



Rules for UZH contributions as counter-financing for DIZH funds

About this document: This document regulates which forms of matching funds are legitimate on the part of UZH members who wish to submit applications for DIZH calls (Innovation Program and Infrastructure/Lab Program). The document has been prepared by the DSI managing office in coordination with UZH Finance and the DIZH office.

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General principles

The following principles apply to own contributions made by DIZH universities in the context of calls co-financed with DIZH funds:

1. For calls of the DIZH Innovation Program and the DSI Infrastructure/Lab Program, the applicants must generally account for **at least 50%** of the total project amount as own contributions.
2. The regulations for the DIZH 2020-2029 Innovation Program (which also apply to the DSI Infrastructure/Lab Program in this respect) list the following as **legitimate own contributions** in accordance with §17 Section 3: a) the release of reserves, b) the reallocation of existing income of the universities, and c) the acquisition of new third-party funds. The present document specifies these requirements for the UZH.
3. Own contributions are to be made on a **university-specific basis**; i.e. each DIZH university must report at least the same amount X as own contribution for the amount X it expects from DIZH.
4. If **project partners** of an application that are not DIZH universities contribute to the funding, this contribution must flow to the respective DIZH university in the form of third-party funds (cash contribution) so that it can then report the amount as an own contribution. In-kind contributions (e.g. labor or access to resources) from project partners cannot be claimed as matching funds.
5. 20% of the total project amount can be claimed as own contribution in the form of a **general overhead** of their DIZH institution. In concrete terms, this means that of the total project amount (including overhead), 50% can be requested by DIZH, 20% is automatically considered as own contribution (but is not available to the project team; it is a calculatory overhead) and a further 30% must be declared as own contribution according to the requirements of this document. The budget templates for each call are structured according to this requirement.

6. As a rule, **earmarked funds** that have already been allocated to other projects may not be claimed as own contribution. Exceptions concerning third-party funds are explained in this document under point D.
7. DIZH funds already drawn may not be claimed as own contributions.

Further provisions concerning the permitted uses of DIZH funds (in particular the prohibition to use DIZH funds for investments) are not explained here. For further information, please refer to the documents available on the DIZH website (<https://dizh.ch/en/innovationprogram/>).

Rules for UZH own contributions

As stated above, UZH individuals (who is specifically eligible to apply is detailed in the respective DIZH Call) who wish to raise DIZH funding under a DIZH Call must cover at least 30% of the total amount with own contributions. The following rules apply to this:

- A. UZH as a whole does not have **any central funds** that can be used as own contributions. UZH-wide own contributions are covered by the overhead rule mentioned above under point 5.
- B. Funds of **faculties, institutes or chairs** that are not already project-bound (i.e. have a designated earmarking) may be claimed as own contribution. This applies to
 - a) Cash contributions to the project proposal (e.g., transfers from general institute or department funds or from operating credit);
 - b) workforce of persons (e.g. doctoral students and postdocs) who are to perform work in the project and are employed through such funds. The respective supervisor shall confirm in a letter the scope of the work to be performed in the project. The monetarization of such work services in the project budget is calculated from the respective wage costs;
 - c) Covering of material costs / operating expenses (e.g. financing of laboratory materials).

If funds from faculties, institutes, or chairs are designated as own contributions to a DIZH project, this will be indicated by the person responsible for funding (i.e., the owners of the PSP elements from which the funds actually originate) by means of a written confirmation in accordance with the requirements of the respective call.

- C. Faculties, institutes and chairs may **not claim additional overhead** (for example, the use of infrastructure or laboratory facilities) as an own contribution. Overhead is covered by the overhead rule stated in item 5 above.
- D. **Third-party funds**, analogous to item B, in the form of cash contributions or work performed by persons whose employment is financed by third-party funds, may only be claimed as matching funds under the following conditions:
 - a) They originate from a DIZH-external project partner who undertakes to make a certain cash contribution to the project. This amount, if approved, will then flow to a third-party PSP of the corresponding UZH organizational unit where the applicant is employed. The existence of these funds is confirmed by a corresponding letter from the project partner.
 - b) They originate from a third-party funded project that is directly related in timing and content to the project application. The extent to which this is the case will be decided in each individual case when assessing the project application.

- c) They originate from a donor who has explicitly agreed to a reuse of the funds within the framework of the DIZH application. This is confirmed by a corresponding letter from the donor.

In addition, for cases b) and c), the person responsible for financing the third-party funding account again confirms that the funds are available as an own contribution. In each case a) to c), the Third-Party Project will be marked in the project database as a DSI/DIZH project or DSI/DIZH-relevant project according to the applicable criteria.

- E. The **work of professors** (including titular professors, if they are employed at UZH) may be claimed as own contribution. The person concerned undertakes in a corresponding letter to perform the specified work for the project entered; the monetarization of the corresponding work is calculated from the respective wage costs. In the course of the evaluation of the application, the plausibility of the extent of the indicated work performance is taken into account. The work performance of DSI professorships, DSI assistant professorships and bridge professorships may not be claimed as own work (see also point F).
- F. The workforce of **individuals hired through DIZH funds** may not be used as matching funds. This applies in particular to bridge professorships, DSI post-docs and PhD Excellence Program fellows; their work performance may not be used as UZH own contribution.
- G. Finally, it is generally not permissible to use the **same own contributions for more than one approved DIZH proposal**. Thus, once funds under items B, D, and E have been claimed as an own contribution in an *approved* DIZH project, those funds may not be claimed as an own contribution for another DIZH application.

These rules correspond to the state of knowledge as of September 2021. Later adjustments are possible.

Reporting of UZH own contributions

UZH's own contributions that meet the above criteria are reported by the UZH project owner of the respective project according to a predefined Excel document. This document records the entire financial project reporting including own contributions. The reporting document is based on the budget Excel that is also provided.

Ideally, the costs - in the case of work with cost splitting - are already recorded on the project PSP element during the year or cash contributions are reposted to it. The reporting (time of submission, etc.) is done according to the specifications of the respective call.