

Performance Agreement Nr 9 (to be filled in by Sciex Management)

## F-4 Performance Agreement for Swiss Host Institutions

Between the Sciex-NMS<sup>ch</sup> Steering Committee  
and the Swiss Research Institution

**Zurich University of Applied Sciences - ZHAW**

Represented by the authorised representative (Rector / President)

Concerning the duties of a Swiss Host Institution within Sciex-NMS<sup>ch</sup>

### I General Information

Any eligible Swiss Research Institution must sign a Performance Agreement before it can host researchers (for short-term visits or for a research stay) within the Scientific Exchange Programme between Switzerland and the New Member States of the EU (Sciex-NMS<sup>ch</sup>).

The Performance Agreement is signed once and is valid for the whole duration of the Sciex-NMS<sup>ch</sup> from August 2009 to April 2016.

The following general principles and requirements are an integral part of the quality assurance mechanisms and a basis for the funding criteria for Sciex-NMS<sup>ch</sup>, as well as for the auditing, monitoring and evaluation processes of Sciex-NMS<sup>ch</sup>.

The Swiss Research Institution

- In the role of eligible Swiss Institution in the Scientific Exchange Programme between the New Member States of the EU and Switzerland (Sciex-NMS<sup>ch</sup>)
- in the role of the Host Institution to Sciex-NMS<sup>ch</sup> Mentors and Fellows
- in the role of Scoring Institution of Sciex-NMS<sup>ch</sup> Fellowship project proposals
- in the role of employer of Mentors and Fellows

contributes to the success of the Programme to

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| <ol style="list-style-type: none"><li>(1) Develop individual researchers' capacities (human capital);</li><li>(2) Foster scientific progress and innovation (scientific prospects); and</li><li>(3) Establish or enhance networks between researchers (networking).</li></ol> |
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### II Provisions of the Programme

#### 1 Assistance to Fellows and Mentors in the partner institutions

The Programme provides information and assistance to researchers before, during and after the research stay or short-term-visit. To this end it establishes a Sciex Regional Office in each Swiss university canton and a Coordination Body in each member country.

The list of the Sciex Regional Offices and Coordination Bodies is published on [www.sciex.ch](http://www.sciex.ch). All information concerning the Programme is regularly updated and refined on [www.sciex.ch](http://www.sciex.ch).

The Swiss Euraxess network ([www.euraxess.ch](http://www.euraxess.ch)) provides general information and assistance to mobile researchers and cooperates closely with Sciex.

## 2 Access to Documents

The Programme abides by data protection. Host Institutions receive a password to access their own project proposals and scoring documents on the website [www.sciex.ch](http://www.sciex.ch). Passwords will be communicated to the Charter & Code Supporter of the institution. The Charter & Code Supporter is designated on the last page of this PA. Guidelines for the handling of documents in the restricted area will be provided to the Charter & Code Supporters.

Proposal forms will be online after the formal check, ready for scoring.

## 3 Fellowships

### 3.1 Assignment criteria

The Steering Committee (SC),

which is composed of a President (CRUS member), and delegates from SDC, SER, SNF, the Universities, the Universities of Applied Sciences and the ETH-domain,

assigns

**Sciex Fellowships** to researchers on the basis of

- fulfilled eligibility criteria
- complete and formally correct proposal forms 1, 2a, 2b, 3a, and 3b, with all the required annexes
- the scoring by the Host Institution and the sending member country
- the compatibility of the project with the objectives of Sciex as agreed by the SC
- the funds available for each period.

Possible Decisions (only for eligible projects)*	Criteria for decision-taking
1. Not funded	Quality and competitiveness Available funds
2. Funded for the requested duration	
3. Funded for a reduced duration	

**\*The decision of the Steering Committee is final and cannot be appealed**

Regular Polish and Czech applications will be dealt with in March (from 2010 to March 2015).

Estonian, Hungarian, Latvian, Lithuanian, Slovenian, Slovakian applications are handled in August (from 2010 to August 2014).

### 3.2 Cantonal permits

The validity of employment contracts is subject to obtainment of a residence and work permit from the cantonal authorities. The Programme supports this process but cannot influence the final decision.

