



**SystemsX.ch**

The Swiss Initiative in Systems Biology

# Financial Reference Book for SystemsX.ch Projects

For questions:

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## 1 The Aim of the Reference Book

The aim of the SystemsX.ch reference book is to provide the F&C contact people at the SystemsX.ch partner institutions, with information relevant to financial tasks including reporting of SystemsX.ch projects. In an effort to give a comprehensive overview this reference book is divided into five sections (2-6) in addition to this introduction.

Section 2 gives a brief glimpse of SystemsX.ch in the most general sense. In this section you will find information regarding the definition of Systems Biology, the purpose of the initiative, the goals of the initiative, and the general structure of SystemsX.ch. This section will also introduce you to the different types of SystemsX.ch projects we support and briefly explain their purposes.

Section 3 is dedicated to explaining the overall financial structure of SystemsX.ch. There are many financial operations intrinsic to the initiative that may not affect you on a daily basis, but whose origin and activity are nevertheless important for you to understand in the greater scheme of the initiative. This section will describe the financial and scientific reporting and whom you may contact within your own institution or the SystemsX.ch Management Office if you have a question. Basically, you should get an overview of what SystemsX.ch can and will provide to you in order for you to do your job efficiently and effectively.

A description of the specific operational tasks of the F&C contact people are found in section 4 of the reference book. Here you will find useful information concerning deadlines and timetables relevant for financial reporting. In addition, the issues of cash allocations, project-specific settlements, and audits are explained. After reading this section you should feel confident about the expectations SystemsX.ch has from you.

Section 5 is dedicated to explaining the ACTUAL Financial Report form you need to provide to SystemsX.ch. You will be familiarized with the file and the specifics related to the various project types you will be reporting on. The information provided in the previous sections will make understanding section 5 easier.

At the very end you will find an Annex containing links to a number of documents, abbreviations, and other information which is routinely referenced throughout the book. This annex should help you to look up things you are unsure about or to keep an overview of the various budget and reporting forms used for each project type.

Finally, you will notice that we often make direct references to information or documentation which can be found or downloaded from the web. This was done in an effort to keep this book as concise as possible, while still providing you with a way to access all the information you need. We also call your attention to our FAQs for Finance Questions on our [website](#). Please feel free to post questions! This may also become an excellent reference for finding answers to questions before contacting your superior or the Management Office.

In this spirit we hope that we have provided you with a useful reference to tackle the specific financial needs of SystemsX.ch.

The SystemsX.ch Management Office

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Our present partners include the Swiss Federal Institute of Technology Zurich (ETH Zurich) and Lausanne (EPF Lausanne), Friedrich Miescher Institute (FMI), Paul Scherrer Institute (PSI), Swiss Institute of Bioinformatics (SIB), and the Universities of Basel (UniBS), Bern (UniBE), Fribourg (UniFR), Geneva (UniGE), Lausanne (UniL), Neuchâtel (UniNE) and Zurich (UZH).

## 2 SystemsX.ch: General Information

### 2.1 What is Systems Biology?

Systems Biology is an emerging field which is still in the process of defining itself. It addresses the analysis of entire biological systems. Systems Biology is an interdisciplinary approach to the investigation of all the components and networks contributing to a biological system. For example, what we know about the cell can be integrated into new dynamic computer modeling programs which ultimately might allow us to simulate entire organisms based on their individual cellular components. The general strategy of Systems Biology is dependent on interactive cycles of predictions and experimentation. This approach to research has already been successfully applied in the exact sciences, such as Physics and Chemistry. Should they prove as successful in Systems Biology, it would allow this discipline to move from the ranks of a descriptive science to an exact science.

The paradigm shift offered by Systems Biology and more generally to new systems sciences and systems technologies can only be achieved with the help of experts who are not classical Biologists. External collaborations with specialists from the fields of Physics, Mathematics, Information Science, Medicine, Chemistry, Micro- and Nanoengineering are necessary. The fusion of Information Technology, Biotechnology, and Nanotechnology are considered to be highly significant in the 21st century. Revolutionary discoveries are expected from these new technologies and provide us with novel biological applications. These include the observation and alteration of biological molecules, the production of biochips for rapid diagnosis, and miniature sensors to measure immune parameters.

For more information please go to the SystemsX.ch [website](#).

### 2.2 What is SystemsX.ch?

#### 2.2.1 SystemsX.ch: THE Swiss Initiative in Systems Biology and its Goals

SystemsX.ch is a “simple partnership” which enables institutes, competence centers, and scientific projects to interact and cooperate by establishing common technological platforms and sharing the data collected. The members of the partnership, i.e. the partner institutions, intend to position Switzerland among the world leaders in Systems Biology. In order to attain world leader status, SystemsX.ch aims to:

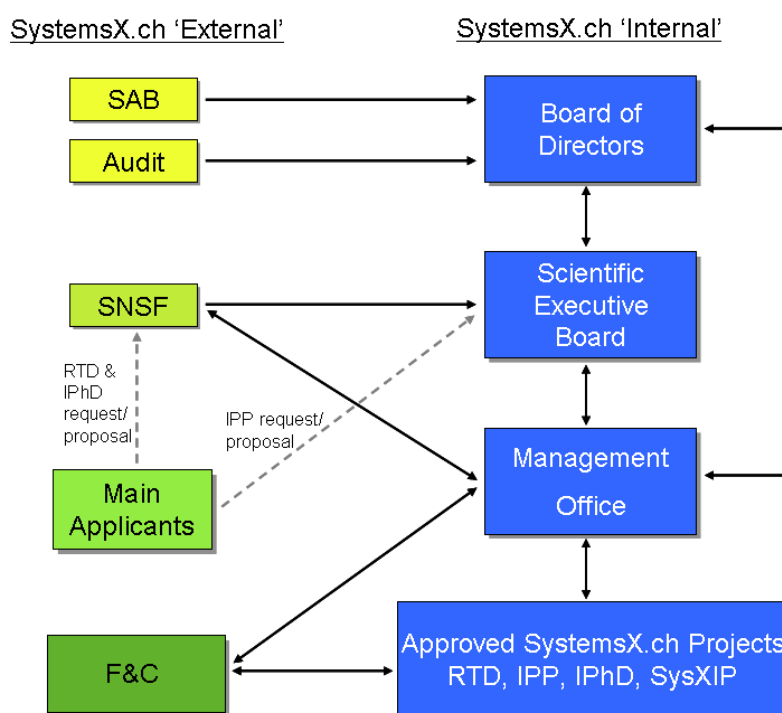
- ✘ enhance, extend, and implement a truly interdisciplinary research culture by assembling complementary disciplines to stimulate mutual benefits;
- ✘ set up and develop the cutting-edge technology required for Systems Biology research;
- ✘ gathering scientific competences on a national level to establish Switzerland at the forefront of the Systems Biology research;
- ✘ establish collaborations with the private industry and SMEs in flexible forms of public private partnership;
- ✘ foster the ongoing design, development, and application of advanced technology and the training of scientists and engineers in the special skills required to understand biological systems.

To achieve these goals, the initiative is relying on the creative talents of its scientific and professional staff and their ability to initiate and nurture partnerships among the projects associated with the program and with other academic institutions, the private industry, and the society. For more information please go to: <http://www.systemsx.ch/index.php?id=90>

### 2.2.2 Structure of SystemsX.ch

There are several 'internal' and 'external' entities which interact with SystemsX.ch as a whole. Below is a simplified scheme in which these entities and their respective interactions are shown. The internal entities are those which are directly part of SystemsX.ch. These include our **Board of Directors (BoD)**, the **Scientific Executive Board (SEB)**, and the **Management Office (MO)**. Indirectly all the researchers involved in SystemsX.ch projects are also 'internal' SystemsX.ch entities. These people all work together so that SystemsX.ch functions as a whole.

'External' entities include the SystemsX.ch **Scientific Advisory Board (SAB)**, the financial auditors, the **Swiss National Science Foundation (SNSF)**, and the F&C contacts (YOU). SystemsX.ch relies on constructive interactions with specific 'external' entities for several tasks.



