

Research Collaboration between US and European Institutions

Case Studies Research Management

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Zurich: Home of two leading Universities



	University of Zurich	ETH Zurich
Founded	1833	1855
Ranking (THE QS Shanghai)	103 57 56	13 12 19
Nobel Prize Laureates	12	21
Enrollments	25'634	18'616
Staff	6098 (4014)	8143 (5065) 2

Greater Zurich Area: Company innovation hub



- ICT: Google, IBM Research, Disney Research, Evernote, UBER
- LifeScience: Biogen Idec, Roche Diagnostics, Hamilton, Phonak
- High-Tech: ABB, Axpo, Givaudan, Bosch PT, Ruag Aerospace
- Head-Quarters: Barry Calebaut, DoW Chemical, Unilever, Garmin
- Spin-off 2014: ETH Zürich 22, UZH 12



Our Office: EU GrantsAccess







- Office for International Research Programs
- A joint office of the University of Zurich and ETH Zürich since 1997
- 19 Collaborators
- Member of the Swiss National Network for EU Framework Programs EURESEARCH
- Member of the Euraxess Network
- Active in LERU, IARU, EARMA, NCURA

Trying to understand the complex US

funding schemes and rules

- NIH (NSF) Mainawards
- NIH (NSF) Subawards
- Department of Defense
- Department of Energy
- Office of Naval Research
- NASA
- USGS
- USDA
- IARPA
- AFOSR
- •
- Foundations





Federal Funds in Zurich

	Universität Zürich	ETH Zürich
NIH	3 main, 8 subs (1.4 Mio \$/y)	5 subs (0.5 Mio \$/y)
Other federal funds (grants)	_	0.6 Mio \$/y
Federally funded contracts	_	2 Mio. \$/y
FP7	234 / 145 Mio € (21 Mio €/y)	558 / 359 Mio € (51 Mio €/y)

European funding vs. US funding



	EU Projects (FP6, FP7, H2020)	US Projects (NIH, NSF)
Long tradition	\checkmark	×
Critical Mass of Project Participation	√	×
National Support Network	√	×
Contacts with the Funding Agency	\checkmark	×
Contacts with other GrantsOffices dealing this type of funding	√	\checkmark
Cultural «Proximity»		X
		COM

Trying to understand the complex US funding schemes and rules



- Read the documentation (GPS, Uniform Guidance, NoA...)
- Visit workshops and conferences

NCURA PRA / FRA (http://www.ncura.edu/Education/MeetingsConferences.aspx)

NCURA International Region Meeting

EARMA Conference (http://www.earma.org)

INORMS (http://www.inorms2016.org)

- Webinars (http://www.ncura.edu/Education/OnlineEducation/Webinars.aspx)
- Tutorials (http://www.ncura.edu/Education/OnlineEducation/Tutorials.aspx)
- Talk to your grants specialist / manager
- Build your network!!
- Best Practice Exchanges
- Apply for a NCURA Fellowship and be a NCURA Host



Registration in US Systems

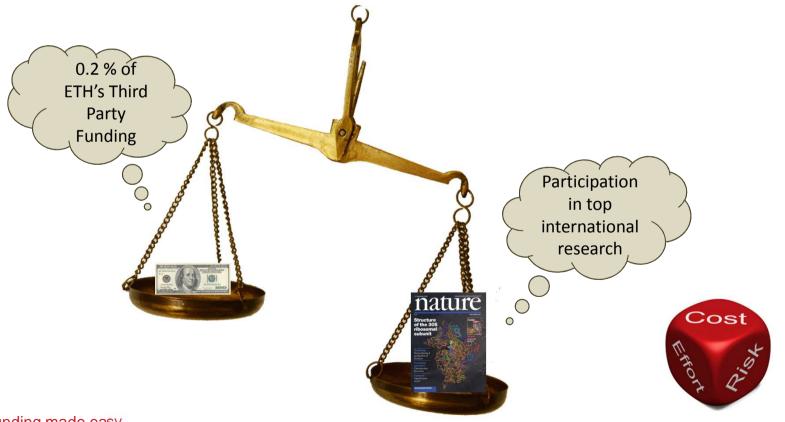


Registration of ETH Zürich and University of Zurich in US different systems		
DUNS	Proposal Central	
NCAGE	Federal Helpdesk	
CCR / SAM	Department of Defense	
eRA commons	ebrap	
NSF	NASA	
Federal Wide Assurance (FWA)	Office of Research Integrity (ORI)	
Institutional Review Board (IRB)	Animal Welfare	
Grants.gov	Federal Demonstration Partnership	
PMS	COMPLIANG	

Weighting the pros and cons of US Federal Funding



Convince the board of your institution of the importance of US Grants and Compliance with US Regulations



Basis of Compliance: Institutional Policies eu grants



«Participation in NIH funded projects provides me the unique opportunity to participate in cutting-edge and research with my peers in the US.»



«My NIH Grant is an excellent arrangement that it allows us to participate at the highest international level with other research teams working in this area.»