### 3.3 Granted amount

A project will be funded if the quality is considered to fit within the Programme and if it is competitive. The length of the granted stay depends on the funds available in each period. Extension<sup>1</sup> of the stay must be applied for at least two months prior to the end of the granted stay. Acceptance of extension is subject to the Steering Committee's decision.

<sup>1</sup> A project can only apply for extension, if it has not yet exhausted the maximal duration of 24 months for Doctoral Candidates and 18 months for PostDocs.

The Programme will calculate the amount for a fellowship in relation to the duration of the granted stay, as follows:

- A basic salary according to the status of the Fellowship Recipient
  - i. Doctoral candidates (months 1 – 12): CHF50'000 per year
  - ii. Doctoral candidates (months 13 – 24): CHF55'000 per year
  - iii. PostDocs (months 1 – 18): CHF80'000 per year
- the costs for social security contributions according to SNF regulations (please see the regularly updated version of the list on [www.sciex.ch](http://www.sciex.ch))
- Additional allowances for travel expenses and conference costs. Original receipts for effective costs must be presented: maximum CHF2'500.

The duration of the granted stay and the amount to be granted are subject to the Steering Committee's decision.

A request for extension of a stay can be made and is subject to the Steering Committee decision, which will be based on the above criteria. An extension to recommended projects will be given priority over new projects.

#### 4 Short-term visits

The Programme will reimburse the costs for a short-term visit of a researcher to his/her partner in the member country or vice versa for a maximal duration of 5 days and up to a maximum of CHF2'500. The visit must be formally approved **prior to the visit** (official confirmation with date and signature (N-5)).

#### 5 Payments

CCO will not transfer payments to researchers' accounts but only to Host Institutions.

##### 5.1 Fellowship grants

CCO will transfer Fellowship grants and effective supplementary compensations on a Sciex third-party funds account (designated by the Host Institution on the Multipartite Contract of each individual fellowship project) at the beginning of the stay. Payments are due after the signature of the Multipartite Contract and the amount is disbursed as a lump sum for the whole period. If the institution lacks funds due to unexpected changes, the shortfall amount will be disbursed during the next payment period, based on a request made in the financial report. If the institution has received an excess of funds for the project, it will reimburse the surplus to Sciex at the end of the project.

##### 5.2 Short-term visits

CCO will reimburse effective costs for allowances (on the basis of receipts) for short-term visits to the account designated by the Host Institution, but only if the visit was formally approved by the Programme Management **prior to the visit** (official confirmation with date and signature).

### III Host Institution

To achieve the Programme objectives, the Research Institution agrees to fulfil the following requirements:

#### 1 Working Conditions of Sciex-NMS<sup>ch</sup> Junior Researchers (Fellowship Recipient)

1. A workspace, equipped with adequate facilities (e.g. a desk and computer with internet access) and located in the same building as the research team, will be at the disposal of the Fellow for at least 20 hours per week during his/her stay.

