



Information event on innovations in research funding

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SCHWEIZERISCHER NATIONALFONDS
ZUR FÖRDERUNG DER WISSENSCHAFTLICHEN FORSCHUNG

Welcome to the SNSF in Bern



SNSF information events



Information events at universities / ETHs / universities of applied sciences / universities for teacher education

- 26 April Zurich (ETHZ) in the morning, PH Zurich in the afternoon
- 2 May University of Fribourg
- 11 May Lugano, USI in the morning, SUPSI in the afternoon
- 13 May University of Bern in the morning, FH Bern in the afternoon
- 20 May University of Basel
- 27 May Lausanne EPFL in the morning, HES-SO - HEdS La Source in the afternoon



Content: 1. SNSF funding policy / 2. Information on the innovations / 3. Questions

Information event on the innovations for grant administration offices on 20 April at the SNSF in Bern

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The SNSF funding schemes



Innovations in research funding



SNSF regulations & transitional provisions



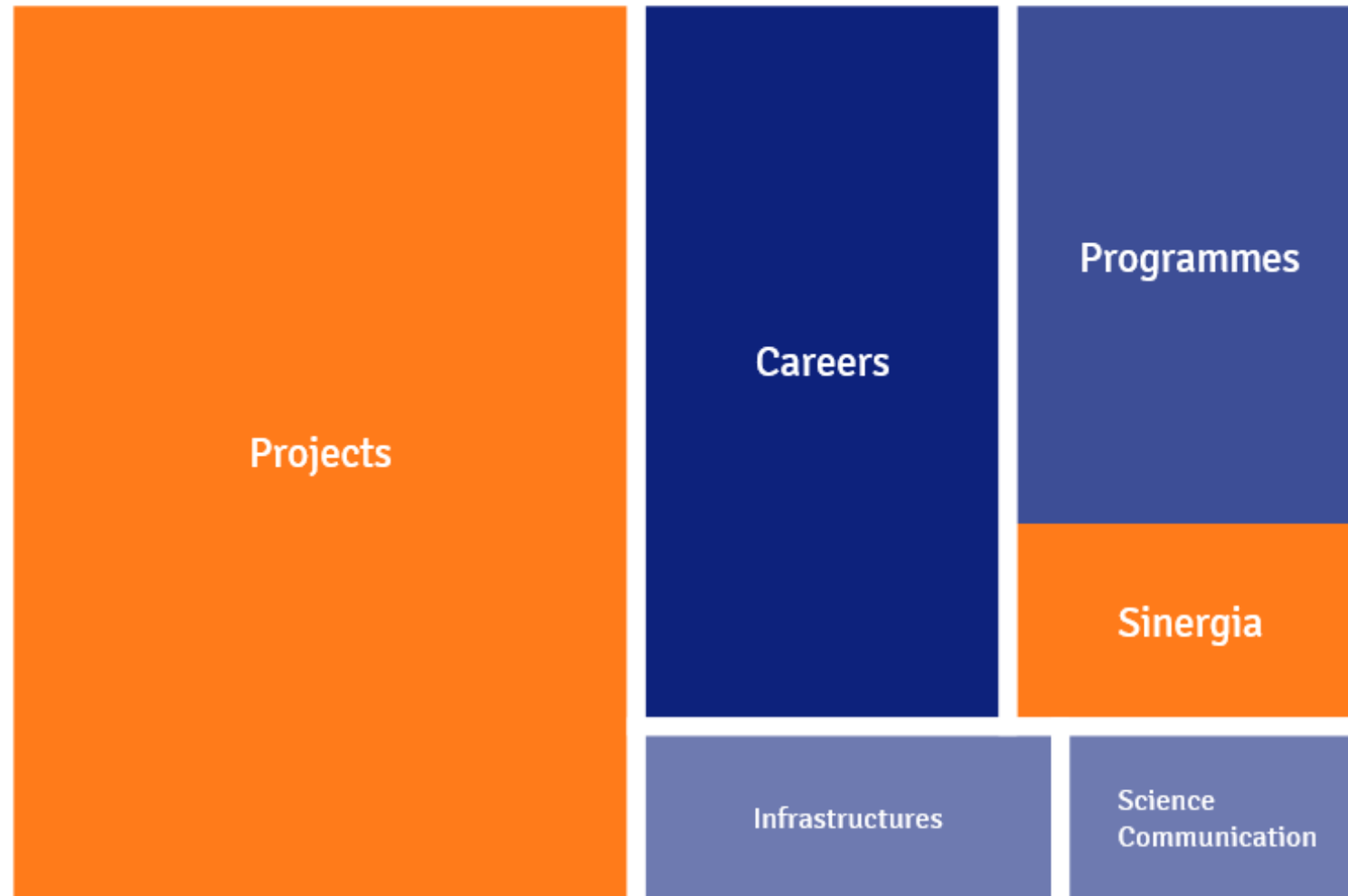
Questions



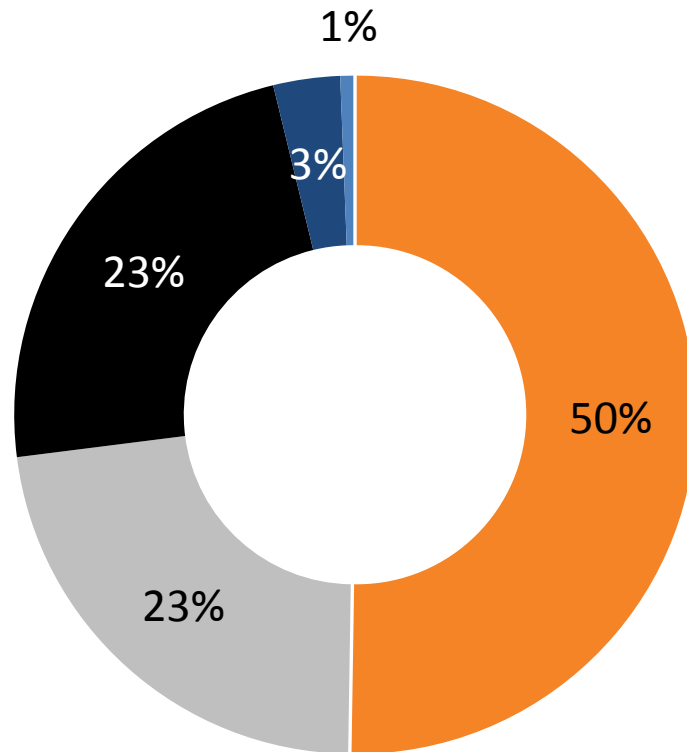
The SNSF funding schemes

- **Overview**
- Project funding
- Sinergia
- Career funding
- National Research Programmes
- International programmes
- Science communication

