



Case Study Zurich

Regina Notz (ETH Zurich, University of Zurich)

Luca Wacker (ETH Zurich, University of Zurich)

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	University of Zurich	ETH Zurich
Founded	1833	1855
Ranking (THE QS Shanghai)	136 73 58	9 9 20
Nobel Prize Laureates	12	21
Enrollments	25'672	19'815
Staff	6'524 (4'349)	9'026 (5'829)

- The office for International Research Programmes
- Joint office of the University of Zurich and ETH Zurich since 1997
- At the **University of Zurich** a division of the research and academic career development unit, under the VP Research
- At **ETH Zürich** part of the Office of the Vice President Research and Corporate Relations
- Euresearch Regional Office
- 19 people on ca. 15 FTE
- 5 US grants specialists





	Universität Zürich	ETH Zürich
NIH	7 subs 0.7 Mio \$/y	9 subs 0.7 Mio \$/y
Other federal funds (grants)	2 subs 0.3 Mio \$/y	6 main, 1 sub 0.6 Mio \$/y
Federally funded contracts	-	1.4 Mio. \$/y
Total	1 Mio \$/y	2.7 Mio \$/y
FP7	21 Mio €/y	51 Mio €/y
H2020	16 Mio €/y	32 Mio €/y

	EU Projects (FP6, FP7, H2020)	US Projects (NIH, NSF..)
Long tradition	✓	✗
Critical Mass of Project Participation	✓	✗
National Support Network	✓	✗
Contacts with the Funding Agency	✓	✗
Contacts with other Grants Offices dealing with this type of funding	✓	✓
Cultural «Proximity»	✓	✗

All organizations must register with Dun and Bradstreet, SAM, and Commons. NCAGE is required for nondomestic organizations.

1. Obtain a D-U-N-S number: <http://fedgov.dnb.com/webform>
 - nine digit identification number for your business / institution
2. Obtain an NCAGE Code: <https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx>
 - 5 character code used to identify the organization, and its specific location
3. Register with SAM: www.sam.gov
4. Establish your Grants.gov institutional username and password: <https://www.grants.gov/>
5. Register your organization in eRA Commons: https://era.nih.gov/registration_accounts.cfm
 - IT infrastructure for NIH and other funders in health

Register early! Registration is a multi-step process that can take 6-8 weeks to complete

Help needed?: [NIH Registration Handout](#)

Registration of ETH Zürich and University of Zurich in US different systems

DUNS	Proposal Central
NCAGE	Federal Helpdesk
SAM	Department of Defense
eRA commons	ebrap
Grants.gov	NASA
Federal Wide Assurance (FWA)	Office of Research Integrity (ORI)
Institutional Review Board (IRB)	Animal Welfare
NSF	Federal Demonstration Partnership
PMS	...

Convince the boards of our institution of the importance of US Grants and Compliance with US Regulations