**SAB:** evaluates progress and effect of SystemsX.ch; helps the initiative keep on track and makes recommendations for changes

**Audit:** a company will be mandated to audit the finances spent by SystemsX.ch in the approved projects every year; they help to keep the financial reporting clean and correct

**SNSF:** the RTD and IPHD projects are evaluated by the SNSF; represents SystemsX.ch's scientific quality control

**Main Applicants:** scientists that submit proposals in response to Calls (dotted arrows)

**F&C:** F&C contact person responsible for managing the financial side of all the SystemsX.ch projects at their institution

**BoD:** is composed of presidents and rectors of partner institutions and is the unit carrying final responsibility. It approves strategy, operations and promotes the initiative

**SEB:** is composed of researchers of different Systems Biology disciplines. It implements the strategy, prepares Calls, evaluates IPPs and high tech funds, sets up committees for special tasks

**Management Office:** runs daily operations, reports, and takes care of administrative tasks for SEB and BoD; responsible for communication

**Approved Projects:** participants are contacts for information circulated by the Management Office; lead SystemsX.ch projects

### 2.2.3 Research in SystemsX.ch

SystemsX.ch provides four project types, plus an additional funding mechanism just for RTDs, for researchers to do their Systems Biology research in. The table below offers a quick overview of the project and funding types and the time frames over which they are funded. In most cases only the first three will be relevant to you on a regular basis. More information about the project types can be found in the section 2.3.

Project Type	Budget Frame (CHF)	Funding Time	Number of Calls	Number Approved per Call	Renewable?
Research, Technology, & Development Projects ( <b>RTD</b> )	2-7 Mio	3-4 years	<b>2</b> (2007, 2008)	5-7	yes
Interdisciplinary PhD Projects ( <b>IPhD</b> )	SNSF Student Salary + 32'000 (consumables)	3-4 years	<b>3</b> (2007, 2008, 2009)	Max 15	no
Interdisciplinary Pilot Projects ( <b>IPP</b> )	120'000 (max)	1 year	<b>4</b> (2007, 2008, 2009, 2010)	Max 15	no
Bridge to Industry Projects ( <b>BIP</b> )	120'000 (max)	1 year	<b>10</b> (2009, 2010, 2011)	individual	no
SystemsX.ch Initiated Projects ( <b>SysXIP</b> )	As needed	As defined	As assessed by SEB	NA	NA
High Tech Funds	As budgeted annually	1 time payment	As assessed by SEB	As needed	no

## 2.3 Project Characteristics

### 2.3.1 Research, Technology, and Development Projects (RTD)

SystemsX.ch supports large integrated **Research, Technology, and Development (RTD)** projects that explore Systems Biology problems with multiple research partners over a fairly large scope. Ideally, an RTD encompasses several research groups from complementary fields from at least two partner institutions. Each project addresses particular biological questions and aims to provide new insight into these questions using the Systems Biology approach.

An approved SystemsX.ch RTD-project is bottom-up proposed and led by one **Principal Investigator (PI)** of a partner institution. The PI was the main applicant on the initially submitted proposal, and whose home institution is referred to as the host institution. The host institution is often relevant for formalities (signatures, providing all others with information), and acts as the 'center' around which the project is built. This does not mean that the researchers from other institutions are overlooked. The leaders of projects which are part of an RTD and not in the lab of the PI are referred to as Co-PIs. They are each listed as co-applicants when the proposal is submitted. Their position is promoted to Co-PI after a

proposal is approved for funding. The SystemsX.ch Management Office would like to keep correspondence as simple as possible. Consequently, when there is important information to be distributed, we relay this to the PI whom then has the responsibility to disperse it accordingly.

If an RTD project proposal is approved for SystemsX.ch funding, the amount invested by SystemsX.ch must be matched by at least 100%. This means that each institution that receives funding for a SystemsX.ch project must provide the project with at least as much funding as they receive. These **Own Contributions (OC)** may be 'in kind' (existing salaries, equipment, services, etc) or 'in cash' (new money for new equipment, services, salaries, etc). More information about Own Contributions can be found under section 4.5.1. **Signed commitments from the relevant university management about the amount and source of Own Contributions they will provide to their researchers (receiving SystemsX.ch monies) must be communicated to the Management Office before any money can be released from SystemsX.ch.**

For more information on RTDs including a list of the currently funded projects, please see <http://www.systemsx.ch/index.php?id=136>.

### 2.3.2 Interdisciplinary PhD Projects (IPhD)

SystemsX.ch realizes the importance of ensuring that there is a next generation of scientists interested in continuing Systems Biology research. In order to encourage young researchers to engage in Systems Biology we provide **Interdisciplinary PhD (IPhD)** scholarships as a third project type. IPhD project stipends are provided to a dual-mentored PhD student. These mentors must represent both the biological and the quantitative sciences in a unique project connecting the two disciplines.

Like the IPPs, there are usually two applicants which apply for an IPhD project who then act as mentors to the PhD student. These two applicants are referred to as **Mentor** and **Co-Mentor**. Correspondence from the Management Office goes either to the Mentor or directly to the student depending on the content. The Management Office should have a name and CV for the student to be employed before funding commences.

Again similarly to an IPP, the IPhD projects are not obliged to submit Own Contribution information a priori. However, as mentioned for the IPPs we encourage IPhD fund recipients to let us know how much they are investing into the project from other sources.

For more information on IPhDs including a list of the currently funded projects, please see <http://www.systemsx.ch/index.php?id=112>.

### 2.3.3 Interdisciplinary Pilot Projects (IPP)

At the other end of the spectrum, SystemsX.ch provides a project type to foster high-risk projects with questionable outcomes in order to seed new research ideas. These **Interdisciplinary Pilot Projects (IPP)** do not have to provide an immediate or obvious impact. However, by fostering a few high-risk projects SystemsX.ch aims to encourage scientists who may not have worked together to find new topics of interest and perhaps create some new bridges among the classically separated disciplines such as biology and mathematics.

IPPs are submitted by two applicants. After an IPP has been approved for funding, the first applicant will be referred to as **Interdisciplinary Pilot Project Investigator (IPPI)** and the second as **Co-IPPI**. Since these are relatively small projects between two researchers, communication should not be so difficult. However, as a rule the Management Office corresponds with the IPPI and expects the information to be forwarded accordingly.

As shown in the table in section 2.2.3, these projects are financed with up to CHF 120'000 for a one-year period. The same projects cannot be extended under the same project type.

However, in some cases an IPP may mature and provide the basis for an RTD proposal. Unlike the RTD projects, the IPPs do not require the applicants to submit information about Own Contributions a priori. However, when it comes time to prepare the financial reports, we ask that the researchers provide all information concerning additional spending which directly affected the IPP. The aim here is to see how much new money could be generated by the existence of this IPP. There is, however, no obligation to match the funding 100%.

For more information on IPPs including a list of the currently funded projects, please see <http://www.systemsx.ch/index.php?id=113>.

#### 2.3.4 Bridge to Industry Projects (BIP)

SystemsX.ch promotes various forms of public-private partnership and strengthens the incentive for academia and industry to develop Systems Biology projects and collaborations. A **Bridge to Industry Project (BIP)** must consist of at least one academic and one private/industrial partner. The academic partner must be affiliated with one of SystemsX.ch's partner institutions. Submission of proposal was open four times per year between late 2009 and 2011. As far as financial issues and reporting is concerned, a BIP project is very similar to an IPP, but one of the co-PIs is a private company.

As shown in the table in section 2.2.3, these projects are financed with up to CHF 120'000 for a one-year period. All SystemsX.ch funds go to the academic partner, the private partner contributes in kind and/or in cash to the project.

For more information on BPs including a list of the currently funded projects, please see SystemsX.ch [website](#).

#### 2.3.5 SystemsX.ch Initiated Projects (SysXIP)

In addition to the three project types mentioned above, SystemsX.ch recognizes that there are currently many technological limitations and bottlenecks in biological research. Hence, SystemsX.ch has created a special category of projects to deal with broad-based needs spanning the entire initiative. These **SystemsX.ch Initiated Projects (SysXIP)** can be called into existence by mandate via the SystemsX.ch SEB to support existing Systems Biology research within the existing SystemsX.ch projects. These projects run outside of the normal Calls for Proposals, and cannot be solicited from external parties.

The financial reporting of SysXIP projects is unique. If you are part of an institution carrying out such a project you will receive specific instructions concerning the financial reports.

For more information on SysXIP please see <http://www.systemsx.ch/index.php?id=111>.

