary Backup Scheme calls (Starting, Consolidator and Advanced Grants) in 2015, applicants whose proposal is evaluated as category B or C in the first evaluation phase for this call may not submit a proposal to any of those calls in 2015.

#### Track record:

The applicant should have a promising track record and must have already shown the potential for scientific independence. For example, he/she should have at least one important publication as main author, without the participation of his/her PhD supervisor, in a major international peer-reviewed multidisciplinary scientific journal, or in the leading peer-reviewed journals of his/her respective field. Presentations at well-established international conferences, granted patents, awards, prizes, etc., are also expected depending on research field and stage in career.

### **2.3 Eligibility criteria for host institutions**

The host institution must be established in Switzerland as a legal entity (public or private) founded under Swiss law. Although the applicant does not need to be employed by the host Institution when he/she submits the proposal, the host institution must employ the applicant for at least the duration of the project. The percentage of employment will depend on how much time the applicant will devote to the project, but it must be at least 50%. Furthermore, the applicant must spend at least 50% of his/her total working time in Switzerland. Should Switzerland participate in Horizon 2020, this constraint would be changed to '50% of his/her total working time in an EU member or associated state'. Finally, the host institution will be the only participating legal entity. Exceptions to this will be considered if they are well justified.

Before submitting the application, please discuss the procedure for conducting the project with the host institution. The latter must provide a commitment letter. The SNSF will also accept letters that were initially addressed to the ERC.

### **2.4 Formal requirements, ethical issues and research integrity**

Applications must be complete, in English and submitted in good time. Research activities and methods that have ethical implications or may raise questions which will require sound ethical assessment need to be declared. Hence, please take note of the Swiss laws and ethical standards. Furthermore, the rules of scientific integrity must be strictly respected.

## **3. Eligible costs**

SNSF Starting Grants are awarded up to a maximum of CHF 1.5 million for 5 years. In addition, up to CHF 500,000 can be requested to cover the installation costs for an applicant moving to Switzerland as a consequence of receiving the SNSF Starting Grant and/or for the purchase of major equipment and/or access to large facilities.

Before drafting an application, applicants should clarify and consider the following points pursuant to the guidelines concerning the requested budget (see the Annex for information on eligible and non-eligible costs, as well as for cost categories). Please use whole CHF integers only when indicating requested costs. Costs have to be subdivided in personnel costs, travel, equipment, consumables, publications costs (through open access), other direct costs and any envisaged subcontracting costs. The costs in each category must be indicated in five annual allotments.

A sub-contractor is a third party who carries out part of the project based on an agreement on business conditions. Sub-contracts may only correspond to a limited part of the project and must be fully justified in the “resources” section of the research plan.

**Indirect costs must not be specified in the proposal form.** The SNSF pays the host institution an overhead of 15% of the total direct eligible costs (excluding sub-contracting).

All eligible costs must be linked to the aims of the project for its entire duration. The resources requested should be in accordance with the needs of the project and fully justified. The project cost estimation should be as accurate as possible. The evaluation panels assess the estimated costs carefully and are entitled to reduce unjustified budgets.

The size and composition of the team must be indicated, mentioning the key team members and their roles. If team members employed by another host institution participate in the project, this should be justified in relation to the additional financial costs this may incur for the project.

When requesting positions for doctoral students to be covered by the SNSF grant, please refer to the salary and social security rates for [doctoral students of the SNSF](#). For postdoctoral or technical posts covered by the SNSF grant, please [refer to the SNSF salary rates](#) of the host institution.

All available resources for the realisation of the project have to be declared as well as the required infrastructure and equipment. It is advisable to include a short technical description of the equipment needed, together with a justification of its necessity.

## 4. Creating the upload documents

All documents must be written in English and submitted as PDF files. Please note that the first phase of the scientific evaluation of the project only takes into consideration the extended synopsis, the CV and the track record.

### 4.1 Extended synopsis

The extended synopsis must allow the evaluation commissions to assess the scientific approach. It must therefore contain the state of the art of the proposed research as well as a short description of the scientific proposal. It is particularly important to present the ground-breaking nature of the project and its feasibility. Its length must not exceed five pages and it must be uploaded in the *mySNF* datacontainer “Extended Synopsis”.

### 4.2 Research plan

This document will only be considered during the second phase of the evaluation process.

The research plan must be divided into three chapters; its total length should not exceed 15 pages and must be uploaded in the *mySNF* datacontainer “Research Plan”.

- a. **State of the art and objectives:** making reference to the most important publications, particularly by other authors, please explain:
  - a. which previous insights provided the starting point and basis of the planned studies;
  - b. the potential impact of the proposed research;

- c. any innovative aspects of the proposed approach, including multidisciplinary or interdisciplinary aspects
- b. Methodology:** based on information provided in the first chapter, please specify the approach taken and the concrete objectives you aim to achieve in the period of funding. The following points should be addressed:
  - a. studies or experiments needed or envisaged to reach the set goals;
  - b. methods by which the research goals are to be reached;
  - c. any novel approaches addressing the “high-risk/high-gain” balance;
  - d. focus on any intermediate step where contingency plans may be required.
- c. Resources:** all requested resources must fit the scientific objectives of the proposals. This must be fully justified in the proposal. This part should not include any table summarising the total costs of the project since a detailed budget must be entered in the *mySNF* datacontainer “Requested Funding”.

### 4.3 CV of the applicant

The CV should include the standard academic and research record of the applicant and should not exceed two pages. Any gaps in the scientific career and/or unusual academic paths should be clearly described so that they can be appropriately taken into account by the evaluation commissions. The document must not exceed two pages and must be uploaded in the *mySNF* datacontainer “CV/Track Record”.

### 4.4 Track record

The applicant must provide a list of achievements representing their past track record. He/she must therefore list his/her past activity in terms of publications, patents, invited presentations or prizes and awards. The document must not exceed two pages and must be uploaded in the *mySNF* datacontainer “CV/Track Record”.

Please note that the list of publications may only contain publications in major international peer-reviewed multi-disciplinary scientific journals or in leading peer-reviewed journals, conferences proceedings or monographs of their respective fields. Please give the most representative publications: **up to ten publications may be listed**. All those co-authored with the applicant’s PhD advisor must be excluded. The sub-categories “published” and “in press” are permissible.

### 4.5 Commitment of the host institution

Applicants must provide a written and binding commitment letter of the host institution confirming its willingness to host the proposed research. Applications that do not include such institutional statements at the submission deadline will not be evaluated. The SNSF will also accept letters that were initially addressed to the ERC. It must be uploaded in the *mySNF* datacontainer “Confirmation host institute”.

### 4.6 Cover letter

The applicant should provide an explanation for any request for extending the eligibility criteria. This can be included in a cover letter to be uploaded in the corresponding *mySNF* data container.

### 4.7 Other annexes

The applicant should provide a scanned copy of documents proving his/her eligibility for submitting a proposal to the funding scheme, i.e. a PhD certificate indicating the date of the award. Any

request for an extension of the eligibility period should be justified by additional documents uploaded in the container “Other annexes”.

## 5. Creating the online application

To create a new application, please select the option "Create new application" in the *mySNF* entry mask by navigating to the relevant funding scheme under **Programmes > Temporary Backup Schemes > SNSF Starting grants**.

The data concerning the applicant and the application are to be entered in the *mySNF* entry mask. The data concerning the application includes in particular the title, the discipline(s), keywords, any relation to other running projects and current applications, the host institution, and the budget.

## 6. Receipt and verification of the applications at the Administrative Offices of the SNSF

### Verification of formal requirements and eligibility

The Administrative Offices of the SNSF check whether the submitted applications meet the formal requirements and whether the applicant and the host institution are eligible upon receipt. Proposals by eligible applicants are forwarded to the competent evaluation panel. If there is any doubt regarding eligibility which needs clarification, the evaluation of the proposal may be initiated. The proposal may then be formally rejected even after the start of the evaluation process.

### Verification of scientific integrity

The Administrative Offices of the SNSF may check whether the application respects the rules of scientific integrity. (see [Regulations of the National Research Council on the treatment of scientific misconduct by applicants and grantees](#)).

### Contacts between the applicants and the Administrative Offices of the SNSF

Prior to and during the submission of applications, queries and requests for information can be addressed to the Administrative Offices of the SNSF by phone or e-mail. When checking submitted applications, the Administrative Offices may contact applicants in order to clarify issues related to the application. Before, during and after the evaluation, the applicants are obliged to:

- provide any information requested by the SNSF
- cooperate in clarifying facts
- inform the SNSF about any new facts that may be relevant to the funding decision

The SNSF does not give applicants any information concerning their applications while the evaluation is in progress and until the decision is communicated in written form.

## 7. Evaluation procedure and communication of decisions

The evaluation of the submitted proposals is based on the principle of competition, where the applications are assessed on the basis of the expert reviews and rated in comparison to the other applications. Three panels will evaluate the proposals in a two-phase procedure. The panels are

established by the Commission for ‘Temporary Backup Schemes’ (CTBS), which oversees all SNSF funding activities related to Horizon 2020 ([link to rules](#)).

## Evaluation panels

The CTBS will establish three evaluation panels:

- Humanities and social sciences
- Mathematics, natural and engineering sciences
- Biology and medicine.

Applicants can indicate which panel should evaluate their application when submitting the proposal via *mySNF*. Assignment to a primary and a secondary panel is possible in case of multidisciplinary and interdisciplinary proposals. The panel chairpersons decide jointly with the SNSF Administrative Offices to which panel an individual proposal will be assigned.

## Evaluation procedure

The evaluation procedure is divided into the following phases:

### Phase 1:

Three members of the competent panel independently evaluate the research project’s general scientific aspiration (based on the extended synopsis) as well as the applicant’s CV and track record. External experts or members of another panel might provide individual assessments of proposals of a markedly multidisciplinary or interdisciplinary nature. The panel members discuss and rank the proposal (A, B or C rating). All proposals rated B or C will be rejected after confirmation by the CTBS. Applicants in category A will be invited to present their project during an interview.

### Phase 2:

Proposals rated A will be assessed by both external reviewers and members of the competent evaluation panel (based on the full proposal). The applicants may list up to three persons who should not act as external reviewer in the evaluation of their proposal. Such requests must be well justified. On the basis of the written assessments and the interview with the applicant, the competent panel decides whether the proposal fully meets the evaluation criteria and will be recommended for funding or whether it meets some but not all of the evaluation criteria and will therefore not be recommended for funding.

The panels will complete their evaluation with a report on every proposal. The SNSF is legally required not to reveal the identity of reviewing persons to the applicants. The funding recommendation will be submitted to the CTBS, which examines the recommendations and issues a proposal for final funding decisions and for rejections to the SNSF Presiding Board.

## Evaluation criteria

The only criterion guiding the evaluation of the proposals is *scientific quality*. It will be applied to the assessment of both the content of the proposed research and the scientific achievements and potential of the individual applicant.

### ***Scientific quality of the research project***

1. The ground-breaking nature and projected impact of the proposed research;
2. The ambition and contribution of the project beyond the state of the art;
3. The extent to which the proposed research is high risk/high gain;
4. The feasibility of the scientific approach and the appropriateness of the methodology, the resource planning and proposed time-scale.

### ***Qualification of the applicant***

1. His/her intellectual capacity, creativity and ability to conduct original research;
2. His/her scientific achievements, typically exceeding the state of the art;
3. His/her commitment to the proposed research.