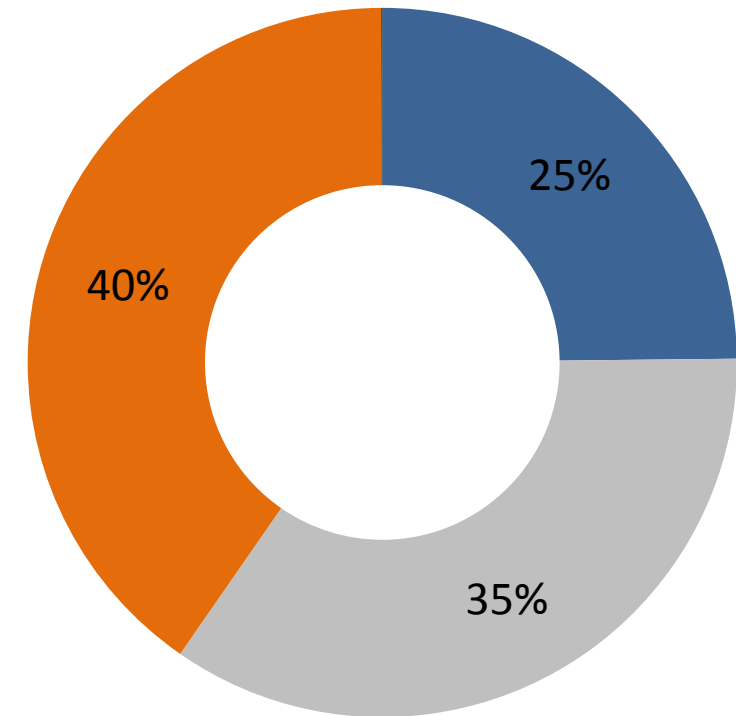
Funding opportunities: Overview



SNSF budget of 2015: CHF 878.6 million



- Projects
- Careers
- Programmes
- Infrastructures
- Science communication



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

Prov. Numbers

Project funding



Core “business” of the SNSF

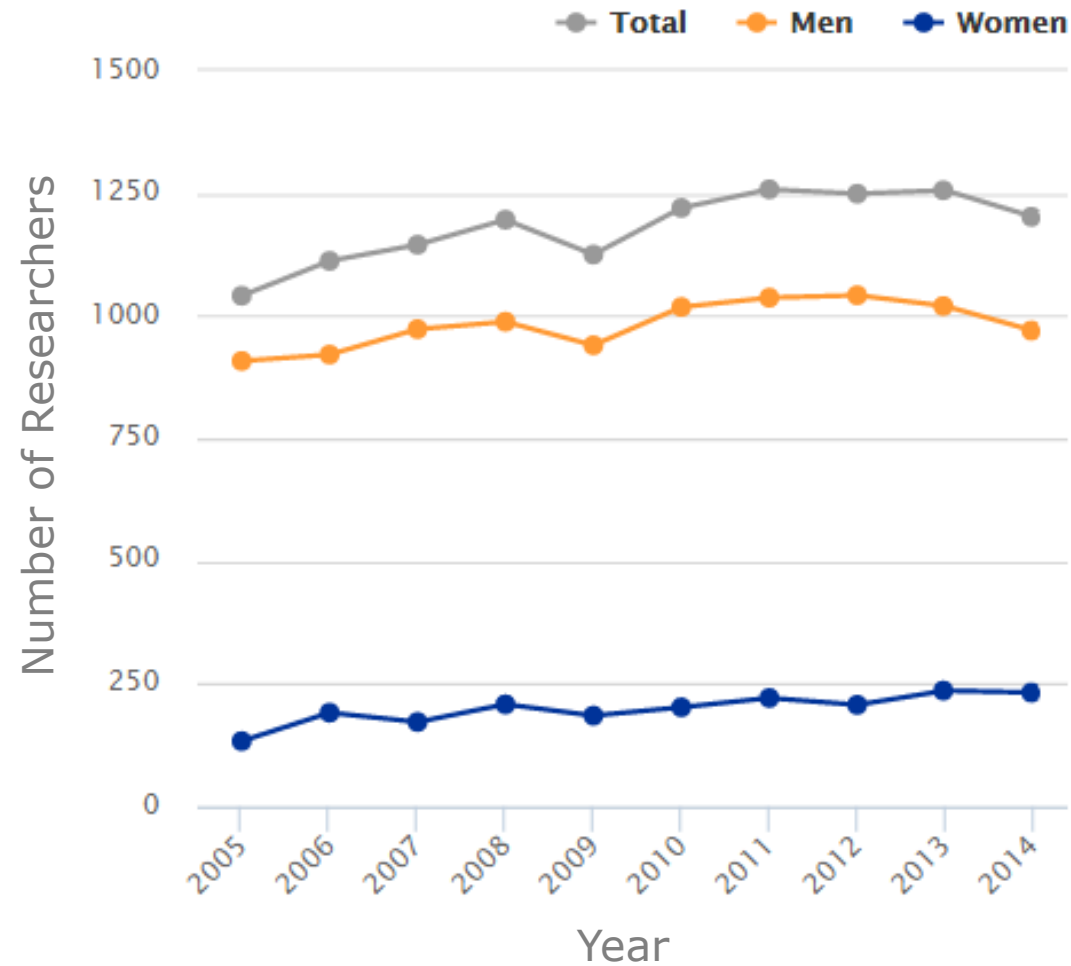
Funding for projects of **high quality** in all scientific disciplines

Topics can be chosen freely by scientists

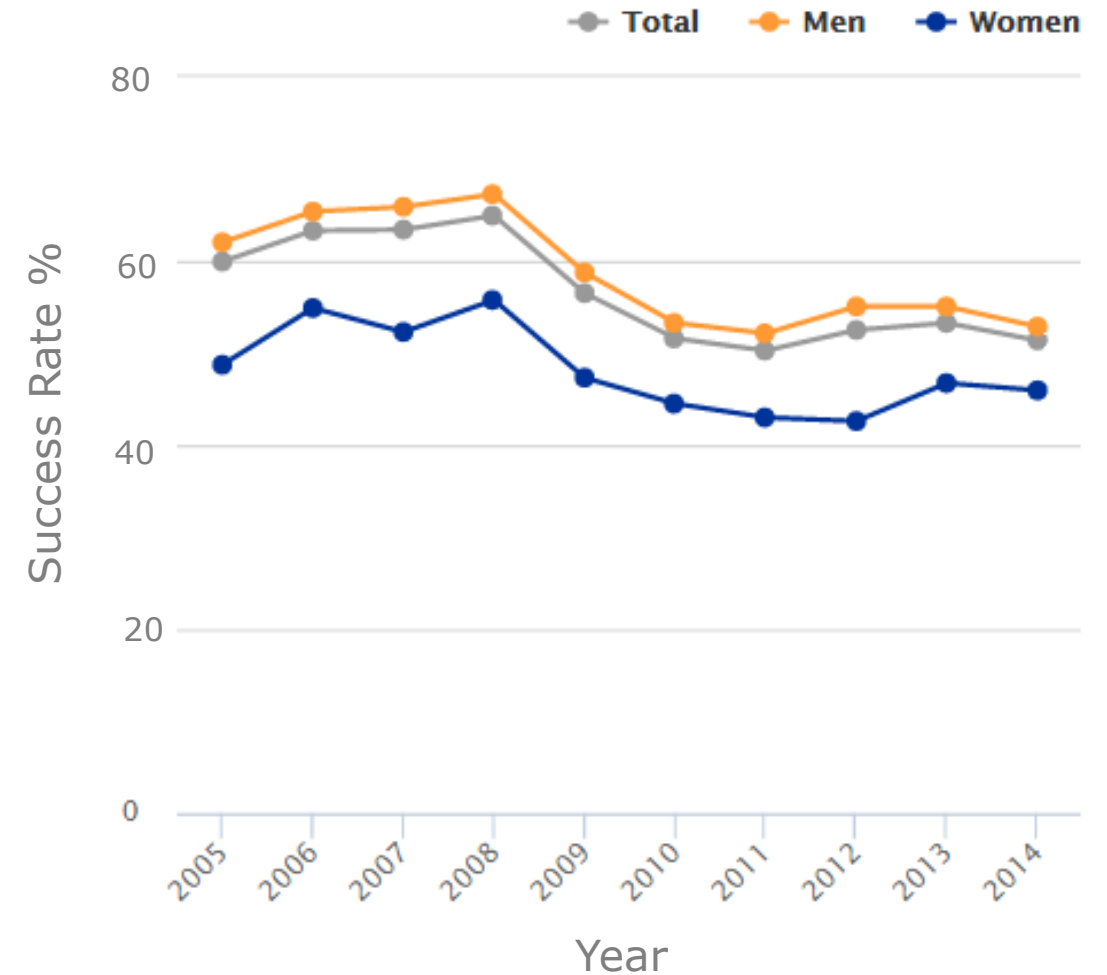
- Covers **direct research costs**
(staff salaries, materials, travel costs, etc.)
- Does **not** cover the applicants' salaries

