

# Research Collaboration between US and European Institutions

## Case Studies Research Management

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# Zurich: Home of two leading Universities

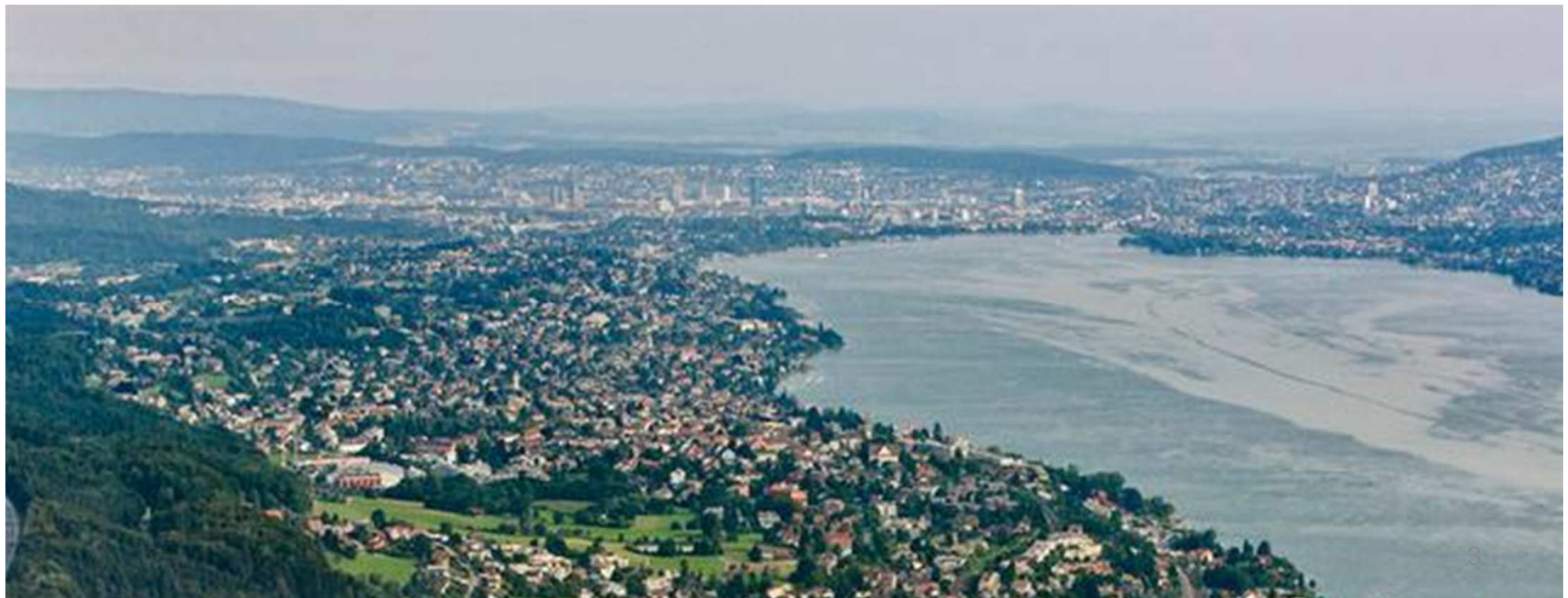


	University of Zurich	ETH Zurich
Founded	1833	1855
Ranking (THE   QS   Shanghai)	103   57   56	13   12   19
Nobel Prize Laureates	12	21
Enrollments	25'634	18'616
Staff	6098 (4014)	8143 (5065)

# 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



# 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)	-	0.6Mio \$/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	✓	✗
Critical Mass of Project Participation	✓	✗
National Support Network	✓	✗
Contacts with the Funding Agency	✓	✗
Contacts with other Grants Offices dealing this type of funding	✓	✓
Cultural «Proximity»	✓	✗

Finding funding made easy.