#### 2.3.6 High Tech Funding

In addition to the general project types, recipients of RTD grants have an additional fund category which they can apply to. This is something we refer to as 'High Tech Funding' and is meant to fund equipment and services that may become necessary during the RTD project which were not available and/or foreseeable technologies when the original RTD proposal was written. Those involved in RTD projects are notified when a Call for High Tech Funding is underway. These grants are reviewed and distributed by the SystemsX.ch SEB. They also call for a full budget submission including OC the recipient will make if he or she receives the money. You should know which RTDs receive funding as you will submit the payment application (PA) to release this additional funding money.

For reporting purposes, please list any High Tech Funds received and OC, 2<sup>nd</sup> and 3<sup>rd</sup> party funds made in their context under the expense category 'Miscellaneous'. If it is money which is divided up among different RTD projects at the same institution, please contact the researchers for the breakdown of the High Tech Funds and the Own Contributions to be claimed.

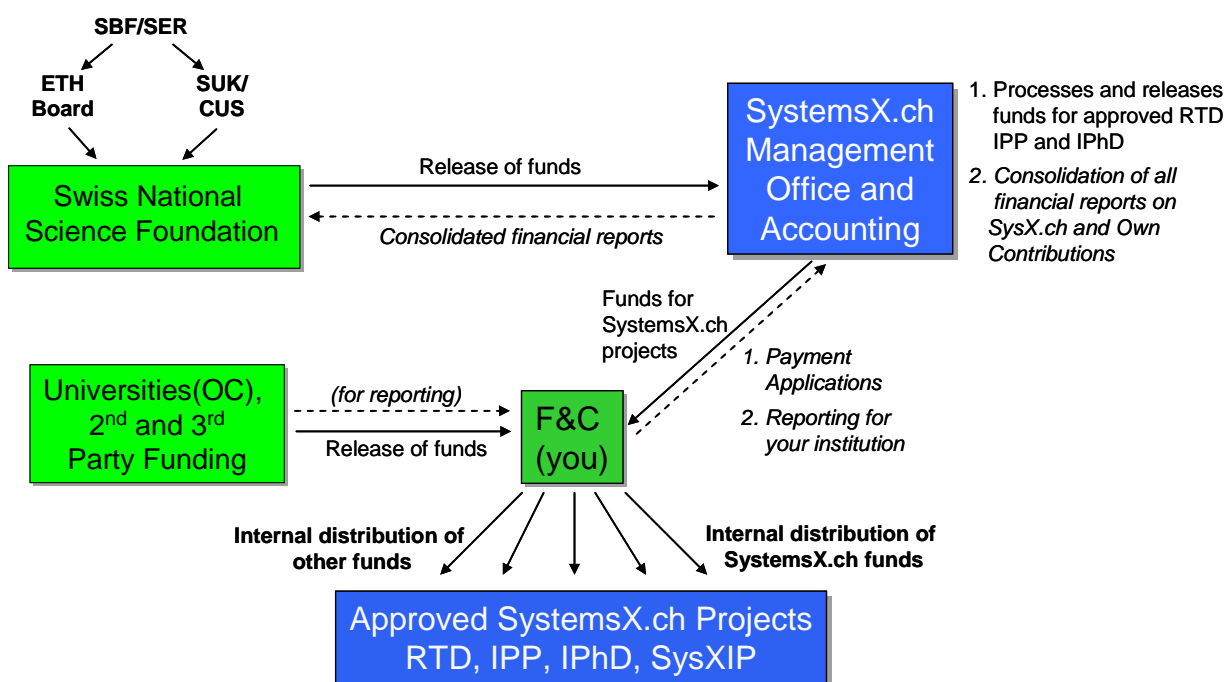
For further questions, please contact the MO.

### 3 General Financial Information

The federal government has provided a budget of CHF100 million to support SystemsX.ch over four years (2008-2011). During this time these CHF100 million will be used to support Systems Biology research as well as finance additional needs within the initiative. A total of about CHF 94 million will go directly into funding research (RTD, IPhD, IPP, BIP, SysXIP, and High Tech Funding projects). The rest is allocated to support education, reviews, high tech funds, events, and administration.

#### 3.1 Money Flow

SystemsX.ch is responsible for releasing the funds for each project to the respective institutions annually based on the budget released and approved by the SNSF. The figure below is a rough overview of the relevant money flows within the SystemsX.ch initiative. In the middle, the flows cross as payments are made from SystemsX.ch and internal sources to the individual institutions for their approved SystemsX.ch projects. This is where your role in the distribution and reporting of the finances becomes crucial.



**Figure:** Full arrows indicate money is moving while dotted arrows refer to reports and payment applications. BIPs are treated like IPPs.

#### 3.2 What are and why 'Own Contributions', 2<sup>nd</sup>, and 3<sup>rd</sup> Party Funds?

##### 3.2.1 Own Contributions

Own contributions refer to the resources made directly available by the partners or other Swiss institutions into their SystemsX.ch projects. Swiss law requires at least 100% return on their investment which means that SystemsX.ch must raise at least CHF 100 million in Own Contributions. Consequently, SystemsX.ch is obliged to report on the amount of Own Contributions spent in each project each year. The amount of Own Contributions is one indicator to the federal government that their initial investment did in fact cause an increase

in general spending on this new kind of research by the recipients of the funds. SystemsX.ch aims to raise at least CHF 200 million for Systems Biology research for the period spanning 2008-2011.

### 3.2.2 Second and Third Party Funds

It is likely that a SystemsX.ch project generate other funding opportunities. Since this funding is linked to SystemsX.ch, we are obliged to report on this type of funding also. These additional funding sources may come from second or third party funds as described below:

- ✘ 2<sup>nd</sup> Party Funds: other competitive research grants (CTI, EU, SNSF, NIH)
- ✘ 3<sup>rd</sup> Party Funds: private sector, i.e. industry and SMEs

Consequently we ask you to report on all **four** funding categories (including SystemsX.ch Funds) as listed in sections 3.3 and 4.5.1. Without information concerning all of these investments, SystemsX.ch may not be able to provide a proper financial report about the whole initiative.

## 3.3 Responsibilities of SystemsX.ch Management Office to F&C Contacts

SystemsX.ch aims to minimize administrative work loads, especially when it comes to the scientists. Therefore, each SystemsX.ch partner institution has named a responsible accountant / controller (you) for the financial coordination of reporting of the relevant SystemsX.ch projects, a so-called F&C-contact person. You are the responsible contact persons for the financial reports from your respective institution.

According to the SystemsX.ch Partnership Agreement, SystemsX.ch is responsible for administrating and reporting on the money-workflow of Federal Funds (SystemsX.ch funds) and the Own Contributions of the partner institutions.

A full accounting report about the four **funding categories** (a) SystemsX.ch funds, (b) Own Contributions), (c) 2<sup>nd</sup>- and (d) 3<sup>rd</sup> Party Funds has to be consolidated and submitted yearly. SystemsX.ch is in charge of consolidating the annual accounting and reporting for the whole initiative. This task is really shared between the SystemsX.ch Management Office and you, the Finance & Controlling contact persons in the SystemsX.ch partner institutions.

The MO is here to help you access any information we can supply from our side. This includes providing you with the submitted budget forms (see section 6) from the various projects that are running at your institution. Please do not hesitate to contact us if you have questions about filling out the financial reporting forms, submitting payment applications, or require updated budget information. If you need to access information from other partner institutions, we have a list of the F&C contacts at our partner institutions on the [web](#). SystemsX.ch is about good science, but relies on your cooperation to allow for good and efficient administration.

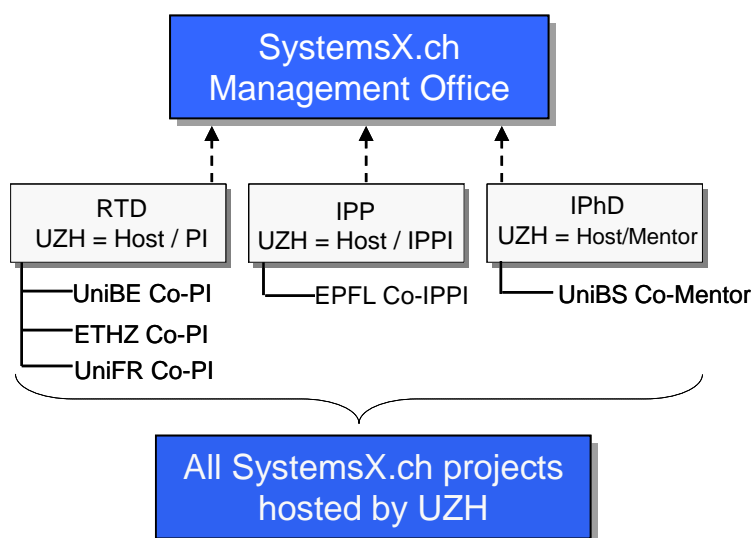
## 3.4 Scientific vs. Financial Reporting

Although you are only directly involved in the financial reporting, we provide you some insight into the overall reporting scheme. Projects funded by SystemsX.ch have to deliver both a scientific and a financial report to SystemsX.ch. Both of these reports are consolidated and forwarded to the SNSF for review. The financial reports require an external audit, while the scientific reports go directly to the SNSF. Below you will find a brief description about how these two kinds of reports are structured; and more specifically when you have to deliver what.

