Guidelines on the Disclosure of Third-Party Funding

The Extended Executive Board of the University has resolved:

1. At UZH, third-party funds are deemed to be resources that are not part of basic funding needs or not used as additional funding for University purposes (e.g. equipment funds, additional funding for teaching or IT). Under § 10, 12, and 13 of the UZH Finance Regulations¹, the following are classified as third-party funds:
   a. Donations and bequests;
   b. Funding for research and teaching;
   c. Services and continuing education courses (excluding statutory mandates).

2. The Finance Office maintains a transparency list in order to disclose third-party funding.

   The transparency list contains the following information:
   - **Project type**
   - **Name of recipient**: The head of the responsibility center.
   - **Funding provider**: This includes sponsors, foundations, gifts, donations, bequests, etc. The UZH Foundation² may also be listed as a funding provider, if the funds in question have been raised by the UZH Foundation. In such cases, the original funding providers are subsequently listed in brackets, e.g. UZH Foundation (name of funding provider). Identifying information may be removed if wished.
   - **Project title**: Various degrees of specification are permitted, as is anonymity.
   - **Duration**: Probable duration of the project.
   - **Annual revenue**: Unlike the funding committed when the contract is concluded, the actual level of income reflects the true amount of third-party funding that has been secured. The transparency list is intended to show the sums that are actually available (disposable) during the (annual) reporting periods.
   - **Total amount**: The amount committed when the contract is concluded may also be 0, if no such sum has been agreed right from the start (e.g. in the case of clinical trials).

3. The transparency list discloses the following types of project:

   - F General research (Forschung, F)
     Research projects that are not financed by either the EU or the SNSF. F-type projects represent funding which is used to fund internal research at the University, i.e. general research funding.

¹ [http://www2.zhlex.zh.ch/appl/zhlex_r.nsf/0/1E4FB72230919BCBC1257690002FC6D2/$file/415.112_16.11.09_67.pdf]
research collaboration (initiatives in which partners provide research services in addition to funding), donations (gifts, bequests, legacies, donor contributions), and revenue from conferences, meetings, colloquia, symposia, etc. which primarily serve academic exchange. F-type projects have the following characteristics: The content and methods of the initiative are essentially determined by UZH, and the rights to the results are held by both partners together or by UZH alone.

L General teaching (Lehre, L)
Initiatives supporting teaching, such as contributions from foundations, third-party gifts for teaching purposes, financial aid for student exchanges, and Erasmus or SUC/swissuniversities funding. Contributions may be made in the form of donations such as gifts, bequests, legacies, and donor contributions.

M Projects with mixed financing (Mischfinanzierung, M)
Research projects funded by both third parties and funding from UZH.

N National Centers of Competence in Research (NCCR)
This project type covers the SNSF’s National Centers of Competence in Research in which UZH is the leading house. In such cases, funding is subject to special accountability requirements.

Q Regulated framework research programs
This refers primarily to funding for individuals and projects which originates from public-sector providers in the USA.

The following project types are not featured in the transparency list:

D General service (Dienstleistung, D)
Under the terms of the Finance Regulations, separate accounts are kept for service projects. In other words, there is no statutory remit to provide the service in question, so costs must be covered). D-type projects have the following characteristics: The content and methods of the initiative are essentially determined by the client (in the sense of an order), and the rights to the results are generally held wholly or partly by the ordering party.

E EU projects
Funding for individuals and projects from the European Union (EU)

S SNSF projects
Initiatives (funding for individuals and projects) which originates from the Swiss National Science Foundation.

W General continuing education (Weiterbildung, W)
Continuing education projects represent revenues from continuing education programs (course fees) or for the benefit of such continuing education programs, i.e. continuing education degree programs resulting in a diploma, or a Certificate or Master of Advanced Studies, as well as courses and other events which further continuing education (specifically conferences, meetings, symposia, colloquia, etc.).

4. The transparency list covers contracts worth CHF 100,000 or more.
5. The transparency list is published by the Finance Office on the UZH website at the beginning of each year. It is available in either PDF or Excel format. The transparency list discloses the projects undertaken over the previous 12 months in each case. The aforementioned website indicates which third-party funds are covered by the transparency list, as well as the websites which offer information on other projects supported by third-party funds (specifically EU and SNSF projects), and provides grounds for not including the service project type. The list is completed by further references to relevant ordinances.

6. The disclosure of contracts and other information relating to third-party funding is governed by the Information and Data Processing Act of the Canton of Zurich. The process for submitting requests to inspect such data falls within the remit of the Delegate for Data Protection.

7. Contracts concluded prior to 1 January 2018 are not published in the transparency list. The list covers only those contracts entered into on or after this date, providing they meet the criteria for inclusion in the transparency list.

8. The first transparency list will be published in 2019.

9. On behalf of the Extended Executive Board of the University

The President
Prof. Dr. M. O. Hengartner

The Secretary General
Dr. R. Stöckli