# 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





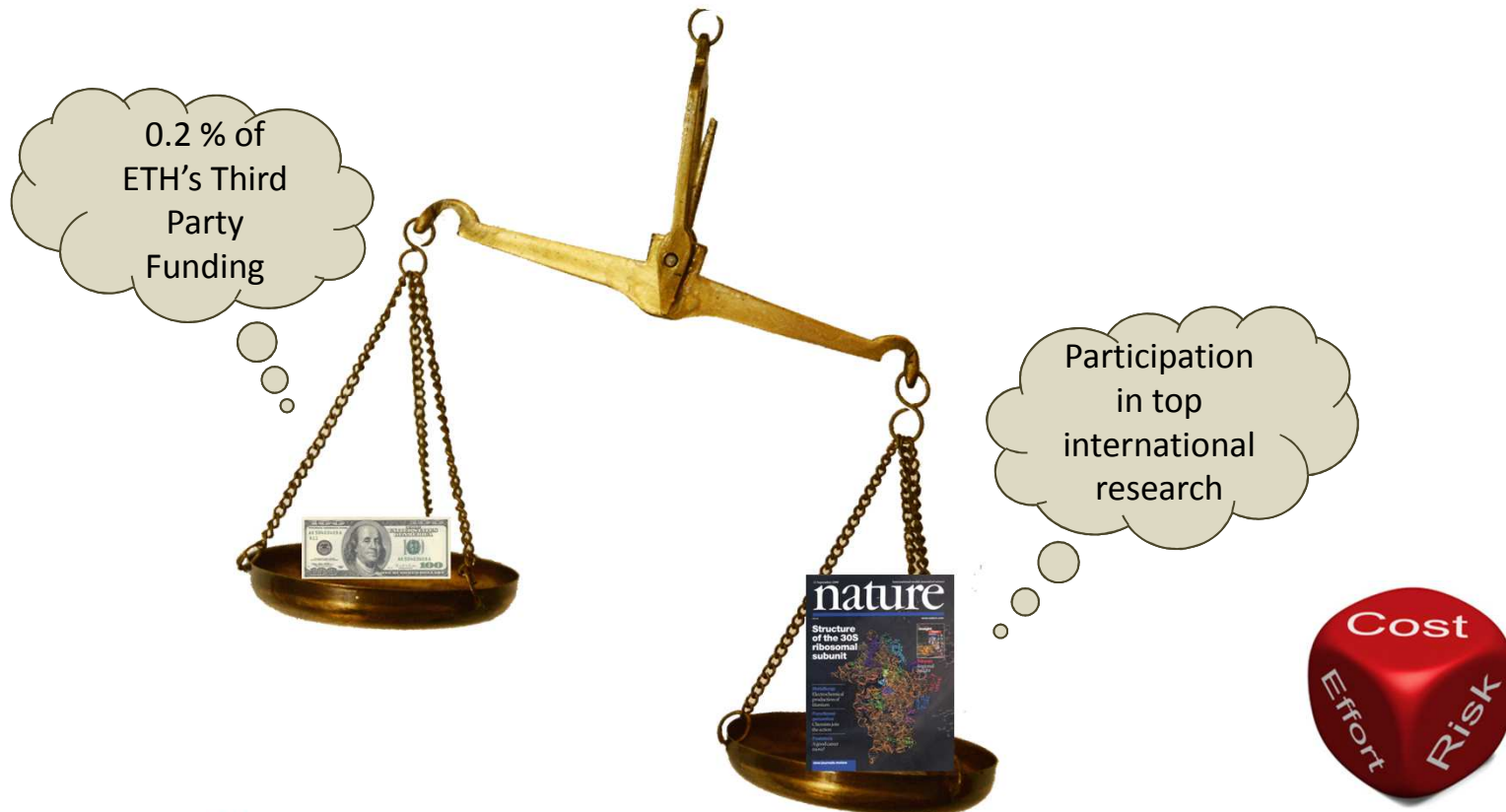
# Registration in US Systems

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	



# 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



Finding funding made easy.