### 3.4.1 Scientific Reporting

The institution you represent may host projects of various types. In other projects, your institution might have participating PIs or co-PIs. The scientific reporting will always come from the PI. Depending where this person is located, he/she is responsible for consolidating the report of the entire project and submitting it to the MO. The figure below summarizes how the scientific reporting will be structured. Unlike the financial reports, the scientific reports will be consolidated on a project level. This is not desirable for the financial reports since the money is spread throughout so many different institutions. Also, one institution cannot claim responsibility for the financial reporting from another. At the scientific level it is of course more interesting to look at the project progress as a whole. Therefore, project PIs will be asked to submit reports about their entire projects and not just for their portion of the project. This is different from what is requested in the financial reports.

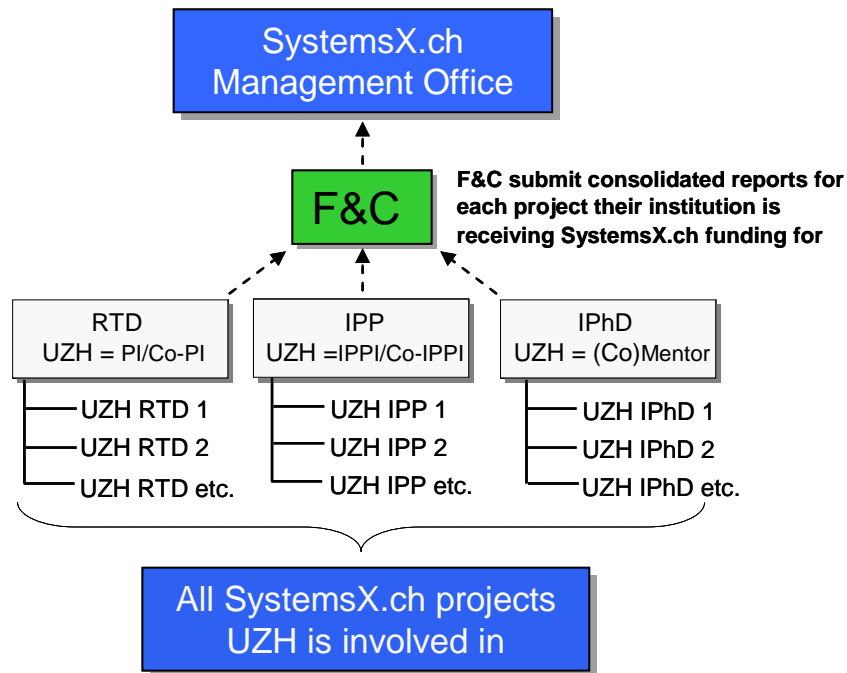
Some people from your institution may be co-PIs for projects hosted at other partner institutions. Hence, the scientific reports concerning their contribution to the project will appear in a report submitted by the host institution PI.



The co-PI involved submits her/his scientific report to the PI whom in turn passes it on as part of the consolidated report of her/his project hosted by the EPF Lausanne in this case. In the case of the scientific reports, the Management Office would like whole project reports which do not require any pasting together of bits and pieces. Scientific reports are due once per year in July. They should reflect about one project year, but may include numbers to the end of each calendar year so that IPPs only submit one report, and IPhDs are on the calendar year schedule for reporting after the first financial report.

### 3.4.2 Financial Reporting

As mentioned above, the financial reports will be made per institution and per project rather than over an entire project. This is due to the nature of how the money is transferred to the various partners, and the responsibility which each partner institution carries in terms of how the money is spent. In addition to a report on how the SystemsX.ch funds were used, each institution must provide a detailed account of their Own Contributions, 2<sup>nd</sup>, and 3<sup>rd</sup> Party Funds. The Own Contributions will be discussed in detail in section 3.2 and 4.5.1.

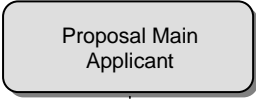

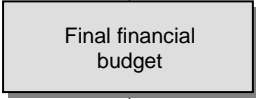
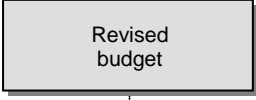
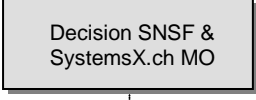
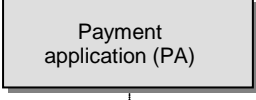
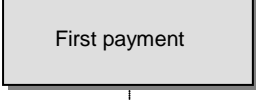
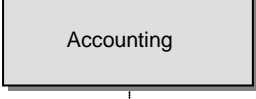
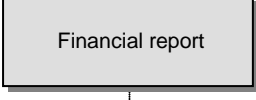


The guidelines for the operational tasks surrounding the financial report are based on the RTD project since these are the most complex and run over the longest period of time; four years. The forms for the IPhDs, IPPs and BIPs will be identical, but certain deadlines and items are different from the RTDs. The first financial reports for the RTDs was due on February 28, 2009. They reported on the expenditures of 2008. Annual reporting periods for the financial reports from IPhD, IPP and BIP projects will be coupled to the start date of the project. However, they will be collected together with the RTD financial reports, and should contain all numbers through December of the year being reported. This meant that the first IPhD and IPP reports were in February 2010 together with the second reports for the ongoing RTDs. For more information please see the examples in section 4.2.

## 4 Operational Tasks for F&C (you)

In this section we aim to inform you about operational activities that affect you. There are some basic concepts that you need to know in order to do your job effectively. This includes the length of each project being financed at your respective institution, general timetables, and reporting deadlines.

### 4.1 Activities and Overview

Workflow	Nr	Tasks	Document	Main Applic.	F&C Contact Management Office	Ext. Auditor	SNSF
	1	Including general information, scientific information, full cost budget, letters of commitment of the participating institutions concerning OCs	Official form Call SysX.ch	S	R		R
Deadline Submission							
	2	SNSF Selection Procedure, rejection if the proposal does not meet the scientific definition SystemsX.ch and quality required by SNSF					A
	3	After approval, the Management Office sends the detailed budgets back to the PIs for revision	RTD, IPHD, IPP Budget Forms (xls)	R	S		
	4	PIs have to adjust their final budgets to reflect any budget cuts necessary			C		
	5	Decision letters for approved RTDs and IPHDs from SNSF and from MO for IPPs including amount of approved funding			D		D
	6	Payment request via payment application for each project and institution <b>The PAs with budget info will be provided by the MO</b>	Payment Application Form		S	S	R
	7	Money flow, partial payments of the requested amounts for each project and involved institution		R	R	F	S
	8	Daily accounting of all financial transactions, keeping all receipts for each entry in the institution			C		
	9	Consolidation per project on institution level (for each funding category and cost category)	RTD, IPHD/ IPP Financial Reporting File (xls)		S	R	

Letter of representation	10 Confirmation by sending a signed letter of representation <b>and/or signatures on individual reporting files</b>	Letter of Rep.		S	R			
Analysis & Verifying	11 Reviewing the data of each institution, in particular the ratio between SystemsX.ch funds and own contribution					C		
Consolidation on Project Level	12 Consolidating the figures for each project and sending to the appropriate PI		R		S			
Financial Approval RTD PI**	13 Verifying the consolidation and giving feedback The PI is asked to submit his/her officially revised budget for the <u>current</u> year		S		R			
Next payment	14 Payment request using the payment application, money flow of the next payment <b>as received from the MO</b>	Payment Application Form	R	S	F	A	S	
Audit	15 Annually audit by an external auditor, random sampling will take place, receipts must be delivered within one week						C	
Financial report to SNSF	16 The MO writes a report covering all projects for the SEB, BoD, and SNSF. (Runs parallel with the external audit)				S			R
Scientific Progress Report	17 Scientific progress report on project level Consolidated by PIs and submitted to MO		S		R			
Overall Progress Report	18 Overall scientific and financial report by the MO to the SNSF where decisions about next year's funding must be approved				S			R
Next Year								
<b>Workflow</b>	<b>Nr Tasks</b>	<b>Document</b>	PI	F&C	MO	Auditor	SNSF	

<b>Legend:</b>	S	Submission	F	Forward
	R	Receipt	C	Controlling
	A	Approval	D	Decision

\*\*RTD PIs will receive the consolidated numbers for their respective RTD project from the MO in March to April. Based on these numbers; they should be able to make reasonable adjustments to the budgeted allocations before the release of the next annual tranche, if necessary. In order to move funds within the budget, the PI must fill in the appropriate forms and obtain the relevant signatures from those affected by the shift. These forms are sent to the PIs or can be requested from the Management Office. Please recall that a shift in funds will inevitably affect OCs. The issue of OCs must also be dealt with by the PI in question before funding can be moved within a budget.