Project Funding











Approved Applications










Success Rates

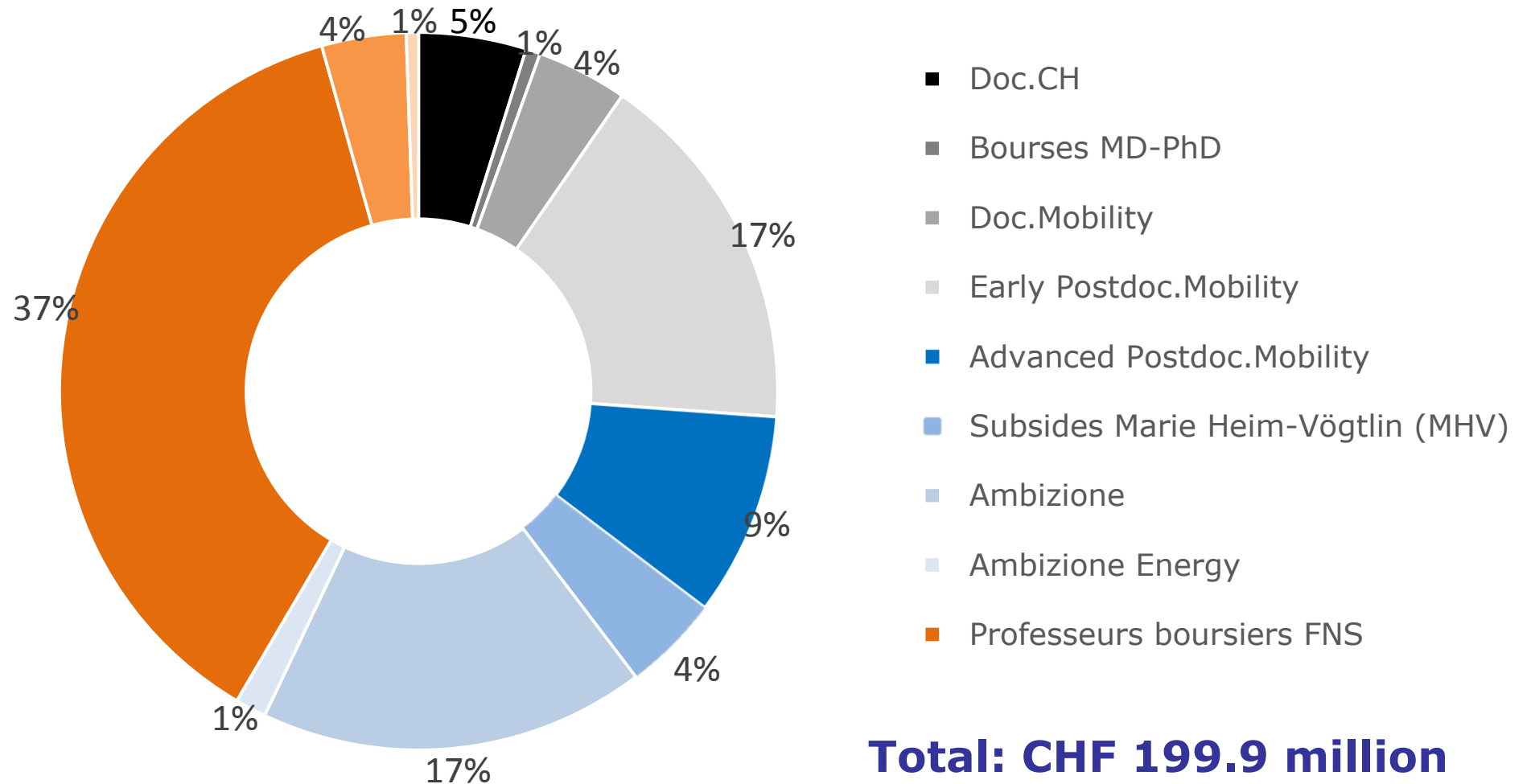


Career funding schemes: present and future

Present	
CH	Abroad
 	
 	 
 	 

2017 – 2020	
CH	Abroad
 	
 	
	

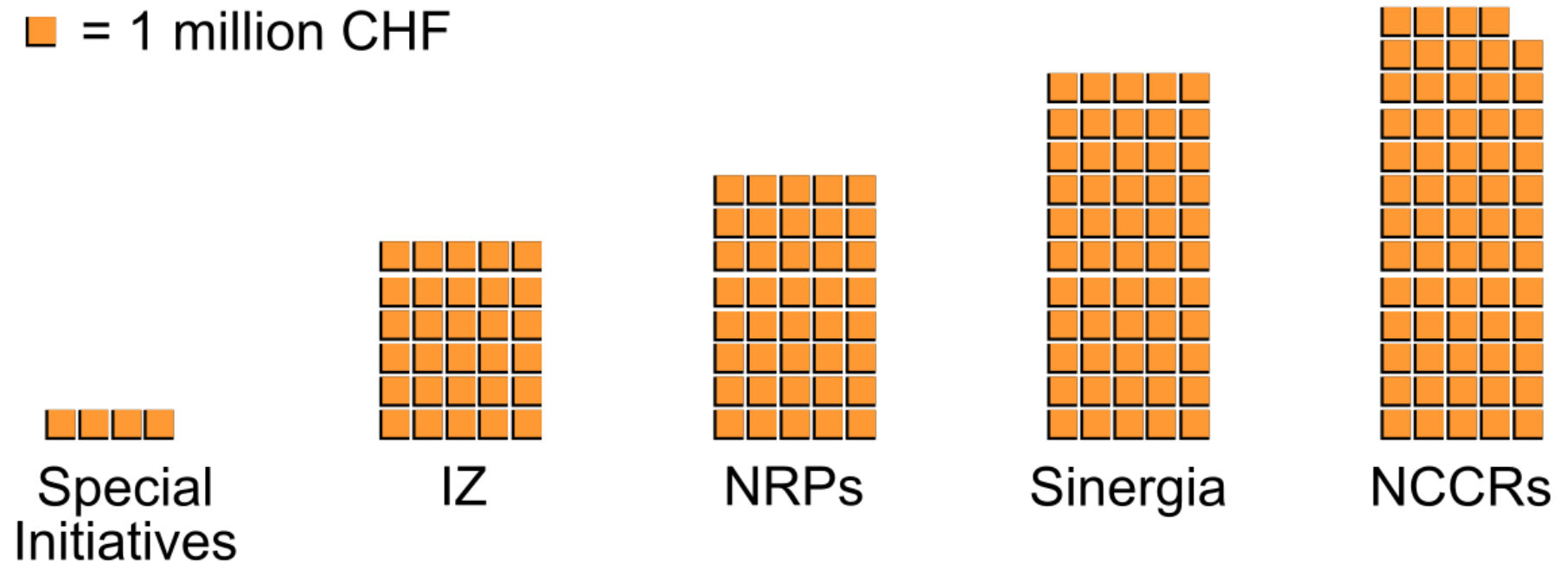
Career funding by scheme 2015



Prov. Numbers

Program funding - schemes

■ = 1 million CHF



Total: CHF 197.5 million in 2014

Source: Swiss Federal Office of Statistics, OECD, as at 2013

The new Sinergia programme

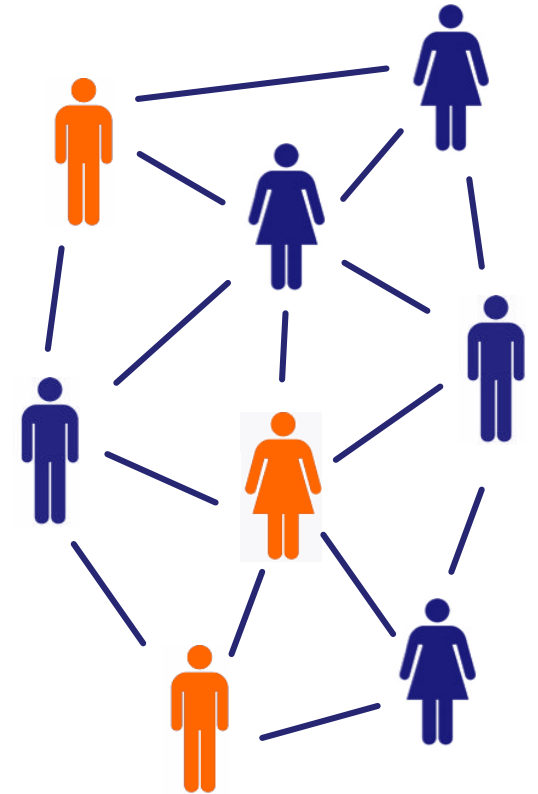
Promotes **collaborative** and **interdisciplinary** research which has the **potential to shift paradigms (breakthrough)**

Is **merged with the funding line for interdisciplinary single projects**

2-4 applicants and their groups collaborate closely in a network

Grants for 4 years and up to CHF 3.2 million

Next deadline in **June 2016**



National Research Programmes

- NRPs generate scientific knowledge aimed at **solving Switzerland's most pressing problems**
- **Topics are chosen** by the **Federal Council**
- **Problem-oriented** and **interdisciplinary**
- New NRPs started every 2-3 years
- Duration: 3-5 years
- CHF 5-20 million for each
- 11 NRPs currently running