# Basis of Compliance: Institutional Policies



*«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



- 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/>

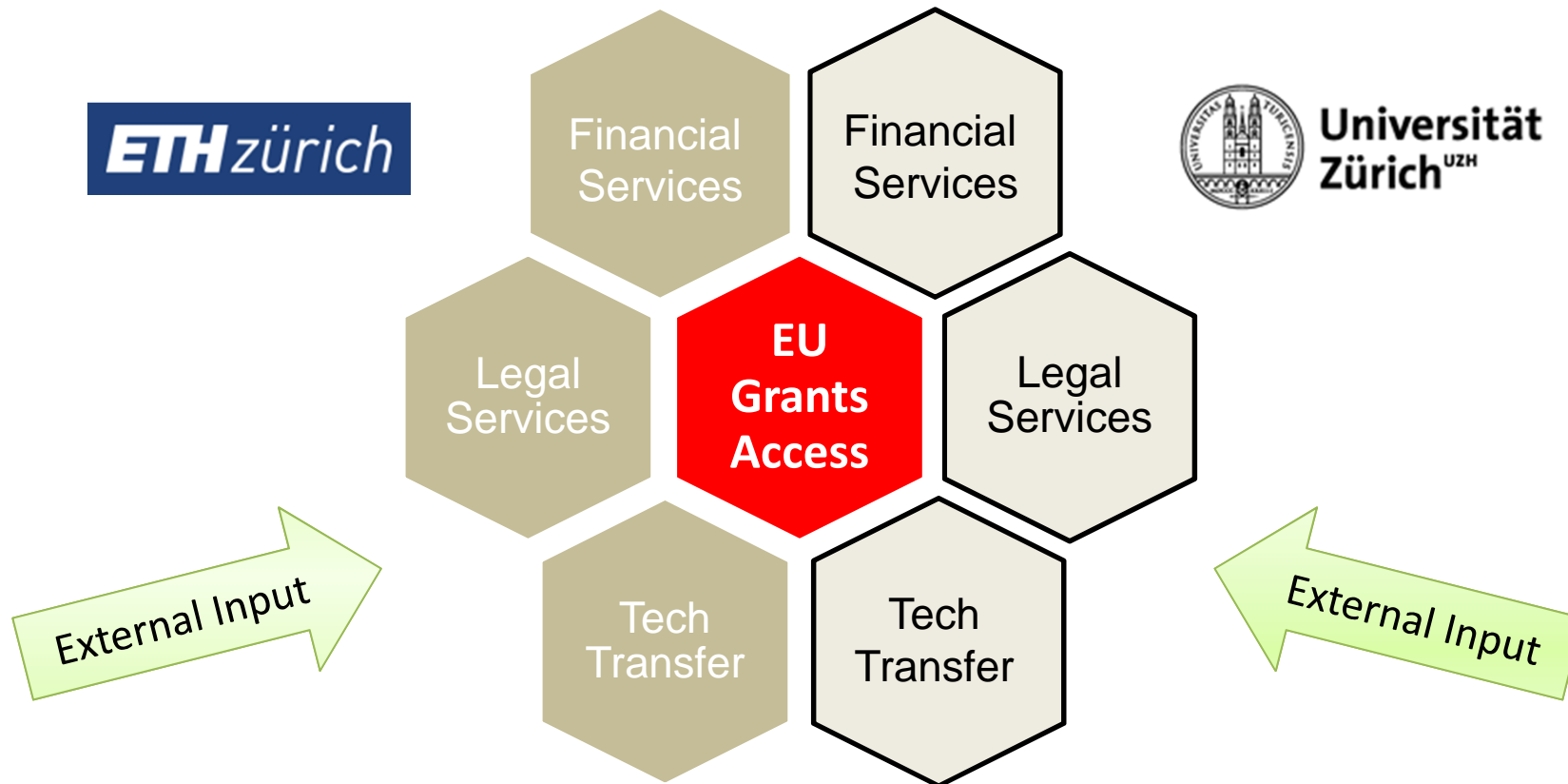


- Regulations on Projects from ETH Zürich Receiving Research Funds from US Funding Agencies  
<http://grantsaccess.ethz.ch/en/servicesupport/legal/us-grants-regulations-eth-zuerich/>