2. The Charter and Code Supporter and the Main Applicant will be informed about the decision of the Steering Committee and will take the necessary steps for contractual arrangements (signature of Multipartite Contracts, contact with Human Resources).
3. The undersigned Institution takes full responsibility with respect to any matter concerning the employment of any Sciex-NMS<sup>ch</sup> Researcher. It will apply and guarantee the Institution's policies with regard to privacy and confidentiality, but will communicate to the CCO (sciex@crus.ch) all information relevant to the progress of the Sciex-NMS<sup>ch</sup> Researcher's development with respect to the three Sciex-NMS<sup>ch</sup> objectives.
4. The undersigned Institution will submit a note on any (joint) degrees completed at the institution, within the frame of Sciex-NMS<sup>ch</sup> or completed on the basis of a Sciex Fellowship.
5. The undersigned Institution undertakes the necessary steps to ensure development and maintenance of a supportive research environment and working culture, where Sciex-NMS<sup>ch</sup> Researchers are valued, encouraged and supported, and provided with the necessary material and intangible support to enable them to fulfil their objectives and tasks. Within this context, particular priority should be given to the organisation of working and training conditions in the early stage of the researchers' careers, as it contributes to the future choices and attractiveness of a career in R&D.
6. The working conditions and entitlements, including knowledge and competence development prospects (e.g. admission to a joint doctoral degree (corresponding to the basic agreement between the Rectors' Conferences of the partner countries published on [www.sciex.ch](http://www.sciex.ch)), colloquia or modules of doctoral programmes, admission to leisure programmes, etc.), monthly remuneration and payment mechanisms, etc. are proactively explained and communicated to the Sciex-NMS<sup>ch</sup> Researchers at the beginning of their stay and will be described transparently in the specification sheet to the employment contract.
7. Compulsory contractual arrangements in the employment contract:
  - Sciex Employment contracts conform to Swiss law and therefore cover all compulsory costs (social insurance, family allowances, child benefits, accident insurance, etc).
  - Basic salaries
    - i. Doctoral candidates
      - months 1 -12 of employment: CHF 50'000.- per year
      - months 13 – 24 of their stay: CHF 55'000.- per year
    - ii. Post Doctoral employees: CHF 80'000.- per year
  - Duration of Fellowship Contract: minimally 6 months (even if within the trial period of three months a short cut of the stay is decided on by the partners). Maximal duration for Doctoral candidates 24 months, for PostDocs 18 months.
  - Part and parcel of the contract is a specification sheet, which shall be based on the deliverables defined in proposal Form-1.
  - The Fellow will receive a certificate of employment within 30 days after the stay.
  - The Host Institution informs the NMS Home Institution and all involved parties, Mentors and Fellows about internal and country specific regulations concerning intellectual property rights with respect to dissertations or other publications, and the implementation or protection of scientific outcomes, developed within the Programme.

8. The Host Institution communicates, confirms or amends information with respect to beginning, duration and ending of the employment contract at the end of each six months period, and any unforeseen changes immediately to the CCO. It reports on a form, provided by the CCO, about monthly payments / salary and additional allowances at the end of each six months period and at the end of the contract.
9. Host Institutions will establish one special third-party funds account for Sciex Fellowship grants and it will provide payment slips for its original additional allowances' account to reimburse short-term visits.
10. Supplementary payment requests, due to unpredictable amendments, must be made immediately and will usually be reimbursed by CCO at the beginning of the next payment period.
11. **Surplus funds must in any case be paid back to Sciex at the end of the project.**
12. If required by SDC, the Host Institution will produce the management letter concerning the annual audit of the Institution.
13. The Host Institution confirms to inform the Sciex Regional Office about any changes that will have an impact on the proposal/contract of the Fellow as soon as possible, but in any case immediately if required by the CCO.

## 2 Scoring of Proposals

14. The Charter & Code Supporter designated on the last page of the PA will coordinate the work of Scoring Committees. The Programme Management will notify the C&C Supporter, when the proposal is formally correct and uploaded on the restricted area for evaluation.

### 15. Timing

CZ / PL 1 <sup>st</sup> Nov.	HU/EE/LT/LV/SL/SK 1 <sup>st</sup> April	Deadline for submission of proposal forms to sciex@crus.ch
15 <sup>th</sup> Dec./ 31 <sup>st</sup> Dec.	15 <sup>th</sup> May / 1 <sup>st</sup> June	Formally correct proposal forms on restricted area "project proposals" of <a href="http://www.sciex.ch">www.sciex.ch</a> . Ready for scoring. N-2→ to the Scoring Coordinator / C&C Supporter, copy to the Main Applicant
1 <sup>st</sup> Jan. – 5 <sup>th</sup> Feb.	1 <sup>st</sup> June – 5 <sup>th</sup> July	Scoring Process

16. The Host Institution takes the crucial steps to implement proposal evaluation/scoring methods and career evaluation/appraisal systems for Sciex-NMS<sup>ch</sup> Researchers. The development of Sciex-NMS<sup>ch</sup> Researchers' knowledge and skills will thus be monitored in a manner that is transparent, open, equal, tailored to the objectives of the programme and accepted by the partner states, as a prerequisite for the success of Sciex-NMS<sup>ch</sup>.
17. The entry and admission standards for Sciex-NMS<sup>ch</sup> Researchers to the Host Institution are clearly specified and facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career.
18. The scoring of the candidate's proposal has usually two parts: a scoring by the Home<sup>2</sup> and a scoring by the Host Scoring Committee.