### **Outcome of the evaluation and communication of the decisions**

Every proposal will be evaluated and marked based on the two main criteria – research project and applicant – in each evaluation phase.

After the first phase the applicants will be informed about the outcome, i.e the rating of their proposal.

The outcome of the second phase will be conveyed to the applicants after the final decision of the SNSF Presiding Board.

In addition, once the evaluation of their proposal has been completed, applicants will receive an evaluation report which will include the rating of their proposal as well as the overall appreciation of their proposal's strengths and weaknesses.

Projects recommended for funding by the panels will be financed by the SNSF if sufficient funds are available. Proposals will be funded in priority order based on their rank.

The applicant may request a reconsideration of the decisions communicated if he/she considers the decisions to be flawed. The request will be treated in accordance with Art. 28 of the Organizational Regulations of the National Research Council.

The decisions may be appealed against before the Federal Administrative Court.

## **Annex**

### **7.1. Eligible and non-eligible costs**

7.1.1. **Direct eligible costs** support the research, management, training and dissemination activities necessary for the realisation of the project:

- **Personnel costs** cover the salary and social security contributions for the PI, salaries and social security contributions for scientific and technical staff (for PhD students' salaries,

please refer to SNSF rates, for other collaborators, please refer to the SNSF salary rates of the host institution);

- **Material costs** that are directly related to the realisation of the project, namely material of enduring value, expendable items, field expenses, travel costs or third-party charges; material, costs for publication of results, including for open access, IPR costs;
- Costs for the project-related use of infrastructures at institutions or laboratories that are expressly provided for under the terms of the call;
- **Costs for sub-contracting** (see Annex 7.2.);
- **Further costs** provided for by the regulations and the terms of the call.

7.1.2. **Indirect costs** are not to be indicated in the proposal form. The SNSF pays the host institution an overhead of 15% of the total direct eligible costs (excluding sub-contracting).

7.1.3. **Non-eligible costs** cannot be reimbursed through the grant, in particular:

- Costs related to return on capital
- Debt and debt service charges
- Provisions for possible future losses of debts
- Interest owed
- Doubtful debts
- Currency exchange losses
- Excessive or reckless expenditure
- Costs reimbursed under another EU grant
- Deductible VAT

## **Appendix 1E: Extended call document: SNSF Consolidator Grants**

Excellent researchers who are currently unable to apply to the European Research Council for ERC Grants at Swiss research institutions because of the successful mass immigration initiative may apply for comparable grants at the SNSF in the context of transitional measures in 2014. The aim is to maintain Switzerland's strong position as a centre of research. Applicants with destination Switzerland who intended to apply for a Consolidator Grant with the ERC can submit their proposal to the SNSF. This document describes the rules and procedures for submitting a proposal to the Temporary Backup Scheme **SNSF Consolidator Grants**.

### **1. From the preparation of applications through to the decision – the main points in brief**

The call is open as of **1 Mai 2014** and will close on **20 Mai 2014 (midnight Swiss time)**. Applicants of any nationality with destination Switzerland who intended to apply for an ERC Consolidator Grant can submit their proposal to the SNSF via the electronic platform *mySNF*.

This funding scheme will provide up to **CHF 2 million for up to five years** to excellent scientists who want to pursue ground-breaking, high-gain/high-risk research in Switzerland and propose ambitious but feasible research. Scientific quality of the research project and the applicants' qualifications are the only evaluation criteria. This scheme is open to all research disciplines and topics. Host institutions must agree to ensure conditions in which the applicants can direct the research and manage their funding.

Before submitting an application, the formal and personal requirements should be noted.

As applications must be submitted to the SNSF online via the *mySNF* platform ([www.mysnf.ch](http://www.mysnf.ch)), the applicant needs to apply for a user account in good time. Some parts of the application can be prepared in advance (and uploaded as PDF documents once the account has been activated – PDF uploads). This applies, in particular, to the **extended synopsis (5 pages), the CV (2 pages), the track record (2 pages) and the scientific proposal (15 pages)**. Please enter all other data online in *mySNF*, in particular administrative and financial data. This document offers basic advice on how to draft an application. Help texts for completing individual data containers will be available in *mySNF* when a new application is entered.

Upon submission, the Administrative Offices of the SNSF examine whether the formal and personal requirements are met and, if this is the case, forward the application for scientific evaluation. A **two-phase evaluation** procedure will be conducted by panels of internationally renowned experts. The outcome of the first phase of the evaluation will be communicated to the applicant at the latest in October 2014. The applicants will be informed of the final decisions in January 2015. The projects can start, at the earliest, in March 2015.



## 2. Points to be clarified before drafting an application

### 2.1 User account in mySNF

The applicant must have a user account for mySNF. Registration is possible at [www.mysnf.ch](http://www.mysnf.ch). The login information will subsequently be sent by e-mail. To guarantee timely access, new user accounts must be requested no later than two working days before the relevant submission deadline. The mySNF access will remain in place for future submissions or for the lifetime management of approved projects.

### 2.2 Eligibility criteria for the applicant

Please clarify before drafting an application whether all the eligibility criteria listed below are fulfilled.

#### Obtainment of PhD degree:

The applicant must have been awarded his/her **PhD** or an equivalent degree<sup>1</sup> between 11 December 2001 and 11 December 2006 (eligibility time window). However, the PhD degree may have been awarded before 11 December 2001 if one or several of the circumstances listed below apply to the applicant:

- Maternity: each child increases the eligibility time window by 18 months;
- Paternity: each child increases the eligibility time window by the actual amount of paternity leave taken;
- For illnesses longer than 90 days, clinical training or national service: the eligibility time window is increased by the actual amount of leave taken for each incident which occurred **after** the PhD was awarded.

In any case, the PhD degree must not have been awarded before 11 June 1997. The applicant must be able to document these circumstances appropriately. An clear explanation must be provided in the mySNF data container “General remarks” with the title “Extension Eligibility”.

**Medical doctors** are only eligible if they also held a position that requires the equivalent of a doctorate (e.g. post-doctoral fellowship, professorial appointment). If the applicant holds both a PhD and an MD and obtained the MD first, the MD will be considered the first eligible degree. However, the certified date of the MD’s completion must lie between 11 December 1999 and 11 December 2004.

#### Multiple applications/funding:

- The applicant may submit a proposal under the call identifier ERC-2014-CoG. He/she must, however, inform the SNSF of the parallel submission and will not under any circumstances receive both grants.
- A researcher who submitted an ERC Consolidator or Starting Grant under the Work Programme 2013 and was evaluated as category C may not submit a proposal in response to this call;

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<sup>1</sup> Potential applicants who do not have a PhD but a degree they think might be equivalent are invited to contact the SNSF before submitting a proposal in order to clarify their eligibility.

- A researcher participating as principal investigator in an ERC frontier research project may not submit a proposal to this call, unless the existing project ends no more than two years after the call deadline. A SNSF Consolidator grant can only start once the previous ERC frontier research grant agreement has ended.
- In case the SNSF organises Temporary Backup Scheme calls (Starting, Consolidator and Advanced Grants) in 2015, applicants whose proposal is evaluated as category B or C in the first evaluation phase for this call may not submit a proposal to any of those calls in 2015.

#### Track record:

The applicant must have already shown scientific independence and maturity. For example, he/she should have several important publications as main author, without the participation of his/her PhD supervisor, in a major international peer-reviewed multidisciplinary scientific journal, or in the leading peer-reviewed journals of his/her respective field. Presentations at well-established international conferences, granted patents, awards, prizes, etc., are also expected depending on research field and stage in career.

### **2.3 Eligibility criteria for host institutions**

The host institution must be established in Switzerland as a legal entity (public or private) founded under Swiss law. Although the applicant does not need to be employed by the host Institution when he/she submits the proposal, the host institution must employ the applicant for at least the duration of the project. The percentage of employment will depend on how much time the applicant will devote to the project, but it must be at least 50%. Furthermore, the applicant must spend at least 50% of his/her total working time in Switzerland. Should Switzerland participate in Horizon 2020, this constraint would be changed to '50% of his/her total working time in an EU member or associated state'. Finally, the host institution will be the only participating legal entity. Exceptions to this will be considered if they are well justified.

Before submitting the application, please discuss the procedure for conducting the project with the host institution. The latter must provide a commitment letter (see template provided on mySNF). The SNSF will also accept letters that follow the ERC template.

### **2.4 Formal requirements, ethical issues and research integrity**

Applications must be complete, in English and submitted in good time. Research activities and methods that have ethical implications or may raise questions which will require sound ethical assessment need to be declared. Hence, please take note of the Swiss laws and ethical standards. Furthermore, the rules of scientific integrity must be strictly respected.

## **3. Eligible costs**

SNSF Consolidator Grants are awarded up to a maximum of CHF 2 million for 5 years. In addition, up to CHF 750,000 can be requested to cover the installation costs for an applicant moving to Switzerland as a consequence of receiving the SNSF Consolidator Grant and/or for the purchase of major equipment and/or access to large facilities.

Before drafting an application, applicants should clarify and consider the following points pursuant to the guidelines concerning the requested budget (see the Annex for information on eligible and

non-eligible costs, as well as for cost categories). Please use whole CHF integers only when indicating requested costs. Costs have to be subdivided in personnel costs, travel, equipment, consumables, publications costs (through open access), other direct costs and any envisaged sub-contracting costs. The costs in each category must be indicated in five annual allotments.

A sub-contractor is a third party who carries out part of the project based on an agreement on business conditions. Sub-contracts may only correspond to a limited part of the project and must be fully justified in the “resources” section of the research plan.

Both sub-contractor and installation costs must be clearly specified in the data container “Requested funding”. To do so, please use the drop-down list and select the corresponding category.

**Indirect costs must not be specified in the budget.** The SNSF will calculate the overhead (15% of the total direct eligible costs, excluding sub-contracting) and pay it directly to the host institution

All eligible costs must be linked to the aims of the project for its entire duration. The resources requested should be in accordance with the needs of the project and fully justified. The project cost estimation should be as accurate as possible. The maximum budget is reduced pro rata for projects of a shorter duration. The evaluation panels assess the estimated costs carefully and are entitled to reduce unjustified budgets.

The size and composition of the team must be indicated, mentioning the key team members and their roles. If team members employed by another host institution participate in the project, this should be justified in relation to the additional financial costs this may incur for the project.

When requesting positions for doctoral students to be covered by the SNSF grant, please refer to the salary and social security rates for [doctoral students of the SNSF](#). For postdoctoral or technical posts covered by the SNSF grant, please refer to the salary rates and social contributions of the host institution.

All available resources for the realisation of the project have to be declared as well as the required infrastructure and equipment. It is advisable to include a short technical description of the equipment needed, together with a justification of its necessity.

## **4. Creating the upload documents**

All documents must be written in English. The font must be Times New Roman, Arial or similar with a size of at least 11, single line spacing and margins of 2 cm on the side and 1.5 cm at the bottom. The documents must be submitted in a pdf format. Please note that the first phase of the scientific evaluation of the project only takes into consideration the extended synopsis, the CV and the track record.

### **4.1 Extended synopsis**

The extended synopsis must allow the evaluation commissions to assess the scientific approach. It must therefore contain the state of the art of the proposed research as well as a short description of the scientific proposal. It is particularly important to present the ground-breaking nature of the

project and its feasibility. Its length must not exceed five pages including the references and it must be uploaded in the *mySNF* datacontainer “Extended Synopsis”.