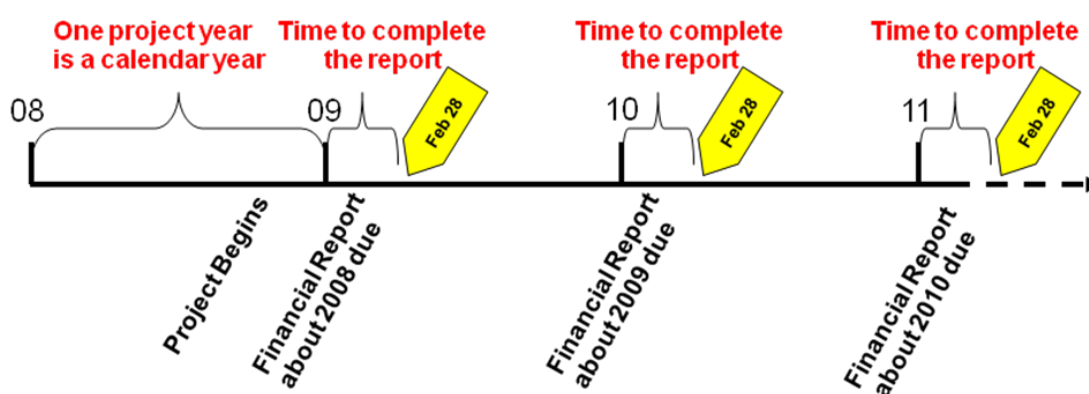
Once all of the necessary paperwork reaches the MO, we will provide you with the updated budget numbers relative to those receiving funds at your institution.

## 4.2 Timelines

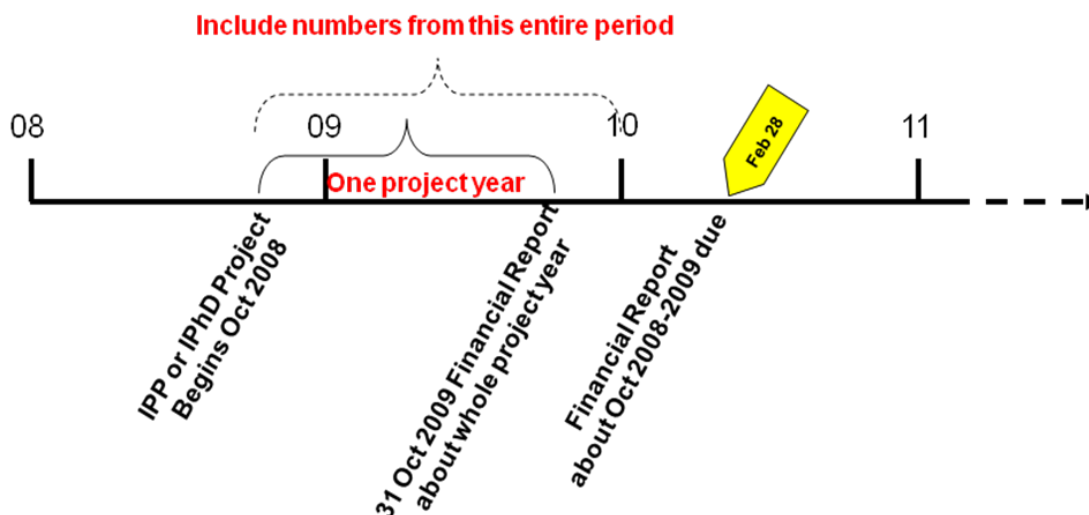
Since each project type has an individual starting date and different 'lifespan', there are timelines below to explain each. Although we try to coordinate activities so that you can submit things for SystemsX.ch simultaneously, there will be years when you have more or fewer projects to report on. This will always be affected by new Calls for Proposals that might grant researchers at your institution money. Additionally, the starting dates for the various projects receiving funding will affect how many projects will be reported on each February.

Below you will find a schematic representation of the reporting schedules for each project type. Note that the IPhD and IPP (including BIP) examples are fictitious. The true starting and reporting dates will vary according to when the projects really start. **The due date for all financial reports is always February 28.** The time span over which the reports you submit cover will vary with the IPhDs and the IPPs/BIPs since these will give financial reports over an entire project year.

Those of the RTDs will always report about the previous calendar year:



For IPhDs and IPPs/BIPs:



In order to allow the IPPs/BIPs to only have to submit one financial report, we allow you to include all numbers up to the end of the calendar year being reported on. This means if an IPP/BIP at your institution started in June 2008 and did not finish until October 2009, you do not have to file a second report. Just provide all the information in the 2009 report. We generally not allow IPPs/BIPs to run more than two calendar years to avoid that the financial report extend over more than two calendar years.

For the IPhDs, we ask that you also report to the end of the calendar year you are reporting for, so that their reporting schedule is adjusted to the calendar after the first report. This means if an IPhD started in August 2010, the first report should cover the period from the project start (August 2010) through December 2011. You will have an overhang of funding which will be allowed to roll over into 2012 until the next payment is released in August 2012.

### **4.3 Cash Allocations**

In 2008, there were some start-up problems concerning our budget forms. As a result you may or may not have clear information about the division of funds within your institution. For RTD projects approved in 2008, you have to refer to the detailed budget files for information about which group should get which funds. If you cannot decipher this information from these files, we have to refer you to the PI or Co-PIs at your respective institutions to clarify. We apologize for this inconvenience. If you have questions about your specific files please call the MO, and we will try to help you.

For the Second Call for Proposals, the approved RTD budget files were designed so that each group within an institution is listed separately. This should allow easier interpretation of the allocation of funds within your respective institutions.

The problem of cash allocations should not really affect IPhDs or IPPs/BIPs as much since they do not contain more than 1-2 research groups within the same institution.

SystemsX.ch does not have any restrictions on how you manage the money internally. It is most likely easiest to have one account per research group. However, you may also use one account for all the money per project. We recommend you keep at least one account for each individual project for your own convenience.

### **4.4 Payment Applications (PA)**

Each year you will have to request the funds for projects approved at your respective institutions via Payment Applications (PAs) (step 14 in Operational Tasks). You should all be familiar with these documents already. Each time a new project and budget is approved; the MO prepares these files for you to submit accordingly.

Note that these files can only be filled out when you have received official decisions concerning the approval of the budget for the project from the SNSF for RTDs and IPhDs, or from the MO for IPP projects. Please do not submit the files before these have been sent out to the grant recipients. As will be mentioned in section 4.5.1 there were some problems allocating funds within an institution when more than one group was receiving funds. You may choose to make a note on the Payment Application or to circulate information internally pertaining to funds received from SystemsX.ch. How you deal with the issue is up to you. The MO adds to all budget allocation information per research group on the PAs we release.

