



SWISS NATIONAL SCIENCE FOUNDATION

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Strategic Japanese-Swiss Science and Technology Program (SJSSTP)

Joint Research Projects: Call for Proposals 2018

Two-Step Evaluation Process:
Pre-Proposal Phase and Full Proposal Phase

Opening Date Call for Pre-Proposals: 22 March 2018
Closing Date Call for Pre-Proposals: 13 June 2018 (5pm Swiss local
time)

Opening Date Call for Full Proposals: 24 September 2018
Closing Date Call for Full Proposals: 28 November 2018 (5pm Swiss
local time; 5pm Japan time)

**Open call in the fields of Mathematics, Natural and Engineer-
ing Sciences**

8-10 joint projects will be funded.

1. Introduction

On 10 July 2007, the Swiss Federal Council and the government of Japan signed a framework agreement on technical and scientific cooperation. The purpose of this agreement is to facilitate the expansion and strengthening of relations between scientific research organisations, institutes, higher education institutions and other legal entities and natural persons of the States of the contracting parties by creating favourable conditions for cooperation and its development on a mutually beneficial and balanced basis.

Joint Research Projects (JRPs) are one of the funding schemes that resulted from the above mentioned agreement. The Swiss National Science Foundation (SNSF) was mandated by the Swiss State Secretariat for Education, Research and Innovation (SERI) to implement the call for JRPs on the Swiss side. Consequently, the SNSF and the Japan Society for the Promotion of Science (JSPS) agreed on launching a joint call for proposals to fund JRPs.

The financial support provided by Switzerland comes from within the framework of item 8.2 Bilateral Programmes of the Service Contract 2013-2016 between the Swiss Confederation and the Swiss National Science Foundation of 12 December 2012.

The financial support provided by the Japanese partners comes from JSPS. For more details for Japanese researchers who apply to JSPS, see the relevant call document (Japanese only).
Website: <http://www.jsps.go.jp/j-bottom/index.html>.

2. Joint Research Projects (JRPs)

Grants for JRPs are meant to promote collaborative projects with clearly defined goals involving at least one partner based in Switzerland and one based in Japan. Applications should describe ambitious research and propose innovative approaches. The research is to be carried out at the research facilities involved; reciprocal visits and short stays in Switzerland for researchers from Japan and vice versa are also possible within the scope of a JRP.

Project duration: The JRPs can last up to 36 months.

3. Research fields

The call is limited to certain thematic areas. Proposals outside of these thematic areas are not eligible and will not be accepted.

Thematic areas: Mathematics, Natural and Engineering Sciences

4. Eligibility

Each proposal for a JRP must have at least one main applicant based in Switzerland and one main applicant based in Japan; they are the lead scientists on the Swiss and Japanese side respectively. They are the main contacts for the SNSF and JSPS respectively and bear the main responsibility for the project including its technical and administrative coordination as well as timely delivery of scientific and financial reports. Further applicants based in Switzerland and/or in Japan can also

participate in the consortia, but each applicant/co-applicant can only apply for one project within this call.

Eligibility criteria in Switzerland: Applicants requesting funding must meet the eligibility requirements of the SNSF. The SNSF Funding Regulations and the Regulations on Project Funding are applicable or applicable mutatis mutandis where not stated otherwise. Each applicant/co-applicant may only apply for one project. Project partners as described in Article 11.2 of the SNSF Funding Regulations are not entitled to receive funds from the SNSF if their affiliated institution is located in Japan. During the running time of the JRP, grantees may apply for grants from all other SNSF funding schemes. Exception: Applicants who submitted a proposal for the joint call JST/SNSF (November 2017) are not eligible to submit a thematically similar proposal to this call.

Eligibility criteria in Japan: Applicants must hold a full time or equivalent position as a researcher at a university or research institute in Japan. However, there are cases when a researcher not employed in a full time position may be eligible. Such persons must be eligible to apply for a Grants-in-Aid for Scientific Research – KAKENHI and her/his affiliated institution must judge them able to implement the project and to provide an appropriate research environment (e.g., laboratory, equipment, personnel) for it.

