

In accordance with its Funding Guidelines of 21 February 2006 (as last amended), the FWF has issued the following

Application Guidelines

for drawing up a

draft proposal for

Research Groups

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Programme objectives

The main objective is to support joint multidisciplinary or interdisciplinary projects of particularly high-performing scientists/scholars. Medium-term research cooperation on a complex, current topic is carried out in mixed teams of researchers at Austrian research institutions.

Deadlines

In the context of the “research groups” programme, for the submission of the full proposal an effective **deadline of 30 Sept. 2018** has been defined (date as postmark); see <http://www.fwf.ac.at/en/research-funding/fwf-programmes/research-groups/> .

1. Application conditions

1.1. Who can apply?

All Austrian research institutions are eligible to apply. There is no limit to the number of applications that can be submitted by a research institution. The scientific/scholarly question is to be deepened or newly established at Austrian research institutions. The research group working on this question will be established at one location or link several researchers at different locations throughout Austria.

The research group for which funding is requested must consist of **at least three and a maximum of five** researchers (with one third of the under-represented gender; in the context of the evaluation procedure the composition of the team is defined as a decision-relevant criterion). These are internationally outstanding scientists/scholars (with at least two years post-doctoral research experience or experience of carrying out an FWF project) from all disciplines,¹ especially in the humanities, social and cultural sciences.

The researchers are as a rule employed at Austrian research institutions and are either funded by the research institution or financed by the project as part of their *own position* (as listed under point 3.2.2). If they are employed part-time at the time of the start of the project, an increase to full employment through the project is possible.

In addition the participation of an international researcher who is employed only 25% at an Austrian research institution is possible.

¹ Participating researchers must have completed a doctorate in a scientific/scholarly discipline related to the intended project. Researchers who have completed their medical studies in Austria are only entitled to apply for admission to research groups if they hold a degree according to **N, O, Q 201** or **N, O, Q 094** or according to **N, O 790, Q 794** or **N 090** (please cite in the curriculum vitae).

One researcher from the team assumes the tasks of coordinator of the research group.

All researchers must have worked in the relevant scientific/scholarly fields. The scientific/scholarly qualification of a researcher participating in the application must be documented by international publications (in a number corresponding to the career progression). The following criteria are decisive for the **assessment of the scientific/scholarly qualification** of each researcher and **decisive** for the initiation of the evaluation procedure:

Number: The number of publications should correspond to the career progression, but there must have been at least two in the last five years.

Independence: The independent contribution of the respective researcher to the publication should be recognisable. In the life sciences, for example, at least one primary author is required.

Peer Review: All of the above-mentioned publications (NB in the field of humanities more than half) must have a quality assurance procedure according to high international standards. As a rule, journals must be listed in the *Web of Science*, *Scopus* or the *Directory of Open Access Journals (DOAJ)*. In the case of journals not listed in these databases or in cases of monographs, anthologies or anthology contributions as well as other forms of publication, the researcher in question must insert a link to the website of the journal in which the peer-review process is described. In the case of journals that are not listed in one of these databases, and in the case of monographs, anthologies, anthology contributions or other forms of publication for which the organ of publication has not published a description of the quality assurance procedure, it is up to the applicant research institution to prove that the organ of publication carries out a corresponding quality assurance procedure.

Internationality: In the natural sciences, life sciences and social sciences, the majority of the listed publications must be in English. In the humanities and related fields, the majority of publications must have a reach beyond national borders.

When submitting an application the **persistent digital identifier ORCID (<http://orcid.org/>)** is mandatory for the researcher.

Multiple participation: each researcher may only take part in one research group.

Double funding is prohibited, i.e. an application for a project may not be financed in full or in part by another research agency or as part of another FWF programme. Applications that are identical in substantial parts may not be submitted more than once – either in the same or in a different FWF funding category – unless the programme-specific application guidelines provide for an exception in this respect.

Restrictions on the **number of projects**: In addition to participation in the research group as a researcher it is possible to assume project management for two projects that differ from the research group in terms of content in the categories of individual projects, international programmes, clinical research, programme for arts-based research. Applications for a

Schrödinger project and simultaneous application as a researcher in a research group are not possible.

