Program 2017-2020 P-5
"Scientific information: Access, processing and safeguarding"

Project application guidelines
**Impressum**

<table>
<thead>
<tr>
<th>Project sponsor</th>
<th>Steering Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project manager</td>
<td>Dr. Aude Dieudé</td>
</tr>
<tr>
<td>Report version</td>
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<tr>
<td>Report author</td>
<td>Version updated by Dr. Aude Dieudé on the basis of the preliminary version written by Gabi Schneider</td>
</tr>
</tbody>
</table>
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Abbreviations

LEHE    Loi sur l’encouragement et la coordination des hautes écoles
<table>
<thead>
<tr>
<th>Acronyme</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>O-LEHE</td>
<td>Ordonnance relative à la loi sur l'encouragement et la coordination des hautes écoles</td>
</tr>
<tr>
<td>SEFRI</td>
<td>Secrétariat d'Etat à la formation, à la recherche et à l'innovation</td>
</tr>
<tr>
<td>CSHE</td>
<td>Conférence suisse des hautes écoles</td>
</tr>
<tr>
<td>CUS</td>
<td>Conférence universitaire suisse (depuis 1.1.2015 CSHE)</td>
</tr>
<tr>
<td>CRUS</td>
<td>Conférence des Recteurs des Universités Suisses (depuis 1.1.2015 swissuniversities)</td>
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1. Introduction

1.1. Vision and mission
The program’s mission is to combine the currently separate efforts to provide and process scientific information. The aim is to establish a reorganized system by the year 2020 that will provide researchers, teachers, and students with an extensive range of science-related digital content and the optimum tools for processing it.

These services should feature availability on a national level, stability, flexibility, and competitiveness. Through targeted funding, P-5 will initiate and control the development of this range of services and ensure its sustainable operation.

1.2. Framework
“Scientific information: Access, processing and safeguarding” is a funding program within the framework of project-related contributions in accordance with the Higher Education Act (HEdA). The Rectors’ Conference of the Swiss Universities, "swissuniversities," is tasked with carrying out the program.

On April 3, 2014, what was then the Swiss University Conference (SUC) approved the program’s national strategy. For the funding years 2014-2016, the “White Paper for a Swiss Information Provisioning and Processing Infrastructure 2020” specified the implementation actions in the four key areas of focus: publications, eScience, basis, and services. The implementation actions were adapted to the current state of the program for the funding period from 2017 to 2020. Project contributions now align with the “2017 to 2020 Implementation Strategy” and concern the implementation actions that this strategy describes.

In addition to implementation actions in the four key areas of focus, the implementation strategy proposes a number of implementation actions that support the expansion of services that match the program’s goals. The priority is to promote national access to scientific information and to develop infrastructures and tools that can be used nationally and will continue to exist beyond the end of the program.

The budget for 2017 to 2020 is CHF 30 million.

2. Participation

2.1. Authorized institutions
The following institutions are invited to apply:
- The ten cantonal universities;
- The Swiss federal institutes of technology and the four research institutes;
- The seven public universities of applied sciences;
- The universities of teacher education.

Institutions that provide services to the universities in one of the program’s areas of implementation (e.g. the library associations) and institutions in which universities play a leading role (e.g. SWITCH or the Consortium of Swiss Academic Libraries) are also eligible to apply.

Only applications from non-commercial institutions will be considered.

2.2. Applicants and project partners

2 When the HEdA came into force on January 1, 2015, the SUC became the Swiss Conference of Higher Education Institutions (SCHEI).
3 All the documents mentioned are available on the program website: http://www.swissuniversities.ch/isci.
Applicants must be affiliated with an institution specified in chapter and must have its express support. Project partnerships between authorized institutions are welcome. Private sector companies may also be considered as project partners.

2.3. Own funding
In accordance with Chapter 8, Section 5 of the HEdA, contributions provide support to be used as start-up funding: applicants must supplement the federal grant with a suitable own funding contribution ("matching funds").