## 4.2 Research plan

This document will only be considered during the second phase of the evaluation process.

The research plan must be divided into three chapters; its total length should not exceed 15 pages (including references) and must be uploaded in the *mySNF* datacontainer “Research Plan”.

- a. State of the art and objectives:** making reference to the most important publications, particularly by other authors, please explain:
  - a. which previous insights provided the starting point and basis of the planned studies;
  - b. the potential impact of the proposed research;
  - c. any innovative aspects of the proposed approach, including multidisciplinary or interdisciplinary aspects
- b. Methodology:** based on information provided in the first chapter, please specify the approach taken and the concrete objectives you aim to achieve in the period of funding. The following points should be addressed:
  - a. studies or experiments needed or envisaged to reach the set goals;
  - b. methods by which the research goals are to be reached;
  - c. any novel approaches addressing the “high-risk/high-gain” balance;
  - d. focus on any intermediate step where contingency plans may be required.
- c. Resources:** all requested resources must fit the scientific objectives of the proposals. This must be fully justified in the proposal. This part should not include any table summarising the total costs of the project since a detailed budget must be entered in the *mySNF* datacontainer “Requested Funding”.

## 4.3 CV of the applicant

The CV should include the standard academic and research record of the applicant and should not exceed two pages. Any gaps in the scientific career and/or unusual academic paths should be clearly described so that they can be appropriately taken into account by the evaluation commissions. The document must not exceed two pages and must be uploaded in the *mySNF* datacontainer “CV/Track Record”.

## 4.4 Track record

The applicant must provide a list of achievements representing their past track record. He/she must therefore list his/her past activity in terms of publications, patents, invited presentations or prizes and awards. The document must not exceed two pages and must be uploaded in the *mySNF* datacontainer “CV/Track Record”.

Please note that the list of publications may only contain publications in major international peer-reviewed multi-disciplinary scientific journals or in leading peer-reviewed journals, conferences proceedings or monographs of their respective fields. Please highlight up to ten representative publications and using a different way of highlighting indicate the publications in which your PhD supervisor does not feature as co-author. The sub-categories “published” and “in press” are permissible.

#### 4.5 Commitment of the host institution

Applicants must provide a written and binding commitment letter of the host institution confirming its willingness to host the proposed research. Applications that do not include such institutional statements at the submission deadline will not be evaluated. Please use the template provided by the ERC or the SNSF. The SNSF template can be found on the mySNF platform. It must be uploaded in the *mySNF* datacontainer “Confirmation host institute”.

#### 4.6 Other annexes

The applicant should provide a scanned copy of documents proving his/her eligibility for submitting a proposal to the funding scheme, i.e a PhD certificate indicating the date of the award. Any request for an extension of the eligibility period should be justified by additional documents uploaded in the container “Other annexes”. This data container can not contain any other type of documents, with the exception of ethical authorizations.

### 5. Creating the online application

To create a new application, please select the option "Create new application" in the *mySNF* entry mask by navigating to the relevant funding scheme under **Programmes > Temporary Backup Schemes > SNSF Consolidator grants**.

The data concerning the applicant and the application are to be entered in the *mySNF* entry mask. The data concerning the application includes in particular the title, the discipline(s), keywords, any relation to other running projects and current applications, the host institution, and the budget.

### 6. Receipt and verification of the applications at the Administrative Offices of the SNSF

#### Verification of formal requirements and eligibility

The Administrative Offices of the SNSF check whether the submitted applications meet the formal requirements and whether the applicant and the host institution are eligible upon receipt. Proposals by eligible applicants are forwarded to the competent evaluation panel. If there is any doubt regarding eligibility which needs clarification, the evaluation of the proposal may be initiated. The proposal may then be formally rejected even after the start of the evaluation process.

#### Verification of scientific integrity

The Administrative Offices of the SNSF may check whether the application respects the rules of scientific integrity. (see [Regulations of the National Research Council on the treatment of scientific misconduct by applicants and grantees](#)).

#### Contacts between the applicants and the Administrative Offices of the SNSF

Prior to and during the submission of applications, queries and requests for information can be addressed to the Administrative Offices of the SNSF by phone or e-mail. When checking submitted applications, the Administrative Offices may contact applicants in order to clarify issues related to the application. Before, during and after the evaluation, the applicants are obliged to:

- provide any information requested by the SNSF

- cooperate in clarifying facts
- inform the SNSF about any new facts that may be relevant to the funding decision

The SNSF does not give applicants any information concerning their applications while the evaluation is in progress and until the decision is communicated in written form.

## 7. Evaluation procedure and communication of decisions

The evaluation of the submitted proposals is based on the principle of competition, where the applications are assessed on the basis of the expert reviews and rated in comparison to the other applications. Three panels will evaluate the proposals in a two-phase procedure. The panels are established by the Commission for 'Temporary Backup Schemes' (CTBS), which oversees all SNSF funding activities related to Horizon 2020 ([link to rules](#)).

### Evaluation panels

The CTBS will establish at least one evaluation panel in each of the following domains:

- Humanities and social sciences
- Mathematics, natural and engineering sciences
- Biology and medicine.

Applicants can indicate which panel should evaluate their application when submitting the proposal via *mySNF*. Assignment to a primary and a secondary panel is possible in case of multidisciplinary and interdisciplinary proposals. The panel chairpersons decide jointly with the SNSF Administrative Offices to which panel an individual proposal will be assigned.

### Evaluation procedure

The evaluation procedure is divided into the following phases:

#### Phase 1:

At least three panel members independently evaluate the research project's general scientific aspiration (based on the extended synopsis) as well as the applicant's CV and track record. External experts or members of another panel might provide individual assessments of proposals of a markedly multidisciplinary or interdisciplinary nature. The panel members discuss and rank the proposal (A, B or C rating). All proposals rated B or C will be rejected after confirmation by the CTBS. Applicants in category A will be invited to present their project during an interview.

#### Phase 2:

Proposals rated A will be assessed by both external reviewers and panel members (based on the full proposal). The applicants may list up to three persons who should not act as external reviewer in the evaluation of their proposal. Such requests must be well justified. On the basis of the written assessments and the interview with the applicant, the competent panel decides whether the proposal fully meets the evaluation criteria and will be recommended for funding or whether it meets some but not all of the evaluation criteria and will therefore not be recommended for funding.

The panels will complete their evaluation with a report on every proposal. The SNSF is legally required not to reveal the identity of reviewing persons to the applicants. The funding recommendation will be submitted to the CTBS, which examines the recommendations and issues a proposal for final funding decisions and for rejections to the SNSF Presiding Board.

## **Evaluation criteria**

The only criterion guiding the evaluation of the proposals is *scientific quality*. It will be applied to the assessment of both the content of the proposed research and the scientific achievements and potential of the individual applicant.

### ***Scientific quality of the research project***

1. The ground-breaking nature and projected impact of the proposed research;
2. The ambition and contribution of the project beyond the state of the art;
3. The extent to which the proposed research is high risk/high gain;
4. The feasibility of the scientific approach and the appropriateness of the methodology, the resource planning and proposed time-scale.

### ***Qualification of the applicant***

1. His/her intellectual capacity, creativity and ability to conduct original research;
2. His/her scientific achievements, typically exceeding the state of the art;
3. His/her commitment to the proposed research.

## **Outcome of the evaluation and communication of the decisions**

Every proposal will be evaluated and marked based on the two main criteria – research project and applicant – in each evaluation phase.

After the first phase the applicants will be informed about the outcome, i.e the rating of their proposal.

The outcome of the second phase will be conveyed to the applicants after the final decision of the SNSF Presiding Board.

In addition, once the evaluation of their proposal has been completed, applicants will receive an evaluation report which will include the rating of their proposal as well as the overall appreciation of their proposal's strengths and weaknesses.

Projects recommended for funding by the panels will be financed by the SNSF if sufficient funds are available. Proposals will be funded in priority order based on their rank.

The applicant may request a reconsideration of the decisions communicated if he/she considers the decisions to be flawed. The request will be treated in accordance with Art. 28 of the Organisational Regulations of the National Research Council.

The decisions may be appealed against before the Federal Administrative Court.

## Annex

### 7.1. Eligible and non-eligible costs

7.1.1. **Direct eligible costs** support the research, management, training and dissemination activities necessary for the realisation of the project:

- **Personnel costs** cover the salary and social security contributions for the PI, salaries and social security contributions for scientific and technical staff (for PhD students' salaries, please refer to SNSF rates, for other collaborators, please refer to the SNSF salary rates of the host institution);
- **Material costs** that are directly related to the realisation of the project, namely material of enduring value, expendable items, field expenses, travel costs or third-party charges; material, costs for publication of results, including for open access, IPR costs;
- Costs for the project-related use of infrastructures at institutions or laboratories that are expressly provided for under the terms of the call;
- **Costs for sub-contracting** (see Annex 7.2.);
- **Further costs** provided for by the regulations and the terms of the call.

7.1.2. **Indirect costs** are not to be indicated in the proposal form. The SNSF pays the host institution an overhead of 15% of the total direct eligible costs (excluding sub-contracting).

7.1.3. **Non-eligible costs** cannot be reimbursed through the grant, in particular:

- Costs related to return on capital
- Debt and debt service charges
- Provisions for possible future losses of debts
- Interest owed
- Doubtful debts
- Currency exchange losses
- Excessive or reckless expenditure
- Costs reimbursed under another EU grant
- Deductible VAT



## **Appendix 1F: SNSF Starting Grants – Description of the evaluation process and guidelines for the evaluators**

The Swiss National Science Foundation (SNSF) set up Temporary Backup Schemes in March 2014. The aim of these schemes is to allow excellent researchers who work or plan to work at Swiss research institutions to apply for grants at the SNSF which are comparable to the frontier research grants of the ERC. This became necessary due to the successful mass immigration initiative. This document describes the general reviewing process of **SNSF Starting Grant** proposals and shall serve as **guidelines** for the researchers involved in the evaluation procedure. However, minor adjustments of the reviewing process might occur, for example if an evaluator is exceptionally and for well justified reasons prevented to participate in parts of the evaluation process.

The contents of the following documents are also relevant to the evaluation procedures and therefore need to be considered:

- Regulations of the Commission of the Swiss National Science Foundation for the Temporary Backup Schemes for "Horizon 2020" (CTBS)
- Call for Temporary Backup Schemes for "Horizon 2020" SNSF Starting Grants 2014
- Extended call document: SNSF Starting Grants.

In all aspects not specifically mentioned here or in one of the three above mentioned legally binding documents, the requirements set out in the Funding Regulations of the SNSF apply ([http://www.snf.ch/SiteCollectionDocuments/allg\\_reglement\\_e.pdf](http://www.snf.ch/SiteCollectionDocuments/allg_reglement_e.pdf)).

### **1. Overview of the evaluation procedure**

The evaluation procedure for the SNSF Starting Grant proposals is divided into four successive steps:

- **Submission of applications and administrative measures:** the administrative offices of the SNSF receive applications from researchers via the mySNF platform. They then check whether the formal requirements for submitting an application have been met. This includes the verification of eligibility.
- **Evaluation phase 1:** in the first step of the evaluation, the synopsis, CV and track record are assessed by members of the evaluation panel. During the first panel meeting, every application is assessed and assigned a mark (A, B or C) by a consensus decision of the panel. Only proposals rated A are considered for the second phase of the evaluation. The CTBS verifies whether the recommendations of the panel comply with the procedural rules and decides which proposals are to be admitted to the second stage of evaluation. The outcome of the first evaluation phase is communicated to all applicants.