Grants that have been applied for from the FWF or other funding agencies or are received from other funding agencies (e.g. EU OeNB, ministries etc.) in the context of this topic **must be indicated** (see application form).

1.2. What kind of projects can be applied for?

Applications can be submitted for the implementation of a **joint multidisciplinary or interdisciplinary project**. The research project aimed at gaining scientific/scholarly knowledge is limited to a maximum of 60 months.

In all cases, the research groups should pursue scientific/scholarly goals that as a rule go beyond established disciplinary boundaries and therefore require the collaboration of several researchers of different specialisations. Owing to the multidisciplinary or interdisciplinary² issues involved, these projects can only be worked on jointly from different perspectives and thus open up unusual new fields of research. The research group establishes an innovative topic in Austria or expands or supplements the existing research priorities at research institutions.

1.3. What funds can be applied for?

Only project specific funds up to a **maximum of €1,500,000**. The amount of funding to be applied for is max. €300,000 per year, max. 5 years including 5% general project costs. The costs applied for are to fund the personnel and material resources needed to carry out the project (see 3.2.) and go beyond the resources provided as the “infrastructure” of the research institution. The FWF does not fund any “infrastructure” or “basic equipment” of a research institution (see also 3.3).

² Definition: “Interdisciplinarity” refers to the integration-oriented interaction of people from at least two disciplines with regard to common goals and results, with the disciplinary perspectives being brought together to form an overall view.

2 Form and content of the application

2.1 Elements of the application

A full proposal must include the following elements:

- 1) **Scientific/scholarly abstract in English** with max. 450 words (A4, no formulas or special characters): The abstract is used to inform potential reviewers about the project. The following points should be clarified in greater detail: 1) scientific/scholarly questions/hypotheses, 2) innovation/originality/multidisciplinary or interdisciplinary approach, 3) methodology used, 4) researchers with primary responsibility;
- 2) **Abstracts** for the FWF's **public relations work in German and English**. The PR abstracts, also max. length 450 words (A4, no formulas or special characters), should contain: 1) title, 2) content of the project, 3) hypothesis, 4) methods, 5) What is new / special / innovatory about it?
The language should be easy for lay people to understand and contain as few technical terms as possible.
- 3) Completed **forms**: application form, *statement of costs* form, *programme-specific data* form.
- 4) **Form naming all persons (name, contact details) as co-authors** who have made substantial scientific/scholarly contributions in the development and drawing up of the proposal, including a brief description of the nature of the contribution; if there are no co-authors, this must also be stated on the supplementary sheet.;
- 5) **Free-form application** (A4, printed on one side, consecutively numbered pages and unbound) consisting of:
 - **Cover sheet:**
 - Project title
 - Applying research institution (address and director), corresponds to the research institution of the coordinator; name and institution address of the coordinator.
 - List of participating research institutions including details of the researchers working there (name and institute address).
 - **List of contents**(Cover sheet and list of contents are not included in the total word count.)

- **Project description** (incl. headings, footnotes, tables, illustrations, key to illustrations etc.)

on **max. 30 pages with max. 13,500 words** in the case of at least. **3** scientists/scholars

or **max. 32 pages with max. 14,400 words** in the case of max. **5** scientists/scholars

The following content of the project description is expected:

- description of the multidisciplinary or interdisciplinary, innovative research programme
(max. 14 pages with max. 6,300 words)
 - quality and composition of the research team
(data basis max. 2 pages with max. 900 words, team presentation max. 4 pages with max 1800 words, one description per person max. 1 page with max. 450 words)
 - further-reaching aspects
(max. 2 pages with max. 900 words)
 - statute of the research group
(project structure and management; max. 2 pages with max. 900 words)
 - funds applied for
(description of individual costs; max. 3 pages with max. 1350 words)
- **National as well as international** cooperation essential for the project can be documented by collaboration letters³ (max. 3 at max. 1 A4 page each). These may have to be appended at the end of the proposal file, but are not included in the page numbers.
 - **Index of the literature⁴ and list of abbreviations** max. 5 pages
 - **Academic curriculum vitae** (max. 3 pages per person) and list of publications of all leading postdocs; staff from postdoc level as far as is known.
 - **PDF scan of the PhD certificate** and, **proof of two years' post-doctoral** research experience.

