

3RCC Implementation Regulations

3Rs Doctorate Fellowship

Contents

1	Scope and Purpose	1
2	Definitions	2
3	Release of Funds and Start of Project.....	3
4	Use of Funds.....	4
5	Changes to the Project	5
6	Duties of the Doctorate Fellow.....	9
7	Duties of the Project Supervisor	10
8	Duties of the Host Institution	11
9	Reporting Requirements.....	14
10	Monitoring and Compliance	16
11	Project Results	16
12	Acknowledgment and Publication	17
13	Completion and Unspent Funds.....	18
14	Sanctions and Termination	20
15	Legal Framework	22

1 Scope and Purpose

1.1. Application

- a. These Implementation Regulations govern the administration and use of 3Rs Doctorate Fellowships awarded by the Swiss 3R Competence Centre (3RCC).
- b. These Implementation Regulations apply from the date of grant award through final reporting and closure.

- c. These Implementation Regulations are supplementary to the 3RCC Funding Regulations for the 3Rs Doctorate Programme and the individual Grant Agreement.

1.2. Purpose

- d. The purpose of these regulations is to:
 - i. Establish clear expectations for fellowship administration
 - ii. Define the responsibilities of all parties
 - iii. Ensure proper use and accountability of 3RCC funds
 - iv. Promote transparency and good scientific practice
 - v. Support the successful completion of doctoral training with a 3Rs focus
-

2 Definitions

- a. The following definitions apply to these regulations:
 - i. **Grant Agreement:** the legal agreement between the 3RCC, the Host Institution, and the Doctorate Fellow outlining the terms and conditions for fellowship funding
 - ii. **Project:** the entirety of the doctoral research activities described in the funding application in addition to any changes permitted under these regulations
 - iii. **Host Institution:** a recognised nonprofit research institution based in Switzerland where the Doctorate Fellow is employed and conducts the research. Recognised research institutions are the 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.
 - iv. **Academic Institution:** an accredited Swiss higher education institution where the Doctorate Fellow is enrolled for their PhD degree. The Academic Institution and Host Institution may be the same institution.
 - v. **Lead Applicant:** the person who submitted the funding application and who, upon award, becomes the Doctorate Fellow
 - vi. **Doctorate Fellow:** the PhD student who receives the fellowship and is directly responsible for conducting the Project activities

- vii. **Project Supervisor:** the person involved in the day-to-day supervision and management of the Doctorate Fellow and their research
 - viii. **Academic Supervisor:** the person accredited by the Academic Institution for oversight of the PhD project. The Project Supervisor and Academic Supervisor may be the same person.
 - ix. **Collaborator:** an individual listed on the funding application (including the Project Supervisor and Academic Supervisor if different) who contributes to the execution of the Project
 - x. **Milestones:** the specific points of the Project where Deliverables are set to be completed, as defined in the Grant Agreement, including PhD-specific milestones such as coursework completion, qualifying examinations, and thesis committee meetings
 - xi. **Deliverables:** can be the knowledge gained, services, methods, data, quantifiable goods or other outputs as described in the Grant Agreement, including the doctoral thesis
 - xii. **Grant Portal:** the 3RCC's online platform for grant management, through which applications, approvals, reporting, and other grant administration activities are submitted and processed.
-

3 Release of Funds and Start of Project

3.1. Revocation of funding

- a. The requirements for the fellowship will be checked prior to commencement of the Project.
- b. If, at this time, the requirements for the fellowship are no longer met, or the circumstances upon which the approval was based have changed significantly, the 3RCC may amend or revoke the approved fellowship including demanding partial or full repayment of any funds already paid.
- c. In the event that the 3RCC awards a fellowship for which it has not yet received federal funding, and subsequently fails to secure such funding, the 3RCC retains the right to immediately suspend all payments, cancel the Project, and terminate the Grant Agreement.

3.2. Conditions for fund release

- a. Funds will only be released once:
 - i. The Grant Agreement is fully signed by all parties

- ii. All ethical and legal approvals and authorisations necessary for the Project are obtained
- iii. The Data Management Plan has been submitted
- iv. All other conditions for release of funds as stipulated in the Grant Agreement and these Regulations are met.

