

# 3RCC Implementation Regulations

## Knowledge Transfer Grants

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## 1 Scope and Purpose

### 1.1 Application

- a. These Implementation Regulations govern the administration and use of Knowledge Transfer Grants 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 Knowledge Transfer Grants and the individual Grant Agreement between the 3RCC, the Home Institution, and the Grant Recipient.

### 1.2 Purpose

- a. The purpose of these regulations is to:

- i. Establish clear expectations for grant administration
- ii. Define the responsibilities of all parties
- iii. Ensure proper use and accountability of 3RCC funds
- iv. Promote transparency and good scientific practice

## 2 Definitions

### 2.1 Definitions

- a. The following definitions apply to these regulations:
  - i. **Grant Agreement:** the legal agreement between the 3RCC and the Grant Recipient outlining the terms and conditions for grant funding
  - ii. **Project:** the tasks and activities as described in the funding application in addition to any changes as permitted under these regulations
  - iii. **Budget:** the budget as submitted in the funding application in addition to any changes as permitted under these regulations
  - iv. **Home Institution:** The Swiss research institution, university, or organization where the Grant Recipient is employed or affiliated, and which administers the Grant on behalf of the Grant Recipient
  - v. **Expert Institution:** the institution (Swiss or international) where the specific 3Rs technique, method, or technology is established and operational
  - vi. **Expert:** The researcher or specialist affiliated with the Expert Institution who possesses expertise in the technique, method, or technology being transferred, and who provides training or guidance to the Grant Recipient during the knowledge transfer visit.

## 3 Release of Funds and Start of Project

### 3.1 Revocation of funding

- a. The requirements for the grant will be checked prior to commencement of the project
- b. If, at this time, the requirements for the grant are no longer met, or the circumstances upon which the approval was based have changed significantly, the 3RCC may amend or revoke the approved grant including demanding partial or full repayment of any funds already paid

## 3.2 Conditions for fund release

- a. Funds will only be released once:
  - i. The Grant Agreement is fully signed
  - ii. All ethical and legal approvals and authorisations necessary for the Project are obtained
  - iii. All other conditions for release of funds are met.

## 3.3 Start of Project

- a. The Project may commence only after:
  - i. The Grant Agreement is fully executed
  - ii. All necessary approvals and arrangements with the Expert Institution are confirmed.
- b. The Project must commence within one year of the grant award notification, unless an extension is approved by the 3RCC.
- c. Upon request, the 3RCC may approve a postponement (see Section 5).

## 3.4 Payment processing

- a. Once the Grant Agreement is fully executed, the Home Institution must submit an invoice to the 3RCC for the full approved grant amount.
- b. The Home Institution must deposit the grant amount into either:
  - i. A dedicated account established solely for the Knowledge Transfer Grant, or
  - ii. An existing account with the ability to track Knowledge Transfer transactions separately to other transactions.

# 4 Use of Funds

## 4.1 Permitted use

- a. The grant amount may be used only for:
  - i. Cost categories approved in the Grant Agreement budget
  - ii. Purposes aligned with the objectives stated in the funded application.

## 4.2 Adherence to budget

- a. Budget reallocations exceeding CHF 500 of any category require written approval from the 3RCC in advance.
- b. Budget reallocations under CHF 500 are permitted, provided:
  - i. The total approved grant amount is not exceeded; and
  - ii. The reallocation is not because of a change listed in 5.1 (a) or 5.2 (a); and
  - iii. All expenses remain within eligible cost categories according to the Budget.

## 4.3 Ineligible expenditures

- a. The following expenditures are prohibited:
  - i. Any costs not specified as eligible in the Funding Regulations
  - ii. Expenses not directly related to the Project
  - iii. Commercial activities or profit-generating purposes
  - iv. Costs already covered by other funding sources.

# 5 Changes to the Project

## 5.1 No notification required

- a. The following changes do not require notification to the 3RCC:
  - i. Travel route or booking changes (within the same budget category)
  - ii. Visit date adjustments less than 3 months of planned dates
  - iii. Changes to visit duration of less than one week
  - iv. Changes to accommodation type or location
  - v. Modifications to the daily training schedule at the Expert Institution
  - vi. Budget reallocations under CHF 500 according to 4.2 (b).

## 5.2 Notification and written approval

- a. The following changes require notification and prior approval from the 3RCC:
  - i. Visit date changes more than 3 months from planned dates
  - ii. Budget reallocations above CHF 500 of any category

- iii. Changes to planned training activities that do not alter the core technique/method
  - iv. Changes to visit duration exceeding one week
  - v. Changes to the total grant amount
  - vi. Splitting a planned single visit into multiple visits or vice versa.
- b. Approval requests must be submitted in writing with:
- i. Description of the proposed change
  - ii. Brief justification
  - iii. Any budget implications.
- c. The 3RCC will respond to approval requests within 2 weeks.
- d. No requests requiring approval may be implemented until approval is received.