6) **Annexes:** the project description and the forms are where necessary to be accompanied by the following annexes:

- **Form on international cooperation:** International cooperation envisaged within the framework of the planned project must be described in a free-form application. Cooperation is basically all forms of scientific/scholarly cooperation that are specifically oriented on the project, where this cooperation is intended to create a corresponding added value and must be to the benefit of all parties involved. In the case of cooperation, it is necessary to specify who the cooperation is to be with and

³ Provided that this cooperation is to be established in the future and is not documented by existing joint publications in the publication list.

⁴ Literature lists must include: all authors, complete titles, publication organ, year, page references. For publications with more than 20 authors an "et al." quote can be used.

what the subject of the envisaged cooperation is to be (contribution to the project). Each international cooperation specified in the project description on an individual basis (also within the framework of international networking programmes such as COST, EUREKA, EU Framework Programme) is to be listed with corresponding information in the “International Cooperation” form. The FWF assumes that costs arising from scientific cooperation at the respective research institution will also be borne by the respective cooperation partner. In the case of pure cooperation, the costs arising from scientific/scholarly cooperation at the respective research facility must also be borne by this research facility. This does not include cooperation with scientists/scholars from developing countries (This information should be included in the data file scientific abstract – see [FWF-homepage](#) academic_abstract).

- **Negative list of reviewers:** The application may be accompanied by a list of reviewers who, due to possible conflicts of interest, should not be asked to review the application (“negative list”). The research institution can exclude a maximum of **3 potential reviewers** from the review procedure if they believe that there may be conflicts of interest. The negative list must be briefly justified. As a rule, reviewers are considered to have a potential conflict of interest if
 - a) the reviewers stand to gain professionally, financially or personally from the approval or rejection of the application (incl. from direct competition);
 - b) within in the last five years the reviewers have jointly published or cooperated with the researchers;
 - c) the reviewers and researchers are represented at the same time in professional and regularly meeting committees or have worked at the same research institution within the last 5 years;
 - d) the reviewers have fundamental differences of scientific/scholarly opinion with the researchers;
 - e) any other close professional or personal ties exist between the reviewers and the researchers which may give rise to suspicions of bias or of conflicts of interest in the eyes of uninvolved third parties.

If the information can be verified in an expert assessment, as a rule the Executive Board of the FWF will follow the proposed negative list. A list of possible reviewers who are proposed to the FWF Executive Board (a “positive list”) is not desired and will not be considered.

2.2 Form requirements

All forms must be completed in full. In order for the application to be legally binding, the FWF requires a completed application form including the “Affirmation by the applying research institution” with original signatures and stamp.

In the interests of efficient processing, **incomplete applications** as well as those that deviate from the formal provisions and formatting requirements (especially if the number of pages is exceeded and/or smaller font sizes are used) will be **returned for revision** immediately. Shortcomings detected are to be remedied by the applicant research institution within a **maximum of 10 days** after the notification of the inadequate information provided by the FWF. If this is not done, these proposals will be rejected by the FWF Executive Board, i.e. they will not be processed further and cannot be resubmitted without substantial revision.

2.2.1 Application language

In order to ensure the international review process, all applications must be submitted **without exception in English**.

2.2.2 Formatting

All parts of the free-form application (see Section 2.1), the abstracts and enclosures must be written **exclusively in 11 pt on 1.5 line spacing**.

2.2.3 Submission of application

The complete application must be submitted (see section 2.1). The application is to be made in written form in a single **paper version** with the **original signatures and stamps** and a **corresponding data medium**.

The **submission of an electronic version of the application** on a data medium facilitates the review procedure. The files should be named as listed below and they should be kept as small as possible. The sum of all files submitted on data media must not exceed 5 MB.