3.3. Start of Project

- a. The Project start date is as defined in the Grant Agreement.
- b. Costs incurred from the Project start date as defined in the Grant Agreement are eligible under the fellowship, provided the Grant Agreement is subsequently fully signed by all parties. Costs incurred prior to the full execution of the Grant Agreement are at the sole risk of the Host Institution.
- c. All necessary approvals and arrangements required for the initial phase of the Project must be confirmed before commencement.
- d. The Host Institution must formally accept the fellowship award in writing within 30 calendar days of notification by the 3RCC. The Project must commence within one year of the date of formal acceptance. If acceptance is not received within the specified period, the 3RCC reserves the right to revoke the award.
- e. Upon request, the 3RCC may approve a postponement (see Section 5).

3.4. Payment processing

- a. Once the Grant Agreement is fully executed and all conditions are met, the Host Institution must submit an invoice to the 3RCC according to the payment schedule specified in the Grant Agreement.
 - b. The Host Institution must deposit the fellowship amount into a dedicated account established solely for the Doctorate Fellowship.
 - c. The approved fellowship amount is inclusive of any applicable Swiss and foreign tax obligations (including VAT and WHT).
-

4 Use of Funds

4.1. Permitted use

- a. The fellowship amount may be used only for:
 - i. The salary (including social contributions) of the Doctorate Fellow as employed by the Host Institution

- ii. Within the salary ranges and guidelines established by the Host Institution for doctoral students
- iii. Up to a maximum of CHF 70,000 per year as specified in the Funding Regulations.

4.2. Adherence to budget

- a. The fellowship amount is fixed for the salary (including social contributions) of the Doctorate Fellow.
- b. Adjustments to the salary amount may only be made if:
 - i. Institutional salary scales change during the Project period, or
 - ii. The employment percentage changes with prior approval from the 3RCC.

5 Changes to the Project

5.1. No notification required

- a. The following changes do not require notification to the 3RCC:
 - i. Adjustments to the research schedule that do not affect the overall duration of the Project
 - ii. Non-critical Milestone adjustments that do not affect primary outcomes, Deliverables, or PhD degree requirements. These should nevertheless be reported in the annual progress reports.
 - iii. Minor adjustments to coursework or PhD programme requirements as mandated by the Academic Institution.

5.2. Notification and written approval required

- a. The following changes require notification and prior written approval from the 3RCC:
 - i. Critical Milestone changes that affect primary outcomes, Deliverables, or PhD completion timeline
 - ii. Changes to Collaborators other than the Project Supervisor or Academic Supervisor
 - iii. Changes to the Academic Institution or doctoral programme enrollment
 - iv. Temporary suspension of the Project (e.g., due to parental leave, illness, required coursework, mandatory teaching duties)
 - v. Changes in employment percentage at the Host Institution.

- b. Approval requests must be submitted in writing with:
 - i. Description of the proposed change
 - ii. Brief justification
 - iii. Any budget implications
 - iv. Impact on Milestones, Deliverables, and PhD completion timeline.
- c. The 3RCC aims to respond to approval requests within 4 weeks.
- d. No changes requiring approval may be implemented prior to receiving such approval. Costs arising from changes implemented without prior approval may be deemed ineligible under the fellowship.

5.3. Amendment to the Grant Agreement required

- a. The following changes require an amendment to the Grant Agreement signed by all parties:
 - i. Change of Project Supervisor
 - ii. Change of Host Institution
 - iii. Project extensions (changes to the approved duration)
 - iv. Changes to the fellowship amount or salary structure.
- b. Amendment requests must be submitted in writing via the Grant Portal with:
 - i. Detailed description of the proposed change
 - ii. Rationale for the change
 - iii. Impact on Project objectives, Milestones, PhD completion, and timeline
 - iv. Budget implications.
- c. The 3RCC aims to review amendment requests and respond within 4 weeks.
- d. Amendments under 5.3(a)(i) to (iii) require a formal written amendment signed by an authorised representative of each Party.
- e. Amendments under 5.3(a)(iv) require written confirmation from the 3RCC and the Host Institution. Confirmation through the Grant Portal by the designated representatives of each Party is sufficient for this purpose.
- f. No changes requiring an amendment may be implemented prior to completing the amendment process. Costs arising from changes implemented without a completed amendment may be deemed ineligible under the fellowship.