### 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 Expert Institution
  - ii. Change of Expert
  - iii. Change of Home Institution
  - iv. Substantial modification to the scientific methodology (i.e. technique, method, or technology) being transferred.
- b. Amendment requests must be submitted in writing via the Grant Portal with:
- i. Detailed description of the proposed change
  - ii. Justification for the change
  - iii. Impact on visit objectives and timeline
  - iv. Complete budget implications.
- c. The 3RCC will review amendment requests and respond within 2 weeks.
- d. If approved, a written amendment will be prepared and must be signed by all parties to the Grant Agreement before implementation.

- e. Changes requiring an amendment to the Grant Agreement may not be implemented until the signed amendment is fully executed by all parties.

## 5.4 Unforeseen circumstances and force majeure

- a. Neither the Grant Recipient, Home Institution, nor 3RCC shall be liable for failure to perform obligations due to illness, travel disruptions, events beyond reasonable control or force majeure events.
- b. The affected party must notify the 3RCC immediately upon occurrence of events defined in 5.4 (a).
- a. The 3RCC will work together in good faith with all parties to identify appropriate solutions, which may include:
  - i. Postponement of the visit
  - ii. Modification of the visit structure
  - iii. Visit cancellation with partial or full refund of the grant amount to the 3RCC.

## 6 Duties of the Grant Recipient

### 6.1 Conduct of the visit

- a. The Grant Recipient must:
  - i. Conduct the knowledge transfer visit diligently and in accordance with the Project.
  - ii. Comply with all applicable laws, ethical standards, and institutional regulations of both the Home Institution and Expert Institution.

### 6.2 Confidentiality

- a. The Grant Recipient must respect the confidentiality of any proprietary methods, unpublished data, or sensitive information encountered at the Expert Institution.

## 7 Duties of the Home Institution

### 7.1 Institutional responsibility

- a. The Home Institution is responsible for administering the grant amount in accordance with:
  - i. These Implementation Regulations
  - ii. The Grant Agreement

- iii. The Budget
- iv. Applicable Swiss laws and institutional policies.

## 7.2 Administrative and overhead support

- a. The Home Institution must:
  - i. Provide necessary administrative support to the Grant Recipient
  - ii. Administer the grant amount in accordance with these Implementation Regulations and the Grant Agreement
  - iii. Provide all services and infrastructure (overhead) necessary for successful completion of the Project.

## 7.3 Financial management

- a. The Home Institution must:
  - a. Maintain clear financial records distinguishing the grant amount from other institutional funds
  - b. Maintain accurate financial records of all grant expenditures
  - c. Ensure expenditures comply with the approved budget and eligible cost categories
  - d. Retain all supporting documentation (receipts, invoices, contracts) for at least 10 years following visit completion
  - e. Make documentation, including financial records and source documentation available to the 3RCC upon request.
- b. Standard institutional accounting practices apply, provided they meet or exceed the requirements specified in these regulations.
- c. If a separate account was established for funds administration of the grant amount, it must be closed within three months of the end of the Project.

## 7.4 Grant administration contact

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

## 7.5 Insurance, liability

- a. The Home 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 wilful misconduct.
- c. Evidence of insurance coverage must be provided to the 3RCC upon request.

## 8 Reporting Requirements

### 8.1 Reporting deadline

- a. Both scientific and financial reports must be submitted within three months of completing the visit.
- b. Reports are submitted through the 3RCC Grant Portal.
- c. Failure to submit reports by the deadline may result in sanctions as specified in section 12.

### 8.2 Scientific report

- a. The scientific report must include:
  - i. Description of the knowledge transfer activities conducted
  - ii. Skills and knowledge acquired
  - iii. Implementation status or plan at the Home Institution
  - iv. Expected or realized 3Rs impact
  - v. Challenges encountered and how they were addressed
  - vi. Feedback on the Knowledge Transfer Grant program.
- b. A template for the scientific report is provided to the Grant Recipient upon award.

## 8.3 Financial report

- a. The financial report must include:
  - i. A breakdown of all expenditures by budget category
  - ii. Explanation of any deviations from the approved budget exceeding CHF500.
- b. The 3RCC may request receipts, invoices, or other supporting documentation at any time within 10 years of visit completion.

## 8.4 Incomplete or inadequate reports

- a. If submitted reports are incomplete or inadequate, the 3RCC will notify the Grant Recipient and Home Institution.
- 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 13.

# 9 Monitoring and Compliance

## 9.1 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 Grant Recipient (in exceptional cases)
  - iv. Follow-up surveys on implementation and impact.

# 10 Project Results

## 10.1 Intellectual property

- a. Knowledge and skills acquired during the Project remain with the Grant Recipient and Home Institution.
- b. No intellectual property rights are transferred to the 3RCC through the Knowledge Transfer Grant.
- c. It is the responsibility of the Home Institution and the Grant Recipient to agree on the allocation of intellectual property created using knowledge acquired at the Home Institution.

## 10.2 Financial benefits

- a. The Project results must not create any direct financial benefits during the Project for any involved parties.

## 10.3 Rights to Project results

- a. The rights to results gained during work funded by the 3RCC are owned by the Grant Recipient and/or the Host Institution in accordance with the policy of the Host Institution.