- **Evaluation phase 2:** in the second phase of the evaluation, the complete application files are assessed by external reviewers as well as by members of the evaluation panel. Additionally, the applicants are invited to present their project to the panel. During the second panel meeting, again every application is assessed and assigned a mark (A or B) by a consensus decision of the panel. Only proposals rated A are considered for funding.
- **Decision:** the CTBS verifies whether the recommendations of the panel comply with the procedural rules and the allocated panel budgets. It then forwards the verified decisions to the Presiding Board of the Research Council for endorsement. The SNSF informs applicants of the final decision.

## 2. Evaluation steps

### 2.1 Submission of applications and administrative measures

**Formal criteria:** the administrative offices of the SNSF receive applications from researchers via the *mySNF* platform. They confirm receipt of the applications to the applicants. They check whether the formal criteria are met, particularly with regard to completeness of the dossier, correct formatting and the fulfilment of formal and personal requirements by the applicants. If any faults are found, the administrative offices may set a deadline for their correction or decide not to consider the application and inform the applicant accordingly. Furthermore, the administrative offices carry out checks to detect any cases of plagiarism. In confirmed cases, the evaluation procedure is stopped and proceedings are initiated. Depending on their outcome, the applicants may face sanctions.

**Eligibility criteria** are regarded as formal criteria because they are factual and easily verified. The verification does not require any scientific assessments and is done prior to the evaluation procedure. Applications whose ineligibility can only be confirmed at a later stage may be deemed ineligible during or even after the evaluation procedure. However, such cases are extremely rare.

**Distribution of proposals:** once the eligibility check has been completed, the eligible proposals are assigned to the three panels on the basis of the choice made by the applicant, after verification by the administrative offices and the panel chairs. Interdisciplinary proposals which cannot be treated within one single panel will be assigned to a primary and a secondary panel. The CTBS makes the final decision with regard to the distribution of proposals among the panels. Each proposal will be assigned to three panel members (one main referee, two co-referees) by the panel chair upon suggestion by the administrative offices. Request for reallocations by the panel members will be considered as far as possible. Panel members cannot evaluate proposals in the event of conflicts of interests and are further excluded from the relevant documents and discussions. The administrative offices systematically check whether there are any conflicts of interests. In addition, conflicts of interests must be declared by the panel members.

**Allocation of funds to panels:** once the eligible proposals are assigned to the panels, the CTBS will allocate the funds to the three panels proportionally to the requested budgets.

### 2.2 Evaluation phase 1

**Evaluation of synopsis, CV and track record by panel members:** for every application, at least three panel members elaborate a written review remotely and independently. Two criteria are considered: 1: Scientific quality of the research project, and 2: Qualifications of the applicant (see section 4. Evaluation criteria). Marks and comments are required for each criterion (see section

5.1 Individual reviews). In phase 1, the nature, ambition, projected impact and feasibility of the proposed research are considered as well as the potential and achievements of the applicant.

**First panel meeting:** the panel meets to discuss each proposal on the basis of the reviews. The main referee presents a given proposal and the co-referees complete the presentation. The other members of the panel are invited to comment. For each proposal, the panel needs to reach a decision (if possible by consensus) which is documented by the main referee. He/she is responsible for drafting the panel summary comment for the proposal, which – besides communicating the marks A, B or C – reflects the outcome of the panel discussion. Only proposals rated A are considered for the second phase of the evaluation. The maximum number of proposals selected for phase 2 corresponds to 50% of the proposals evaluated by each panel. High-quality proposals that are, however, not good enough to pass to phase 2 of the evaluation, are rated B. Proposals of lesser quality are rated C and do not pass to phase 2 of the evaluation either.

**CTBS meeting:** the Commission verifies whether the recommendations of the panel comply with the procedural rules and decides which proposals are to be admitted to the second phase of evaluation.

**Feedback to applicants:** all applicants are informed of the result of the evaluation by a decision letter. For rejections, the decision letter takes the form of a ruling, and the evaluation report (see section 5.3.) is made available via mySNF. To successful applicants, the conditions, time and place of the interview are communicated.

## 2.3 Evaluation phase 2

**Suggestion of external experts:** for proposals admitted to the second evaluation phase, the main referee is responsible for selecting suitable external reviewers. He/she can be assisted by the co-referees and by administrative offices. The administrative offices ask these experts to review the proposal, after checking whether there are any conflicts of interests and taking into account the negative list of the applicant.

**Evaluation of complete proposal, CV and track record by the referees and the external reviewers:** the referees do a second remote and independent evaluation or revise the first review based on the complete proposal. Additionally, a minimum of two external reviewers provide a review. All reviews apply the same two criteria as in the first step of the evaluation and use the same scale of marks. However, for each criterion, an additional aspect is considered; for the research project, the appropriateness of methodology, resource planning and time scale are evaluated and for the qualifications of the applicant, his/her commitment is taken into account (see section 4. Evaluation criteria).

**Interviews:** the applicants are invited to present their project to the review panel. Mostly the main referee and the co-referees ask questions (e.g. concerning critical points emphasised by external experts). The interview lasts approximately 25 minutes. It is up to the panel to decide on the detailed structure of the interview (i.e. how long the presentation or the following question and answer session is to last).

**Second panel meeting:** just after the interviews, a panel meeting is held to suggest a final rating of all the proposals. For each proposal, the panel needs to reach a decision (if possible by consensus) which is documented by the main referee. He/she is responsible for drafting the panel summary comment, which – besides communicating the marks A or B – reflects the outcome of the panel discussion. The decision is based on all reviews submitted for the second evaluation phase and the interview. The possible outcomes for a given proposal are A (proposals which fully meet

the excellence criterion and are therefore recommended for funding) or B (proposals which meet some but not all elements of the excellence criterion and therefore will not be funded). The budget of the funded projects must be discussed and, if necessary, revised. Each panel forwards its decisions, including the proposed funding, and a panel report to the CTBS.

## 2.4 Decision

**CTBS meeting:** the Commission verifies whether the provisional decisions of the panel at the second phase of evaluation comply with the procedural rules and with the allocated panel budget. It then forwards the verified decisions and any comments to the Presiding Board of the Research Council for endorsement.

**Meeting of the Presiding Board of the Research Council:** the Presiding Board is asked to endorse the final decision.

**Feedback to applicants:** all applicants evaluated in phase 2 are informed about the result of the evaluation by a decision letter (ruling) and the evaluation reports of the second phase (see section 5.3 Evaluation report). Although they were not the basis for the final decision, the evaluation reports of the first phase will also be communicated to the applicants for their information. For funded applications, the decision letter contains the amount of funding and – if applicable – conditions for funding.

## 3. Organisation and tasks of the evaluation bodies

### 3.1 Commission for Temporary Backup Schemes (CTBS)

The CTBS comprises four members: the President of the National Research Council, one member from the humanities and social sciences, one member from biology and medicine and one member from mathematics, natural & engineering sciences (see [“Regulations of the Commission of the Swiss National Science Foundation for the Temporary Backup Schemes for "Horizon 2020"”](#)). With regard to the SNSF Starting Grants, the CTBS is responsible for 1) the appointment and support of the evaluation panels, 2) the selection of the panel chairs, 3) the attribution of funds to the panels and, 4) ensuring that there are no conflicts of interests. At the end of the first evaluation phase, the CTBS verifies whether the recommendations of the panel comply with the procedural rules and decides which proposals are to be admitted to the second phase of evaluation or definitively rejected. Likewise, it verifies whether the provisional decisions of the panel in the second phase of evaluation comply with the procedural rules and the panel budgets. It then forwards the verified decisions to the Presiding Board of the National Research Council for endorsement.

### 3.2 Evaluation panels

The following three panels will evaluate the proposals:

- Panel for the humanities and social sciences;
- Panel for mathematics, natural and engineering sciences;
- Panel for biology and medicine.

Each panel has between 6 and 20 members who cover the thematic range of the panel and the incoming proposals as well as possible. The panel chair and the panel members are selected by the CTBS on the basis of their excellent scientific reputations and their experience as members of international review panels. Each panel meets twice to carry out the two-phase review of proposals.

**Tasks of panel members:**

- As panel member: familiarising themselves with proposals of their panel so as to prepare for the meetings;
- As panel member: participating in the two panel meetings and in the interviews;
- As main referee and co-referee: providing a written review of a subset of the proposals for the first and for the second panel meeting (see section 5.1 Individual reviews). Applications are assigned to referees primarily on the basis of the referee's knowledge of the research field addressed by the application;
- As main referee: writing a panel summary comment after both meetings (see section 5.2 Panel summary comment);
- As main referee: suggesting external experts for proposals that have been rated A in the first phase of evaluation, assisted by the two co-referees and/or the administrative offices on request.

**Additional tasks of panel chairs**, assisted by the administrative offices:

- Chair the panel meetings;
- Check the allocation of the proposals to evaluation panels;
- Assign proposals to panel members for individual reviewing;
- Pay particular attention to the rules on conflicts of interests;
- Ensure the panel produces all necessary deliverables to the required quality standards by the end of the panel meetings (see section 5.2 Panel summary comment);
- Collaborate with the CTBS in order to assess the response to the call for proposals and plan the work of the panel accordingly;
- Prepare a panel report which briefly documents the evaluation methodology implemented by the panel but may include observations and reflections on other relevant topics.

The names of the panel chairs and of the panel members will be published once the applicants have been informed about the outcome of phase 2.

### 3.3 External reviewers

For the second evaluation phase, the SNSF requires written reviews from at least two external reviewers. These researchers are selected on the basis of their specialised expertise with respect to a given proposal. External reviewers work remotely and independently. They cannot be panel members at the same time.

## 4. Evaluation criteria

The only criterion guiding the evaluation of the proposals is scientific quality. It will be applied to the assessment of both the proposed research and the scientific achievements and potential of the individual applicant.

### 4.1 Scientific quality of the research project

- **Ground-breaking nature and projected impact:** to what extent will the proposed research and its projected outcomes affect / transform the research practices of a large number of researchers / research fields?
- **Ambition and contribution of the project beyond the state of the art:** to what extent does the proposed research address grand challenges / important problems at the frontier of a scientific field and promise important advances in knowledge?

- **High risk / high gain balance:** to what extent is the scientific problem / approach non-mainstream and uncertain but balanced by potentially high impact outcomes?
- **Feasibility:** to what extent is the scientific approach feasible against the background of scientific knowledge and overall project design?
- **Appropriateness of the methodology, the resource planning and the proposed time-scale:** To what extent are the chosen methods, the required resources, the team composition and the proposed time scale appropriate for achieving the goals of the project? *This criterion is only used in phase 2 of the evaluation.*

During phase 1 of the evaluation, the criteria are applied to the extended synopsis and during phase 2 to the research plan.

## 4.2 Qualifications of the applicant

- **Intellectual capacity, creativity and ability to conduct original research:** to what extent has the applicant demonstrated independent and creative thinking which bears the potential for ground-breaking research?
- **Scientific achievements:** to what extent are the achievements of the applicants original and ground-breaking, and to what extent do they go beyond the state of the art?
- **Commitment:** to what extent is the applicant committed to the project and willing to devote a significant amount of time to it? *This criterion is only used in phase 2 of the evaluation.*

In phase 1 and phase 2 of the evaluation, the criteria are applied to the CV and the track record of the applicant.