To be submitted on the **data medium** (no write-protected files, no signatures required):

- **scientific/scholarly abstract** in English for the reviewers (file format: Word for Windows, no formulas or special characters, max. 450 words);
- **abstracts** for public relations work, each in a separate file, in German and English (file format: Word for Windows, no formulas or special characters, each max. 450 words);

- **forms** (in one file, file format: PDF; do not use scanned files): completed *application* form, *cost statement* form, *programme-specific data* form, *co-authors* form;
- **free-form application** (in one file, file format: PDF): project description including a list of the literature cited in the application, CVs and publication lists of all researchers, and where necessary *collaboration letters*;
- **annexes** each in individual files (data format: PDF).

Specifications for the file names

- **Files required** (please save on the data medium under the name indicated)
 - *Academic_Abstract_Title.docx* (academic abstract in English)
 - *PR_Abstract_deu.docx* and *PR_Abstract_eng.docx* (abstract for the PR work in German and English, each in an individual file)
 - *1_Forms_Title.pdf* (application form, *cost statement* form, *programme-specific data* form, *co-authors* form)
 - *2_Proposal_Title.pdf* (consisting of: 1) free-form application, incl. index of literature cited in the application 2) CVs and publication lists of all researchers and where necessary 3) *Collaboration letters*)
- 7) **Annexes** (see also 2.1., page 7)
 - *Annex_Reviewers.docx* (negative list of reviewers)
 - *Annex_statement of costs.xls*
 - *PhD certificate_name researcher*

2.3. The project description

As part of the free-form application the project description⁵ must address the following points:

2.3.1 Research programme (max. 14 pages, max. 6,300 words)

- State of the art in research on which the research group is based,
- Multidisciplinary or interdisciplinary,⁶ innovative⁷ research approaches in the research programme of the research group,
- Presentation of the shared objectives and research questions in the research group; in the case of an interdisciplinary research approach including:
 - description of the common language (coherent and consistent terminology),
 - description of the research area to be investigated,
 - description of the relevant scientific/scholarly challenges,
 - description of the merging of the various disciplinary theories into a common theoretical approach,
 - description of the shared methodologies used,
 - presentation of how the synthesis is formed – common, theoretical basis, building on the individual contributions
- Concise presentation of the innovative and cutting-edge character of the research topic as well as the significance of the research results for the international scientific/scholarly community, international cooperations,
- A description of the thematic coherence and the expected innovation value through cooperation in the research group,
- Position and analysis of the research approaches with regard to gender-relevant aspects: are gender-relevant findings to be expected from the research approach? If so, which ones? If not, a brief explanation of why it is not necessary (explanatory notes on the review of gender relevance).⁸

⁵ Hyperlinks in the project description or in the enclosures to content for which a log-in/password is required are not taken into account.

⁶ Definition: “Interdisciplinarity” refers to the integration-oriented interaction of people from at least two disciplines with regard to common goals and results, with the disciplinary perspectives being brought together to form an overall view.

⁷ Questions to the reviewers: *How does the proposal advance frontier research and unconventional scientific approaches? Does the proposed project have the potential to question and/or change existing paradigms in the fields involved or beyond?*

⁸ <https://www.fwf.ac.at/de/ueber-den-fwf/gender-mainstreaming/fix-the-knowledge/detailseite/>

- Ethical aspects⁹ must be taken into account as part of this application: all potential ethical, safety-related or regulatory aspects of the planned project and how to deal with it must be described in a separate paragraph. In particular, the benefits and the burden of any experiments as well as their effects on the subjects under investigation are to be explained. A brief explanation has to be provided in cases where no ethical issues have to be taken into account.