# 11 Acknowledgment and Publication

## 11.1 Acknowledgment requirement

- a. The 3RCC must be acknowledged in any publications, presentations, or other dissemination materials that result from the knowledge or techniques acquired during the funded visit.
- b. The following acknowledgment text must be used:  
  
*“This work was supported by a Knowledge Transfer Grant from the Swiss 3R Competence Centre (3RCC) [Grant ID: KT-YYYY-XXX].”*
- c. The Grant Recipient is encouraged to inform the 3RCC of such publications for impact tracking purposes.

## 11.2 Publicity and communication

- a. The 3RCC may publicise funded Knowledge Transfer Grants through:
  - i. Website announcements
  - ii. Annual reports
  - iii. Social media
  - iv. Other communication channels.
- b. The Grant Recipient and Home Institution consent to such publicity unless, at the time of notification of a successful grant application, they notify the 3RCC of objections in writing.

- c. The Grant Recipient may be invited to contribute to 3RCC communication activities (blog posts, interviews, case studies) on a voluntary basis.

## 12 Completion and Unspent Funds

### 12.1 Project completion

- a. The Project is considered complete when:
  - i. All planned training activities have been conducted; and
  - ii. The Grant Recipient has returned to the Home Institution; and
  - iii. All approved expenditures have been made.

### 12.2 Unspent funds

- a. Unspent funds of greater than CHF 50 must be returned to the 3RCC.
- b. The amount to be returned must be clearly indicated in the financial report.
- c. Upon formal acceptance of the scientific and financial reports, the 3RCC will provide banking details or, upon request, invoice the Home Institution for any unspent amounts.

### 12.3 Unused grant

- a. If the approved visit cannot be conducted and the grant will not be used, the Grant Recipient and Home Institution must:
  - i. Notify the 3RCC immediately in writing
  - ii. Return all funds within one month
  - iii. Provide a brief explanation of the circumstances.

### 12.4 Grant closure

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

## 13 Sanctions and Termination

### 13.1 Grounds for sanctions

- a. The 3RCC may impose sanctions in cases of:
  - 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 grant amount
  - v. Scientific misconduct
  - vi. Failure to submit required reports within specified deadlines
  - vii. Provision of false or misleading information.

### 13.2 Types of sanctions

- a. Sanctions may include:
  - i. Written warning
  - ii. Requirement to return the grant amount (partial or full)
  - iii. Suspension of grant payments (if applicable to extended visits with milestone payments)
  - iv. Termination of the Grant Agreement with immediate effect
  - v. Exclusion from future 3RCC funding opportunities
  - vi. Notification to other funding organizations or relevant authorities.

### 13.3 Procedure

- a. Before imposing sanctions according to 13.2 (a), the 3RCC will:
  - i. Notify the Grant Recipient and Home Institution in writing of the alleged breach
  - ii. Provide an opportunity to respond in a time 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.

## 13.4 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 13.3
  - ii. Demand immediate return of the full grant 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 grant payments
  - iv. Claim damages
  - v. Report the matter to appropriate authorities.

## 13.5 Voluntary withdrawal

- a. The Grant Recipient may voluntarily withdraw from the grant by:
  - i. Notifying the 3RCC in writing
  - ii. Providing justification for withdrawal
  - iii. Returning unspent grant amount within one month.
- b. Voluntary withdrawal does not automatically preclude future applications, unless circumstances suggest misconduct.

# 14 Legal Framework

## 14.1 Governing law

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

## 14.2 Grant Agreement structure

- a. The individual Grant Agreement is executed by three parties:

- i. The Swiss 3R Competence Centre (3RCC)
  - ii. The Home Institution
  - iii. The Grant Recipient.
- b. All parties must sign the Grant Agreement before the grant amount is released.
- c. The Grant Agreement specifies the project-specific details including grant amount, visit dates, Expert Institution, specific technique/method, and approved budget.

### 14.3 Relationship to 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 (url)
  - iv. The Funding Regulations for Knowledge Transfer Grants (url)
  - v. The specific terms of the funding call.

### 14.4 Language

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

### 14.5 Amendments

- a. The 3RCC may amend these Implementation Regulations at any time.
- b. Amendments apply to:
  - i. All new grants awarded after the effective date of the amendment
  - ii. Existing grants, where the changes do not materially disadvantage the Grant Recipient or the Home Institution.
- c. The Grant Recipient and Home Institution will be notified of any amendments affecting existing grants.

### 14.6 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.

## 14.7 Data protection

- a. Personal data collected in connection with Knowledge Transfer Grants is processed in accordance with Swiss data protection laws.
- b. Data is used solely for purposes of grant administration, monitoring, evaluation, and communication about 3RCC activities.
- c. The Grant Recipient has the right to access and correct their personal data held by the 3RCC.

## 14.8 Effective date

- a. These Implementation Regulations enter into force on the 6<sup>th</sup> of November, 2025.
- b. They apply to all Knowledge Transfer Grants awarded on or after the effective date.
- c. Grants awarded before the effective date remain governed by the regulations in force at the time of award, unless otherwise specified.

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