### **4.5 Annual Financial Reports (New Information as of November 2009)**

Financial reports will be due once a year at the end of February for the previous calendar year or full project year for RTDs, IPhDs and IPPs/BIPs respectively. Every institution with research groups involved in SystemsX.ch projects (RTD, IPhD, and/or IPP/BIP) must provide the following to the SystemsX.ch MO:

#### **4.5.1 Financial Reports**

In the Financial Reports files you will find an excel file containing the following sheets:

- ✘ Consolidation
- ✘ SystemsX.ch Personnel
- ✘ SystemsX.ch Consumables and Miscellaneous
- ✘ SystemsX.ch Equipment
- ✘ Own Contributions Personnel
- ✘ Own Contributions Consumables and Miscellaneous
- ✘ Own Contributions Equipment and Existing Infrastructure (EI)
- ✘ 2<sup>nd</sup> Party Funds
- ✘ 3<sup>rd</sup> Party Funds

The first page of the Financial Report file (Consolidation) will automatically sum the numbers in each cost category in the appropriate funding category. This will allow you to easily provide us with a consolidated report over each project. The numbers you enter are of course real numbers taken from your internal accounting files, the spent money from SystemsX.ch and the Own Contributions must be reported using the following **cost categories**:

- ✘ Personnel
- ✘ Equipment and Existing Infrastructure (See section 4.5.3)
- ✘ Consumables and Miscellaneous

For the use of 2<sup>nd</sup> and 3<sup>rd</sup> Party Funds for any of the SystemsX.ch projects at your institution you do not have to provide any information in the reporting file itself pertaining to the cost categories this money was spent on. Here you can simply provide a total sum contributed from a particular source along with a copy of the contract granting the money to the particular group. If there are 'in kind' contributions made in the category 3<sup>rd</sup> Party Funds (i.e. a company provides equipment and/or personnel time) please add the values of these services as a monetary value. **We request that the 3<sup>rd</sup> Party (company) in question verifies these contributions in a signed letter.**

How and what you need to fill in is explained in a detailed manner in section 5. However, if you are unsure about certain expenditures we call your attention to the budget files each RTD, IPhD, and IPP/BIP project submitted. These contain information on the various cost categories in which SystemsX.ch funds may and should be spent. There are also details concerning what kinds of Own Contributions can be expected. Please contact the MO if you have not received these forms for your institution. Since there are various versions of these files, please contact Daniel Vonder Mühl in the MO to get the most updated versions if you are unsure about the files you have.

**Important Notice:** You should all have access to the files with the SystemsX.ch and Own Contributions budget information for the RTD projects your institution is receiving funding for the whole period they are approved for. These files should be used to assess the spending you will report on each year in the financial report. Due to discrepancies in how the forms were filled out (project year vs. calendar year) you may find that there were lots of excess funds left over at the end of 2008. In lieu of this inconsistency among the various RTD budgets we call to your attention the starting dates of each project. Unused funds will carry over to the next year!

RTD Budget Files for those projects approved in 2009 have been adjusted to reflect the calendar year. Here there should be less problem interpreting the spending in each project.

Project internal shifts among these categories are allowed if the PI informs the MO in due time (i.e. before the payments are released which they wish to alter, see comment under table in section 4.1). We in turn would inform you of such a shift if it affects the payment applications you need to fill out for the researchers at your institution.

If you have other specific questions concerning budgeting numbers and their interpretation please contact the MO.

#### 4.5.2 Receipts for each transaction in your institution

A relevant documentation for each transaction/entry has to be archived at the respective institution. Naturally the data can be exported from an accounting program (e.g. SAP) into an excel file. Although you are not required to give detailed information for the cost categories 'Consumables' and 'Miscellaneous' in the SystemsX.ch Financial report file, we ask that you submit a detailed list of the expenditures (NOT receipts) electronically together with your financial reports. The auditor can then use this as a basis for his random checks. Please submit separate Excel tables for each project and cost category for. The auditor may request copies of any of these receipts during the auditing process. You would be contacted by the auditor directly.

#### 4.5.3 How to enter Own Contributions

Own Contributions are strategically invested monies by the recipient of federal funds which go to support research groups whose project proposal was accepted by SystemsX.ch (i.e. budget under the control of PI, co-PI, Mentor, etc.) and resources from the institutions' operating budget allocated explicitly to SystemsX.ch projects.

- ✘ Personnel paid from the **institution's operating budget** (no personnel paid with external funds, like SNSF or CTI, can be entered as an Own Contribution)\* involved in SystemsX.ch projects according to the following table (lump sum per category - including salary, social charges, overhead services, and infrastructure - to be calculated pro rata (**max. of 20% for professors**)):

Function:	CHF
Professor	250'000
Assistant Professor	180'000
Senior Researcher	150'000
PostDoc	120'000
Technician	120'000
PhD student	50'000
Scientific Assistant	100'000
Admin/ Misc.	85'000

\*The exception to this rule are SNSF professors and their respective grants. Since these professors take their money with them to an institution, their salary and expenditures from their grants MAY be claimed as Own Contributions.

- ✘ Large equipment: purchased from the institutions' budget is eligible as an Own Contribution to a SystemsX.ch project based on the percentage this equipment is used for work in the SystemsX.ch project.

Earlier Investments/ Existing Infrastructure (e.g. infrastructure platforms made available to SystemsX.ch): The amounts that can be deducted here should be provided by the MO for the start of the project or with the first financial reporting of the project at the latest. All necessary receipts and information was collected together with the budgets. If you do not have access to the approved numbers, please contact Daniel Vonder Mühlrat the MO.

#### 4.5.4 Specific Settlements per Project Type

So far you have been introduced to the most general funding and expense categories in section 4.5. These represent those you will report on most frequently; namely those in the

RTD projects. There are some minor differences in the expense categories available IPhD and IPP/BIP projects.

The IPhDs are rather narrowly defined in their expense structure. Basically, SystemsX.ch provides funds for the student salary (Personnel) for three years according to the SNSF guidelines including social charges. In addition, SystemsX.ch provides the student with CHF10'000 per year for three years to pay for consumables. Finally a one-time contribution of CHF2'000 is provided for the student to participate in an international conference, usually in the third year. These are amounts to be released over three years. In the case of a fourth year extension, the Mentor must re-apply for the salary and consumable funding for the fourth year. The salary money must go to pay for a student and may not be used as a partial salary for another position and/or second student. In the OCs, Mentors are free to claim contributions in all expense categories like the RTDs. Money for equipment must come out of the consumables budget and cannot be applied for directly in the IPhD proposal.

For the IPPs, the expense categories are essentially identical as for RTD projects. The only thing which is different is that it is not permitted to use SystemsX.ch funds to pay PhD students. PhD students may only be part of an IPP if they are claimed in the OCs. SystemsX.ch wants to avoid having students placed on high-risk projects with a questionable scientific and/or financial future. Since these projects are limited to one year, it is not an ideal project for a student to be placed on as a PhD project. Provisions for what kind of personnel can and cannot be paid with IPP funds is built into the drop down lists of the reporting form.

#### 4.5.5 'Confirmation' and 'Letter of Representation'

After you have put together your financial reports for the previous year, you must get the Consolidation and Confirmation and the 'Letter of Representation' signed by the appropriate persons. These signatures must be submitted together with the financial report electronically and as hard copies for our files. The requirements for such signatures are mentioned in the 'Verwaltungsvereinbarung' between SystemsX.ch and the SNSF.

The **Consolidation and Confirmation** signatures are to be made on the 'consolidation page' of the Financial Report file. There is a box at the bottom of the page where the names and signatures must be added. Two signatures from authorized persons in your F&C department must sign this confirmation box. One of these persons is likely to be you.

Finally a '**Letter of Representation**' must be signed by the university or institutional management. This must be the person from your institution who is a member of the Board of Directors and/or who was the signee on the Own Contributions submitted by your institution. This letter should include a statement guaranteeing that the numbers in the Financial Report files submitted reflect a correct representation of the funds used in the four funding categories in the SystemsX.ch projects running at your institution. A template letter can be found [here](#).

Again, if you have questions concerning whom in your institution is authorized to provide these signatures, please contact the MO.

## 4.6 Audit

### 4.6.1 General Audit Information

In section 4.5.1, the issue of OCs, 2<sup>nd</sup>, and 3<sup>rd</sup> Party Funds was addressed and explained. SystemsX.ch is obliged to allow certain reporting documents you will submit to be audited. Details about which financial documents are up for audits are described in the "Verwaltungsvereinbarung" (Appendix 3) between SystemsX.ch and the SNSF. The audit is carried out by an external company who will examine the money invested by SystemsX.ch

versus those invested by the institutions OCs, industry, and additional competitive grants. The aim of the audit is to show that the money flows were handled correctly. This includes making sure that the funds earmarked for use in SystemsX.ch projects were in fact dispersed correctly and in their entirety.