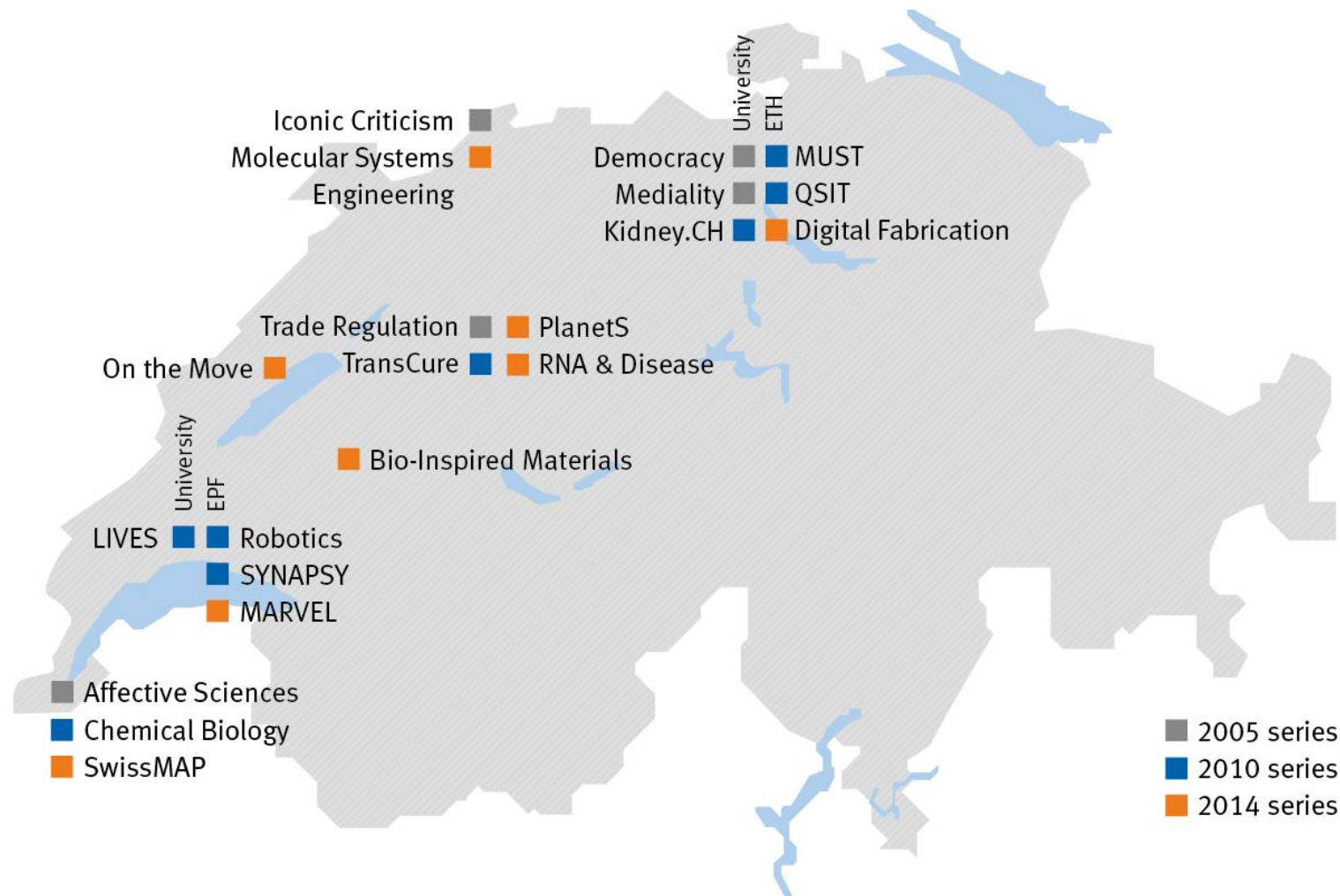


Managing energy consumption
National Research Programme NRP 71



The Centres of Competence (NCCRs) across Switzerland

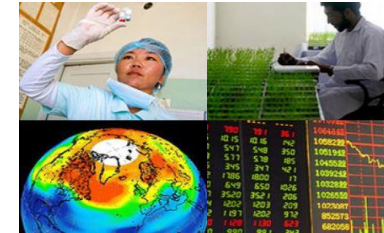
NCCRs promote **long-term** research projects in areas of vital **strategic importance** for the development of science in Switzerland, for the **economy** of the country, and for Swiss **society**.



International programmes

r4d programme

Swiss Programme for Research on Global Issues for Development



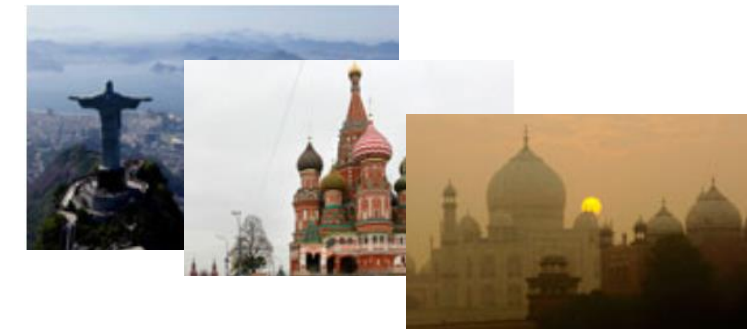
ERA-NET

Coordination and cooperation
in Europe



Bilateral programmes

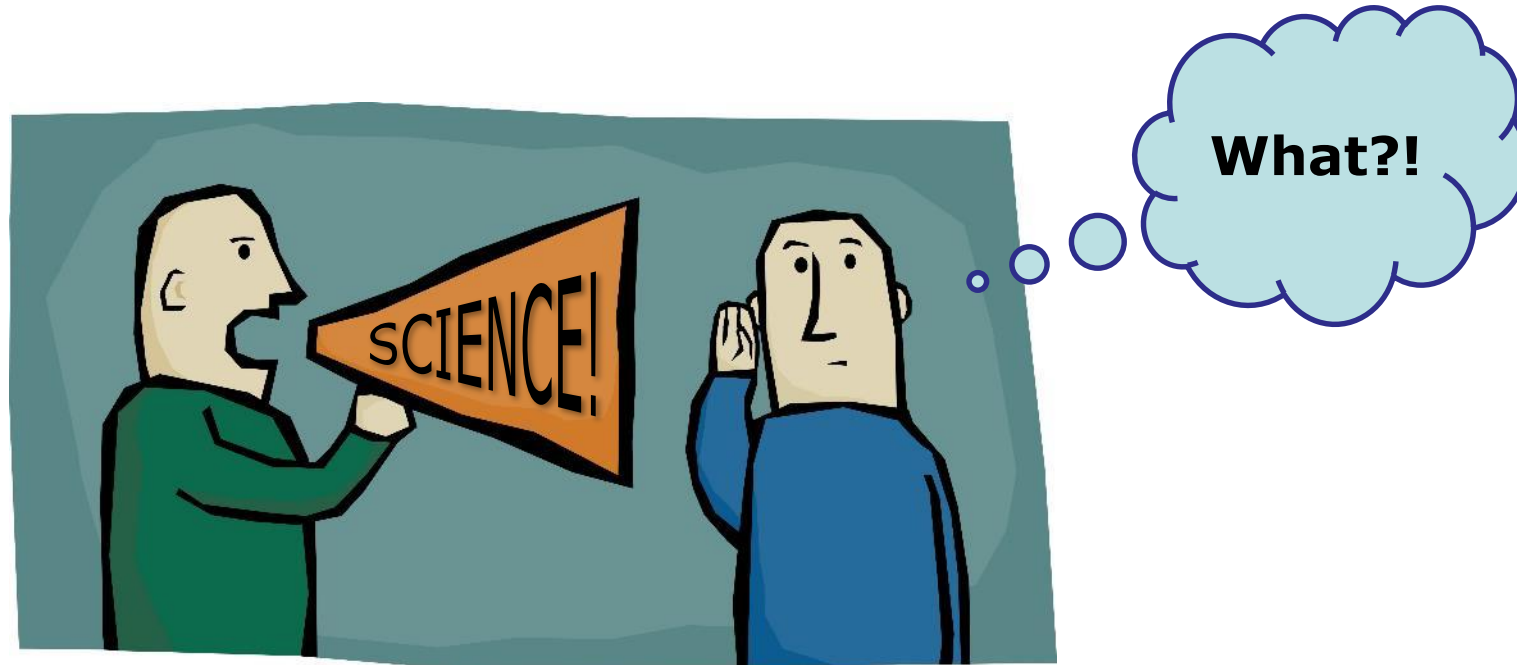
Promoting and strengthening scientific
cooperation with non-European countries
with significant research potential:



