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Regulations on overhead contributions (Overhead Regulations)

of 2 September 2011 (status as at 19 September 2017)

The Executive Committee of the Foundation Council

based on Article 10 paragraph 4 of the Federal Research and Innovation Promotion Act of 14 December 2012 (RIPA)¹, Article 33 et seq. of the Research and Innovation Promotion Ordinance of 29 November 2013 (RIPO)² and Article 16 paragraph 2 letter j of the Statutes of the Swiss National Science Foundation of 30 March 2007 and in response to a request made by the National Research Council issues the following regulations³:

Chapter 1 General provisions and principles

Article 1 Principles

¹ The Swiss National Science Foundation (hereinafter "the SNSF") makes contributions towards indirect research costs (overhead contributions)⁴.

² The overhead contributions are calculated on the basis of the research funding acquired by eligible institutions under eligible funding schemes.

³ The contributions are paid each year in retrospect at a flat rate.

Article 2 Eligibility for contributions

¹ Pursuant to Article 10 paragraph 4 of RIPA, contributions are granted to research centres of higher education institutions and non-commercial research centres outside academia⁵.

¹ SR 420.1

² SR 420.11

³ Amended based on the decision of the Executive Committee of the Foundation Council of 6 September 2013, in force as of 1 January 2014.

⁴ Amended based on the decision of the Executive Committee of the Foundation Council of 6 September 2013, in force as of 1 January 2014.

⁵ Amended based on the decision of the Executive Committee of the Foundation Council of 6 September 2013, in force since 1 January 2014.

² Eligibility is conditional on the receipt of SNSF grants by researchers under eligible funding schemes for projects to be carried out at institutions pursuant to paragraph 1.

³ The institution as a whole is eligible. The SNSF does not make contributions to individual institutes, departments or other units of organisation within an institution.

Article 3 Use of overhead contributions

The institutions pursuant to Article 2 Paragraph 1 are entitled to use the overhead contributions at their own discretion in accordance with the purpose set out in Article 33 of RIPO.

Chapter 2 Scope

Article 4 Eligible funding schemes

¹ The SNSF makes overhead contributions exclusively on grants awarded under its funding schemes.

² Funding schemes are not eligible for overhead contributions if

- a. their terms stipulate the allocation of own funds by the research institutions;
- b. they involve the use of funds outside Switzerland; or
- c. they do not incur any substantial indirect research costs.

³ The list of eligible funding schemes forms the Annexe of these regulations. The National Research Council shall amend the list in the event of any changes to the funding schemes subject to the criteria set out in paragraph 2.

Article 5 Mention in rulings

If a grant is eligible to be included in the overhead calculation, this will be mentioned in the ruling through which the SNSF announces the awarding of the grant pursuant to Article 4.

Chapter 3 Calculations and amount

Article 6 Calculation

¹ Calculation of the overhead contribution is based on the new grants awarded in a calendar year to researchers who are the corresponding⁶ grant holders pursuant to Article 4 for projects to be carried out at the institutions pursuant to Article 2.

² The date of the ruling is decisive for inclusion in the overhead calculation.

³ The contribution is allocated to the institution where the responsible grant holder is to carry out the approved research. The intended research location at the time when the ruling is sent is relevant in this context.

⁴ The overhead is calculated on the basis of the relevant grants awarded in the previous year.

⁶ Amendment; funding regulations of 27.2.2015, in force since 1 January 2016.

Article 7 Corrections

¹ In the event of the ruling being changed or revoked or the corresponding⁷ grant holder moving to another institution, the overhead contribution will not be recalculated.

² If a grant should expire in accordance with Article 34⁸ of the Funding Regulations of the SNSF⁹, the overhead contribution paid on such grant will be reclaimed at the relevant institution or deducted from the overhead sum awarded the subsequent year.

Article 8 Amount

¹ The amount of the flat-rate overhead contribution shall depend on the Federal funds available per year and on the maximum rate set periodically by the Swiss parliament.