# 5. Evaluation outcomes and outputs

## 5.1 Individual reviews

Panel members and external reviewers provide individual written reviews of the proposals prior to the meetings. Each proposal is reviewed by at least three panel members and – in phase 2 – additionally by at least two external reviewers. The reviews comprise comments and marks based on the two criteria (scientific quality of the research project and qualifications of the applicant).

Each of the reviewers gives the relevant proposal marks ranging from 4 (outstanding) to 1 (non-competitive) based on the two evaluation criteria. Integers and halves are used. The highest mark (4.0) should be reserved for the top 10%, marks 4.0 and 3.5 for the top 20% and marks 4.0, 3.5 and 3.0 for the top 30%. These marks will not be communicated to the applicants as they serve as starting points for the panel discussions (see section 5.2 Panel summary comment).

Comments must be succinct explanations which substantiate the marks awarded to the proposal based on the two evaluation criteria. They should briefly set out the strengths and weaknesses of the proposal. They should refer neither to the applicant's age, gender, nationality or other personal matters, nor to the marks or to other proposals and other assessments. The comments will be included in the evaluation report to the applicants.

## 5.2 Panel summary comment

In phase 1, each proposal is discussed and rated in the panel. On the basis of the marks and comments of the individual reviews and the panel's overall appreciation of the strengths and weaknesses, each proposal is rated **A** (high quality, sufficient to pass to phase 2), **B** (high quality but

not sufficient to pass to phase 2) or **C** (not of sufficient quality to pass to phase 2). The panel summary comment for a proposal includes the overall appreciation of the panel and the rating (A, B or C). It is prepared by the main referee, verified by the panel chair and the administrative offices and included in the evaluation report. The panel summary comment is the most important part of the information sent to the applicant after the evaluation.

In phase 2, each of the remaining proposals is discussed and rated in the competent panel. The rating is based on the marks and comments of the individual reviews, the interview with the applicant and the panel's overall appreciation of the strengths and weaknesses of the proposal. Proposals are rated either as **A** (fully meet all criteria, recommended for funding) or **B** (do not fully meet all criteria, not recommended for funding). The panel summary comment for a proposal includes the overall appreciation of the panel, the rating (A or B) and – for successful proposals, if applicable – a justification of financial cuts. It is prepared by the main referee, verified by the panel chair and the administrative offices and included in the evaluation report.

The comments by the individual reviewers often sufficiently determine the fate of a proposal. In such cases, the panel summary comment might simply confirm the strengths or weaknesses highlighted by the reviewers. In other cases, the panel may take a different position which is not based solely on the reviewer's remarks. This is generally the case when the panel discussion brings to light a crucial weakness in a proposal. The panel summary comment then needs to be correspondingly more elaborate. In addition, a number of proposals of high quality are rejected because they come to lie below the funding line, based on the rating. Reviewers may well make positive comments on proposals in this category. In view of the limited budget, however, the panel is obliged to reject them. In such cases, the panel summary comments may be expressed in these terms.

### **5.3 Evaluation report**

The evaluation report represents the key element of the feedback given to applicants. It comprises all individual reviews and the panel summary comment for phase 1 in case a proposal is rejected at this stage. For proposals which passed to phase 2, the evaluation report includes the individual reviews and the panel summary comment of phase 2. Although they were not the basis for the final decision, the evaluation reports of the first phase will also be communicated to the applicants for their information.

### **5.4 Panel report**

A panel report is addressed to the CTBS. It briefly documents the evaluation methodology implemented by the panel but may include observations and reflections on other relevant topics.

## **6. Other important principles**

### **6.1 Inter-disciplinary proposals**

A proposal is usually attributed to the panel indicated by the applicant. Applicants who consider their proposals to be interdisciplinary (i.e. across panels) should explicitly mention a second panel in the application form. However, thanks to the breadth of the panels, many interdisciplinary pro-

posals can be evaluated by a single panel. The panel in question identifies potentially interdisciplinary proposals during the evaluation procedure and may ask qualified members of other panels to provide additional reviews.

## **6.2 Exclusion of independent experts at applicant's request**

Applicants may indicate up to three persons who should be excluded from the evaluation of their proposal. Such requests must be made when the proposal is submitted and must be justified by well-founded reasons pertaining to direct scientific rivalry, professional hostility or similar situations. If the person identified is an independent expert, he/she may be excluded from the evaluation of the proposal as long as it remains possible to have the proposal evaluated. If the person to be excluded is a member of the competent panel, he/she will be informed in confidence about the request concerning him/her. He/she will be asked to leave the meeting/interview when the concerned proposal is discussed and he/she will not have access to the relevant documents.

## **6.3 Conflict of interests (CoI)**

Devising, organising and conducting scientific evaluation procedures for applications is the main activity of the SNSF. If during this activity a situation occurs in which a decision on an application would be either personally, professionally or financially to the advantage or to the detriment of a person involved in the evaluation procedure, this is referred to as a conflict of interests. However, it is not necessary for the said person to actually have a conflict between rivaling interests, rather any circumstances that are objectively suited to creating the impression of partiality or of a threat to impartiality are sufficient. This objective assessment is made from the point of view of the applicants.

The assignment of proposals to main referees, co-referees and external reviewers should not result in any potential conflicts of interests. Such conflicts can be deemed to exist if a referee/co-referee/external reviewer

- is a mentioned collaboration partner;
- has jointly published or closely collaborated with the applicants in the last five years;
- professionally depends on or competes with the applicants, or has done so until recently or will do so in the foreseeable future;
- works at the same institute as the applicants (or in the same or in a closely linked organisational unit);
- has close personal ties with the applicants (partnership, family ties, friendship);
- is otherwise biased.

Panel members and external reviewers cannot evaluate proposals in the event of conflicts of interest and are further excluded from the respective documents and discussions. The administrative offices systematically check whether there are any conflicts of interests. In addition, conflicts of interests must be declared by the panel members.

The principles with regard to the handling of conflicts of interests are set out in the Organisational Regulations of the National Research Council under "Withdrawals". These regulations will be applied in this evaluation procedure (both for the panel members and the external reviewers). In the Regulations issued by the SNSF, "withdrawal" refers not only to leaving meetings physically, but also to "withdrawing" from documents.



#### **6.4 Searching for, selecting and contacting external reviewers**

It is the responsibility of the relevant main referee to select external reviewers for an application. He/she can be assisted by the co-referees and/or the administrative offices on request. In any case, the names of the selected external reviewers must be made available to the administrative offices, and only they will contact the indicated persons via the web platform *mySNF* after clarifying that there are 1) no potential conflicts of interests, 2) the person is not explicitly excluded by the applicant. It is very important that referees provide a sufficient number of names of potential external reviewers as early as possible. Given the response rate with regard to SNSF requests for external reviews (approx. 40%) the administrative offices will ask for 6-8 names of experts. The administrative offices actively monitor the review situation for each application and make the main referee aware of any problems.

#### **6.5 Review of the requested budget**

Panels should modify only the requested budget of individual projects and not apply across-the-board cuts. For any modification to the level of the requested grant for a particular proposal there must be specific recommendations in phase 2 of the evaluation. Recommendations for amendments to the amount granted must be documented and explained in the panel comments and based on an analysis of the funds requested to carry out the work. The appropriateness of resources should be evaluated under the heading 'Methodology, resource planning and proposed time scale'. Panels should consider carefully whether recommendations for large reductions may in fact reflect the weakness of a proposal and whether the proposal should rather be rejected altogether.

## **Appendix 1G: SNSF Consolidator Grants – Description of the evaluation process and guidelines for the evaluators**

The Swiss National Science Foundation (SNSF) set up Temporary Backup Schemes in March 2014. The aim of these schemes is to allow excellent researchers who work or plan to work at Swiss research institutions to apply for grants at the SNSF which are comparable to the frontier research grants of the ERC. This became necessary due to the successful mass immigration initiative. This document describes the general reviewing process of **SNSF Consolidator Grants** proposals and shall serve as **guidelines** for the researchers involved in the evaluation procedure. However, minor adjustments of the reviewing process might occur, for example if an evaluator is exceptionally and for well justified reasons prevented to participate in parts of the evaluation process.

The contents of the following documents are also relevant to the evaluation procedures and therefore need to be considered:

- Regulations of the Commission of the Swiss National Science Foundation for the Temporary Backup Schemes for "Horizon 2020" (CTBS)
- Call for Temporary Backup Schemes for "Horizon 2020" SNSF Consolidator Grants 2014
- Extended call document: SNSF Consolidator Grants.

In all aspects not specifically mentioned here or in one of the three above mentioned legally binding documents, the requirements set out in the Funding Regulations of the SNSF apply ([http://www.snf.ch/SiteCollectionDocuments/allg\\_reglement\\_e.pdf](http://www.snf.ch/SiteCollectionDocuments/allg_reglement_e.pdf)).

### **1. Overview of the evaluation procedure**

The evaluation procedure for the SNSF Consolidator Grants proposals is divided into four successive steps:

- **Submission of applications and administrative measures:** the administrative offices of the SNSF receive applications from researchers via the mySNF platform. They then check whether the formal requirements for submitting an application have been met. This includes the verification of eligibility.
- **Evaluation phase 1:** in the first step of the evaluation, the synopsis, CV and track record are assessed by members of the evaluation panel. If the panel lacks expertise in the research field of a given application, an external expert can be requested to deliver an evaluation instead of a panel member. During the first panel meeting, every application is assessed and assigned a mark (A, B or C) by the panel. Only proposals rated A are considered for the second phase of the evaluation. The CTBS verifies whether the recommendations of the panel comply with the procedural rules and decides which proposals are to be admitted to the second stage of evaluation. The outcome of the first evaluation phase is communicated to all applicants.

- **Evaluation phase 2:** in the second phase of the evaluation, the complete application files are assessed by external reviewers as well as by members of the evaluation panel. Additionally, the applicants are invited to present their project to the panel. During the second panel meeting, again every application is assessed and assigned a mark (A or B) by the panel. Only proposals rated A are considered for funding.
- **Decision:** the CTBS verifies whether the recommendations of the panel comply with the procedural rules and the allocated panel budgets. It then forwards the verified decisions to the Presiding Board of the Research Council for endorsement. The SNSF informs applicants of the final decision.

## 2. Evaluation steps

### 2.1 Submission of applications and administrative measures

**Formal criteria:** the administrative offices of the SNSF receive applications from researchers via the *mySNF* platform. They confirm receipt of the applications to the applicants. They check whether the formal criteria are met, particularly with regard to completeness of the dossier, correct formatting and the fulfilment of formal and personal requirements by the applicants. If any faults are found, the administrative offices may set a deadline for their correction or decide not to consider the application and inform the applicant accordingly. Furthermore, the administrative offices carry out checks to detect any cases of plagiarism. In confirmed cases, the evaluation procedure is stopped and proceedings are initiated. Depending on their outcome, the applicants may face sanctions.

**Eligibility criteria** are regarded as formal criteria because they are factual and easily verified. The verification does not require any scientific assessments and is done prior to the evaluation procedure. Applications whose ineligibility can only be confirmed at a later stage may be deemed ineligible during or even after the evaluation procedure. However, such cases are extremely rare.