Brazil, Russia, India, China, South Africa, Korea, Japan and soon Argentina

Science communication

Funds for **communication between researchers and between science and society.**



*Conferences, publication grants, exploratory Workshops, **Agora***

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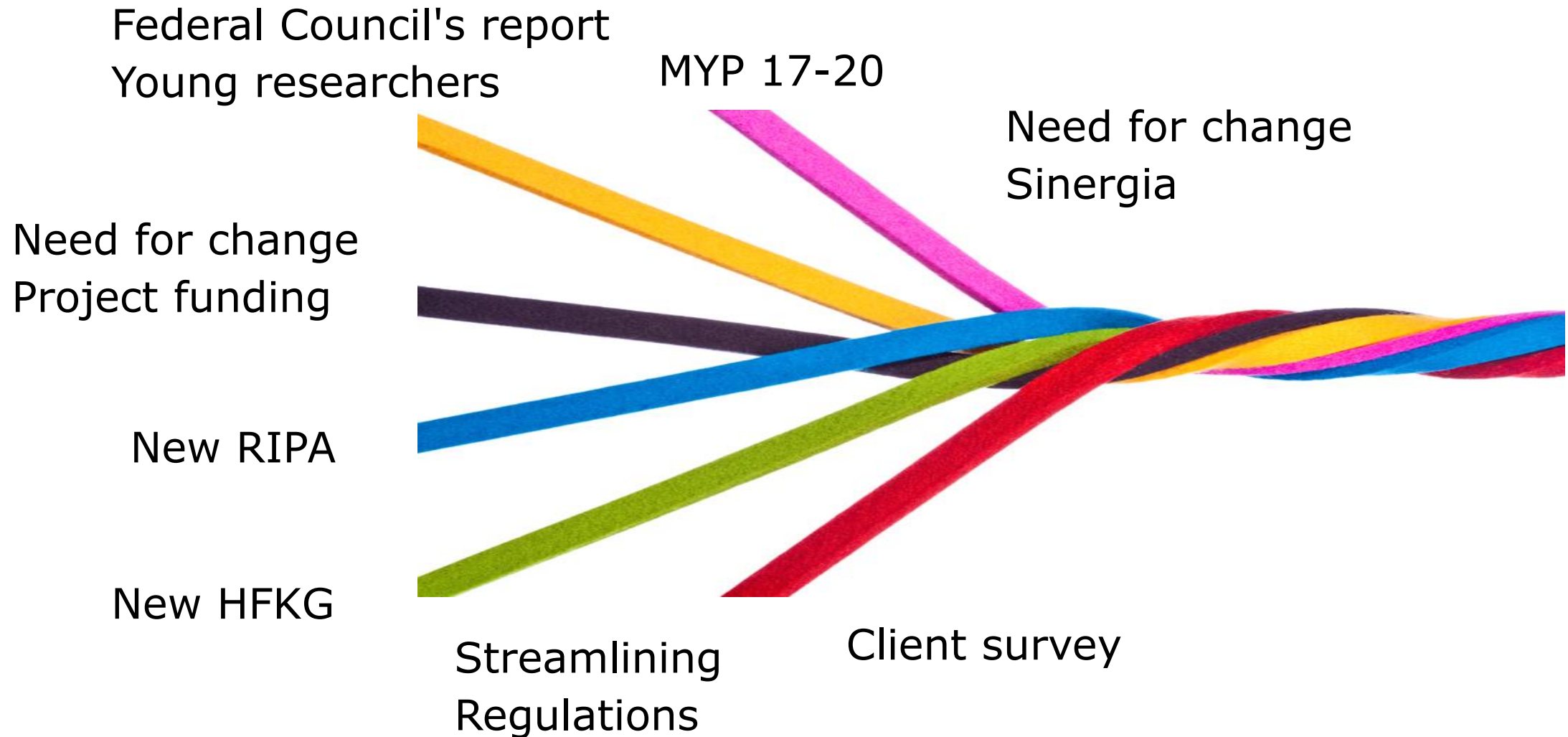
Questions



Innovations in research funding

- **Core objectives of innovations**
- Eligibility requirements
- Grant conditions and restrictions in project funding
- Project partners and subcontracting
- Eligible costs and career measures
- Employment of staff
- Sinergia

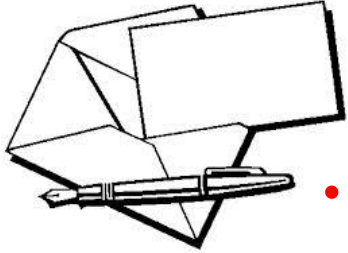
Why change?



Core objectives of innovations in research funding

- Respond to researchers' needs (client survey)
- Provide clear and well-coordinated funding options at each stage (of career)
- Help young researchers to achieve early independence
- Create clear responsibilities with regard to scientific merits
- Promote diversity
- Reduce administration work
- Allow more flexible use of funds
- Bring project duration closer into line with the duration of doctoral theses
- Set out clear rules for submitting proposals and using grants

