

Research committee

# Regulations for the University of Lucerne research committee (FoKo)

1 AUGUST 2019

The University of Lucerne senate, based on section 17 para. 1 of the University Act of 17 January 2000 and section 22 para. 2, section 23, section 43 and section 44 of the University of Lucerne statute of 12 December 2001, has decided the following:

## **1. Composition of the research committee**

1.1 The University of Lucerne research committee (hereinafter ‘research committee’) consists of 13 members with voting rights, including two professors representing each faculty or department, a representative of other academic staff and a representative of the student body<sup>1</sup>. The Secretary General also has voting rights<sup>2</sup>. The committee is run by the responsible prorector (FoKo president). The head of Financial Services, the Equal Opportunities Officer and the head of the Research Promotion Unit are members of the committee but do not have voting rights.

1.2 The senate selects the members of the research committee who have voting rights and their permanent representatives based on proposals submitted by the faculties, departments, rector or individual groups for a two-year term of office. Candidates may be re-elected. A member’s entire term of office<sup>3</sup> may not exceed eight years.

1.3 Otherwise, the research committee is self-constituting. It may incorporate ad hoc or permanent experts without voting rights. It can appoint other members as observers without voting rights.

1.4 When selecting members of the research committee or appointing the president, efforts must be made to ensure that women and men are equally represented.

## **2. Tasks**

2.1 The research committee views its role as being to enable and promote research.

2.2 The research committee decides on how to allocate research funds to research proposals and to start-up financing for research projects that are to be submitted to external third-party funding sources. The application and approval conditions are recorded in the guideline sheet for this purpose.

<sup>1</sup> Change as per section 23 of the University of Lucerne statute 539c, as of 1 August 2019

<sup>2</sup> Change as per section 23 of the University of Lucerne statute 539c, as of 1 March 2017

<sup>3</sup> Change as per section 23 of the University of Lucerne statute 539c, as of 1 March 2017

2.3 Research funds are part of the University of Lucerne budget and are re-allocated each year as part of the budget process. The research committee has access to research funds under the terms of these regulations.

2.4 Research funds are used to promote and support the university's scientific research. They can generally be used in a subsidiary manner for research-related funding opportunities.

2.5 Research funds are to be used for eligible, scientifically significant research proposals that have a clear substantive link to the fields tackled at the university. Eligible research proposals include actual research projects as well as symposiums, conferences, lecture series, colloquiums, book publications, communication events and similar. Interdisciplinary projects and projects supporting young research talent are particularly worthy of support. The research committee can also provide funds for supporting other research-related activities. No funding is available for the publication of individual degree papers (dissertations, postdoctoral theses). Further details can be found in the research committee guideline sheet on funding applications.

2.6 The results of research projects must be made accessible in a suitable scientific form and are subject to the principle of open access in the case of publication.

2.7 The research committee may use part of the research funds for information and further training events to promote research at the university. This portion must be specifically identified in the budget.

2.8 Research funds must be used for research proposals during the financial year. If any costs for approved proposals fall in the following year, then these will be correspondingly allocated to the following year.<sup>4</sup>

2.9 If necessary, the research committee may reallocate amounts budgeted as per sections 2.2 and 2.7 during the course of the year. This must be justified in the statement of accounts.

### **3. Reporting**

3.1 At the end of the budget year, the president of the research committee informs the rector and the senate about the research committee's activities and use of research funds.

<sup>4</sup> Pursuant to the Swiss GAAP FER reporting standard.

## **4. Eligibility**

- 4.1 The following people are eligible to make a written application for research funding:
- Academic members of university staff, including research staff with doctorates, as per sections 27 to 30 of the university statute
  - Research staff without doctorates, via professorships
- 4.2 Applicants must generally be substantially involved in the research project. As part of this involvement, employees should undertake tasks that match their level of scientific qualification.

## **5. Submission of applications**

- 5.1 Applications for granting start-up financing or research funding are generally submitted electronically to the president of the University of Lucerne research committee. Receipt of applications is confirmed in writing.
- 5.2 The University of Lucerne research committee produces an guideline sheet for applications for research funds, detailing the specific implementation regulations. The guideline sheet can be obtained from the secretary to the president of the research committee and from the University of Lucerne website.
- 5.3 A justified supplementary request may be submitted at a later date as part of any tangible research proposal. Approval being granted for an application does not predetermine preferential treatment for supplementary requests.
- 5.4 The research committee sets submission deadlines for applications. In doing so, it takes into account the submission deadlines for supporting institutions, in particular the Swiss National Science Foundation. The dates are communicated in a suitable form, and in particular published on the University of Lucerne website.
- 5.5 Eligible applicants are informed once the research committee has assessed the applications submitted and decided on how funds will be allocated. The research committee strives to reserve at least 20% of the annual budget for smaller applications.