**Distribution of proposals:** once the eligibility check has been completed, the eligible proposals are assigned to the three panels on the basis of the choice made by the applicant, after verification by the administrative offices and the panel chairs. Interdisciplinary proposals which cannot be treated within one single panel will be assigned to a primary and a secondary panel. Each proposal will be assigned to three panel members (one main referee, two co-referees) by the panel chair upon suggestion by the administrative offices. Request for reallocations by the panel members will be considered as far as possible. Panel members cannot evaluate proposals in the event of conflicts of interests and are further excluded from the relevant documents and discussions. The administrative offices systematically check whether there are any conflicts of interests. In addition, conflicts of interests must be declared by the panel members.

**Allocation of funds to panels:** once the eligible proposals are assigned to the panels, the CTBS will allocate the funds to the three panels proportionally to the requested budgets.

### 2.2 Evaluation phase 1

**Evaluation of synopsis, CV and track record by panel members:** for every application, at least three panel members elaborate a written review remotely and independently. If the panel lacks expertise in the research field of a given application, an external expert can be requested to deliver an evaluation instead of a panel member. Two criteria are considered: 1: Scientific quality of the research project, and 2: Qualifications of the applicant (see section 4. Evaluation criteria). Marks

and comments are required for each criterion (see section 5.1 Individual reviews). In phase 1, the nature, ambition, projected impact and feasibility of the proposed research are considered as well as the potential and achievements of the applicant.

**First panel meeting:** the panel meets to discuss each proposal on the basis of the reviews. The main referee presents a given proposal and the co-referees complete the presentation. The other members of the panel are invited to comment. For each proposal, the panel needs to reach a decision (if possible by consensus) which is documented by the main referee. He/she is responsible for drafting the panel summary comment for the proposal, which – besides communicating the marks A, B or C – reflects the outcome of the panel discussion. Only proposals rated A are considered for the second phase of the evaluation. The maximum number of proposals selected for phase 2 corresponds to 50% of the proposals evaluated by each panel. High-quality proposals that are, however, not good enough to pass to phase 2 of the evaluation, are rated B. Proposals of lesser quality are rated C and do not pass to phase 2 of the evaluation either.

**CTBS meeting:** the Commission verifies whether the recommendations of the panel comply with the procedural rules and decides which proposals are to be admitted to the second phase of evaluation.

**Feedback to applicants:** all applicants are informed of the result of the evaluation by a decision letter. For rejections, the decision letter takes the form of a ruling, and the evaluation report (see section 5.3.) is made available via mySNF. To successful applicants, the conditions, time and place of the interview are communicated.

## 2.3 Evaluation phase 2

**Suggestion of external experts:** for proposals admitted to the second evaluation phase, the main referee is responsible for selecting suitable external reviewers. He/she can be assisted by the co-referees and by administrative offices. The administrative offices ask these experts to review the proposal, after checking whether there are any conflicts of interests and taking into account the negative list of the applicant.

**Evaluation of complete proposal, CV and track record by the referees and the external reviewers:** the referees do a second remote and independent evaluation or revise the first review based on the complete proposal. Additionally, a minimum of two external reviewers provide a review. All reviews apply the same two criteria as in the first step of the evaluation and use the same scale of marks. However, for each criterion, an additional aspect is considered; for the research project, the appropriateness of methodology, resource planning and time scale are evaluated and for the qualifications of the applicant, his/her commitment is taken into account (see section 4. Evaluation criteria).

**Interviews:** the applicants are invited to present their project to the review panel. Mostly the main referee and the co-referees ask questions (e.g. concerning critical points emphasised by external experts). The interview lasts approximately 25 minutes. It is up to the panel to decide on the detailed structure of the interview (i.e. how long the presentation or the following question and answer session is to last).

**Second panel meeting:** just after the interviews, a panel meeting is held to suggest a final rating of all the proposals. For each proposal, the panel needs to reach a decision (if possible by consensus) which is documented by the main referee. He/she is responsible for drafting the panel summary comment, which – besides communicating the marks A or B – reflects the outcome of the panel discussion. The decision is based on all reviews submitted for the second evaluation phase

and the interview. The possible outcomes for a given proposal are A (proposals which fully meet the excellence criterion and are therefore recommended for funding) or B (proposals which meet some but not all elements of the excellence criterion and therefore will not be funded). The budget of the funded projects must be discussed and, if necessary, revised. Each panel forwards its decisions, including the proposed funding, and a panel report to the CTBS.

## 2.4 Decision

**CTBS meeting:** the Commission verifies whether the provisional decisions of the panel at the second phase of evaluation comply with the procedural rules and with the allocated panel budget. It then forwards the verified decisions and any comments to the Presiding Board of the Research Council for endorsement.

**Meeting of the Presiding Board of the Research Council:** the Presiding Board is asked to endorse the final decision.

**Feedback to applicants:** all applicants evaluated in phase 2 are informed about the result of the evaluation by a decision letter (ruling) and the evaluation reports of the second phase (see section 5.3 Evaluation report). Although they were not the basis for the final decision, the evaluation reports of the first phase will also be communicated to the applicants for their information. For funded applications, the decision letter contains the amount of funding and – if applicable – conditions for funding.

## 3. Organisation and tasks of the evaluation bodies

### 3.1 Commission for Temporary Backup Schemes (CTBS)

The CTBS comprises four members: the President of the National Research Council, one member from the humanities and social sciences, one member from biology and medicine and one member from mathematics, natural & engineering sciences (see [“Regulations of the Commission of the Swiss National Science Foundation for the Temporary Backup Schemes for "Horizon 2020"”](#)). With regard to the SNSF Consolidator Grants, the CTBS is responsible for 1) the appointment and support of the evaluation panels, 2) the selection of the panel chairs, 3) the attribution of funds to the panels and, 4) ensuring that there are no conflicts of interests. At the end of the first evaluation phase, the CTBS verifies whether the recommendations of the panel comply with the procedural rules and decides which proposals are to be admitted to the second phase of evaluation or definitively rejected. Likewise, it verifies whether the provisional decisions of the panel in the second phase of evaluation comply with the procedural rules and the panel budgets. It then forwards the verified decisions to the Presiding Board of the National Research Council for endorsement.

### 3.2 Evaluation panels

The following three panels will evaluate the proposals:

- Panel for the humanities and social sciences;
- Panel for mathematics, natural and engineering sciences;
- Panel for biology and medicine.

Each panel has between 6 and 20 members who cover the thematic range of the panel and the incoming proposals as well as possible. The panel chair and the panel members are selected by the CTBS on the basis of their excellent scientific reputations and their experience as members of international review panels. Each panel meets twice to carry out the two-phase review of proposals.

**Tasks of panel members:**

- As panel member: familiarising themselves with proposals of their panel so as to prepare for the meetings;
- As panel member: participating in the two panel meetings and in the interviews;
- As main referee and co-referee: providing a written review of a subset of the proposals for the first and for the second panel meeting (see section 5.1 Individual reviews). Applications are assigned to referees primarily on the basis of the referee's knowledge of the research field addressed by the application;
- As main referee: writing a panel summary comment after both meetings (see section 5.2 Panel summary comment);
- As main referee: suggesting external experts for proposals that have been rated A in the first phase of evaluation, assisted by the two co-referees and/or the administrative offices on request.

**Additional tasks of panel chairs, assisted by the administrative offices:**

- Chair the panel meetings;
- Check the allocation of the proposals to evaluation panels;
- Assign proposals to panel members for individual reviewing;
- Pay particular attention to the rules on conflicts of interests;
- Ensure the panel produces all necessary deliverables to the required quality standards by the end of the panel meetings (see section 5.2 Panel summary comment);
- Collaborate with the CTBS in order to assess the response to the call for proposals and plan the work of the panel accordingly;
- Prepare a panel report after each meeting which briefly documents the evaluation methodology implemented by the panel but may include observations and reflections on other relevant topics.

The names of the panel chairs and of the panel members will be published once the applicants have been informed about the outcome of phase 2.

**3.3 External reviewers**

For the first evaluation phase, external experts can be requested to deliver an evaluation instead of a panel member if the panel lacks expertise in the research field of a given application. For the second evaluation phase, the SNSF requires written reviews from at least two external reviewers. These researchers are selected on the basis of their specialised expertise with respect to a given proposal. External reviewers work remotely and independently. They cannot be panel members at the same time.

**4. Evaluation criteria**

The only criterion guiding the evaluation of the proposals is scientific quality. It will be applied to the assessment of both the proposed research and the scientific achievements and potential of the individual applicant.

**4.1 Scientific quality of the research project**

- **Ground-breaking nature and projected impact:** to what extent will the proposed research and its projected outcomes affect / transform the research practices of a large number of researchers / research fields?

- **Ambition and contribution of the project beyond the state of the art:** to what extent does the proposed research address grand challenges / important problems at the frontier of a scientific field and promise important advances in knowledge?
- **High risk / high gain balance:** to what extent is the scientific problem / approach non-mainstream and uncertain but balanced by potentially high impact outcomes?
- **Feasibility:** to what extent is the scientific approach feasible against the background of scientific knowledge and overall project design?
- **Appropriateness of the methodology, the resource planning and the proposed time-scale:** To what extent are the chosen methods, the required resources, the team composition and the proposed time scale appropriate for achieving the goals of the project? *This criterion is only used in phase 2 of the evaluation.*

During phase 1 of the evaluation, the criteria are applied to the extended synopsis and during phase 2 to the research plan.

#### 4.2 Qualifications of the applicant

- **Intellectual capacity, creativity and ability to conduct original research:** to what extent has the applicant demonstrated independent and creative thinking which bears the potential for ground-breaking research?
- **Scientific achievements:** to what extent are the achievements of the applicants original and ground-breaking, and to what extent do they go beyond the state of the art?
- **Commitment:** to what extent is the applicant committed to the project and willing to devote a significant amount of time to it? *This criterion is only used in phase 2 of the evaluation.*

In phase 1 and phase 2 of the evaluation, the criteria are applied to the CV and the track record of the applicant.

## 5. Evaluation outcomes and outputs

### 5.1 Individual reviews

Panel members and external reviewers provide individual written reviews of the proposals prior to the meetings. Each proposal is reviewed by at least three panel members and – in phase 2 – additionally by at least two external reviewers. The reviews comprise comments and marks based on the two criteria (scientific quality of the research project and qualifications of the applicant).

Each of the reviewers gives the relevant proposal marks ranging from 4 (outstanding) to 1 (non-competitive) based on the two evaluation criteria. Integers and halves are used. The highest mark (4.0) should be reserved for the top 10%, marks 4.0 and 3.5 for the top 20% and marks 4.0, 3.5 and 3.0 for the top 30%. These marks will not be communicated to the applicants as they serve as starting points for the panel discussions (see section 5.2 Panel summary comment).

Comments must be succinct explanations which substantiate the marks awarded to the proposal based on the two evaluation criteria. They should briefly set out the strengths and weaknesses of the proposal. They should refer neither to the applicant's age, gender, nationality or other personal matters, nor to the marks or to other proposals and other assessments. The comments will be included in the evaluation report to the applicants.

## 5.2 Panel summary comment

In phase 1, each proposal is discussed and rated in the panel. On the basis of the marks and comments of the individual reviews and the panel's overall appreciation of the strengths and weaknesses, each proposal is rated **A** (high quality, sufficient to pass to phase 2), **B** (high quality but not sufficient to pass to phase 2) or **C** (not of sufficient quality to pass to phase 2). The panel summary comment for a proposal includes the overall appreciation of the panel and the rating (A, B or C). It is prepared by the main referee, verified by the panel chair and the administrative offices and included in the evaluation report. The panel summary comment is the most important part of the information sent to the applicant after the evaluation.