5.4. Change of Project Supervisor

- a. A change of Project Supervisor requires:
 - i. An amendment to the Grant Agreement signed by all parties
 - ii. Review by the 3RCC
 - iii. Approval of the replacement Project Supervisor before the Project can continue.
- b. The proposed replacement Project Supervisor must:
 - i. Be qualified to supervise doctoral research
 - ii. Have the capacity and resources to support the Doctorate Fellow
 - iii. Be employed at the Host Institution or have a formal affiliation allowing supervision
- c. The 3RCC reserves the right to terminate the Grant Agreement if a suitable replacement Project Supervisor cannot be identified or approved within six (6) months.
- d. If the Project Supervisor leaves the Host Institution:
 - i. The Doctorate Fellow may transfer with the supervisor to a new eligible institution (see Section 5.6), or
 - ii. Identify a new Project Supervisor at the current Host Institution, or
 - iii. Terminate the fellowship and return unspent funds.

5.5. Unforeseen circumstances and force majeure

- a. Neither the Doctorate Fellow, Project Supervisor, Host Institution, nor 3RCC shall be liable for failure to perform obligations due to illness, events beyond reasonable control, or force majeure events.
- b. The affected Party must notify the other Party within 30 calendar days of the event.
- c. The 3RCC will work together in good faith with all Parties to identify appropriate solutions, which may include:
 - i. Postponement or suspension of the Project
 - ii. Modification of the Project scope or timeline
 - iii. Project cancellation with partial or full refund of the fellowship amount to the 3RCC.

5.6. Fellowship Portability

- a. The fellowship is awarded to the Doctorate Fellow. If the Doctorate Fellow and their Project Supervisor move to a new institution, the fellowship may be transferred to the new Host Institution, subject to the conditions in this section.
- b. Transfer of the fellowship requires:
 - i. A written request from the Doctorate Fellow explaining the reasons for the move and demonstrate that the Project and PhD can be successfully continued at the new institution
 - ii. Written support from the Project Supervisor
 - iii. Confirmation from the new Host Institution that it meets the eligibility requirements specified in the Funding Regulations and agrees to assume all obligations under the Grant Agreement and these Implementation Regulations
 - iv. Confirmation that the Doctorate Fellow can maintain their PhD enrollment at the current Academic Institution or transfer to an eligible Academic Institution
 - v. A written statement from the original Host Institution acknowledging the transfer
 - vi. Prior written approval from the 3RCC and the Host Institution's responsible official (not being the Doctorate Fellow) at least six (6) months in advance.
- c. Once the 3RCC and the Host Institution have approved the transfer of the fellowship to another institution, the original Host Institution must:
 - i. Submit an interim financial report as at the transfer date
 - ii. Transfer the remaining fellowship funds to the new Host Institution
 - iii. Take reasonable steps to transfer equipment and other assets purchased with fellowship funds or institutional contributions for the benefit of the Project.
- d. The 3RCC will evaluate transfer requests on a case-by-case basis, taking into account the feasibility of continuing the Project and PhD at the new institution and the potential impact on the Project objectives.
- e. The 3RCC may impose conditions on the transfer or decline the request if the transfer would fundamentally compromise the Project or PhD completion.
- f. The transfer will be formalised through an amendment to the Grant Agreement signed by all Parties, including the new Institution.