According to Art. 49 O-LEHE, the participating universities and institutions must provide their own services equivalent to at least the federal contribution (Matching-Funds at least 50% of the total project cost).

According to Art. 49 O-LEHE, the own service can be provided in the form of a financial contribution or a contribution in kind (real money or virtual money). At least half of the own service must be made up of a financial contribution.

According to Art. 50 O-LEHE, a financial contribution (real money) is defined as the financing of costs incurred as a result of participation in the project in addition to the ordinary current expenses of the project partner. These costs include:

- personnel costs (including social benefits);
- costs of goods and equipment, e.g. equipment and installations, operating resources, costs of premises rented specifically for the project, meeting and travel expenses.

According to Art. 49 O-LEHE, expenditure on existing personnel, equipment and facilities as well as operating resources can be counted as virtual money up to the amount actually allocated to the project, with supporting evidence. Services provided by employees supported by national incentive programmes (e.g. SNSF) are considered, in accordance with the requirements of the CSHE, as contributions in kind.

2.4. Projects
Projects aim to put into practice the implementation actions outlined for funding in the "2017 to 2020 Implementation Strategy."

2.5. Project duration
An appropriate duration should be requested for the project. For the call 192, the project must last only one year: it must start on January 1, 2020 and end no later than December 31, 2020.

3. Project application

3.1. Basis
The basis for the project application is the "2017 to 2020 Implementation Strategy." Applications comply with the program’s "national strategy."

A prerequisite for putting in a project application is the timely submission of a project outline to the Program Management in advance. Any information or recommendations that the Program Management provides after assessing the outline must be borne in mind in the project application.

3.2. Form
The current project application form on the program website must be used to apply.
3.3. Language
Project applications can be submitted in German, French or English.

3.4. Subsidy and own funding
When calculating the subsidy and own funding required in the form of work capacity, the applicant accounts for personnel costs according to the actual total wage costs.

"Own funding" refers to:
- Funds that the applicant’s institutions and the project partners contribute directly to the project ("real money");
- The estimated cost of using existing infrastructure and employing a workforce that will not be paid out of the project funds ("virtual money").

3.5. Deadlines

<table>
<thead>
<tr>
<th>Submission deadline</th>
<th>Awarding decision</th>
<th>Project start</th>
</tr>
</thead>
<tbody>
<tr>
<td>February 19, 2017</td>
<td>July 2017</td>
<td>As of August 2017</td>
</tr>
<tr>
<td>August 2017</td>
<td>December 2018</td>
<td>As of January 2018</td>
</tr>
<tr>
<td>February 2018</td>
<td>July 2018</td>
<td>As of August 2018</td>
</tr>
<tr>
<td>August 2018</td>
<td>December 2018</td>
<td>As of January 2019</td>
</tr>
<tr>
<td>February 2019</td>
<td>July 2019</td>
<td>As of August 2019</td>
</tr>
<tr>
<td>August 2019</td>
<td>December 2019</td>
<td>January 1, 2020</td>
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</tbody>
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3.6. Submission
Project applications must be sent by the deadline, in electronic format together with the signature sheet, to the following address:
isci-proposal@swissuniversities.ch
Receipt will be confirmed by e-mail.

4. Evaluation

4.1. Bodies
The following bodies are involved in the evaluation process:
The Program Management is the point of contact for applications. It is responsible for checking the format of the applications and managing the evaluation procedure. It plays an advisory role in the evaluation.
The group of experts evaluates the project applications. It makes recommendations to the Steering Committee on which project applications to approve, reject or return for revision.
The Steering Committee makes a decision on behalf of swissuniversities, based on the recommendations of the group of experts.
The Swiss Conference of Higher Education Institutions (SCHEI) has overall responsibility for the program. The SCHEI reserves the right to influence the course of the program if the goals change or are not fulfilled.

