

## **3RCC Research Funding Regulations**

From 20 December 2018

Based on the 3RCC Statutes revised on 29 August 2018, the 3RCC Strategic Board

adopts the following regulations:

### **Chapter 1. Object**

#### **Article 1. Purpose**

1. The 3RCC promotes the principles of the Three Rs (Refinement, Reduction, Replacement of animal experimentation) in Switzerland and facilitates their implementation in life sciences with a main focus on high quality research, education and communication.
2. In the area of research, the 3RCC aims to address the existing knowledge gaps, as well as to promote the development, optimization, application and implementation of new and/or modified methods in the area of the 3Rs. These regulations govern how the 3RCC awards research grants.

#### **Article 2. Principles**

1. The 3RCC awards grants for research projects that investigate key issues regarding the 3Rs and that meet the required quality criteria as specified in article 6.
2. Submission of an application for grant, does not grant any legal rights to receive funding from 3RCC.
3. Calls for projects are either made in the form of open calls or in the form of targeted calls, i.e. addressing a specific topic.
4. The 3RCC research funding is granted to public and non-profit research institutions based in Switzerland including e.g. public Swiss universities, Swiss Federal Institutes of Technology, Swiss universities of applied sciences and university (associated) hospitals and non-commercial research centres outside the higher education sector.
5. Should a profit-oriented company be involved in the research project, applicants must guarantee adherence to the principles of freedom of research, research independence and freedom of publication.

## Chapter 2. General Provisions

### Article 3. Eligibility

1. Eligibility criteria for application are:
  - a. Natural persons pursuing a scientific research activity at a Swiss higher education research centre (according to Art. 4(c) of the Federal Act on the Promotion of Research and Innovation (RIPA)<sup>1</sup>) or at a non-commercial research centre outside the higher education sector (according to Art. 5 RIPA);
  - b. Several applicants according to let. a (consortium), if required by the research project's objective;
  - c. Private partners (industrial partners) or other commercially oriented institutions, that apply jointly with a partner according to let. a or b.

## Chapter 3. Application procedure

### Article 4. General conditions

1. The 3RCC Strategic Board defines the number of calls to be issued each year within its annual planning.
2. The 3RCC Strategic Board sets the deadlines for the submission of applications in a timely manner and communicates them to the interested research community in an appropriate form.
3. The 3RCC Strategic Board publishes application guidelines for the research grants.
4. The 3RCC Strategic Board may define additional prerequisites within the framework of the individual calls for projects. In particular, it may propose a targeted theme that may limit the eligibility for the application to specific target groups and/or condition the granting of research depending on additional funding from third parties.
5. The application should be submitted in English, as to allow review by international experts.

### Article 5. Formal requirements and eligible costs

1. The application includes a project description, the estimated total project costs (broken down by year and eligible project costs according to paragraph 2 of this article), as well as indication of the contributions from the host institutions according to paragraph 4 of this article.
2. Only direct research costs are eligible. These include salaries of employees engaged for the project within the scope of the salary ranges of their institutions, costs of project-related services by third parties in the domain of research, costs of the use of project-related equipment(s), consumables and animal costs.
3. Eligible costs also include expenses related to travel, meetings, communication of the

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<sup>1</sup> CC 420.1.

results and publications in compliance with a policy of open access.

4. For applications coming from Swiss higher education research centres or from non-commercial research centres outside the higher education sector pursuant to Article 3(a) and 3(b) of the present regulation, that do not count with an industrial partner, the host institutions must contribute adequately (in kind or in cash) to the intended research project.
5. Applications submitted in cooperation with an industry partner in accordance with Article 3(c) of the present regulation, must include adequate in-kind or in-cash contributions from the industrial partner to the proposed research project.

#### **Article 6. Scientific assessment**

1. The decisive criteria for the provision of a research grant are the quality of the application, in particular the scientific relevance, the innovativeness, the applicability of the method, the feasibility – and any other criteria specified in the call – as well as the applicant's qualifications (expertise and track record).
2. For applied research projects, the relevance of non-scientific aspects may be taken into account.

#### **Article 7. Responsibilities and decision**

1. The 3RCC's Directorate verifies that the applications meet the requirements set out in article 5.
2. Applications containing formal shortcomings, or being insufficient in terms of content are not considered.
3. The 3RCC Scientific Advisory Board is responsible for the scientific review of the applications. Each application is reviewed by at least two experts from the Scientific Advisory Board. If required, the Scientific Advisory Board may request additional reviews from external experts.
4. Based on the recommendations from the Scientific Advisory Board and taking into consideration the amount of the funds available, the 3RCC Strategic Board decides on the approval or refusal of a grant application.
5. The decision is communicated in written format to the applicant.
6. After approval of an application by the 3RCC Strategic Board, the Directorate concludes a written contract with the grant recipients. The contract regulates in particular:
  - a. the services to be provided by the researchers and by the 3RCC,
  - b. the reporting and publication of the research results and data,
  - c. intellectual property and rights of use,
  - d. the obligations for researchers to conduct the planned research with the due care and according to the rules of good scientific practice,
  - e. the obligation for researchers to comply with the principles applicable in their specific field of research, including legal provisions and ethical requirements.

## **Chapter 4. Information and reporting obligation**

### **Article 8. Reporting**

1. Grant recipients are responsible for the contractual implementation of the approved research project.
2. The grant recipients submit an interim report for the attention of the Directorate should the project's duration exceed 18 months. The interim report provides information on:
  - a. the most important results and findings as well as the next steps (milestones) and
  - b. how the funds allocated were used (Financial Report).
3. The interim reports must be submitted no later than half term from the start of the project.
4. A final report must be submitted no later than three months after completion of the research project.

### **Article 9. Administration and controlling**

1. The 3RCC Directorate is responsible for the support, administration and controlling of the approved research projects.
2. Significant changes to an approved research project must be reported to the 3RCC directorate, reviewed by the Scientific Advisory Board and approved by the 3RCC Strategic Board based on the recommendations made by the Scientific Advisory Board.

## **Chapter 5. Final provisions**

1. These 3RCC Funding Program grant regulations have been adopted by the 3RCC Strategic Board on 20 December 2019 and have come into force on the same day.
2. In case of doubt, the German text of these regulations shall prevail.