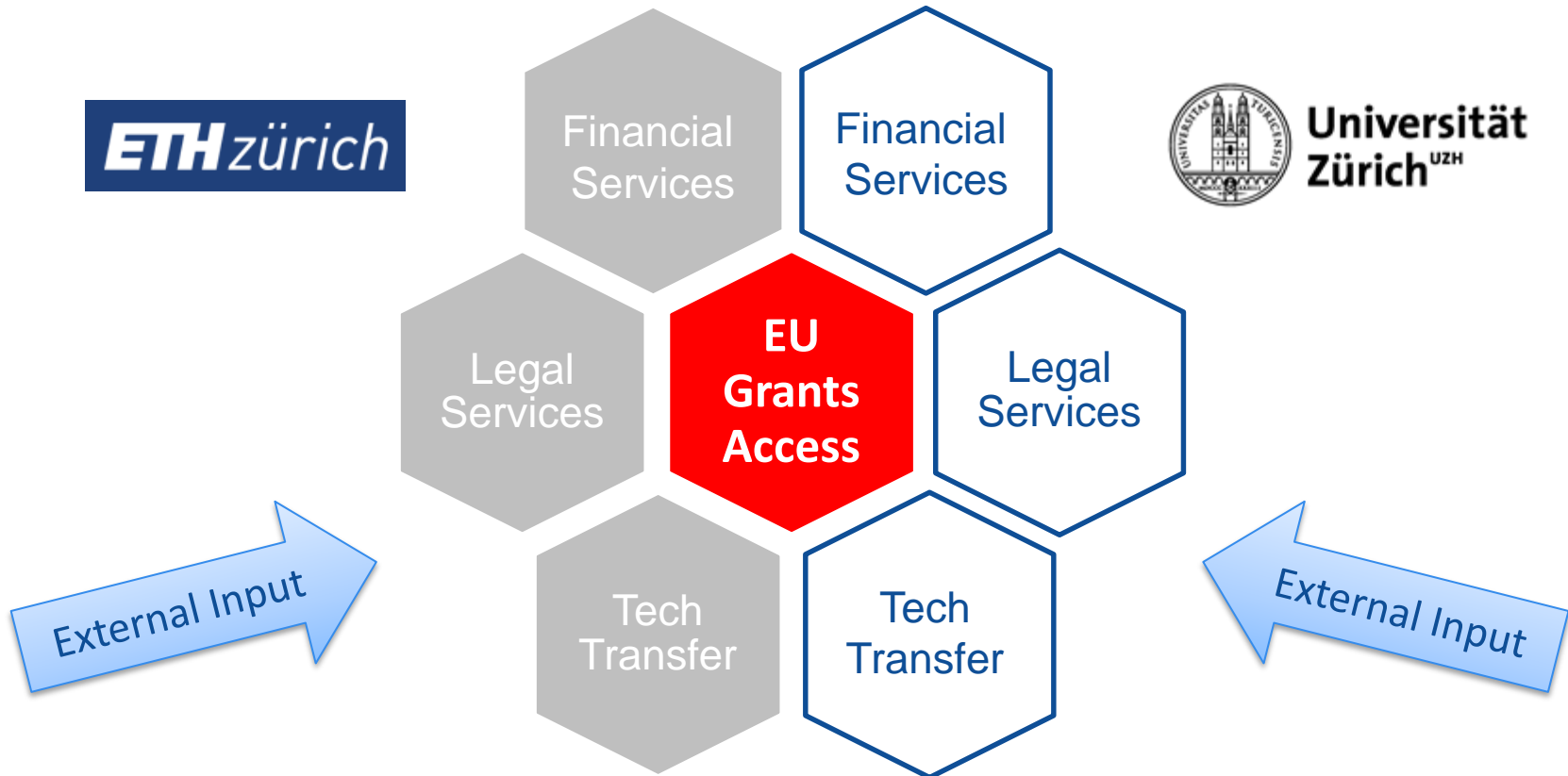




«Participation in NIH funded projects provides me the unique opportunity to participate in cutting-edge and research with my peers in the US.»



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





- 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/>

ETH zürich

- 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/>

- Applicable to PI or any other person «responsible for the design, conduct, or reporting of research funded by the NIH»
- Web-based FCOI-Tutorial every 4 years
(<http://grants.nih.gov/grants/policy/coi/tutorial2011/fcoi.htm>)
- When submitting, concluding or renewing a contract, Investigators must disclose their financial interests
- If a financial interests arises during the course of a project, investigators must update the disclosure form and inform officer in charge within 30 days.
- In the case of an actual conflict of interest, the disclosure form may be presented to the Chief Grants Management Officer at NIH (if main awardee) or to the University that is in charge of the project (if subawardee).



**"What conflict of interest?!
I work here in my spare time."**

- External Study about applicability of US Regulations
- Which regulations are covered by Swiss Law?

Regulation	Comment	Recommendation / Risk	
Fly America Act	Open sky agreement between US and Switzerland	Compliance ensured	✓
Gun Control	Swiss Federal Law about Gun possession	Negligible	✓
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	✗

-> Checklist for Researchers to cover most important Applicable Regulations

US-Grants: Checklist for Researchers

DRAFT – Version 3 – January 2016

Type of Grant	<input type="checkbox"/>
Researcher in Charge	<input type="checkbox"/>
Date and place	<input type="checkbox"/>
Confirmation	I am aware of the rights and obligations as listed below referring to my grant and will implement them to the best of my knowledge.
Signature PI	<input type="checkbox"/>
EU Grants Access Responsible	<input type="checkbox"/>
Financial Department Responsible	<input type="checkbox"/>

The following Rights and Obligations have to be followed when being engaged in a US Grant. This Checklist is based on the public policy requirements mentioned in the Grants Policy Statement of the National Institutes of Health (NIH). It is assumed that similar compliance requirements are demanded from other US funding agencies. This checklist reflects the actual state of knowledge and is not exhaustive. Each PI is responsible to follow the individual requirements of the sponsor.

ETH Zurich's legal office provided existing Swiss National regulations and laws covering the required regulations. Columns marked in red indicated cases, where no detailed check was possible in order to define whether the existing Swiss regulations are sufficient.

Regulations	Applicable	
ETH internal	Yes	No
Regulations on Projects from ETH Zurich Receiving Research Funds from US-American Funding Agencies (dated July 1, 2014, version January 1, 2016)	X	
Experiments with Animals		
Experiments with Humans		
NIH Grants Policy Statement, March 31, 2015	Applicable	
4.1.3 Clinical Trials.gov		
4.1.10 Financial Conflict of Interest		
4.1.13 Human Stem Cell Research		
4.1.14 Human Fetal Tissue Research (Including Transplantation Research)		
4.1.15 Human Subjects Protections		

ETH internal Regulations
Regulations on Projects from ETH Zurich Receiving Research Funds from US-American Funding Agencies (dated July 1, 2014, version January 1, 2016)
<http://grantsaccess.ethz.ch/en/servicesupport/legal/us-grants-regulations-eth-zurich/>

Experiments with Animals
Fulfil the local requirements (see <https://www.ethz.ch/de/forschung/ethik-und-tierschutz/tierschutz.html>)
EU Grants Access renews the Animal Welfare Assurance of ETH Zurich.

Experiments with Human Research Participants
Fulfil the local requirements: <https://www.ethz.ch/services/de/organisation/gremien-gruppen/kommissionen/ethikkommission.html>
Complete NIH online training (<https://phrp.nihtraining.com/users/login.php>) and send CEU Grants Access

NIH Grants Policy Statement, 11/2015 (NIH-GPS)

4.1.3 Clinical Trials.gov

Swiss National legal basis:

--> HMG, VKlin, HFG, KlinV, HFV

Legal basis ETH Zurich:

--> Richtlinien für Integrität in der Forschung und gute wissenschaftliche Praxis an der ETH

NIH-GPS: Applicants and recipients should familiarize themselves with the requirements of 282(j), also known as Sec. 801 of Public Law 110-85 (the FDA Amendments Act of 2007 or with respect to registration and results reporting requirements that may apply to certain particular note is that, in general, results of applicable clinical trials are due not later than

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