² The total amount of the new grants included in the overhead calculation pursuant to these Regulations divided by the available funds equals the actual percentage rate for the overhead contribution of the calendar year immediately following the year on which the calculation is based. The percentage rate must not exceed 20%.

Chapter 4 Mode of payment

Article 9 Payment of the overhead contribution

¹ The overhead is paid in two halves at the end of the first and the third quarter.

² The payments are made on the basis of the legally binding rulings (Article 10 below) to the payment address specified by the eligible institutions.

³ The SNSF effects the payments upon approval of the actual percentage rate (Article 8 Paragraph 2) by the responsible Federal Department.

⁴ The new grants underlying the calculation of the overhead contribution are appropriately documented for the eligible institutions.

Chapter 5 Procedure and right of appeal

Article 10 Ruling

¹ The SNSF informs eligible institutions of the amount of the overhead contribution via an appealable ruling.

² The procedure is in accordance with Article 31¹⁰ of the Funding Regulations of the SNSF¹¹.

⁷ Amendment; funding regulations of 27.2.2015, in force since 1 January 2016.

⁸ Amendment; funding regulations of 27.2.2015, in force since 1 January 2016.

⁹ Funding Regulations of the SNSF of 27 February 2015.

¹⁰ Amendment; funding regulations of 27.2.2015, in force since 1 January 2016.

¹¹ Funding Regulations of the SNSF of 27 February 2015.

Chapter 6 Final provisions

Article 11 Approval and entry into force

These regulations enter into force on 1 January 2012 subject to their approval by the Federal Council.

These Overhead Regulations were approved by the Federal Council on 16 December 2011.

The amendments to the Overhead Regulations of 6 September 2013 were approved by the Federal Council on 29 November 2013.

Annexe

Eligible funding schemes

- a. Project funding¹² incl. interdisciplinary and interdivisional projects¹³
- b.¹⁴
- c. Sinergia
- d. Research projects within the framework of ERA-Nets, EuroCores and Joint Programming Initiatives
- e.¹⁵
- f. Professorships funded by the SNSF
- g.¹⁶
- h. Ambizione and Ambizione SCORE/PROSPER
- i. Marie Heim-Vögtlin
- j. NRP projects
- k. Special Programme University Medicine SPUM¹⁷
- l. Doc.CH¹⁸
- m. Assistant Professor (AP) Energy Grants¹⁹
- n. Special programme Investigator Initiated Clinical Trials (IICT)²⁰
- o. ERC Transfer Contributions²¹
- p. BRIDGE²²
- q. PRIMA²³
- r. Eccellenza²⁴

¹² Regulations on project funding of 4 November 2014, in force since 2 April 2016.

¹³ Amended following decision by the Research Council of 9 Mai 2012, in force since 1 July 2012.

¹⁴ Repealed based on the decision by the Research Council of 13 August 2013, in force since 1 September 2013.

¹⁵ Repealed based on the decision by the Research Council of 12 December 2012, in force since 1 January 2013.

¹⁶ Repealed based on the decision by the Research Council of 12 December 2012, in force since 1 January 2013.

¹⁷ Added following decision by the Research Council of 18 January 2012, in force with immediate effect.

¹⁸ Added following decision by the Research Council of 12 December 2012, in force since 1 January 2013.

¹⁹ Added following decision by the Research Council of 13 August 2013, in force since 1 September 2013.

²⁰ Added following decision by the Research Council of 16 June 2015, in force since 1 September 2015.

²¹ Added following decision by the Research Council of 14 July 2015, in force since 1 September 2015.

²² Added following decision by the Research Council of 7 December 2016, in force since 1 January 2017.

²³ Added following decision by the Research Council of 25 January 2017, in force since 1 August 2017.

²⁴ Added following decision by the Research Council of 19 September 2017, in force since 1 November 2017.