5. Funding

JRP proposals contain two separate budgets: one budget in CHF for the Swiss part (paid by the SNSF according to the SNSF's rules) and one budget in JPY for the Japanese parts (paid by JSPS according to their own respective rules). The available budget will enable funding of 8-10 projects.

Eligible costs in Switzerland: The maximum permissible budget for a project is CHF 250'000.

The funding categories are:

- **Equipment:** Costs of material of enduring value (indicate manufacturer, type and distributor). Quotations – if possible, from different competitors – must be enclosed for items whose purchase price exceeds CHF 20,000.
- **Research funds:** Funds needed to carry out the project, such as travel costs, room and board costs, field expenses, expendable items and unavoidable sundry expenses. The SNSF does not finance the acquisition or maintenance of expendable items that are part of the infrastructure of an institution (books, PCs, rental costs, etc.).
- **Salaries:** The funding is sufficient to support the salary of a PhD student for three years or the salary of a postdoc for two years. Salaries for main or co-applicants are not eligible.
- **Social security contributions**

In addition, costs for granting access to research data (Open Research Data) can be charged up to a maximum of CHF 10,000, following the SNSF regulations (Paragraph 2.13 of the [General implementation regulations for the Funding Regulations](#)).

The [SNSF Funding regulations](#) apply to the Swiss budget. No overhead costs will be granted for these projects.

Eligible costs in Japan: The maximum permissible budget for a project is JPY 10 million per fiscal year (up to JPY 30 million for three years).

The funding categories are:

- **Research expenses:** Equipment costs, travel costs (transportation, living allowances) and employee salaries, except for main or co-applicants. For more details for Japanese researchers who apply to JSPS, see the relevant call document (Japanese only).

Website: <http://www.jsps.go.jp/j-bottom/index.html>.

Visiting costs between Switzerland and Japan: When budgeting visits between the Swiss and Japanese partners, all related expenses are to be covered by the visiting side according to national rules and restrictions. Research visits between Switzerland and Japan must be balanced in number and duration.

6. Submission

Proposals are to be jointly prepared by the Swiss and Japanese applicants.

Submission of pre-proposals: Pre-proposals will be evaluated by the SNSF exclusively. For this reason, pre-proposals have to be submitted only to the SNSF.

Submission of full proposals: Full proposals will be jointly evaluated by the SNSF and JSPS. Hence, full proposals must be submitted separately in Switzerland (to the SNSF) and Japan (to JSPS). Full proposals submitted only in one country are not eligible. The contents of the research plan must be identical in both applications.

Submission to the SNSF: The SNSF receives only full proposals by applicants who were invited to submit a full proposal. The Swiss main applicant must submit the proposal to the SNSF via its electronic submission system (*mySNF*, www.mysnf.ch).

After logging in, the correct funding instrument must be chosen (Programmes (national and international) > Bilateral Cooperation (Initiative of the State Secretary for Education, Research and Innovation) > Strategic Japanese-Swiss Science and Technology Program (SJSSTP)).

Pre- and full proposals consist of two parts each:

- The administrative part, which must be completed online:
 - Personal data of the Swiss main applicant
 - Personal data of the Japanese main applicant
 - Personal data of the co-applicant(s) from Switzerland and Japan
 - Data Management Plan (DMP) (full proposal only, cf. Annex 3)
 - Basic project data (e.g., title, research field, starting date, duration, summary)
 - Funding requested from the SNSF
 - Information on authorisations required in Switzerland (full proposal only)
 - Other information (e.g., whether the project is related to other SNSF projects, name of the Swiss university/research institution at which the planned project will be implemented, information concerning national and international collaborations, information concerning already available funds or funds requested elsewhere)
- PDF documents that are to be uploaded to *mySNF*:
 - Project plan (**must follow the structure indicated in Annex 1**)

- CVs and publication lists of all applicants and other researchers involved (in Switzerland and Japan)
- Equipment quotes (full proposal only)
- Other documents

For specific questions related to www.mysnf.ch, please contact the support team by e-mail (mysnf.support@snf.ch) or telephone (+41 31 308 22 00). Please note that you need a user account in order to submit proposals via *mySNF*. To open an account, please register with the SNSF as a user. Applicants with existing user accounts need not apply for new ones.