In phase 2, each of the remaining proposals is discussed and rated in the competent panel. The rating is based on the marks and comments of the individual reviews, the interview with the applicant and the panel's overall appreciation of the strengths and weaknesses of the proposal. Proposals are rated either as **A** (fully meet all criteria, recommended for funding) or **B** (do not fully meet all criteria, not recommended for funding). The panel summary comment for a proposal includes the overall appreciation of the panel, the rating (A or B) and – for successful proposals, if applicable – a justification of financial cuts. It is prepared by the main referee, verified by the panel chair and the administrative offices and included in the evaluation report.

The comments by the individual reviewers often sufficiently determine the fate of a proposal. In such cases, the panel summary comment might simply confirm the strengths or weaknesses highlighted by the reviewers. In other cases, the panel may take a different position which is not based solely on the reviewer's remarks. This is generally the case when the panel discussion brings to light a crucial weakness in a proposal. The panel summary comment then needs to be correspondingly more elaborate. In addition, a number of proposals of high quality are rejected because they come to lie below the funding line, based on the rating. Reviewers may well make positive comments on proposals in this category. In view of the limited budget, however, the panel is obliged to reject them. In such cases, the panel summary comments may be expressed in these terms.

## 5.3 Evaluation report

The evaluation report represents the key element of the feedback given to applicants. It comprises all individual reviews, the panel summary comment and the final marks and rating given by the panel for phase 1 in case a proposal is rejected at this stage. For proposals which passed to phase 2, the evaluation report includes the individual reviews, the panel summary comment and the final marks and rating given by the panel of phase 2. Although they were not the basis for the final decision, the evaluation reports of the first phase will also be communicated to the applicants for their information.

## 5.4 Panel report

A panel report is addressed to the CTBS and delivered after each evaluation phase. It briefly documents the evaluation methodology implemented by the panel but may include observations and reflections on other relevant topics.



## **6. Other important principles**

### **6.1 Inter-disciplinary proposals**

A proposal is usually attributed to the panel indicated by the applicant. Applicants who consider their proposals to be interdisciplinary (i.e. across panels) should explicitly mention a second panel in the application form. The chairs of the two concerned panels examine such requests and grant them if a member of the secondary panel can provide additional expertise in the research field of the application compared to the expertise already available in the primary panel. In these cases, a member of the secondary panel provides a written evaluation to the primary panel. The panel chairs can also contact external experts if none of the panel members of the secondary panel can provide additional expertise in the research field of the application. However, due to the breadth of the panels, many interdisciplinary proposals can be evaluated by a single panel.

### **6.2 Exclusion of independent experts at applicant's request**

Applicants may indicate up to three persons who should be excluded from the evaluation of their proposal. Such requests must be made when the proposal is submitted and must be justified by well-founded reasons pertaining to direct scientific rivalry, professional hostility or similar situations. If the person identified is an independent expert, he/she may be excluded from the evaluation of the proposal as long as it remains possible to have the proposal evaluated. If the person to be excluded is a member of the competent panel, he/she will be informed in confidence about the request concerning him/her. He/she will be asked to leave the meeting/interview when the concerned proposal is discussed and he/she will not have access to the relevant documents.

### **6.3 Conflict of interests (CoI)**

Devising, organising and conducting scientific evaluation procedures for applications is the main activity of the SNSF. If during this activity a situation occurs in which a decision on an application would be either personally, professionally or financially to the advantage or to the detriment of a person involved in the evaluation procedure, this is referred to as a conflict of interests. However, it is not necessary for the said person to actually have a conflict between rivaling interests, rather any circumstances that are objectively suited to creating the impression of partiality or of a threat to impartiality are sufficient. This objective assessment is made from the point of view of the applicants.

The assignment of proposals to main referees, co-referees and external reviewers should not result in any potential conflicts of interests. Such conflicts can be deemed to exist if a referee/co-referee/external reviewer

- is a mentioned collaboration partner;
- has jointly published or closely collaborated with the applicants in the last five years;
- professionally depends on or competes with the applicants, or has done so until recently or will do so in the foreseeable future;
- works at the same institute as the applicants (or in the same or in a closely linked organisational unit);
- has close personal ties with the applicants (partnership, family ties, friendship);
- is otherwise biased.

Panel members and external reviewers cannot evaluate proposals in the event of conflicts of interests and are further excluded from the respective documents and discussions. The administrative

offices systematically check whether there are any conflicts of interests. In addition, conflicts of interests must be declared by the panel members.

The principles with regard to the handling of conflicts of interests are set out in the Organisational Regulations of the National Research Council under "Withdrawals". These regulations will be applied in this evaluation procedure (both for the panel members and the external reviewers). In the Regulations issued by the SNSF, "withdrawal" refers not only to leaving meetings physically, but also to "withdrawing" from documents.

#### **6.4 Searching for, selecting and contacting external reviewers**

It is the responsibility of the relevant main referee to select external reviewers for an application. He/she can be assisted by the co-referees and/or the administrative offices on request. In any case, the names of the selected external reviewers must be made available to the administrative offices, and only they will contact the indicated persons via the web platform *mySNF* after clarifying that there are 1) no potential conflicts of interests, 2) the person is not explicitly excluded by the applicant. It is very important that referees provide a sufficient number of names of potential external reviewers as early as possible. Given the response rate with regard to SNSF requests for external reviews (approx. 40%) the administrative offices will ask for 6-8 names of experts. The administrative offices actively monitor the review situation for each application and make the main referee aware of any problems.

#### **6.5 Review of the requested budget**

Panels should modify only the requested budget of individual projects and not apply across-the-board cuts. For any modification to the level of the requested grant for a particular proposal there must be specific recommendations in phase 2 of the evaluation. Recommendations for amendments to the amount granted must be documented and explained in the panel comments and based on an analysis of the funds requested to carry out the work. The appropriateness of resources should be evaluated under the heading 'Methodology, resource planning and proposed time scale'. Panels should consider carefully whether recommendations for large reductions may in fact reflect the weakness of a proposal and whether the proposal should rather be rejected altogether.

## Appendix 2A: List of projects to be funded SNSF Starting Grants

Pan el	String	Applicant	Title	Dur ati on	M / W	Nat .	Host Instit ution	Requested	Granted	Subcontract cost	Basis Overhead calculation	Overhead 15 %	Total cost
SSH	BSSGIO_155915	Scharnowski Frank	Treatment of Human Brain Dysfunction with Neurofeedback.	60	M	CH	ZH	1'498'388	1'498'388	-	1'498'388	224'758	1'723'146
SSH	BSSGIO_155981	Rauhut Heiko	Social norms, cooperation and conflict in scientific collaborations	60	M	DE	ZH	1'494'199	1'500'000	35'300	1'464'700	219'705	1'719'705
SSH	BSSGIO_155804	Dorn David	Trade, Innovation and Labor Markets	60	M	CH	ZH	1'493'053	1'493'053	62'000	1'431'053	214'658	1'707'711
SSH	BSSGIO_155770	Malamud Semyon	Liquidity	60	M	UA	EPFL	1'023'945	1'023'945	-	1'023'945	153'592	1'177'537
SSH	BSSGIO_155809	Biedermann Alex	Normative decision structures of forensic interpretation in the legal process	60	M	CH	LA	1'293'456	1'293'456	-	1'293'456	194'018	1'487'474
<b>Sub-total SSH</b>							<b>5</b>	<b>6'803'041</b>	<b>6'808'842</b>	<b>97'300</b>	<b>6'711'542</b>	<b>1'006'731</b>	<b>7'815'573</b>
PE	BSSGIO_155816	Mordasini Christoph	PlanetsInTime: The history of planets from their origins to present day	60	M	CH	BE	1'431'872	1'431'872	-	1'431'872	214'781	1'646'653
PE	BSSGIO_155902	Sparr Christof	Stereoselective, Catalytic Annulation Methods to Create Structurally Well-Defined Scaffolds	60	M	CH	BS	1'498'216	1'498'216	-	1'498'216	224'732	1'722'948
PE	BSSGIO_155818	Brunner Nicolas	Device-Independent Approach to Quantum Physics	60	M	CH	GE	1'438'616	1'438'616	-	1'438'616	215'792	1'654'408
PE	BSSGIO_155990	Serra Nicola	Search for hidden particles: exploring the high intensity frontier	60	M	IT	ZH	1'499'607	1'499'607	-	1'499'607	224'941	1'724'548
PE	BSSGIO_155873	Chang Johan Juul	Quantum MAny-body Physics in Solids	60	M	DK	ZH	1'651'405	1'641'958	-	1'641'958	246'294	1'888'252
PE	BSSGIO_155845	Maletinsky Patrick	Single spin imaging of strongly correlated electron systems	60	M	CH	BS	1'918'952	1'918'952	-	1'918'952	287'843	2'206'795
PE	BSSGIO_155876	Haussener Sophia Eva Martha	SCOUTS: Strategic Computation and Optimization of Unified Templates for Solar Fuels	60	W	CH	EPFL	1'455'643	1'455'643	-	1'455'643	218'346	1'673'989
PE	BSSGIO_155986	Rupp Jennifer	Beyond von-Neuman computing – Materials Functionalization and Integration of Three-dimensionally stacked Multiterminal Memristive Oxides Replacing Existing Transistors for Neuromorphic Computing	60	W	FR	ETHZ	1'999'990	1'999'990	-	1'999'990	299'999	2'299'989
PE	BSSGIO_155841	Scaramuzza Davide	Low-latency, Vision-based Agile Quadrotor Flight	60	M	IT	ZH	1'500'000	1'500'000	-	1'500'000	225'000	1'725'000