## **6. Application rejections and deferrals**

6.1 The committee will reject applications that do not meet the formal requirements. They can be resubmitted in improved form.

6.2 Applications lacking sufficient justification and/or documentation may be sent back for revision.

6.3 Research proposals that would result in the total research fund amount being exceeded will be deferred. If the applicant desires, they may be re-processed during the following year.

## **7. Application review**

7.1 The research committee reviews and assesses applications (as per section 2.1) in accordance with the following criteria:

- 1) Researcher's scientific qualifications
- 2) Scientific quality of the research proposal submitted
  - 2a) Clear substantive objectives for the research proposal
  - 2b) Realistic feasibility using suitable methods
  - 2c) Scientific significance and originality
- 3) Suitability of the budget in accordance with the provisions of the research committee guideline sheet and the finance plan
- 4) Promoting young research talent when appointing project staff
- 5) Appropriate involvement of men and women in anthologies, conferences and congresses
- 6) Potential for University of Lucerne visibility and networking

7.2 The research committee sets the following priorities for eligible proposals:

- 1) Research projects and start-up financing (staffing costs, inviting experts, expenses etc.)
- 2) Organising scientific conferences at the University of Lucerne
- 3) Publication funding
- 4) Organising scientific conferences outside of the University of Lucerne where the University of Lucerne's research work plays a key role
- 5) Attending scientific conferences (expenses)
- 6) Proofreading foreign-language texts

Further details can be found in the research committee guideline sheet on funding applications.

7.3 If necessary, the committee may decide to obtain additional external reviews. A maximum of 5% of the annual research funds are available to the committee for the related costs.

7.4 The research committee strives to ensure that funds are distributed appropriately, and thus limits the scope of funding available to individual projects.

## **8. Research committee decision**

8.1 The research committee decides whether to accept, reject or defer applications. Decision-making only requires a simple majority of the members present. In the event of a tie, the president has the deciding vote.

8.2 In urgent cases, the committee may approve applications for amounts of up to CHF 8000 via a circulation procedure. If a member with voting rights raises an objection, the application will be processed at the next standard meeting. Applications for amounts of up to CHF 1000 may be ruled on by the president of the research committee alone, who will then report back to the research committee.

8.3 The members of the research committee shall withdraw and not take part in either preparation or decision-making activities if they:

- Have a personal interest in the case
- Are related by blood or marriage (in a direct or collateral line up to the third degree) or married to, cohabiting with, engaged to or adopted by people directly affected by the decision
- Work closely with people directly affected by the decision
- Could otherwise be biased regarding the case

The member required to withdraw must voluntarily disclose the reasons for the withdrawal, if possible in advance. If the withdrawal is disputed, a decision is made by the committee (excluding the affected member).

8.4 The research committee's decision is communicated to applicants in writing within two weeks of being made, together with reasons in the event of a rejection.

8.5 Applicants who do not agree with the research committee's decision may submit an application to the committee for reconsideration. The research committee then rules again following a review. If the application is rejected, it will issue a contestable directive.

8.6 As per section 34 of the University Act, applicants may submit an administrative appeal to the Department of Education and Culture regarding research committee directives.

## **9. Obligations of funding recipients**

9.1 Once an application is approved, the applicants become funding recipients.

9.2 They are required to make appropriate use of the funding they are allocated, adhere to the research plan and project budget, undertake research work with requisite care and comply with these regulations. Reference should also be made to the research committee's support.

9.3 If the terms under which the funding was awarded (research plan, schedule, budget, staff etc.) should change during a research project, the research committee must be immediately informed. It will then decide on any further steps to take.

## **10. Payment methods for approved research funding**

10.1 Fees are paid in accordance with the university's regulations.

10.2 Cantonal HR regulations apply to employment at the University of Lucerne.

10.3 For reimbursements (reimbursement of invoices and expenses, payment of invoices), payments are made by Financial Services upon presentation of the relevant payment documents. Absolutely no advance payments will be made.

## **11. Reporting by funding recipients**

11.1 Funding recipients are required to submit a final report to the research committee within three months of completing a research project.

11.2 The committee is entitled to require interim written reports.

## **12. Cost summary**

12.1 The University of Lucerne's Financial Services department summarises the costs of a research project in a project account based on information from the project management.

## **13. Misuse of research funding and regulation violations**

13.1 In the event of a research proposal's funding being misused or of violations of these regulations, the senate may at the committee's request revoke approval of a research project, reclaim amounts paid out and take any other measures deemed necessary.

## **14. Entry into force**

These regulations enter into force on 1 August 2019. They replace the provisions of the regulations for the University of Lucerne research committees dated 1 August 2016 that relate to the University of Lucerne research committee.

Lucerne, 17 June 2019

On behalf of the University of Lucerne senate:

Prof. Bruno Staffelbach, rector

Dr. Markus Vogler, minutes