Basis of Compliance: Institutional Policies eu grants



 Regulations on Financial Conflict of Interest in Projects Receiving Research Funds from the American National Institute of Health at the University of Zurich (Regulations NIH)

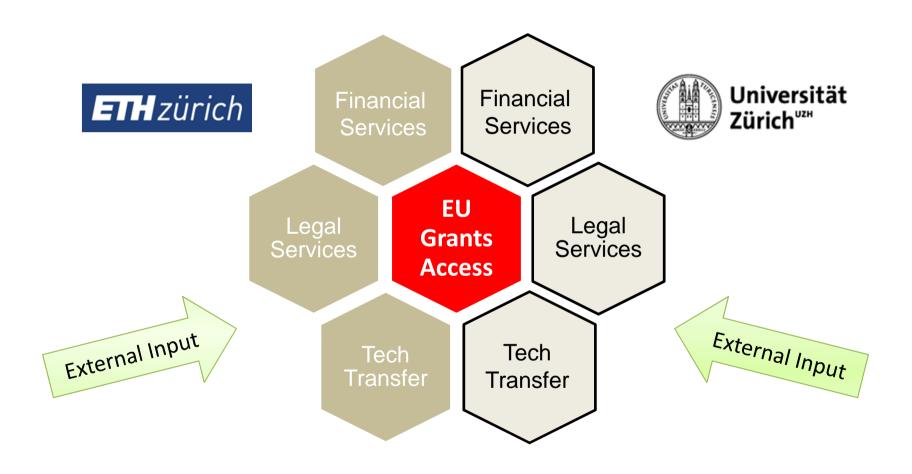
http://grantsaccess.ethz.ch/en/servicesupport/legal/nih-regulations-uzh/



 Regulations on Projects from ETH Zürich Receiving Research Funds from US Funding Agencies

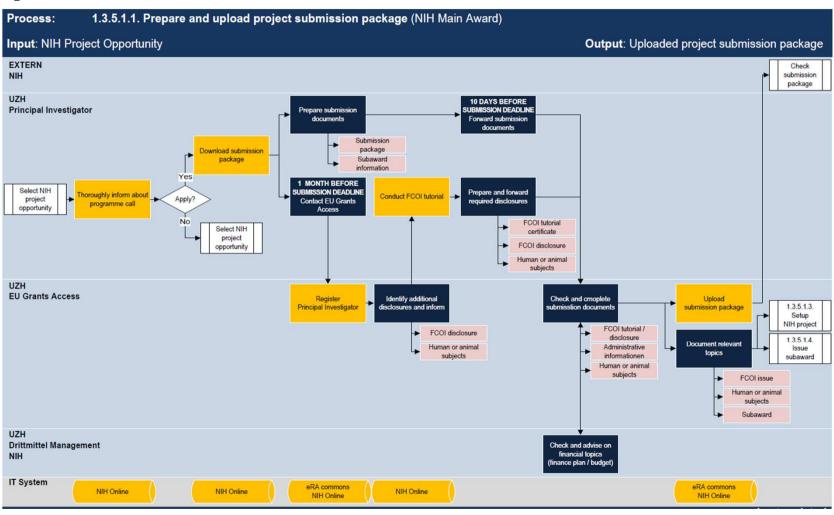
http://grantsaccess.ethz.ch/en/servicesupport/legal/us-grants-regulations-eth-zuerich/

Working together to analyze critical issues eugrants





Definition of responsibilities and processes within the institution





Applicable Regulations: Do the existing ones comply?

Regulation	Comment	Recommendation / Risk	
Fly America Act	Open sky agreement between US and Switzerland	Compliance ensured	\checkmark
Gun Control	Swiss Federal Law about Gun possession	Negligible	\checkmark
Data and Safety Monitoring	Existing Laws on Swiss Federal Level: - Datenschutzgesetz (Data protection law) - Humanforschungsgesetz (Human research law) Existing Regulations on University Level - Richtlinien für Integrität in der Forschung und gute wissenschaftliche Praxis (Guidelines for Integrity in Research and proper scientific conduct)	Assuming that compliance is ensured. To be sure, further investigation necessary	×
Animal Welfare	· ·	Compliance ensured	√

Challenges in US grants management



- FCOI training, disclosure
- Endless variety of subaward forms
- Constant monitoring of new regulations and implement changes new policies— Uniform Guidance
- Effort reporting
- Cost transfer
- Allowable / non-allowable costs
- F&A costs
- Export Controls
- Grant or Contract ?
- Training of staff
- Monitoring of Subcontractors
- •



Information of researchers



- Institutional Policy
- Mandatory project registration
- Checklists
- Awareness raising
- EU GrantsAccess Website
- Kick-off meeting
- Close exchange with departmental administrators





Mitigation



- Try to understand the complex US funding schemes visit workshops
- Convince the boards of the importance of US Grants and Compliance with US Regulations
- Set up regulations (FCOI)
- Set up Working Groups (lawyers, finance department, grants office) analyzing the critical issues
- Build up US Network NCURA / EARMA
- Define responsibilities and processes
- Analyze whether new regulations are necessary
- Inform Researchers
- Be alert for new developments