Submission to JSPS: JSPS receives only full proposals by applicants who were invited to submit a full proposal by the SNSF. Applications are to be submitted via the JSPS online application system. For details, please refer to http://www-shinsei.jsps.go.jp/topkokusai/top_kokusai.html (posted in Japanese only).

Language: All documents submitted to the SNSF must be in English. All documents submitted to JSPS must be in English.

Deadline for the submission of pre-proposals: For the pre-proposals, the submission deadline is **13 June 2018 (5pm of local time in Switzerland)**. Incomplete applications and applications received after the deadline will not be considered. No requests for extension of the deadline will be considered.

Deadline for the submission of full proposals: For the full proposals, the submission deadline is **28 November 2018 (5pm of local time in each country)**. Incomplete applications and applications received after the deadline will not be considered. No requests for extension of the deadline will be considered.

7. Evaluation

The evaluation process is divided into two phases: a pre-proposal phase and a full proposal phase.

Pre-proposal: Following the eligibility assessment by the SNSF, eligible pre-proposals will be evaluated by the SNSF.

Full proposal: The submitted full proposals undergo an eligibility check by SNSF and JSPS and will then be jointly evaluated by SNSF and JSPS. Only full proposals by applicants who have been invited to submit a full proposal will be evaluated. Full proposals will be peer reviewed.

Peer review: The peer review is conducted by both SNSF and JSPS. SNSF will designate peer review experts for each full proposal and all full proposals will be reviewed according to international peer review standard procedures. JSPS will designate peer review experts for each full proposal and all full proposals will be reviewed according to the review procedure of JSPS International Program Committee.

Evaluation panel: An evaluation panel will be set up; it will be composed of experts proposed by SNSF and JSPS. Based on the peer reviews, the evaluation panel will evaluate all the full proposals. Priority will be given to applications in the highest categories regardless of the research areas.

Evaluation criteria:

SNSF Evaluation criteria (not listed in the order of priority):

- Scientific relevance and interest
- Originality of the aims and objectives
- Appropriateness of the methodology
- Experience and past performance of applicants
- Competence of research partners with respect to the project
- Complementary qualities of research partners
- Feasibility of the project

JSPS Evaluation criteria (not listed in the order of priority):

- Scientific excellence of projects/seminars
- Necessity of cooperation with the Swiss, added value gained, and mutual research advancement through transfer of knowledge and expertise
- Impact of outcomes on improving the quality of life, contributing to socioeconomic development, and/or solving prevailing social issues
- Participation of young researchers and contribution to fostering them
- Feasibility and concreteness of the research plan and expectation of its advancing the research

Decision: The rating effected and the final recommendation of the panel will have to be approved by the Specialised Committee for International Co-operation and the Presiding Board (SNSF) and by the JSPS Board (JSPS).

The evaluation results of the pre-proposal phase will be communicated to the Swiss main applicant by the SNSF, presumably in September 2018. **Swiss main applicants are obliged to inform the Japanese partner regarding these evaluation results.** Submission of a full proposal is upon invitation only.

The evaluation results of the full proposal phase will be communicated to the Swiss main applicant by the SNSF and to the Japanese main applicant by JSPS, presumably in May 2019.

Start of research: The earliest possible starting dates of the projects is June 2019.

The SNSF makes compositions of evaluation bodies accessible to the public. Members of non-permanent bodies who contribute to a sole application round will be listed after their evaluation work is completed. For the SNSF, interaction between applicants and members of evaluation bodies over applications is not compatible with academic best practices.

8. Reporting

Swiss and Japanese project partners will report separately to the SNSF and to JSPS. Scientific and financial reports are to be submitted annually.

SNSF reporting: The Swiss main applicant will be responsible for the reporting to the SNSF. Both for the financial and the scientific report, the standard SNSF regulations will apply. However, scientific reports are to be submitted annually. They include a qualitative and a quantitative part (output data).

JSPS reporting: The Japanese main applicant will be responsible for the submission of the scientific and financial report to the JSPS every fiscal year.

9. VAT

In Switzerland (SNSF funding): The JRP grants are not subject to VAT or other taxes and charges. However, research expenses are not excluded from VAT. Therefore, all costs budgeted in a JRP (e.g., equipment, consumables, etc.) can be charged to the programme, VAT included, unless the research institution (e.g., university, public research organisation, etc.) is able to recover the VAT.