## Appendix 2A: List of projects to be funded SNSF Starting Grants

Pan el	String	Applicant	Title	Dur ati on	M / W	Nat .	Host Instit ution	Requested	Granted	Subcontract cost	Basis Overhead calculation	Overhead 15 %	Total cost
PE	BSSGI0_155913	Borgwardt Karsten	Significant Pattern Mining	60	M	DE	ETHZ	1'420'850	1'420'850	-	1'420'850	213'128	1'633'978
PE	BSSGI0_155834	Argyraki Katerina	Reconciling Flexibility and Predictability in Computer Networks	60	W	GR	EPFL	1'391'816	1'391'816	-	1'391'816	208'772	1'600'588
PE	BSSGI0_155846	Slowik Jay	Influence of Intra-Particle Reactions on Secondary Organic Aerosol Health Effects and Optical Properties (IPR-SHOP)	60	M	US	PSI	1'672'295	1'672'295	-	1'672'295	250'844	1'923'139
<b>Sub-total PE</b>							<b>12</b>	<b>18'879'262</b>	<b>18'869'815</b>	<b>-</b>	<b>18'869'815</b>	<b>2'830'472</b>	<b>21'700'287</b>
LS	BSSGI0_155823	Matos Joao	Rewiring the DNA repair machinery for genome stability and haploidisation	60	M	PT	ETHZ	1'496'578	1'496'578	28'000	1'468'578	220'287	1'716'865
LS	BSSGI0_155764	Glauser Dominique	Intracellular Signals Tuning Nociceptors in C. elegans (ItSTINGS)	60	M	CH	FR	1'499'270	1'499'270	30'000	1'469'270	220'391	1'719'661
LS	BSSGI0_155778	Basler Marek	Dynamics of the bacterial Type VI secretion system assembly and substrate delivery	60	M	CZ	BS	1'793'560	1'493'560	-	1'493'560	224'034	1'717'594
LS	BSSGI0_155852	Brochet Mathieu	Regulation of the cGMP/Ca2+ signalling module in malaria parasites	60	M	FR	GE	1'498'952	1'498'952	-	1'498'952	224'843	1'723'795
LS	BSSGI0_155781	Erb Matthias	RNAi-controlled multitrophic processing of plant secondary metabolites	60	M	CH	BE	2'008'211	1'500'000	-	1'500'000	225'000	1'725'000
LS	BSSGI0_155795	Keller Georg	Plasticity and dynamics of predictive signals in mouse visual cortex	60	M	CH	FMI	1'498'080	1'498'080	-	1'498'080	224'712	1'722'792
LS	BSSGI0_155830	Tan Kelly	Remodeling of cognitive circuits in Parkinson's disease	60	W	FR	BS	1'499'976	1'499'976	-	1'499'976	224'996	1'724'972
LS	BSSGI0_155984	Ablasser Andrea	The role of intercellular signal transmission in innate immunity	60	W	DE	EPFL	2'068'430	1'500'000	-	1'500'000	225'000	1'725'000
LS	BSSGI0_155832	Greter Melanie	Targeting the Mononuclear Phagocyte System: Generating Specificity within Heterogeneity	60	W	CH	ZH	1'494'025	1'494'025	-	1'494'025	224'104	1'718'129
LS	BSSGI0_155851	Kouyos Roger	Using transmission networks for assessing and guiding prevention efforts in hiv	60	M	CH	ZH	1'498'805	1'486'805	-	1'486'805	223'021	1'709'826
<b>Sub-total LS</b>							<b>10</b>	<b>16'355'887</b>	<b>14'967'246</b>	<b>58'000</b>	<b>14'909'246</b>	<b>2'236'387</b>	<b>17'203'633</b>
<b>Total</b>							<b>27</b>	<b>42'038'190</b>	<b>40'645'903</b>	<b>155'300</b>	<b>40'490'603</b>	<b>6'073'590</b>	<b>46'719'493</b>

## Appendix 2B: List of projects to be funded SNSF Consolidator Grants

Panel	String	Applicant	Title	Dur atio n	M/W	Nat.	Host Inst.	Requested	Granted	Subcontract cost	Basis OH calculation	Overhead 15 %	Total cost
SSH	157787	Strasser Bruno	The Rise of Citizen Science: Rethinking Public Participation in Science	60	M	CH	GE	1 464 791	1 472 790	0	1 472 790	220 919	1 693 709
SSH	157789	Hersperger Anna M.	From plans to land change: Linking paradigms to establish and test a theoretical model of how planning contributes to the development of urban regions	60	W	CH	WSL	1 999 902	1 999 902	0	1 999 902	299 985	2 299 887
SSH	157792	Correia Fabrice	The Metaphysics of Time and its Occupants: Reconciling the Manifest Image and Contemporary Science	60	M	FR	NE	1 250 533	1 250 533	0	1 250 533	187 580	1 438 113
SSH	157797	Prieto Ramos Fernando	LETRINT (Legal Translation in International Institutional Settings: Scope, Strategies and Quality Markers)	60	M	ES	GE	1 906 114	1 906 114	0	1 906 114	285 917	2 192 031
<b>Sub-total SSH</b>							<b>5</b>	<b>6 621 340</b>	<b>6 629 339</b>	<b>0</b>	<b>6 629 339</b>	<b>994 401</b>	<b>7 623 740</b>
PE	157694	Krieger Joachim	Concentration and dispersion phenomena for nonlinear waves	60	M	CH	EPFL	1 397 235	1 367 235	0	1 367 235	205 085	1 572 320
PE	157696	Studart André R.	3D Printing of Heterogeneous Bioinspired Composites	60	M	BR	ETHZ	1 991 875	1 991 875	0	1 991 875	298 781	2 290 656
PE	157705	Fontcuberta i Morral Anna	Earth Abundant Semiconductors for next generation Energy Harvesting, EASEH	60	W	ES	EPFL	2 710 536	2 357 036	0	2 357 036	353 555	2 710 591
PE	157722	Pozzorini Stefano	Quantum Precision for the high energy phase of the Large Hadron Collider	60	M	CH	ZH	1 999 618	1 990 018	0	1 990 018	298 503	2 288 521
PE	157733	Kuhn Daniel	Optimization under Unknown or Uncertain Uncertainty (Optimization4U)	60	M	CH	EPFL	1 069 840	1 069 840	0	1 069 840	160 476	1 230 316
PE	157741	Cramer Nicolai	Enabling Ligand Scaffolds for Asymmetric and Sustainable Molecular Activations	60	M	CH	EPFL	1 999 975	1 999 975	0	1 999 975	299 996	2 299 971
PE	157800	Lacour Stephanie	Soft bioelectronics for bidirectional neural implants	60	W	FR	EPFL	1 999 978	1 999 978	0	1 999 978	299 997	2 299 975
PE	157802	Radenovic Aleksandra	Viscosity gradient in 2D material nanopores as a new playground for biophysics	60	W	HR	EPFL	1 998 728	1 998 728	0	1 998 728	299 809	2 298 537
PE	157834	Home Jonathan	Quantum Simulations with Trapped Ions in Optical Lattices	60	M	GB	ETHZ	1 996 256	1 996 256	0	1 996 256	299 438	2 295 694
PE	157842	Heinis Christian	Novel bioconjugation strategy and application for drug development	60	M	CH	EPFL	1 964 718	1 650 718	0	1 650 718	247 608	1 898 326
PE	157874	Willitsch Stefan	Conformationally controlled chemistry	60	M	AT	BS	1 983 816	1 983 816	0	1 983 816	297 572	2 281 388
<b>Sub-total PE</b>							<b>11</b>	<b>21 112 575</b>	<b>20 405 475</b>	<b>0</b>	<b>20 405 475</b>	<b>3 060 821</b>	<b>23 466 296</b>
LS	157729	Voss Till	Understanding Sexual Commitment and Early Differentiation of Malaria Transmission Stages	60	M	CH	BS	1 995 178	1 995 178	0	1 995 178	299 277	2 294 455
LS	157816	Pelkmans Lucas Lodewijk	Molecular principles of cellular compartmentalization through liquid phase transitions	60	M	NL	ZH	1 999 680	1 999 680	440000	1 559 680	233 952	2 233 632
LS	157826	Roska Botond	The interpretation of retinal activity by the visual thalamus.	60	M	HU	FMI	2 749 213	2 749 213	0	2 749 213	412 382	3 161 595

Appendix 2B: List of projects to be funded SNSF Consolidator Grants

LS	157841	Müller Anne	Exploiting the immunomodulatory properties of Helicobacter pylori for the treatment of immunological disorders	60	W	DE	ZH	1 992 150	1 992 150	0	1 992 150	298 823	2 290 973
LS	157846	Jabaudon Denis	Self-Organizing Properties of Neocortical Circuits	60	M	CH	GE	2 200 975	2 108 800	146200	1 962 600	294 390	2 403 190
LS	157859	Jessberger Sebastian	Elucidating the Role of Lipid Metabolism for Life-long Neurogenesis in the Mammalian Brain	60	M	DE	ZH	1 746 842	1 746 842	15000	1 731 842	259 776	2 006 618,30
Sub-total LS							6	12 684 038	12 591 863	601 200	11 990 663	1 798 599	14 390 462
TOTAL							21	40 417 953	39 626 677	601 200	39 025 477	5 853 822	45 480 498

## Appendix 3

### Beitrag zur Abgeltung indirekter Forschungskosten (Overhead) für die Zusprachen im Rahmen der „Temporary Backup Schemes for Horizon 2020“ (SNF Starting Grants und SNF Consolidator Grants)

Die Berechnung stützt sich auf das Reglement über die Overhead-Beiträge des SNF vom 2. September 2011, zugänglich unter:

[http://www.snf.ch/SiteCollectionDocuments/ueb\\_overhead\\_reglement\\_d.pdf](http://www.snf.ch/SiteCollectionDocuments/ueb_overhead_reglement_d.pdf)

Die Berechnungsbasis für diese TBS-Overhead-Beiträge bilden die von den Forschenden eingeworbenen Forschungsmittel (minus „subcontracting costs“). Der Anteil des Overheads an den Zusprachen wurde mit 15 % festgelegt.

In der untenstehenden Tabelle sind die Details der Berechnung ersichtlich:

	Granted	Subcontr.	Base OH	15% OH	Total	Anzahl
<b>CoG</b>	<b>39'626'677</b>	<b>601'200</b>	<b>39'025'477</b>	<b>5'853'822</b>	<b>45'480'499</b>	<b>21</b>
<b>StG</b>	<b>40'645'903</b>	<b>155'300</b>	<b>40'490'603</b>	<b>6'073'590</b>	<b>46'719'493</b>	<b>27</b>
<b>Total</b>	<b>80'272'580</b>	<b>756'500</b>	<b>79'516'080</b>	<b>11'927'412</b>	<b>92'199'992</b>	<b>48</b>

	Granted	Subcontr.	Base OH	15% OH	Total	Anzahl
<b>FR</b>	<b>1'499'270</b>	<b>30'000</b>	<b>1'469'270</b>	<b>220'391</b>	<b>1'719'661</b>	<b>1</b>
<b>BE</b>	<b>2'931'872</b>	<b>-</b>	<b>2'931'872</b>	<b>439'781</b>	<b>3'371'653</b>	<b>2</b>
<b>BS</b>	<b>10'389'698</b>	<b>-</b>	<b>10'389'698</b>	<b>1'558'455</b>	<b>11'948'153</b>	<b>6</b>
<b>EPFL</b>	<b>17'814'914</b>	<b>-</b>	<b>17'814'914</b>	<b>2'672'237</b>	<b>20'487'151</b>	<b>11</b>
<b>ETHZ</b>	<b>8'905'549</b>	<b>28'000</b>	<b>8'877'549</b>	<b>1'331'632</b>	<b>10'237'181</b>	<b>5</b>
<b>FMI</b>	<b>4'247'293</b>	<b>-</b>	<b>4'247'293</b>	<b>637'094</b>	<b>4'884'387</b>	<b>2</b>
<b>GE</b>	<b>8'425'272</b>	<b>146'200</b>	<b>8'279'072</b>	<b>1'241'861</b>	<b>9'667'133</b>	<b>5</b>
<b>LA</b>	<b>1'293'456</b>	<b>-</b>	<b>1'293'456</b>	<b>194'018</b>	<b>1'487'474</b>	<b>1</b>
<b>NE</b>	<b>1'250'533</b>	<b>-</b>	<b>1'250'533</b>	<b>187'580</b>	<b>1'438'113</b>	<b>1</b>
<b>PSI</b>	<b>1'672'295</b>	<b>-</b>	<b>1'672'295</b>	<b>250'844</b>	<b>1'923'139</b>	<b>1</b>
<b>WSL</b>	<b>1'999'902</b>	<b>-</b>	<b>1'999'902</b>	<b>299'985</b>	<b>2'299'887</b>	<b>1</b>
<b>ZH</b>	<b>19'842'526</b>	<b>552'300</b>	<b>19'290'226</b>	<b>2'893'534</b>	<b>22'736'060</b>	<b>12</b>
<b>Total</b>	<b>80'272'580</b>	<b>756'500</b>	<b>79'516'080</b>	<b>11'927'412</b>	<b>92'199'992</b>	<b>48</b>