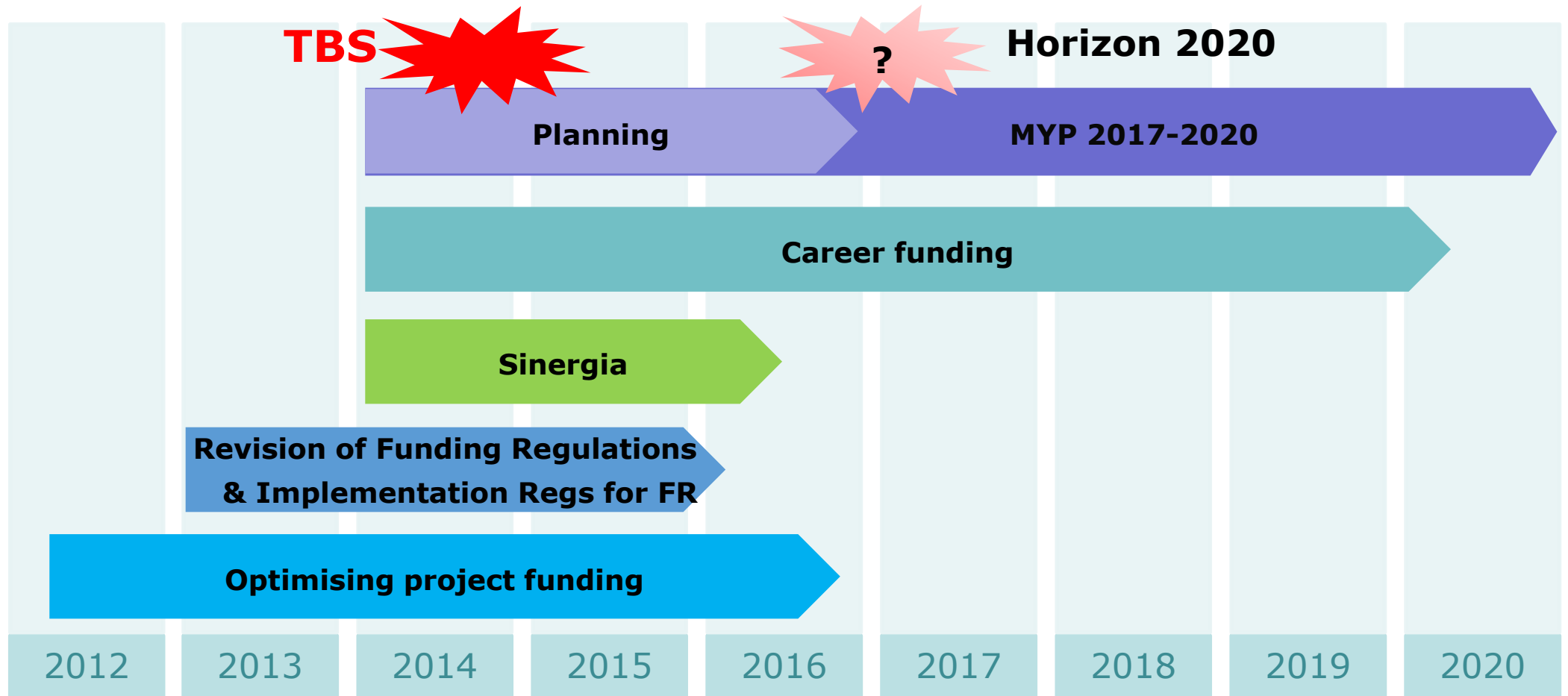
Innovation process is based on



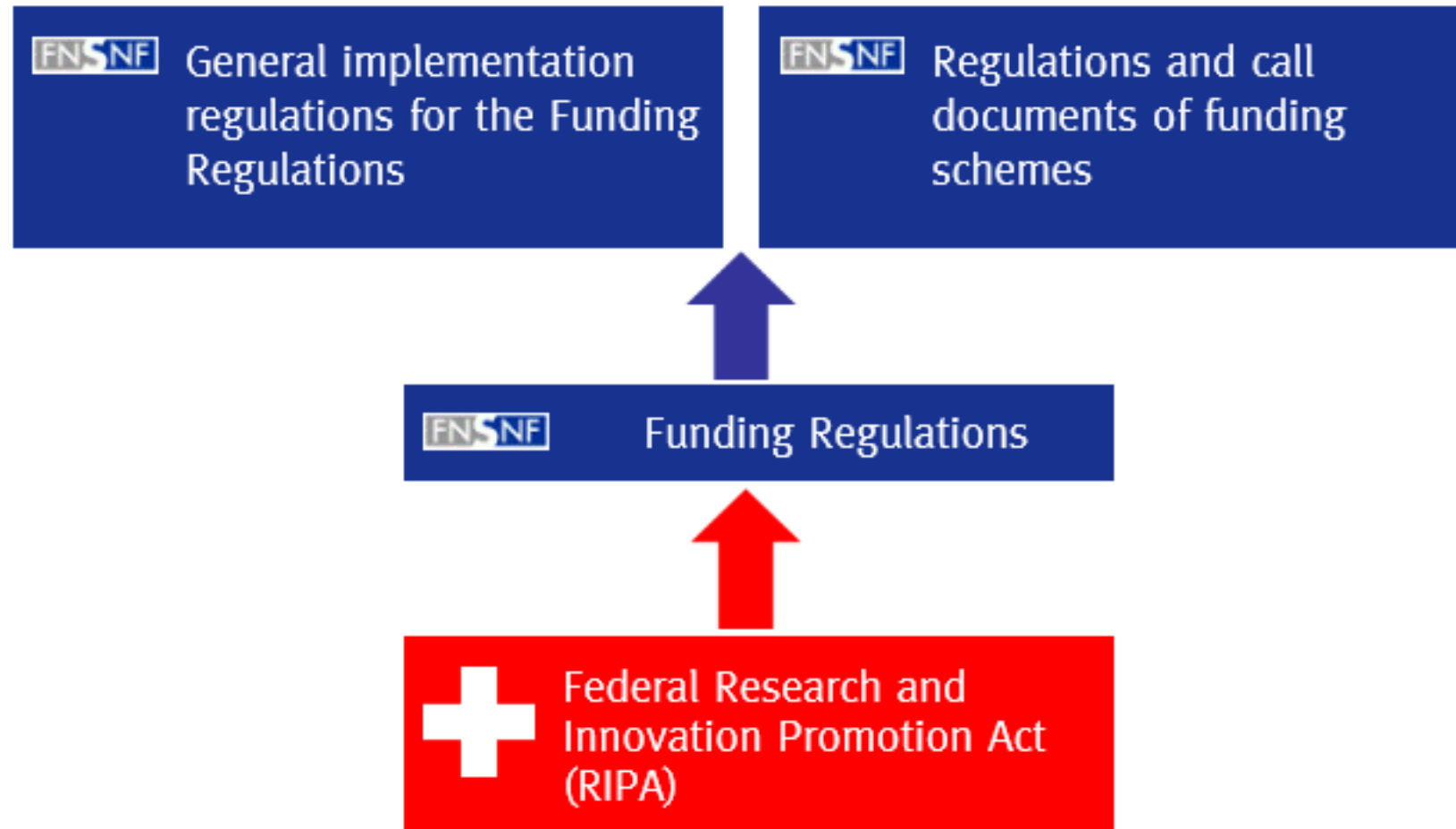
- **Survey among researchers** in Switzerland (NIFU survey)
- **Internal analysis** (Working Group on Project Funding)
- Experience of running **Temporary Backup Schemes**



Overview of planning process



Legal basis for SNSF funding activities





Innovations in research funding

- Core objectives of innovations
- **Eligibility requirements**
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General eligibility requirements

What will the new provisions mean in practice?

- People who are **only loosely linked** to higher education institutions and/or people with a low work-time percentage should not be able to submit applications because they are not sufficiently integrated at an institution.
- The institutions where the applicants work must have strong links to Switzerland
- **Young researchers** should **not** be **disadvantaged** by the requirement that applicants need to be employed when they submit their proposal and have a contract for the entire duration of the project

General eligibility requirements I

- The **research activities**, along with any scientific teaching activities, must constitute the equivalent of at least 50% FTE.
- Researchers devoting less than 50% of their time to science are eligible **if their scientific research and teaching activities** are usually carried out **as part of another professional activity**.
- Lecturing assignments per se, honorary professorships per se or other titles as well as links within the scope of collaborations or visiting professorships **do not entail eligibility to submit applications, unless the above points are met**
- Being employed at the time of submission is not a requirement, rather it provides **proof of employment over the entire project duration** - except for some exceptions with regard to young researchers

Eligibility requirements II

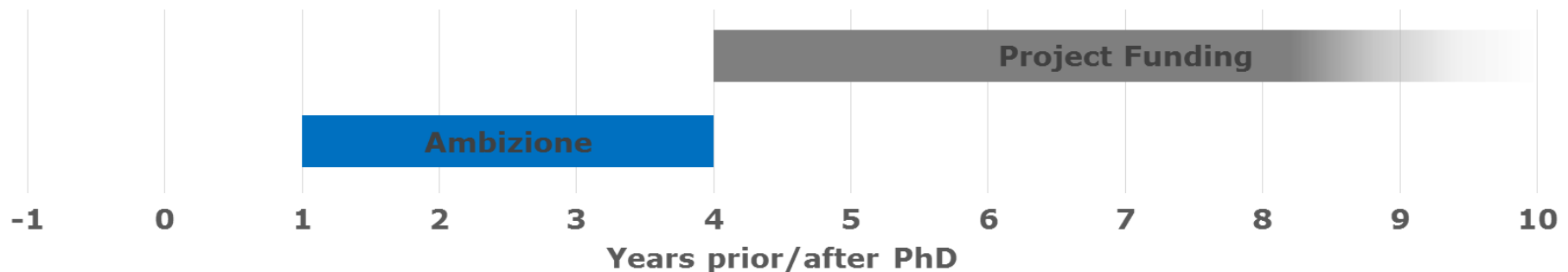
Rules governing the eligibility of institutions abroad made clearer and adapted to the new law (RIPA )

- Employment for the duration of the research project at a work-time percentage of at least 50% **in accordance with Swiss law** at a Swiss institution.
- Administration of the research project must **be in Switzerland**
- The corresponding applicant must have a **Swiss delivery address**
- The **funding principles of the SNSF** on the **eligibility of institutions** must be met, particularly with regard to the **non-commercial purpose and independence of research**

Eligibility requirements for project funding

What will the new provisions mean in practice?