2.3.2 Quality and composition of the research team

Data Basis (Background information concerning the research institution: presentation max. 2 pages with max. 900 words)

- Number of female researchers at the research institution
- Number of junior scientists at the research institution
- Objectives in the women's promotion plan of the research institution
- Objectives in the area of promoting junior researchers at the research institution

For the team (presentation of the team max. 4 pages, max. 1800 words)

- Description of the cooperation and communication structure in the team; description of the team structure including the proportion of junior researchers, description of the proportion of women.
- Description of an internationalisation strategy to connect with the international scientific/scholarly community
- Optional: the cooperation between two organisational units within the same research institution is to be justified.

For each researcher (individual description per person max. 1 page with max. 450 words)

- Description of qualifications
- Description of expertise and scientific/scholarly potential
- Description of experience with multidisciplinary or interdisciplinary projects
- Description of capacity and scientific/scholarly vision
- Description of international cooperation

2.3.3 Further-reaching effects (max. 2 pages, max. 900 words)

Dissemination strategies and scientific/scholarly communication measures with regard to the profile of the research group and audience-friendly preparation of the findings.

⁹ As an aid to orientation, for example, the EC document "Ethics for researchers" can be referred to (http://ec.europa.eu/research/participants/data/ref/fp7/89888/ethics-for-researchers_en.pdf) or the "European Code of Conduct for Research Integrity" (http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf).

2.3.4 Statutes of the research group (max. 2 pages, max. 900 words)

The statutes are the agreement between the researchers. They describe the tasks and competences of the coordinator and regulate the cooperation between researchers as well as the decision-making processes. They must be signed by the researchers and attached to the application.

Content of the statutes of the research group

The rules laid down in the statutes of the research group, in particular the responsibilities for decisions taken, are binding for all participants in the research group.

Minimum requirements for the statutes

1. Membership – rights and obligations

- How does one become a member?
- How does membership end?
- What are a member's rights and obligations?

2. Organs/committees of the research group

- Number, name and tasks of the committee?
- Appointment of members of organs/committees?
- Requirements for valid decision-making

3. Disputes arbitration

4. Tasks of the coordinator

5. Compliance with legislation and ethical standards

The statutes prepared and signed have to be brought to the attention of the applying and participating research institution.

2.3.5 Details of funds applied for (max. 3 pages with max. 1,350 words)

Details of the research institute

- Existing staff and researchers financed by the research institutions
- Existing infrastructure (description of general conditions)

Details of funds applied for

- Concise justifications for the requested personnel (type of job(s), job descriptions, extent of employment and duration of assignment in the project);

- Concise justifications for the requested material resources (devices, material, travel and other expenses). If devices are applied for, the extent to which they are not part of the basic equipment of the given research environment must be specified (see also Section 3.4).

2.3.6 Requirements for academic CVs and publication lists

The following information must be included for all researchers:

Academic CVs (max. 3 pages per person)

- Details of the person, address and website
- Main research areas
- List of the academic career and previous positions (where necessary, brief justification for career interruptions)
- Where appropriate, the most important academic awards (each maximum of: the five most important invitations to academic lectures, the five most important scientific/scholarly awards and prizes, the five most important expert's review activities, editorships and/or memberships of scientific/scholarly organisations)
- Where appropriate, maximum of five most important funded projects¹⁰
- Where appropriate, the name and institution of the most important cooperation partners in the last five years.

Publication lists¹¹

- Index of all published or accepted academic publications (*journals, monographs, edited volumes, contributions to edited volumes, proceedings, research data* etc.) in the last five years, divided into a) *peer-reviewed* and b) *non-peer-reviewed* publications.
- Separate list of the ten most important academic publications of the whole previous scientific/scholarly activity.

¹⁰ Only the (peer-reviewed) projects for which the researcher is/was primarily responsible, both in terms of planning and implementation, should be mentioned here. Each project should be listed: project title, sponsor, project duration and amount of funding.

¹¹ Publication lists must include: all authors, complete titles, publication organ, year, page references. For each publication, either a DOI address (<http://www.doi.org/>) or another persistent identifier (http://en.wikipedia.org/wiki/Persistent_identifier) should be provided; for publications with more than 20 authors, an "et al." citation can be used. In addition, the publications are to be freely accessible in accordance with the FWF's [Open-Access-Policy](#). This applies in any case to publications from current or completed FWF projects.