<sup>2</sup> The partner countries decide autonomously about the form in which they want to evaluate and recommend project proposals to the Steering Committee. They can either perform a scoring on the basis of the template (T-1) or perform an individual scoring or evaluation process (e.g. recommendation by the Home Institution, etc.).

19. The Host Scoring Committee adheres to the principles set out in the Code of Conduct for the Recruitment of Researchers when scoring the proposals of Sciex-NMS<sup>ch</sup> researchers.
20. The Scoring Committee brings together diverse expertise and competences and has an adequate gender balance and relevant experience to assess the candidate. Members of the Scoring Committee have read the Code of Conduct for the Recruitment of Researchers.
21. The Scoring Committee takes into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered:
  - Merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research, and innovation and public awareness activities.
  - For candidates from an industrial background, particular attention should be paid to any contributions to patents, developments or inventions.
  - Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.
  - Language skills (in addition to the requirement of ELP Level B2 English) should be considered with respect to the added value these language skills will bring to the team in which the researcher will be working.
  - Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.
  - Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions. They should also take into consideration the transitional nature of the postdoctoral status, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.

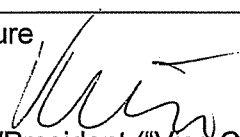
### **3 Declaration of Commitment to the Charter and Code for Researchers**

22. The Host Institution takes into due account and is guided by the general principles and requirements, referred to as "The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers".<sup>3</sup>
23. It endeavours to transpose these general principles and requirements within its areas of responsibility into frameworks, standards and guidelines.

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<sup>3</sup> [http://ec.europa.eu/eracareers/pdf/am509774CEE\\_EN\\_E4.pdf](http://ec.europa.eu/eracareers/pdf/am509774CEE_EN_E4.pdf)

24. In so doing, it will take into account the great diversity of the laws, regulations and practices, which, in different countries, cantons and in different sectors, determine the path, organisation and working conditions of a career in R&D.
25. The Host Institution's Board will nominate a "Charter & Code Supporter" to the institution, who will be a member of the Swiss Euraxess Network. It will communicate the name of this person to the Euraxess Bridgehead Organisation at the Rectors' Conference of the Swiss Universities.
26. The Charter & Code Supporter coordinates the Institution's efforts to overcome the persisting legal and administrative obstacles to mobility, including those related to intersectoral mobility and mobility between and within different functions, taking into account the enlarged European Union.
27. The Charter & Code Supporter ensures that Sciex-NMS<sup>ch</sup> researchers enjoy adequate social security coverage according to their legal status. Within this context, particular attention should be paid to the portability of pension rights, either statutory or supplementary, for Sciex-NMS<sup>ch</sup> researchers moving across borders. Such regimes should guarantee that Sciex-NMS<sup>ch</sup> researchers do not unduly suffer a loss of social security rights.
28. The Charter & Code Supporter is invited to inform the Swiss Euraxess Network of any further measures they have taken with respect to the implementation of the Charter and Code for Researchers, and to inform it of the results of its application as well as to provide examples of good practice.

Place Winterthur	Date 13.10.2009	Signature  Rector/President ("Vice Chancellor")
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**Charter and Code Supporter of the Institution** (will receive the Password and Login to the Institution's Project Proposal Documents!)

Name	Heinrich Stülpnagel
e-mail	heinrich.stuelpnagel@zhaw.ch
Function	Head Research and Development Unit

The paper version of **the Performance Agreement** with original signatures will serve as the **Performance Agreement** for the whole duration of Sciex-NMS<sup>ch</sup> (2009 - 2016).

Please send to:  
**CRUS - Sciex PA - Postbox 607 - CH-3000 Bern 9**