5.7. Notification of issues and incidents

- a. The Doctorate Fellow or Project Supervisor must notify the 3RCC immediately, and whenever possible at least 30 calendar days in advance, in writing (whereby notification by e-mail is considered sufficient) of the following:
 - i. Conflicts, breaches, or potential breaches of the Grant Agreement, these Implementation Regulations, or the Funding Regulations
 - ii. Significant difficulties in the supervisor-student relationship
 - iii. Any circumstances that may materially affect the Project's successful completion or PhD degree completion.
 - b. These notifications are subject to review at the sole discretion of the 3RCC. If the 3RCC determines that the Project is no longer aligned with the strategic goals and objectives of the 3RCC due to the reported issue, and no mutual agreement can be reached, the 3RCC reserves the right to terminate the Agreement.
-

6 Duties of the Doctorate Fellow

6.1. Conduct of the Project

- a. The Doctorate Fellow must:
 - i. Conduct the research diligently and in accordance with the Project as described in the Grant Agreement
 - ii. Comply with all applicable laws, ethical standards, and institutional regulations of the Host Institution and Academic Institution
 - iii. Deliver the Milestones and Deliverables according to the Grant Agreement
 - iv. Make satisfactory progress toward completion of the PhD degree.

6.2. Doctoral programme requirements

- a. The Doctorate Fellow must:
 - i. Remain enrolled in the doctoral programme at the Academic Institution for the duration of the fellowship
 - ii. Comply with all requirements of the doctoral programme including coursework, examinations, and thesis committee meetings
 - iii. Meet the academic standards required for continuation in the programme

- iv. Complete and defend the doctoral thesis in accordance with the requirements of the Academic Institution.

6.3. Employment requirements

- a. The Doctorate Fellow must:
 - i. Remain employed by the Host Institution as a doctoral student for the duration of the fellowship
 - ii. Comply with all employment terms and conditions established by the Host Institution
 - iii. Dedicate the agreed-upon percentage of time to the Project as specified in the Grant Agreement.

6.4. Standards and good scientific practice

- a. The Doctorate Fellow shall conduct the planned research with due care and according to the rules of good scientific practice established at the Host Institution and Academic Institution.
- b. The Doctorate Fellow shall comply with the principles applicable in their specific field of research, including all legal provisions and ethical requirements.

6.5. Ethical and legal approvals

- a. The Doctorate Fellow shall ensure that all ethical and legal approvals and authorisations necessary for the Project (e.g., licenses for animal testing, the use of embryonic stem cells, or for conducting clinical studies) are obtained and maintained at necessary stages of the Project according to the Milestones defined in the Grant Agreement.
 - b. Release of funds shall be contingent upon the Doctorate Fellow ensuring the availability of all required ethical and legal approvals and authorisations at the necessary stages of the Project according to the Milestones defined in the Grant Agreement.
-

7 Duties of the Project Supervisor

7.1. Supervision and mentorship

- a. The Project Supervisor must:
 - i. Provide regular supervision and guidance to the Doctorate Fellow

- ii. Support the Doctorate Fellow in conducting the research as described in the Grant Agreement
- iii. Ensure the Doctorate Fellow has access to necessary resources, facilities, and expertise.

7.2. Project oversight

- a. The Project Supervisor must:
 - i. Monitor progress toward Milestones and Deliverables
 - ii. Notify the 3RCC of any significant issues that may affect Project completion.

7.3. Reporting support

- a. The Project Supervisor must:
 - i. Support the Doctorate Fellow in preparing required reports to the 3RCC
 - ii. Review reports for accuracy and completeness
 - iii. Provide feedback to improve scientific communication.

7.4. Coordination with Academic Supervisor

- a. If the Project Supervisor and Academic Supervisor are different persons, the Project Supervisor must:
 - i. Coordinate with the Academic Supervisor regarding the Doctorate Fellow's progress
 - ii. Ensure alignment between the Project objectives and PhD degree requirements
-

8 Duties of the Host Institution

8.1. Institutional responsibility

- a. The Host Institution is responsible for administering the fellowship amount in accordance with:
 - i. These Implementation Regulations
 - ii. The Grant Agreement
 - iii. Applicable Swiss laws and institutional policies.

8.2. Employment

- a. The Host Institution must:
 - i. Employ the Doctorate Fellow as a doctoral student for the duration of the fellowship
 - ii. Provide an employment contract that complies with Swiss labour laws and institutional policies
 - iii. Ensure the salary complies with institutional guidelines for doctoral students
 - iv. Process payroll and social contributions in accordance with Swiss regulations.