#### 4.6.2 Institutional Duties and Responsibilities Pertaining to the Audit

The auditor will review the consolidated financial information submitted to SystemsX.ch by each Partner institution. They may also audit the projects in more detail (including the receipts) by random sample. That means that the auditor may contact you after February 28 request selected receipts. The deadline for the delivery of the "receipts" to the auditor is **two weeks**.

## 5 Preparing the Financial Reports

The form you will fill out is either called YYYY\_SysXch\_RTD-Reporting\_File (YYYY being, e.g. 2011), YYYY\_SysXch\_IPhD-Reporting\_File, or YYYY\_SysXch\_IPP-BIP-Reporting\_File depending on the project type you are reporting on. All of these files can be downloaded directly from the internet ([link](#)) if you have not already received them from the MO. The information is updated regularly, so please check this age for hints and new information. Please check back with PIs, co-PIs for information concerning monies they spent within the project before you begin. This is especially important to claims made in the OCs. Below is a screen shot of the first page of a Financial Report file, which you can see at the end of the reference book or on the web.

Please do not forget to fill in a RTD report file for any money your institution received for SyBIT. SyBIT is a SystemsX.ch initiated project (SysXIP) headed by Dr. Peter Kunszt. Reporting on monies received for this project is analogous to reporting on an RTD project. You are to report on all money you received and OCs you made per research group involved at your respective institution.

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4	<b>General Information:</b>				Project Title: <input style="width: 250px;" type="text"/>																																			
5					Period: <input style="width: 50px;" type="text" value="2011"/>																																			
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### 5.1 The Financial Report File

There are three different financial report files which you will use to report on all the various project types. All of these files are very similar in what they require in terms of input.

Each of the files contains the same basic sheets/tables in which the financial information can be entered (for more information see section 4.5).

## 5.2 Specific Information per Project for the Reporting Forms

Below there is a summary of what information we need per project type report.

### 5.2.1 For RTDs (report per calendar year):

#### For SystemsX.ch Money

- ✘ All Personnel has to be entered in DETAIL
- ✘ All consumables and miscellaneous (Cons/Misc) has to be entered as the total per research group and cost category (as in the submitted budget)
- ✘ All Equipment has to be entered as the total per research group and cost category (as in the submitted budget)

#### For Own Contributions

- ✘ All Personnel has to be entered in DETAIL in the reporting forms provided
- ✘ All Cons/Misc DETAILS must be submitted electronically either in the budget form or some other electronic file PER cost category
- ✘ (Percentages of lab running costs may be entered in reporting form)
- ✘ All Equipment and Existing Infrastructure (E.I.) DETAILS must be submitted electronically either in the budget form or some other electronic file for each purchase

### 5.2.2 For IPhD and IPP/BIP Report :

For the IPhD projects, please report THROUGH the end of the calendar year you are reporting for. This will put the IPhD reporting schedule onto the calendar year like the RTDs after they have run for at least a year, regardless of their start dates. Since the February 28 deadline holds for ALL reporting files, this should make it easier for you. For the IPhDs and IPP/BIPs this means that you DO NOT report on them in the year they are approved (i.e. projects approved and perhaps started in 2011 do not need to supply a report until the end of 2012, which is due on February 28, 2013).

As a rule we would like to only get one report per IPP or BIP project if at all possible. If this means reporting beyond a 12 month time frame but within the calendar year you are reporting for anyway, please include all the information for the IPP/BIP.

The basic format for all the funding and cost categories are the same as in the RTDs. Main differences include:

- ✘ SystemsX.ch Funds can only be used to pay certain staff (see drop down lists)
- ✘ OCs are not mandatory and are usually not budgeted, but should be reported
- ✘ No Existing Infrastructure can be claimed

Please contact Daniel Vonder Mühl in the MO with specific questions. In general IPPs/BIPs should NOT run longer over more than 2 calendar years. Funding for IPhD and IPP projects that do not commence one calendar year after approval may be retracted! Funding for IPhDs and IPPs should only be called for when an official starting date and staff has been found.

## 5.3 File Handling

Before you begin, please make sure you are at the top of the file by scrolling up each sheet. The rows with all the descriptions is fixed for your convenience. However, you may run out of space if you are not at the top of the sheet when you begin. If you encounter problems due to space limitations please contact the MO.

Please make sure you at least enter the total spending amounts per cost category and research group per project in the appropriate sheets. Check all the information you have entered for the personnel details, and re-check it with the budget information or the respective group leader before submission.

What you need to write in each field in the reporting file is self-explanatory. There are clearly marked columns, drop-down lists and formulas built into the file for your convenience. In

case you are unsure about a specific item you are claiming, we call your attention to the **submitted budget files** which you should have for each project being run at your institution. These files can serve as references for sorting out questions or helping you ask the PI, Mentors, or IPPIs about specific charges and receipts. We ask you to fill in **one reporting file per project** for which your institution is receiving SystemsX.ch funding.

Below you will find screen shots showing the top portions of each sheet of the Financial Report file along with a short description. On the sheet tabs, **blue** is used for **SystemsX.ch Funds**, **orange** is for **Own Contributions**, **yellow** for **2<sup>nd</sup>** and **green** for **3<sup>rd</sup>** Party Funds.

5.3.1 SysX.ch Pers.

1													
2	<b>SystemsX.ch Funds</b>			Project Titel: 0									
3	Personnel			SystX.ch int.ref.: 0									
4	Please provide details for ALL personnel involved in the project paid with SystemsX.ch, and not simply total												
5												SystemsX.ch The Swiss Initiative in Systems Biology	
6													
7	Project	Institution	Research Group	Cost Category	Cost Type	Name	Internal Reference/ Personnel Number	Function (of the Personnel)	Base Salary/ Cost 2009	% for SysX.ch 2009	Number of months employed	Total CHF 2009	Comments
8	0			SystemsX.ch	Personnel							-	
9	0			SystemsX.ch	Personnel							-	
10	0			SystemsX.ch	Personnel							-	
11	0			SystemsX.ch	Personnel							-	
12	0			SystemsX.ch	Personnel							-	
13	0			SystemsX.ch	Personnel							-	
14	0			SystemsX.ch	Personnel							-	
15	0			SystemsX.ch	Personnel							-	
16	0			SystemsX.ch	Personnel							-	
17	0			SystemsX.ch	Personnel							-	

Notice the **red corners** at the top of the columns. If you run the mouse over them, they will provide you with helpful comments.


- ✘ Please enter personnel paid with SystemsX.ch funds here.
- ✘ The 'internal reference or personnel number' are not mandatory. How you decide to enter the salary information is up to you. The file is flexible. You may either simply enter the whole salary being paid with SystemsX.ch funds and then claim it as 100%, or you can enter the percentage of a full salary. Each institution may have their own way of how this information is filed in their systems. If you are entering total information, please remember also to enter 12 months as the time the person has been hired to avoid the salary being calculated for a lesser part of the calendar year.

5.3.2 SysX.ch Cons. Misc.

1													
2	<b>SystemsX.ch Funds</b>			Project Titel: 0									
3	Consumables, Misc.			SystX.ch int.ref.: 0									
4	You may enter totals per COST CATEGORY and RESEARCH GROUP, IF you submit the details as a separate Excel file.												
5												SystemsX.ch The Swiss Initiative in Systems Biology	
6													
7	Project	Institution	Research Group	Cost Category	Cost Type	Name / Description	Internal Reference	Purchase date	Total CHF 2009	Comments			
8	0			SystemsX.ch									
9	0			SystemsX.ch									
10	0			SystemsX.ch									
11	0			SystemsX.ch									
12	0			SystemsX.ch									
13	0			SystemsX.ch									
14	0			SystemsX.ch									
15	0			SystemsX.ch									
16	0			SystemsX.ch									


- ✘ This part of the file is again flexible. You may EITHER enter all the details including purchase dates directly into this file OR you may enter totals per cost category (**Consumables and Miscellaneous separately**) and research group and project. If you choose to only enter the totals we ask that you submit the details as a separate electronic excel table for random checks by the auditor. The auditor will contact you directly for any receipts he may want to see. Please do not send copies of these to the MO.
- ✘ Miscellaneous: any direct cost incurred by a project such as travel expenses, any additional services, animal housing costs, storage, and radioactive waste costs etc.