3 Details, definitions, explanations on the application

3.1 Main terminology

The most essential terms used in the application guidelines are explained below:

<i>Applying research institution</i>	The Austrian research institution that makes the application and where the coordinator is located.
<i>Participating research institution</i>	Austrian research institution that is involved in the application and where the participating researchers work.
<i>Researchers</i>	3–5 scientists/scholars on the FWF project with varying academic ages.
<i>Coordinator</i>	Researcher who is responsible for the management; appointed by the research institution.
<i>Staff</i>	Academic staff in the research group who are funded by the approved FWD funding for the research group (PhD, postdoc positions, technical personnel).
<i>Members</i>	All researchers and staff in the research group.
<i>Own Position</i>	The researcher's salary that is financed from the third-party funds of the research project.
<i>Statutes</i>	The statutes are the agreement between the researchers. They describe the tasks and competencies of the coordinator and govern the cooperation between the researchers as well as the decision-making processes. They have to be signed by the researchers and attached to the application.

3.2 Project-specific costs that can be applied for

Basic costs

The regulations of the respective research institution must always be taken into account when applying for funding (such as for personnel and contracts for work and services).

The costs applied for are to be shown separately for each participating research institution (one spreadsheet must be drawn up for each researcher and research institution in the *statement of costs* form).

3.2.1 Personnel costs

Applications must be made for the personnel required to carry out the research project in addition to the existing staffing levels and used exclusively for this research project to the extent agreed.

The legal forms for using staff are service contracts for full-time or part-time employees (DV) and marginal employment (GB). A “student assistant” contract of employment with a maximum of 50% can be applied for for work by persons who have not yet completed a master’s degree in the relevant subject area.

The personnel cost rates that can be applied for within the framework of PROFİ (project funding via institutions) including a fixed percentage increase for the subsequent year to compensate for wage rises, can be found on the [FWF-Homepage](#). Please note that for doctoral candidates, the maximum number of jobs that can be applied for is 75 % (this corresponds to 30 hours per week).

3.2.2 Own position

The FWF understands “own position” to mean that the researcher’s salary is financed from the third-party funds of the research project.

Applying for funding (including part-funding) of one’s own position is possible for every researcher, regardless of whether they are in permanent or long-term employment at the time of application.

A senior postdoc rate can be applied for for one’s own position (correspondingly aliquoted in the case of partial funding):

- Researchers who have two years of post-doctoral research experience at the time of submitting an application or researchers who have already successfully managed an FWF project can apply for the senior postdoc rate.
A confirmation/proof from a third party testifying to at least two years of research experience as a postdoc must be included.

The personnel cost rates that can be applied for within the framework of PROFİ, including a fixed percentage increase for the subsequent year to compensate for wage rises, can be found on the [FWF-Homepage](#).

3.2.3 Equipment costs

Only equipment that is specifically necessary for the project and is not part of the infrastructure can be applied for. The equipment infrastructure includes the devices (and equipment components) that must be available in a modern research facility in the respective

scientific/scholarly discipline in order to permit internationally competitive fundamental research. It is expressly pointed out that if such components are nevertheless applied for, then the extent to which modern basic research is possible or project-specific preliminary work was possible in such a research environment must be fundamentally critically questioned in the decision on the eligibility of this project for funding.

Equipment includes scientific instruments, system components, self-construction equipment (generally assembled from small devices and material) and other durable items of property, as well as intangible assets such as licences, industrial property rights and licenses derived therefrom, if their acquisition costs exceed the amount in accordance with § 13 Income Tax Act 1988, Federal Law Gazette No. 400/1988, which currently amounts to €400 (incl. VAT, unless the research facility is entitled to deduct input tax).

The full proposal (2nd stage of the evaluation procedure) must be accompanied by a corresponding offer from a company for each piece of equipment with a purchase value of €1,500 or more, including VAT.