4.2. Evaluation criteria
Project applications will be evaluated according to the following three criteria:

A. Formal correctness (application justification and completeness and please note the specific eligibility conditions for the call 192)

4  The precise dates will be published on the program website on an ongoing basis.
B. Compliance with the national strategy and the 2017 to 2020 Implementation Strategy
C. Quality

A and B will serve as filters and ensure a good standard when the quality is evaluated. The quality of the project applications (C) will be evaluated using the following criteria:

- **C.1 Benefits and strategic importance for the program:**
  - Significance for the project portfolio
  - Impact
  - Quantifiable benefit (e.g. increase in efficiency)
  - International importance

- **C.2 Feasibility:**
  - Professional quality ("soundness of approach")
  - Chances of success
  - Project team (record of achievement/references)
  - Proximity to customers
  - Observation of legal frameworks
  - Consideration of technical conditions

- **C.3 Financing model/business case:**
  - Implementation costs
  - Operating costs
  - Sustainability
  - Potential users
  - Charging model

5. Implementation

5.1. Roles and responsibilities

The following table shows the roles and responsibilities in the project implementation phase:

<table>
<thead>
<tr>
<th>Roles</th>
<th>Responsibility</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project manager</td>
<td>Implementing the project</td>
<td>The person on the project team who is responsible for the implementation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(point of contact, project management, project administration, reporting).</td>
</tr>
<tr>
<td>Program Management</td>
<td>Implementing the program</td>
<td>Acts as a point of contact for the project manager and manages the project</td>
</tr>
<tr>
<td></td>
<td></td>
<td>portfolio on behalf of the Steering Committee.</td>
</tr>
<tr>
<td>Steering Committee</td>
<td>Managing the program</td>
<td>Quality assurance and strategic management of the program. The Steering</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Committee makes decisions on project applications once a year.</td>
</tr>
<tr>
<td>Swiss Conference of Higher</td>
<td>Overall responsibility for the program</td>
<td>The SCHEI reserves the right to influence the course of the program.</td>
</tr>
<tr>
<td>Education Institutions (SCHEI)</td>
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</tbody>
</table>

5.2. Information sharing requirement

The project leader is required to keep the program portfolio manager regularly informed of the project's progress (milestones, results achieved, future prospects, potential risks), of the project financial condition and of any significant changes that may take place in the project.
6. Notes on the application form

6.1. Preparation

Preliminary investigations into the feasibility of a project or service must usually be conducted by the applicant in advance. The Program Management will assist you during the preparation of project applications. Please note that a project outline must be submitted to the Program Management before the final application is submitted (chapter 3.1).

6.2. Explanation of the form

A project application must be able to be understood and evaluated by experts and reviewers. Please make sure that your application contains a clear overview of all the information and notes required for it to be evaluated. Please note the following information in particular (the numbers refer to the headings in the project application form):

1. to 3. (General information)

The program aims to raise awareness of initiatives for services and potential collaborations, and to support these. The general information may therefore also be used in communications about the program, even if the application is rejected.

2. Project classification

Project applications address the implementation actions listed in the 2017 to 2020 Implementation Strategy (chapters 4-8). This also includes the contextual information and general framework conditions of the program as laid down in the "national strategy."

If your service has already received funding from the “Scientific information” program, please indicate this in 2.1.

4.1. Background

If your project builds on a previous project, the background will be underpinned by the final report/results of that project. Please refer to heading 6.2 and take advantage of the opportunity to enclose additional documents (see 7.3).

4.4 Environment analysis

Show that you know your business area and position your plans: What arguments give your project or service an advantage over similar initiatives or alternative approaches?

4.5 Expected national benefits

Make the benefits of your plans as tangible as possible (market analysis of the future service):

- Mention any factors which indicate that your project is likely to be successful (access and user figures, reach, expressions of interest, etc.).
- Draw some conclusions from a current project or service.
- Include statements about the cost effectiveness of the future service.