### 5.3.3 SysX.ch Equip

1	A	B	C	D	E	F	G	H	I	J	
2	<b>SystemsX.ch Funds</b>		Project Titel:	0							
3	<b>Equipment</b>		SystX.ch int.ref.:	0							
4	Please provide all information per piece of equipment bought with SystemsX.ch Funds per research group.										
5	 SystemsX.ch The Swiss Initiative in Systems Biology										
6											
7	Project	Institution	Research Group	Cost Category	Cost Type	Description	Internal Reference	Purchase date	Total CHF 2009	Comments	
34	0			SystemsX.ch	Equipment						
35	0			SystemsX.ch	Equipment						
36	0			SystemsX.ch	Equipment						
37	0			SystemsX.ch	Equipment						
38	0			SystemsX.ch	Equipment						
39	0			SystemsX.ch	Equipment						
40	0			SystemsX.ch	Equipment						


✘ Please enter all information pertaining to equipment purchased with SystemsX.ch funds in this sheet.

### 5.3.4 OC Pers.

1	A	B	C	D	E	F	G	H	I	J	K	L	M
2	<b>Own Contribution</b>		Project Titel:	0									
3	<b>Personnel</b>		SystX.ch int.ref.:	0									
4	Please provide information for ALL personnel involved in the project paid with institutional funds and not simply totals per gro												
5	 SystemsX.ch The Swiss Initiative in Systems Biology												
6	Project	Institution	Research Group	Cost Category	Cost Type	Name	Internal Reference/ Personnel Number	Function (only Personnel)	% Year 2009	CHF 2009	number of months employed	Total CHF 2009	Comments
7	0			Own Contributions					0	0		-	
8	0			Own Contributions					0	0		-	
9	0			Own Contributions					0	0		-	
10	0			Own Contributions					0	0		-	
11	0			Own Contributions					0	0		-	
12	0			Own Contributions					0	0		-	
13	0			Own Contributions					0	0		-	
14	0			Own Contributions					0	0		-	
15	0			Own Contributions					0	0		-	
16	0			Own Contributions					0	0		-	
17	0			Own Contributions					0	0		-	
18	0			Own Contributions					0	0		-	

- ✘ This sheet should be filled out similarly to the SystemsX.ch paid personnel. However, here fixed salary rates are applicable which are linked to the respective function you choose. Please use the budget files as a reference for the percentages people will be claimed as OCs in each particular project, and perhaps check back with individual group leaders about the accuracy of the information. Perhaps people have been replaced, or new people have been added which are being paid by the institution.
- ✘ Please remember to only add personnel paid by the institution in the OC sheet. For a more detailed description of what this includes please see section 4.5.3.

### 5.3.5 OC Cons. Misc.

1	A	B	C	D	E	F	G	H	I	J	K	L
2	<b>Own Contribution</b>		Project Titel:	0								
3	<b>Consumables and Miscellaneous</b>		SystX.ch int.ref.:	0								
4	You may enter totals per COST CATEGORY per RESEARCH GROUP, IF you submit the details as a separate Excel file.											
5	 SystemsX.ch The Swiss Initiative in Systems Biology											
6	Project	Institution	Research Group	Cost Category	Cost Type	Description	Internal Reference	Purchase date	CHF 2009	% for SysX.ch 2009	Total CHF 2009	Comments
7	0			Own Contributions							-	
8	0			Own Contributions							-	
9	0			Own Contributions							-	
10	0			Own Contributions							-	
11	0			Own Contributions							-	
12	0			Own Contributions							-	
13	0			Own Contributions							-	
14	0			Own Contributions							-	
15	0			Own Contributions							-	
16	0			Own Contributions							-	

✘ Here please enter all the consumables and miscellaneous provided as OCs by the individual research groups to the project. Group leaders may opt to provide a percentage of their overall lab running costs as OC Consumables and/or Miscellaneous. In this case please check back with them about which percentage is appropriate and again provide us with an electronic details excel file where all the running costs are listed for the auditor.

### 5.3.6 OC Equip and EI (Existing Infrastructure)

Project	Institution	Research Group	Cost Category	Cost Type	Description	Internal Reference	Purchase date	Cost (for Exist. Infrastr. residual value on 30.06.2009)	% made available to SystemsX.ch	CHF Total	Comments
0			Own Contributions							-	
0			Own Contributions							-	
0			Own Contributions							-	
0			Own Contributions							-	
0			Own Contributions							-	
0			Own Contributions							-	
0			Own Contributions							-	
0			Own Contributions							-	

- ✘ Please enter all the equipment purchased by the institution which are made available to the project in question. The percentage of its availability should be provided by the respective group leader.
- ✘ **Existing Infrastructure can only be claimed in the first year an RTD project begins.** For all 2009 approved RTDs, we have already requested the receipts concerning EI at the time the budget was submitted. This information is available at the MO already and does not necessarily have to filled in by you if you do not have access to it. If you have questions pertaining to EI please contact the MO.

### 5.3.7 2<sup>nd</sup> and 3<sup>rd</sup> Party Funds

<b>Second-Party Funds</b> (e.g. SNF, CTI, EU, NIH)		Project Titel: 0	SystX.ch int.ref.: 0
Please, send a copy of the contract(s) between your institution and the second-party to SystemsX.ch.			
Contract Partner 1:		% Year 2009	CHF 2009
Contact Person:			
Function:			
Address:			
Phone:			
Fax:			
E-Mail:			

<b>Third-Party Funds</b> (e.g. industry, SME)		Project Titel: 0	SystX.ch int.ref.: 0
Please, send a copy of the contract(s) between your institution and the second-party to SystemsX.ch.			
Contract Partner 1:		% Year 2009	CHF 2009
Contact Person:			
Function:			
Address:			
Phone:			
Fax:			
E-Mail:			

Reporting on 2<sup>nd</sup> and 3<sup>rd</sup> Party Funds is kept quite minimal. No listings of expense categories are needed. Basically, each 2<sup>nd</sup> or 3<sup>rd</sup> Party contribution is listed as a total amount. You are also requested to provide a **copy of the contract** between your institution and the 2<sup>nd</sup> or 3<sup>rd</sup> Party to verify the collaboration and funding claims. If the contributions of 2<sup>nd</sup> or 3<sup>rd</sup> Party Funds reflects personnel, services, or use of equipment; we ask that a detailed summary of these expenses are submitted together with the report. This summary should contain signatures from the party supplying them to verify their correctness. If you have any additional questions about how you have to fill out the Financial Reporting file, please contact Daniel Vonder Mühl at the Management Office.

We look forward to a effective and efficient collaboration with our F&C contacts!

## 6 Annex

The annex contains useful information for fast reference. Below, a list of terms and abbreviations can be found here. A hard copy showing each of the reporting files can be found at the end of the annex.

### 6.1 Abbreviations

BoD	Board of Directors
Co-PI	Co-Principal Investigator
IPhD	Interdisciplinary PhD (Project)
IPP	Interdisciplinary Pilot Project
BIP	Bridge to Industry Project
MO	Management Office
NIH	National Institute of Health (USA)
OC	Own Contributions
PA(s)	Payment Application(s)
PI	Principal Investigator
RTD	Research, Technology, and Development (Project)
SAB	Scientific Advisory Board
SEB	Scientific Executive Board
SNSF	Swiss National Science Foundation
SUK/CUS	Swiss University Conference
SysXIP	SystemsX.ch Initiated Project

#### Partner Institutions:

EPFL	Swiss Federal Institute of Technology (Lausanne)
ETHZ	Swiss Federal Institute of Technology (Zurich)
FMI	Friedrich Miescher Institute
PSI	Paul Scherrer Institute
SIB	Swiss Institute of Bioinformatics
UniBE	University of Berne
UniBS	University of Basel
UniFR	University of Fribourg
UniGE	University of Geneva
UniL	University of Lausanne
UniNE	University of Neuchâtel
UZH	University of Zurich

## 6.2 The Financial Reporting Files

The following pages contain **sample** reporting files for you to use as a reference. It is a complete form with all its parts. Please make sure you have filled out all of the sheets.

## 6.3 Submitted Budget Forms

The submitted forms refer to those which the researchers submitted with their proposals and were approved by SystemsX.ch and the SNSF. These are the budgets which were officially granted to each approved project. If you are missing budget files relevant to projects you are reporting on please contact the MO. If you are unsure about the files you have, please do not hesitate to confirm their accuracy with the MO.