In the case of an application for a project-specific device with a purchase value of €24,000 or more including VAT, by signing the application form “Declaration by the applying research institution” the applicant declares that no comparable device is available or can be shared at a suitable distance and that the possibility of (co-)financing by third parties and an interest in sharing has been examined. The applying research institution is aware of the possible costs that may arise from operation, maintenance and repair as well as possible repairs.

Note: The ordering and payment for the equipment will be carried out by the research institution on the instructions of the coordinator. The procurement guidelines of the research institution must be observed. The inventory and reimbursement of the acquisition costs of the device is carried out in accordance with the agreement between the research institution and the FWF.

If there are any questions regarding the application for equipment, please contact the staff at the relevant department of the FWF.

3.2.4 Material costs

“Material” includes project-specific consumables and small appliances (individually less than €400 incl. VAT).

The calculation of the requested project-specific material costs must be justified on the basis of the time, work and experiment plans. Experience from completed research projects must be taken into account.

3.2.5 Travel expenses

Costs for project-specific trips and stays, field work, expeditions etc. can be applied for. The project description must contain a detailed travel plan, broken down by employee. This plan must specify which persons are to travel, for what purpose, when (in which project year), for how long and where, and what the costs will be.

The payment of travel expenses for researchers from other research institutions in Austria or abroad is only granted in exceptional cases and must be specifically justified.

The calculation of travel and subsistence expenses must always be carried out in accordance with the Federal Travel Fee Regulation (RGV). The currently valid RGV rates for foreign countries can be found in this document:

<http://www.fwf.ac.at/fileadmin/files/Dokumente/Downloads/bgbl.pdf>

In the case of longer stays, a comprehensible and reasonable expenses plan must be drawn up, which will normally be financially more favourable than the costs calculated on the basis of the RGV.

Costs for the presentation of project results at congresses may not be applied for, since the costs incurred must be paid from the “general project costs” (cf. Section 3.2.7).

3.2.6 Other eligible costs

Under other costs in particular the following can be applied for:

Work contracts for project-specific work deliveries or work services: for contracts for work and services starting at €10,000 excl. value-added tax for the entire duration of the project, an offer must be enclosed when submitting a full proposal (2nd stage of the evaluation procedure).

Costs that cannot be assigned to personnel costs, equipment costs, material costs and travel expenses, such as for example:

- Reimbursement of costs for the use of research facilities that have already been co-financed by the public sector: for the reimbursement of costs starting at €10,000 excl. value added tax, related to the entire duration of the project, an offer must be enclosed which includes an explicit explanation that the costs calculated do not include any calculation elements already financed by the public sector.
- Costs for lab animals required for specific projects.
- Costs for the external execution of project-specific work (e.g. analyses to be outsourced, surveys, sampling, production of thin sections, etc.). Proposals must be accompanied by offers.

- Costs for the disposal of hazardous waste
- Costs for test persons' fees
- Costs for external mentoring to support the coordinator's research management (consultant, expert in the field of scientific/scholarly communication and management of research networks, etc.; an offer with a description of the service must be enclosed).

When planning your budget, please note the FWF's Open Access Policy, including point VI, "Open Research Data". This means that, depending on the research topic, funds should be budgeted for the duration of the project which ensures the preparation, archiving, open access and re-use of research data in repositories.

3.2.7 General project costs (see *Statement of Costs* form)

General project costs are to be stated on the *Statement of Costs* form in the areas designated for this purpose to the amount of 5 % of the remaining requested funding.

These include costs for additional congress trips, for the dissemination of scientific/scholarly results in the wider media and costs for unforeseen project-specific minor expenses.

No justification for general project costs has to be provided in the project description.

3.3 Non-eligible costs

Infrastructure

"Infrastructure" means all facilities necessary to maintain the normal operation of the research institution (such as buildings, installations, communication facilities, equipment infrastructure, etc.).

Dissemination activities

Publication costs cannot be budgeted when applying for FWF projects. However, in the case of approved projects, on application the FWF will fund referenced publications with additional funds from its own separate programme for up to three years after the end of the project; see

<http://www.fwf.ac.at/de/forschungsfoerderung/fwf-programme/referierte-publikationen/>.