8.3. Administrative and infrastructure support

- a. The Host Institution must:
 - i. Provide necessary administrative support to the Doctorate Fellow and Project Supervisor
 - ii. Administer the fellowship in accordance with these Implementation Regulations and the Grant Agreement
 - i. Provide the basic infrastructure and services committed to in the Letter of Support submitted during the application process as defined in the Funding Regulations
 - ii. Ensure that fellowship funds are used exclusively for the salary of the Doctorate Fellow. Indirect project costs are not eligible under the fellowship.

8.4. Financial management

- a. The Host Institution must:
 - i. Maintain clear financial records distinguishing the fellowship amount from other institutional funds
 - ii. Maintain accurate financial records of all fellowship expenditures
 - iii. Ensure expenditures comply with the approved purpose (Doctorate Fellow salary only)
 - iv. Retain all supporting documentation (payroll records, employment contracts, social contribution receipts) for at least 10 years following Project completion

- v. Make documentation, including financial records and source documentation, available to the 3RCC upon reasonable request.
- b. Standard institutional accounting practices apply, provided they meet or exceed the requirements specified in these regulations.
- c. The separate account established for fellowship administration must be closed within three months of Grant Closure (section 13.5).

8.5. Grant administration contact

- a. The Host Institution must designate a contact person responsible for fellowship administration matters.
- b. This contact person serves as the primary liaison with the 3RCC for administrative and financial questions.

8.6. Insurance and liability

- a. The Host Institution must maintain adequate liability insurance covering all activities conducted under the Grant Agreement.
- b. The Host Institution hereby confirms that it shall procure and maintain adequate coverage for employers' liability and professional liability for all its activities under this Agreement. The Host Institution assumes all liability arising from or related to the Project conducted under the Grant Agreement. The Host Institution agrees to indemnify, defend, and hold harmless the 3RCC, its officers, directors, employees, and agents from and against any and all claims, damages, losses, liabilities, costs, and expenses (including reasonable attorney's fees) arising out of or in connection with the Project, except to the extent directly caused by the 3RCC. The liability of 3RCC to the Host Institution in connection of this agreement is limited to gross negligence or willful misconduct.
- c. Evidence of insurance coverage must be provided to the 3RCC upon request.

8.7. Monitoring of salaries and employment conditions

- a. The Host Institution must ensure compliance with the provisions established at the Host Institution in respect of salaries, employment conditions, and social security contributions for the Doctorate Fellow.

8.8. Support for Host Institution contributions

- a. The Host Institution confirms its commitment to provide all costs identified as ineligible in Section 4.3, including but not limited to:
 - i. Infrastructure and overhead
 - ii. Equipment and consumables

- iii. Travel and conference attendance
 - iv. Publication costs
 - v. Animal costs (if applicable).
-

9 Reporting Requirements

9.1. Data Management Plan

- a. A Data Management Plan must be submitted prior to the release of funds according to the template document provided by the Swiss 3RCC.
- b. The Data Management Plan should describe how research data will be managed, stored, and shared during and after the Project.

9.2. Annual reporting

- a. Annual progress reports (scientific and financial) must be submitted by the Doctorate Fellow through the 3RCC Grant Portal.
- b. The reporting schedule will be specified in the Grant Agreement.
- c. Failure to submit reports by the deadline may result in sanctions as specified in Section 14.

9.3. Progress report

- a. The progress report must include:
 - i. Description of the research activities conducted during the reporting period
 - ii. Progress towards Milestones and Deliverables
 - iii. Progress towards PhD degree requirements (coursework, examinations, thesis committee meetings)
 - iv. Results and findings
 - v. Expected or realised 3Rs impact
 - vi. Challenges encountered and how they were addressed
 - vii. Plans for the next reporting period
 - viii. Current status of PhD enrollment and academic standing.
- b. A template for the progress report is provided by the Swiss 3RCC.

- c. The Project Supervisor should review the report for accuracy before submission.