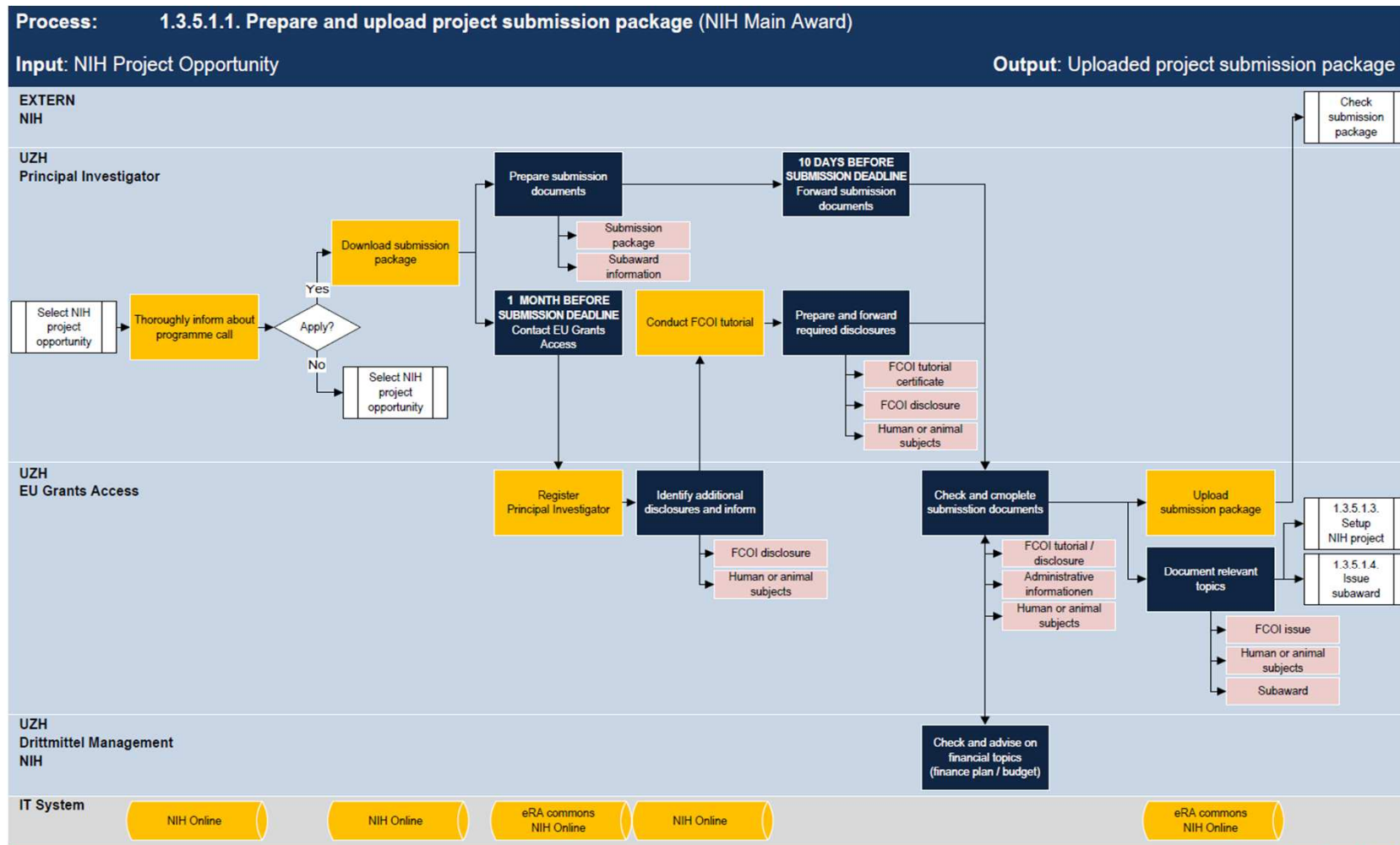
# Working together to analyze critical issues



Universität  
Zürich <sup>UZH</sup>



# Definition of responsibilities and processes within the institution



# Applicable Regulations: Do the existing ones comply?

Regulation	Comment	Recommendation / Risk	
<b>Fly America Act</b>	Open sky agreement between US and Switzerland	Compliance ensured	✓
<b>Gun Control</b>	Swiss Federal Law about Gun possession	Negligible	✓
<b>Data and Safety Monitoring</b>	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	x
<b>Animal Welfare</b>	Existing Laws on Swiss Federal Level: - Federal Animal Welfare Act (TSchG) - Federal Animal Welfare Ordinance (TSchV) - Animal Experimentation Ordinance, TVV - Containment Ordinance (ESV) Existing Regulations on University Level - ETH Zurich's policy on laboratory animal research	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

**Thank you!**

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