In Japan (JSPS funding): Prevailing JSPS rules apply.

10. Payments

SNSF funding: Standard SNSF rules apply. In principle, the budgets for JRPs are transferred in annual instalments to the Swiss main applicant's affiliated institution at the beginning of a project year.

JSPS funding: In principle, the budgets for JRPs are transferred in annual instalments to the Japanese main applicant's affiliated institution at the beginning of every fiscal year.

11. Publications and intellectual property

The PIs are obliged to publish research results obtained in the JRPs in appropriate form and according to SNSF and JSPS standards.

Applicants must consult both the Swiss and Japanese host institutions concerning their internal intellectual property regulations. For market-oriented projects, it is important that an agreement is made before the project starts.

12. Schedule

The following schedule is envisaged:

Call for proposals (pre-proposal phase)	22 March 2018
Submission deadline for pre-proposals	13 June 2018
Invitations to submit full proposals	September 2018
Call for proposals (full proposal phase, upon invitation)	24 September 2018
Submission deadline for full proposals	28 November 2018
Communication of final decisions on full proposals	May 2019
Start of research (Swiss researchers)	1 June 2019 – 1 May 2020
Start of research (Japanese researchers)	1 June 2019 – 1 March 2020

13. Contact

At the SNSF

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At JSPS

Japan Society for the Promotion of Science

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14. Annexes

Annex 1: Pre-proposal guidelines

Annex 2: Full proposal guidelines

Annex 3: Guidelines for the Data Management Plan (DMP)

Annex 1: Pre-proposal

Guidelines for writing the project plan

The pre-proposal must fulfil the following criteria for a successful submission:

- The project plan is submitted in English
- The research plan must not exceed 5 pages (excluding references)
- A minimum of point 10 font size and 1.5 line spacing must be used
- No annexed documents
- The project plan must be submitted through *mySNF* online application system (**deadline: 13 June 2018, 5pm local time in Switzerland**)

The project plan of the pre-proposal consists of 4 parts:

1. Summary of the research plan (max. 1 page)
2. Research plan (max. 5 pages, excluding references)
3. List of ongoing and/or recent research projects between the Japanese and Swiss applicants
4. Requested funds (to be entered via *mySNF*)

1. Summary of the research plan (max. 1 page)

The summary should include the most important features of your research plan and place your project in a broader scientific context. This summary should be an exact copy of the one you have written in the *mySNF* data container “Basic data II”.

2. Research plan (max. 5 pages, excluding references)

The research plan should be organised in 5 sections (2.1. – 2.5.). We strongly recommend using the section headings indicated below. In order to ensure that the scientific content of your proposal can be adequately assessed, please provide a research plan that sets out clearly the aims, subject matter and methods of the project you are planning. The research plan must not exceed 5 pages, excluding the references. The font size should be 10 pt with a line spacing of 1.5. Annexed documents are not accepted.

2.1 Current state of research in the field

By citing the most important publications in the relevant field, please set out the scientific background and basis of the project, explain the need to perform research on the topic you propose and briefly describe important research currently being conducted internationally.

2.2 Current state of your own research and partnership aspect

- Please describe briefly the work done by the different applicants in the relevant research field or in related fields and indicate the relevant publications.
- Explain how the different applicants complement each other for the proposed research project.
- Describe past collaborations that involved the Swiss and Japanese partners (if applicable).

2.3 Detailed research plan

Information on aims, rationale, methods and data

Against the background described in sections 2.1. and 2.2., please state the aims that you plan to attain during the lifetime of the project. Please consider the following points:

- Which investigations and/or experiments do you plan to carry out/are necessary to attain the stated aims?

- What is the rationale for getting the project started and how do you intend to develop the work later on?

Information concerning the methods necessary to attain the aims:

- Which are the methods available to you?
- To which other methods do you have access and how?
- Which methods need to be developed?

Data and data collection:

- Which data are available to you and from where?
- Which data need to be collected?