9.4. Financial report

- a. The financial report must include:
 - i. Confirmation of salary payments made to the Doctorate Fellow during the reporting period
 - ii. Breakdown of salary and social contributions
- b. A financial statement issued or certified by the Host Institution's finance department, confirming expenditure and the closing balance of the fellowship account. The 3RCC may, if reasonably necessary and appropriate, request payroll records or other supporting documentation at any time within 10 years of Project completion.

9.5. Final reports

- a. Final scientific and financial reports must be submitted within three months of the Grant Agreement expiry date.
- b. The final scientific report must be completed using the template on the grant platform and includes:
 - i. Comprehensive description of all research activities conducted
 - ii. Achievement of Milestones and Deliverables
 - iii. Overall results and conclusions
 - iv. Realised 3Rs impact
 - v. Publications and dissemination activities
 - vi. Status of PhD completion, including:
 - Thesis submission date (actual or expected)
 - Defense date (actual or expected)
 - Degree conferral date (actual or expected)
 - If completed, title and abstract of the doctoral thesis
 - Plans for research or methods developed.
- c. The final financial report must include:
 - i. Complete breakdown of all salary expenditures
 - ii. The closing balance.

9.6. Incomplete or inadequate reports

- a. If submitted reports are incomplete or inadequate, the 3RCC will notify the Doctorate Fellow and Project Supervisor.
 - b. A deadline of one month will be provided to submit revised or supplementary information.
 - c. Failure to submit adequate reports may result in sanctions as specified in Section 14.
-

10 Monitoring and Compliance

10.1. Monitoring activities

- a. The 3RCC may conduct monitoring activities including:
 - i. Review of financial and scientific reports
 - ii. Requests for additional information or documentation
 - iii. Site visits or interviews with the Doctorate Fellow and Project Supervisor (in exceptional cases)
 - iv. Follow-up surveys on implementation and impact
-

11 Project Results

11.1. Financial benefits

- a. Output, products, or prototypes developed with fellowship funds must not be used to generate commercial revenue during the duration of the Project.

11.2. Rights to Project results

- a. The rights to results gained during research work funded by the 3RCC are owned by the Doctorate Fellow and/or the Host Institution in accordance with the Host Institution's internal rules on ownership and protection of intellectual property.
 - b. The doctoral thesis remains the intellectual work of the Doctorate Fellow, subject to the policies of the Academic Institution.
-

12 Acknowledgment and Publication

12.1. Open access to publications

- a. All peer-reviewed scientific publications resulting from the Project must be made openly accessible.
- b. At the time of publication, the Doctorate Fellow must ensure that a machine-readable electronic copy of either the published version, or the final peer-reviewed manuscript accepted for publication is deposited in a publicly available repository.
- c. Publications must be made available under a Creative Commons Attribution (CC BY) license, or equivalent, permitting unrestricted reuse, redistribution, and adaptation, provided proper attribution is given.
- d. For monographs, books, and book chapters, an embargo period of a maximum of twelve months is permitted. For pre-registration articles an embargo period of maximum 24 months is permitted. For journal articles with research data, immediate open access is required.
- e. The doctoral thesis must be made available according to the requirements of the Academic Institution and should, where possible, be deposited in an open access repository.
- f. Metadata of deposited publications must be open and include:
 - i. Author(s), title, date of publication, and publication venue
 - ii. 3RCC funding acknowledgment with fellowship ID
 - iii. Licensing terms
 - iv. Persistent identifiers (e.g., DOI).

12.2. Open Research Data

- a. The Doctorate Fellow is expected to make research data underlying publications publicly accessible on a repository complying with the FAIR Data Principles (Findable, Accessible, Interoperable, Reusable), unless there are legitimate restrictions of legal, ethical, confidentiality, or intellectual property nature.
- b. Data should be made available as soon as the related publication is available, following the principle of “as open as possible, as closed as necessary.”
- c. The Data Management Plan (see Section 9.1) must describe how research data will be managed, stored, and shared during and after the Project, including any restrictions on data sharing.

- d. The final report must include an updated Data Management Plan describing the final disposition of research data and confirming deposit in appropriate repositories.

