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## Guidelines on the Disclosure of Third-Party Funding at the University of Zurich

(Dated 03.12.2019)

*The Extended Executive Board of the University has resolved:*

1. At the University of Zurich (UZH), third-party funds are deemed to be financial resources that are not part of basic funding needs or additional funding for University purposes. Under § 10, 12, and 13 of the UZH Finance Regulations of 16 November 2009 (the "Finance Regulations"), the following are classified as third-party funds:
- a. Donations and bequests;
  - b. Funding for research and teaching;
  - c. Services and continuing education programs without a direct statutory remit.

Definition of third-party funds

2. <sup>1</sup>UZH maintains a transparency list for the disclosure of third-party funds.

Transparency list

<sup>2</sup>The transparency list features third-party funds of a total of CHF 100,000 or more acquired on or after 1 January 2018. It covers outside funding for the project types listed in Section 3 para. 1 of these Guidelines.

<sup>3</sup>The transparency list contains the following information:

Name of recipient	Head of responsibility center
Name of funding provider	<p>The name of the natural person or legal entity from whom/which UZH has acquired the third-party funds.</p> <p>If the third-party funds have been received by the UZH Foundation, it is listed as the funding provider as follows alongside the name of the original funding provider: Name of funding provider (via UZH Foundation).</p> <p>In accordance with § 19 para. 2 of the UZH Ordinance of 12 November 2018 on the Acquisition and Receipt of Donations and Sponsorship (Fundraising) (<i>Verordnung über die Einwerbung und Entgegennahme von Spenden und Sponsoringbeiträgen (Fundraising)</i>), UZH will respect the wish of the funding provider not to be mentioned by name. In such cases, the transparency</p>

<sup>1</sup> <[http://www2.zhlex.zh.ch/appl/zhlex\\_r.nsf/0/1E4FB72230919BCBC1257690002FC6D2/\\$file/415.112\\_16.11.09\\_67.pdf](http://www2.zhlex.zh.ch/appl/zhlex_r.nsf/0/1E4FB72230919BCBC1257690002FC6D2/$file/415.112_16.11.09_67.pdf)>

<sup>2</sup> <<http://www.uzhfoundation.ch/index.php?path=home>>



list simply states the category to which the funding provider belongs (private individual, foundation/association, or company).

Project title	<p>An abbreviated form of the project title may be given here.</p> <p>In exceptional cases, identifying information may be omitted. Requests to omit identifying information must be submitted by the head of the responsibility center in writing to the Main Office of UZH Legal Services and Data Protection, stating reasons.</p> <p>Should the request be denied by the Main Office of Legal Services and Data Protection, a written application, stating reasons, may be submitted to the Executive Board of the University. The Executive Board makes the final decision on the application.</p>
Duration	Probable duration of the project.
Total amount	<p>The total amount agreed when the contract is concluded is stated in the currency in question.</p> <p>Third-party funds that have been acquired in foreign currencies are included in the transparency list if the total amount determined according to the exchange rate of 31 December of the year in which the funds are disclosed is at least CHF 100'000.</p>

3. <sup>1</sup>The transparency list discloses the following types of project:

Project types

F General research (*Forschung, F*)

Research projects that are not funded by either the European Union (EU) or the Swiss National Science Foundation (SNSF).

F-type projects represent funding which is used to fund internal research at the University. Specifically, it covers research funding, donations and bequests, revenue from collaborative research projects (initiatives in which the partner provides research services in addition to funding), and revenue from conferences, meetings and symposia which primarily serve to foster 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 and bequests.



- M Projects with mixed financing (*Mischfinanzierung, M*)  
Research projects funded by both third parties and funding from UZH.
- Q Regulated framework research programs  
This refers primarily to funding for individuals and projects which originates from public-sector providers in the USA.

<sup>2</sup>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 direct statutory remit to provide the service in question, and costs must be covered. D-type projects have the following characteristics: The content and methods of the initiative are essentially determined by the principal (in the sense of an order), and the rights to the results are generally held wholly or partly by that principal.
- E EU projects  
Funding for individuals and projects from the EU.
- 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.
- S SNSF projects  
Funding for individuals and projects from the SNSF.
- 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 certificate, diploma, or Master of Advanced Studies, as well as courses and other events which further continuing education (specifically conferences, meetings, symposia, colloquia, etc.).

4. Legacies and foundations which do not have an independent legal personality which are received by UZH on or after 1 January 2018 are stated in the transparency list with their net assets

Legacies and foundations with no independent legal personality

5. <sup>1</sup>Third-party funding transactions that are subject to a duty of confidentiality on the basis of overriding legal provisions are not included in the transparency list.

Exceptions to disclosure

<sup>2</sup>Requests for the non-disclosure of a third-party funding transaction pursuant to Section 5 para. 1 of these Guidelines must be submitted by the head of the responsibility center in writing to the Main Office of Legal Services and Data



Protection, stating the legal foundation for that request. At the request of the Main Office of Legal Services and Data Protection, the Executive Board of the University will make the final decision on the non-disclosure application.

6. <sup>1</sup>Third-party funds newly acquired in the course of a year will be published in the transparency list in the following year. Publication

<sup>2</sup>Third-party funding transactions continue to be included in the transparency list throughout their term. The transparency list is updated in the second quarter of each year, and published on a UZH website.

7. The disclosure of contracts and other information relating to third-party funding is governed by the Canton of Zurich Information and Data Protection Act (*Gesetz über die Information und den Datenschutz*) of 12 February 2007. The process for submitting requests to access this data falls under the responsibility of the Main Office of Legal Services and Data Protection. Principle of public access with regard to third-party funding

8. These Guidelines apply to third-party funds acquired in 2018 and 2019. Transitional provision

9. These Guidelines enter into force on 1 January 2020 and replace the Guidelines on the Disclosure of Third-Party Funding of 25 April 2017. Entry into force

On behalf of the Extended Executive Board of the University

The President  
Prof. Dr. M. O. Hengartner

The Secretary General  
Dr. R. Stöckli