2.4 Work division, schedule and milestones

- Please indicate how you plan to divide the work among the different partners.
- As far as possible, please give an approximate schedule for the work to be carried out within the project and indicate the most important milestones. In particular, please describe the major tasks of the staff to be employed within the project by the different partners.
- List the planned visits between the Swiss and Japanese research groups (visiting scientist, hosting scientist, purpose of visit, date and duration of visit).

2.5 Importance, impact and results

Scientific importance and impact

Please describe briefly the importance of your research for the scientific community and the impact you expect from the project on research and training/teaching in your field/discipline. Please indicate how you will publish/communicate your results.

Expected results and dissemination plan

Describe the project outcomes you envisage. Explain how you will share these findings with stakeholders and the community. Address the potential for knowledge transfer to industry (if applicable).

Broader impact

If your application concerns use-inspired research, please state whether and to what extent the proposed project will have a broader impact and what this impact will be. The following points should be addressed:

- Need for research as perceived by practitioners/industry: Are there any knowledge gaps? Are innovations and improvements expected?
- Transferability of results: To what degree can research results be put into practice?
- Other potential impacts: In which spheres outside science could the implementation of the research results lead to changes and what is the nature of these changes?

3. List of ongoing and/or recent research projects between the Japanese and Swiss applicants

Project title	Research area	Project duration (xx/yy/zz - xx/yy/zz)	Amount of funds & funding source

Insert additional rows into the table if required.

Annex 2: Full proposal

Guidelines for writing the project plan

The full proposal must fulfil the following criteria for a successful submission:

- The project plan is submitted in English
- The research plan must not exceed 20 pages (excluding references)
- A minimum of point 10 font size and 1.5 line spacing must be used
- No annexed documents
- The project plan must be submitted through *mySNF* **and** JSPS' online application system
(deadline: 28 November 2018, 5pm local time in each country)

The project plan of the full proposal consists of 7 parts:

1. Summary of the research plan (max. 1 page)
2. Research plan (max. 20 pages, excluding references)
3. Ethical, safety and regulatory issues
4. Research requiring authorisations or notifications on the Japanese side
5. List of ongoing and/or recent research projects between the Japanese and Swiss applicants
6. Planned visits
7. Requested funds

1. Summary of the research plan (max. 1 page)

The summary should include the most important features of your research plan and place your project in a broader scientific context. This summary should be an exact copy of the one you have written in the *mySNF* data container "Basic data II".

2. Research plan (max. 20 pages, excluding references)

The research plan should be organised in 5 sections (2.1. – 2.5.). We strongly recommend using the section headings indicated below. The proposals will be sent out for external review. In order to ensure that the scientific content of your proposal can be adequately assessed, please provide a detailed research plan which sets out clearly the aims, subject matter and methods of the project you are planning. The research plan must not exceed 20 pages and 80,000 characters including blank spaces, figures, tables, formulae, but without references. The font size should be 10 pt with a line spacing of 1.5. Annexed documents are not accepted.

2.1 Current state of research in the field

By citing the most important publications in the relevant field, please set out the scientific background and basis of the project, explain the need to perform research on the topic you propose and briefly describe important research currently being conducted internationally.

2.2 Current state of your own research and partnership aspect

- Please describe briefly the work done by the different applicants in the relevant research field or in related fields and indicate the relevant publications.
- Explain how the different applicants complement each other for the proposed research project.
- Describe past collaborations that involved the Swiss and Japanese partners (if applicable).

2.3 Detailed research plan

Information on aims, rationale, methods and data

Against the background described in sections 2.1. and 2.2., please state the aims that you plan to attain during the lifetime of the project. Please consider the following points:

- Which investigations and/or experiments do you plan to carry out/are necessary to attain the stated aims?
- What is the rationale for getting the project started and how do you intend to develop the work later on?

Information concerning the methods necessary to attain the aims:

- Which are the methods available to you?
- To which other methods do you have access and how?
- Which methods need to be developed?

Data and data collection:

- Which data are available to you and from where?
- Which data need to be collected?

2.4 Work division, schedule and milestones

- Please indicate how you plan to divide the work among the different partners.
- As far as possible, please give an approximate schedule for the work to be carried out within the project and indicate the most important milestones. In particular, please describe the major tasks of the staff to be employed within the project by the different partners.
- List the planned visits between the Swiss and Japanese research groups (visiting scientist, hosting scientist, purpose of visit, date and duration of visit).