12.3. Acknowledgment requirement

- a. The 3RCC must be acknowledged in any publications, presentations, doctoral thesis, or other dissemination materials that result directly from the research activities funded by the fellowship.
- b. The following acknowledgment text must be used:

"This work was supported by a 3Rs Doctorate Fellowship from the Swiss 3R Competence Centre (3RCC)[Fellowship ID: DP-YYYY-XXX]."

- c. The Host Institution must inform the 3RCC of any publications that result directly from research activities funded by the fellowship.

12.4. Publicity and communication

- a. The 3RCC may publicise funded Doctorate Fellowships through:
 - i. Website announcements
 - ii. Annual reports
 - iii. Social media
 - iv. Other communication channels.
 - b. The Doctorate Fellow and Host Institution consent to such publicity unless, at the time of notification of a successful fellowship award, they notify the 3RCC of objections in writing.
 - c. The Doctorate Fellow may be invited to contribute to 3RCC communication activities (blog posts, interviews, case studies) on a voluntary basis.
-

13 Completion and Unspent Funds

13.1. Project completion

- a. The Project is considered complete at the deadline of the final report (three months after the fellowship end date).
- b. Completion of the Project does not require completion of the PhD degree, although the final report must include information on thesis completion status.

13.2. Unspent funds and debit balance

- a. All unspent funds must be reported in the final financial report.
- b. Unspent funds of greater than CHF 50 must be returned to the 3RCC.
- c. The 3RCC will provide banking details or, upon request, invoice the Host Institution for the unspent amount.
- d. The Host Institution is responsible for settlement of any debit balance.

13.3. Early completion

- a. If the Doctorate Fellow completes their PhD degree before the end of the fellowship period:
 - i. The fellowship may continue until the original end date if the Doctorate Fellow continues employment at the Host Institution and pursues relevant 3Rs research activities
 - ii. The Doctorate Fellow may request early termination and submit final reports
 - iii. Any decision to continue or terminate early must be made in consultation with the Project Supervisor and with approval from the 3RCC.

13.4. Unused fellowship

- a. If the doctoral research cannot be conducted and the fellowship will not be used, the Host Institution must:
 - i. Notify the 3RCC immediately in writing
 - ii. Return all funds within one month
 - iii. Provide a brief explanation of the circumstances.

13.5. Grant closure

- a. The fellowship is formally closed when:
 - i. Final reports have been submitted, reviewed and approved
 - ii. Any required unspent funds have been returned
 - iii. All outstanding issues have been resolved.
- b. The 3RCC will issue a written confirmation of fellowship closure.

14 Sanctions and Termination

14.1. Grounds for sanctions

- a. The 3RCC may impose sanctions in cases of significant:
 - i. Failure to comply with these Implementation Regulations
 - ii. Failure to comply with the Funding Regulations
 - iii. Breach of the Grant Agreement
 - iv. Misuse of the fellowship amount
 - v. Scientific misconduct
 - vi. Failure to submit required reports within specified deadlines
 - vii. Provision of false or misleading information
 - viii. Failure to maintain enrollment in the doctoral programme
 - ix. Failure to maintain employment at the Host Institution
 - x. Unsatisfactory progress toward the PhD degree without acceptable justification.

14.2. Types of sanctions

- a. Sanctions may include:
 - i. Written warning
 - ii. Requirement to return the fellowship amount (partial or full)
 - iii. Suspension of fellowship payments
 - iv. Termination of the Grant Agreement with immediate effect
 - v. Exclusion from future 3RCC funding opportunities.

14.3. Procedure

- a. Before imposing sanctions according to 14.2 (a), the 3RCC will:
 - i. Notify the Doctorate Fellow, Project Supervisor, and Host Institution in writing of the alleged breach
 - ii. Provide an opportunity to respond in a period determined by the 3RCC
 - iii. Consider all explanations and evidence provided.

- b. The 3RCC will issue a written decision explaining:
 - i. The findings
 - ii. The sanctions imposed, if any
 - iii. The basis for the decision
 - iv. Any remedial actions required.