This section will be extremely important for subsequent projects. (see 5.6, 5.7)

4.6 and 4.7 Milestones

Milestones are verifiable, measurable goals at the end of a work package or project phase. They help monitor success as part of project management.

4.8 Project organization

In the project organization section, the various members of the project team, their role in the project, their place of work, their workload, and the wage rates used for calculating the costs must be made clear:

- List the members of the project team by name and include details of any new appointments that you are planning.
Personnel costs are calculated pro rata on the basis of the total wage costs (gross wage plus employer’s contributions) per year. Additional costs of CHF 20,000 per FTE per year can also be added.

The organizational chart gives information about the team dynamic (hierarchy, position of team members in relation to each other).

4.10 Operating concept

Explain as clearly as possible how the service is to be provided during normal operation after the end of the project. For example:
- Who ensures that the service will be operated and maintained?
- Who will use the service?
- How much will the service cost to operate? (see also 5.6)
- Who will cover what share of the costs? (Sponsor, institution, billing model, etc.)
- Who is responsible for marketing?

5.1 Project costs per project phase/work package

Here you should account for the total costs and the funding requested for each work package, and specify the cost items. The labor costs are to be shown for each person with the respective rate used for calculation.

5.2 and 5.3 Own funding contribution

Chapter 2.3 of these guidelines offers information about the definition of real and virtual money and the difference between them.

5.4 Detailed calculation for each institution

The detailed calculation breaks down the total costs under 5.1 into years of the project, own funding (real and virtual money) and subsidy funding. The various costs are to be listed transparently. Please use the examples in the tables as a guide.

**Personnel:**
Show the labor costs of the participating institutions for each member of the project team.

**Equipment and systems:**
List equipment and systems (purchase or rental costs).

**Operating resources:**
List operating resources such as the estimated cost of using existing infrastructure (virtual money) or operating computer systems (hosting).

**Conference and travel costs:**
The information you provide should make the intended use of the funds as clear as possible.

**Other costs:**
Please specify any other costs.

5.6 Anticipated operating costs after the end of the project

Account for the various types of costs as far as possible. Potential maintenance costs of at least 20% of the cost price are to be included in the operating costs, particularly for software developed by the project team.

5.7 Anticipated revenue after the end of the project

Indicate what revenue you expect after the end of the project or how you wish to finance the service.
6.2 Previous projects
Describe any previous projects (content and results; enclose the final report if there is one) that have a direct bearing on your application.

8. Signatures
The project proposal form must be signed by a member of the rectorate or the presidency of the university or institution submitting the project proposal. The signatories are responsible for guaranteeing the investment of the equity capital shown in the balance sheet. A scanned document from the signature sheet can be submitted separately from the project proposal.
Annex A  Contact
The Program Management provides further information on the call for proposals:
Dr. Aude Dieudé, Portfolio Manager Program P-5
isci@swissuniversities.ch

Annex B  Website
You can find more information and documents on the program website:
www.swissuniversities.ch/isci
You can also register for the program mailing list on this page.
## Annex C | Application process

### Application process

<table>
<thead>
<tr>
<th>Idea</th>
<th>Application</th>
<th>Evaluation</th>
<th>Approval</th>
<th>Start of implementation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Project idea</strong></td>
<td><strong>2. Application</strong></td>
<td><strong>3. Formal evaluation (A)</strong></td>
<td><strong>4. Evaluation - strategic (B) - qualitative (C)</strong></td>
<td><strong>5. Approval</strong></td>
</tr>
<tr>
<td>1a. Strategic support</td>
<td>Financial commitment</td>
<td>OK</td>
<td>Recommendation</td>
<td>Implementation approval (possibly with conditions attached)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Direct application</td>
<td>Rejection</td>
<td></td>
</tr>
</tbody>
</table>

**Key:**
- Start / end
- Activity
- Decision
- Standard flow
- Feedback flow
- Optional

**Changes required**

**Figure 1:** Graphical representation of the application process