- Professional researchers **with at least 4 years' experience after the doctorate (or an independent research position) who are in employment for the duration of the project*** will be able to submit applications.
- Researchers with **less research experience** will be able to use the **Ambizione scheme** (implementation scheduled for early 2017); until then they will be eligible to apply for project funding



*Exceptions possible for young researchers

Eligibility requirements for project funding

Four years after doctoral thesis or an independent position, notably:

- Full professors
- Assistant professors
- Chief consultants (OberärztInnen), senior staff physicians (leitende ÄrztInnen), chief physicians (ChefärztInnen)
- Senior Scientists / Researchers
- Group leaders
- Senior assistants (OberassistentInnen / Maître-assistantEs)
- Heads of teaching and research (Maître d'Enseignement et de Recherche)



Eligibility requirements for project funding

Not eligible:

- Visiting professors
- Postdocs
- Research associates
- Assistant physicians (AssistenzärztInnen)
- Employees in SNSF projects
- Ambizione grantees
- SNSF professors in the first 2 years



Eligibility requirements for project funding

Eligible if research is main source of income (research and teaching position of at least 50% at an eligible institution):

- Honorary professors
- Lecturers
- Senior lecturers (Privatdozent)



Further changes

Scientific Misconduct:

Applicants must inform the SNSF about pending proceedings or sanctions

Other funding:

Applicants must inform the SNSF about all submitted, pending or approved applications at the SNSF or with third parties



Innovations in research funding

- Core objectives of innovations
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- **Grant conditions and restrictions in project funding**
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Grant conditions in project funding

- **Maximum grant duration** increased from three to **four years**
- Minimum grant duration set to one year
- No fixed maximum amount for grants
- **Excellence grants** (until now only awarded in Div. III für applications with grade A)
New by invitation: **(3+3, 4+4) for applications with the two highest grades**
- Thematic continuation of applications is possible

Grant conditions in project funding

- In principle, researchers holding a grant for project funding may not hold another such grant for the duration of the funding period.
- The SNSF may award a second grant if the overlapping research project is thematically clearly different from the ongoing project and if the applicant can show that he/she will make a substantial contribution to the second project as well.
- Two or more applicants are allowed if this is essential for successful completion of the project and if each makes a major contribution
- Lead Agency projects are regarded as applications for project funding

Grantees with a project grant can also ...

- submit a **Sinergia** application
- initiate an **NRP** or submit a project proposal
- initiate an **NCCR** or submit a project proposal
- apply for an **AP Energy Grants**
- participate in **ERA-NETs**
- participate in **Joint Programme Initiatives (JPIs)**
- participate in **international cooperation programmes** (e.g. bilateral programmes), such as PIRE
- submit an **Agora** application



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Project partners - Subcontracting

What will the new provisions mean in practice?

- **Project partners:** will be able to participate in projects (and can charge corresponding costs) without being co-applicants who are co-responsible for the project
- **Subcontracting:** lower-level work can be bought-in in the form of services
- **Restrictions** were defined to avoid a situation where important work is done by third parties

Project partners - Subcontracting

Project partner = makes a scientific contribution; at a public, private or commercial research institution/company in CH or abroad under the condition that the contribution does not result in a direct monetary benefit for the employer

- Usually max. 20%, exceptions are possible
- Employees of project members cannot be employed as staff members in SNSF projects

Subcontracting = buy-in of services, often from companies

- Usually max. 10%, exceptions are possible

Costs of project partners and of subcontractors

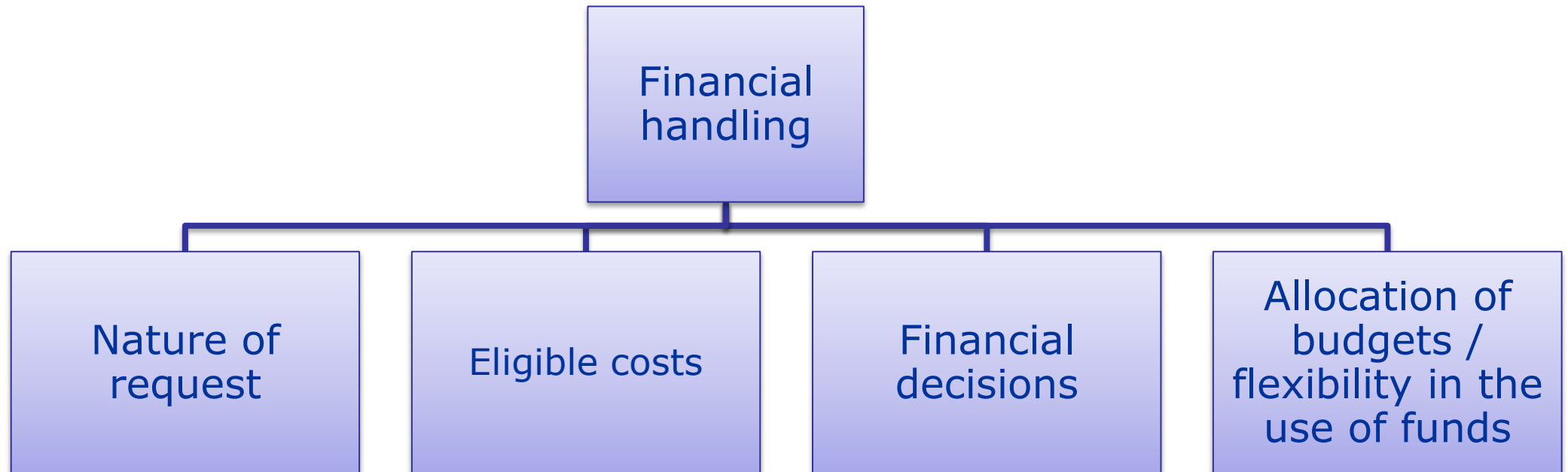
- Services and costs should be proportionate and economical.



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Financial handling of proposals and grants - subtopics



Eligible costs: **cost categories**

Human Resources

- **Salaries and social security contributions**

Conferences and workshops

Collaborations (national & international)

Direct costs for using infrastructures

Costs of scientific open access publications

Research costs

- **Material of enduring value, equipment**
- **Travel**
- **Third-party expenses**
 - Costs for project partner
 - Subcontracting
- **Computing time and data**

Costs for career measures

Conferences and workshops

Applicants will be able to charge costs for **project-related knowledge sharing events** to the project grant and will not have to apply for these costs separately.

- **Participation in and organisation** of workshops and conferences
- Travel, room & board and organisation costs are charged; the invited people must be of importance for the scientific exchange.
- Larger conferences and annual conferences of specialist associations are excluded

Collaborations

Applicants will be able to link their project to one or more other projects in Switzerland or abroad.

- Only costs for scientific exchanges will be fundable
- Travel and room & board costs and additional research costs (incurred by the SNSF grantee) will be covered



Direct costs for using infrastructures

- Only **direct costs** are eligible (although it may be difficult to distinguish, the message should still be given)
- **Host institutions** must be **transparent** about their infrastructure cost policy (although this may be an illusion, the message should still be given)
- Paid only if it helps researchers to **increase the efficiency** and quality of their research (relation to project goals)

Research costs (red = new)

- **Material of enduring value, equipment** >100,000 CHF requires co-financing by the institution; usually 50%.
- **Travel**
- **Expenses of third parties**
 - Costs for project partners (<20% of the budget, no salaries)
 - Subcontracting (<10% of the budget, no salaries)
- **Computing time and data** (cloud computing and data access)
- **Costs for open data** (costs for data storage and for providing access to data)
- **Operating expenses**
(Regulations include list of fundable and non-fundable items)

Costs that are not covered

The following costs are either for basic equipment / **services to be provided by the home institutions of the researchers** (exceptions should be possible):

- standard IT equipment (hardware, software, phones, tablets, etc.)
- standard laboratory equipment (rooms, basic equipment such as freezers, centrifuges, clean benches, etc.)
- insurance, rents, electricity, water, telephone costs
- general operational costs of service centres, devices, etc.
- repair costs, service contracts
- translations, photocopies
- clinical research: costs for sponsor-related activities

Career measures

120% support grant

- postdoctoral researchers with major child care duties employed in SNSF-funded research projects with at least 80% work-time percentage

Mobility for PhD students

- Promotion of mobility for 6 – 12 months

Gender equality grant

- Aimed at women researchers at doctoral or postdoctoral level
- CHF 1,000 per 12 months project running time for career support measures (mentoring, coaching, career development courses, networking meetings, etc.)

can be applied for during the project running-time with relative ease

Career measures:

Grants for exemption from teaching duties (SSH)

Pilot project

- Grants will be awarded under a pilot project covering the 1 October 2016 and 1 April 2019 submission deadlines for project funding
- The SNSF will award a grant for exemption from teaching duties in the amount of CHF 6,000 for one semester hour per week up to a maximum of CHF 24,000 for four semester hours per week

Requirements

- The project must have a minimum duration of two years
- The grant for exemption from teaching duties relates solely to the applicant;
- The higher education institution must consent to the application for a grant for exemption from teaching duties

Career measures: Research time for clinicians

Pilot project

- The SNSF aims to ensure that active clinicians can devote 30% of their working time (30% of a full-time equivalent) to their research projects
→ Costs: SNF and employer / 50:50
- The initiative for protected research time for clinicians is currently planned to last till 2020

Requirements

- Clinicians are doing clinical work at an eligible Swiss hospital as defined by the Research and Innovation Promotion Act (RIPA)
- It must be a project to be evaluated by the Biology and Medicine division
- The clinician does not already hold a structural position with budget responsibility at a hospital or an academic tenured position

Awards in the form of global budgets

- Global budgets as the **rule, PI is responsible**
- Grant holders **can dispose freely of the budget** within the framework of the applicable regulations and the submitted research plan and goals
- In **exceptional** cases, categories ('Kostenrubriken') or budget items are defined by the SNSF
- In any case, **changes to the project design** which will result in major deviations from the research plan and goals **must be submitted to the SNSF**



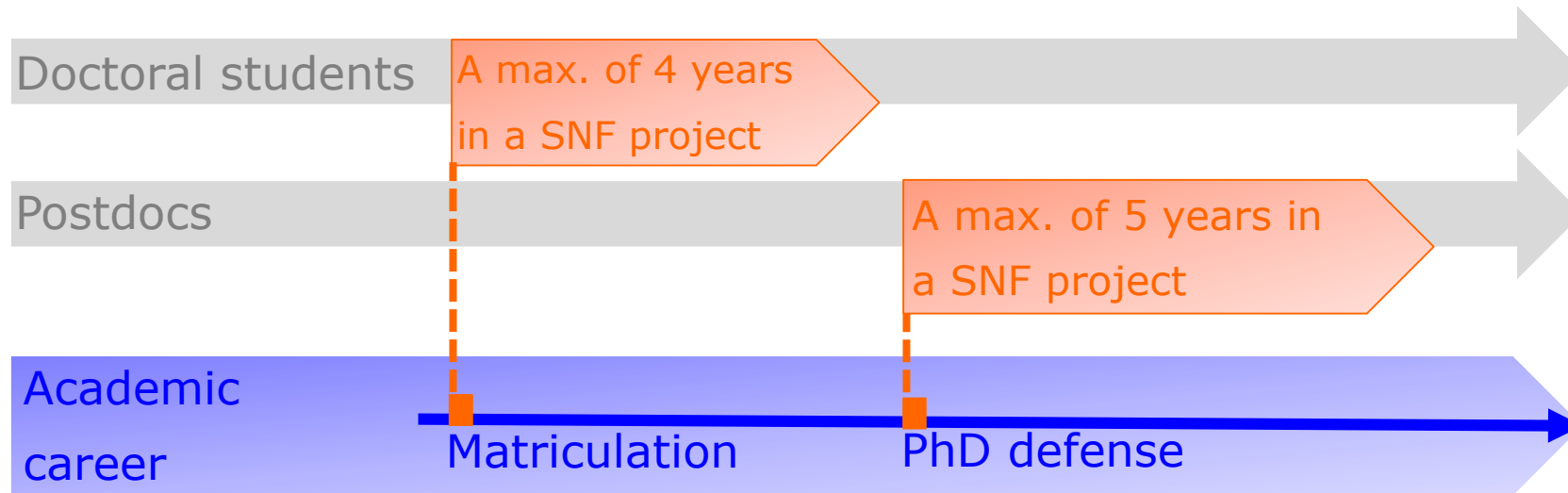
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- **Employment of staff**
- Entry into force of regulations and important dates for researchers
- Sinergia

Employee categories of the SNSF

- **Doctoral students**
- **Postdocs** (employees with a doctorate);
- **Other employees** – these include:
 - Employees with degree, who don't want to do a doctorate;
 - Employees with a doctorate who do not plan to acquire further academic qualification in the context of the employment in question;
 - Technicians;
 - Auxiliary staff

Employment duration in SNF projects



■ Reference point

- Further employees: No constraints
- The **conditions of the universities** must be respected
- The SNSF does not finance **permanent positions**

Extension of time eligibility window

Eligibility with respect to the reference point can be extended by at most 1 year because of

- Care duties, parental leave and child care duties
- Illness, service to the public
- Continuing education
- Participation in mandatory graduate schools before PhD



Employees

Prolongation of running projects

Project duration can be **extended for at most 1 year** for reasons related to project **staff**

- Care duties, parental leave and child care duties
 - Illness, service to the public
 - Continuing education
 - Participation in mandatory graduate schools before PhD
-
- Needs consent of the grant holder
 - Is normally cost-neutral
 - Grant holder can apply for a new grant in parallel



Innovations in research funding

- Core objectives of innovations
- Grant conditions
- Eligibility
- Eligible costs
- Career measures
- Employment of staff
- **Sinergia**

Sinergia: changes



Limited to **collaborative, interdisciplinary** projects featuring **breakthrough** research

Eligibility

- 4 years after PhD, position during the grant (as in project funding)
- The consortium as a whole must have experience in project management which is adequate to the size and complexity of the submitted Sinergia project

Specific restrictions (as in project funding)

- SNSF professors cannot apply for a Sinergia grant during the first two years of their grant, in accordance with the new regulations for project funding
- Ambizione grant holders excluded

Sinergia: changes



Applicants

- Number of applicants: **minimum two, maximum four applicants**
- Number of Sinergia grants / proposals per applicant: a researcher can only be involved in **one Sinergia project / proposal at a time**

Eligible costs, including career measures

- As in project funding

Evaluation

- Responsibility lies with the FA ID; evaluation committee with **international membership**

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SNSF regulations & transitional provisions



Questions



The new regulations – Entry into force

Funding regulations

Entry into force on 1 January 2016 (not yet for project funding)

Sinergia

Entry into force on 1 January 2016 (1st Call 'new' Sinergia June 2016)

Projektförderung

Entry into force on 2 April 2016 (valid for call in Oct. 2016)

Implementation Regulations

Funding Regulations

Entry into force on 1 January 2016 (not yet for project funding)

Transitional provisions



- Until the entry into force of the **project funding regulations with the call in October 2016, FR 2007 and the IR 2015** shall apply to **project funding**
- The SNSF will apply the new provisions only to pending procedures and ongoing grants if they **do not disadvantage the researchers.**
- If rights assigned on approval of a grant are not in accordance with the new Regulations, these **rights will nonetheless remain in force**
- Some of the **innovations will not yet be available in the systems** until after the **transition period**
- If specific innovations have not yet been implemented in *mySNF*, **this should not put the applicants at a disadvantage, and the proposals should be evaluated based on the forms valid at the time of submission.**

The following innovations are not being applied yet: transitional provisions

- Applicant's **self-declaration** concerning their own employment (Clause 1.1)
- **Project partner** as a new status (Clause 1.12; specific funding schemes that may already involve project partners excepted)
- **Reporting of any other competitive funding acquired by the applicants** that is not directly linked to the application to be submitted (Clause 1.20)
- **Grants for completing the project** (Clause 4.2, rules applicable till now to supplementary grants in accordance with mySNF texts)
- New **agreement with grant administration offices** and **written agreement** for projects without any official grant administration office (Clause 5.1)
- Changes with regard to requests for the reimbursement of **additional personnel costs** (Clause 6.4)
- Modified **employee categories** (Clause 7.2)



Project funding

Withdrawal from projects / Mergers of projects

- Grantees can submit a request to **withdraw from a project** if their role is more that of project partner and they **do not make a major contribution**.
- Grantees can **merge two projects to create one larger project**, as long as this is thematically and organisationally feasible

→ Is only applicable in the transition phase

→ The Administrative Offices, who assess the requests, will be glad to help you if you have any questions

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Questions



Thank you!



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