2.5 Importance, impact and results

Scientific importance and impact

Please describe briefly the importance of your research for the scientific community and the impact you expect from the project on research and training/teaching in your field/discipline. Please indicate how you will publish/communicate your results.

Expected results and dissemination plan

Describe in detail the project outcomes you envisage. Explain how you will share these findings with stakeholders and the community. Address the potential for knowledge transfer to industry (if applicable).

Broader impact

If your application concerns use-inspired research, please state whether and to what extent the proposed project will have a broader impact and what this impact will be. The following points should be addressed:

- Need for research as perceived by practitioners/industry: Are there any knowledge gaps? Are innovations and improvements expected?
- Transferability of results: To what degree can research results be put into practice?
- Other potential impacts: In which spheres outside science could the implementation of the research results lead to changes and what is the nature of these changes?

3. Ethical, safety and regulatory issues

Does your proposed work raise ethical, safety or regulatory issues? If yes, how will you deal with them? Please indicate clearly.

4. Research requiring authorisations or notifications on the Japanese side

For the Swiss side, please see corresponding data container on *mySNF*. For the Japanese side, indicate whether the proposed research includes:

	YES	NO
Humans, human tissue samples or individual medical data		
Vertebrates, decapods or cephalopods		
Pathogens or genetically modified organisms		
Human embryonic stem cells		

5. List of ongoing and/or recent research projects between the Japanese and Swiss applicants

Project title	Research area	Project duration (xx/yy/zz - xx/yy/zz)	Amount of funds & funding source

Insert additional rows into the table if required.

6. Planned visits

6.1 Japan to Switzerland

	Visiting scientist(s)	Period & duration of visit	Purpose of visit
1 st year			
2 nd year			
3 rd year			

6.2 Switzerland to Japan

	Visiting scientist(s)	Period & duration of visit	Purpose of visit
1 st year			
2 nd year			
3 rd year			

Insert additional rows into the table if required

7. Requested funds

For the Swiss side, please see corresponding data container on *mySNF*. For the Japanese side, please indicate the requested amount in JPY in the table below.

Year	Equipment	Travel cost	Salaries	Other	Total
1 st year					
2 nd year					
3 rd year					
TOTAL					

Annex 3

Guidelines for the Data Management Plan (DMP)

The aim of a Data Management Plan (DMP) is to plan the life cycle of data. It offers a long-term perspective by outlining how data will be generated, collected, documented, shared and preserved. The DMP is an integral part of the full proposal. The DMP does not undergo any scientific evaluation and therefore does not influence the rating of a proposal. Nevertheless, all questions raised in the DMP guidelines have to be addressed precisely and coherently. The full proposal can only be submitted once the DMP has been completed. There is a specific space in *mySNF* where the DMP can be submitted.

The DMP form comprises four sections: (1) data collection and documentation, (2) ethics, legal and security issues, (3) data storage and preservation, and (4) data sharing and reuse.

The submitted DMP is considered a notice of intention. Its content is assessed by the SNSF Administrative Offices for its plausibility and adherence to the SNSF policy on open research data. It is not part of the scientific evaluation process. The DMP remains editable during the entire lifetime of the grant. Its contents can be adapted as the project evolves. The final version of the DMP will be made available on the SNSF's P3 database. This will increase the visibility and impact of the research outcomes by making it easier for other researchers to access and reuse the datasets.

The costs of enabling access to research data that is collected, observed or generated under an SNSF grant are eligible if the research data is deposited in recognised scientific, digital data archives (data repositories) that meet the FAIR principles (Findable, Accessible, Interoperable, Reusable) and do not serve any commercial purposes (IR 2.13). It is permissible to upload data to commercial repositories, but only the data preparation costs will be covered by the SNSF.

While Swiss applicants are required to submit a DMP, Japanese applicants are not obliged to, although the SNSF strongly advises that they contribute to the DMP. On all accounts, Swiss and Japanese applicants are to discuss the DMP and to determine the terms of their collaboration in this regard.

More information on Open Research Data (ORD) and on the DMP are provided on the SNSF website.