14.4. Immediate termination

- a. In cases of a serious breach of the Grant Agreement, these Implementation Regulations or the Funding Regulations, serious misconduct, fraud, or illegal activities, the 3RCC may immediately:
 - i. Terminate the Grant Agreement with immediate effect without prior warning and without observing the procedure according to 14.3
 - ii. Demand immediate return of the full fellowship amount, insofar as it has not been used in accordance with the Grant Agreement, including appendices, these Implementation Regulations or the Funding Regulations
 - iii. Suspend any fellowship payments
 - iv. Claim damages
 - v. Report the matter to appropriate authorities, including the Academic Institution.

14.5. Termination due to withdrawal from doctoral programme

- a. If the Doctorate Fellow withdraws from or is dismissed from the doctoral programme at the Academic Institution:
 - i. The fellowship is automatically terminated
 - ii. The Doctorate Fellow and Host Institution must notify the 3RCC immediately
 - iii. Final reports must be submitted within one month
 - iv. Unspent funds must be returned within one month.

14.6. Termination upon update of regulations

- a. On update of these Implementation Regulations or the Funding Regulations, the 3RCC will notify the Host Institution and Doctorate Fellow of the update.
- b. The Host Institution and Doctorate Fellow will have 30 calendar days from receipt of the notification to lodge any objection to the update.

- c. If no mutual agreement can be reached within a further 30 calendar days to resolve the situation, either the 3RCC or the Host Institution reserve the right to terminate the Agreement.
-

15 Legal Framework

15.1. Governing law

- a. These Regulations are governed by the substantive laws of Switzerland.
- b. The exclusive place of jurisdiction is Bern, Switzerland.

15.2. Grant Agreement structure

- a. The individual Grant Agreement is executed by three parties:
 - i. The Swiss 3R Competence Centre (3RCC)
 - ii. An authorised signatory of the Host Institution
 - iii. The Doctorate Fellow.
- b. The signatory for the Host Institution cannot be the same person as the Doctorate Fellow.
- c. All parties must sign the Grant Agreement before the fellowship amount is released.
- d. The Grant Agreement specifies the fellowship-specific details including fellowship amount, Project duration, Milestones and Deliverables.

15.3. Relationship with other documents

- a. In case of conflicts between documents, the following order of precedence applies:
 - i. The individual Grant Agreement
 - ii. The Appendices to the individual Grant Agreement
 - iii. These Implementation Regulations
 - iv. The Funding Regulations for 3Rs Doctorate Programme

15.4. Language

- a. The authoritative language for all 3RCC regulations and pertaining agreements is English.
- b. In case of discrepancies between language versions, the English version prevails.

15.5. Amendments

- a. The 3RCC may amend these Implementation Regulations at any time.
- b. Amendments apply to:
 - i. All new fellowships awarded after the effective date of the amendment
 - ii. Existing fellowships, where the changes do not materially disadvantage the Doctorate Fellow or the Host Institution and any objections by the relevant Host Institution have been resolved.
- c. The Doctorate Fellow and Host Institution will be notified of any amendments affecting existing fellowships.

15.6. Severability

- a. If any provision of these regulations is found to be invalid or unenforceable, the remaining provisions remain in full force and effect.
- b. Invalid provisions will be replaced with valid provisions that most closely achieve the intended purpose.

15.7. Data protection

- a. Personal data collected in connection with 3Rs Doctorate Fellowships is processed in accordance with Swiss data protection laws.
- b. Data is used solely for purposes of fellowship administration, monitoring, evaluation, and communication about 3RCC activities.
- c. The Host Institution and any individual has the right to access and correct their personal data held by the 3RCC.

15.8. Effective date

- a. These Implementation Regulations enter into force on the 1st of February 2026.
- b. They apply to all 3Rs Doctorate Fellowships with agreements completed on or after the effective date.
- c. Fellowships awarded before the effective date will be notified of these Implementation Regulations and invited to confirm acceptance. If no objection is received within 30 calendar days of notification, the Host Institution and Doctorate Fellow are deemed to have accepted these Implementation Regulations, which shall apply to the fellowship from that date forward.

End of document