3.4 Cooperation

National and international cooperation

Cooperation is defined as all forms of scientific cooperation aimed specifically at the project, with such cooperation having to be intended to create an appropriate added value for the project and having to be to the benefit of all parties involved.

In the case of pure cooperation, the costs arising from scientific/scholarly cooperation at the respective research institution are also to be borne by that research institution.

As part of cooperation, funds can only be transferred to a cooperation partner (also abroad) if they are clearly limited contracts or services (as stated in Section 3.2.6) and if they are directly necessary for the implementation of the Austrian project. This does not include cooperation with scientists/scholars from developing countries.

Intended collaborations (national and/or international) within the framework of the planned research project must be described in a free-form application. In the case of cooperation it is necessary to specify which persons the cooperation is to be with and what the subject of the intended cooperation is to be (contribution to the project). Each of these international collaborations specified in the project description on an individual basis (also within the framework of international networking programmes such as COST, EUREKA, EU Framework Programme) must be listed with the corresponding information on the “International Cooperation” form.

3.5 Annexes

Inasmuch as necessary the following annexes should be enclosed with the project descriptions and the forms:

- Proof of PhD (a scan of the PhD certificate in PDF format) and where appropriate, proof of previous, two years’ research activities or reference to the management of an FWF project;
- The following forms are to be completed as required: “International Cooperation” form;
- Offers for the requested pieces of equipment (one company’s offer per device applied for, may also be given in German; an electronic version is not required) as well as offers for the corresponding funds requested under “Other costs” (e.g. use of research facilities) must be provided during the 2nd stage of the evaluation procedure (with the full proposal).

It should be noted that additional enclosures will not be taken into account and that in signing the application form the applying research institution assures that the written and electronic versions of the application are identical.

3.6 Processing of the application

All applications that are received by **30 Sept. 2019** (date as postmark) will be formally examined at the FWF.

Incomplete applications or applications that contradict the provisions of the FWF or do not formally comply in any other way (especially if they exceed the maximum permissible scope of the application) will be returned. If a correction of identified shortcomings does not take place within a reasonable period of time (max. 10 days after delivery of the inadequate information), these requests will be withdrawn by the FWF, i.e. not processed further. All applications meeting the formal criteria will be reviewed. No changes can be made to the application once the review process has been initiated. Three independent reviews will be obtained. In March 2019, on the basis of these reviews the FWF Board will decide on the invitation to the full proposal. This must be submitted within 8 weeks.

International experts will be invited to a hearing with all applying research institutions and researchers. This international jury discusses with the researchers and research institutes and prepares a proposal for the FWF Board based on the presentations (in a *closed session*, i.e. in the absence of the FWF Board). The FWF Board will decide on the award in November 2019, based on this proposal. The research institutions will be informed of the decisions in writing.

Reasons for rejection

The reasons for the rejection of a project are assigned to one of five categories (C1-C5) and are communicated to the applying research institution in addition to the reviews. For a detailed description of the categories, see <http://www.fwf.ac.at/en/research-funding/decision-making-procedure/decision-making-procedure/>

Please note: In the event of a new call for the research group, applications that are rejected with the reason “C5” will be barred for 12 months (from the decision date) and cannot be resubmitted during this period.

Exclusion of reviewers

In addition to the annexes (in paper and electronic form – format: Word), a list of reviewers who, owing to possible conflicts of interest, should not be asked to examine the application (“negative list”) may be added to the application (p.8 Annexes /negative list)

It should be noted that a list of possible reviewers proposed to the FWF Executive Board by the applicants (a “positive list”) is undesirable and will not be considered.

3.7 Compliance with legislation and scientific/scholarly integrity standards

The FWF points out that the applying research institution is obliged to ensure that the legal and safety regulations applicable to their research institution (e.g. the Federal Act on Equal Opportunities for Disabled Persons) are complied with that all necessary approvals (e.g. from the Ethics Committee, the Animal Experimentation Commission, the Federal Monument Authority or the corresponding foreign authorities) are obtained.

The applying research institution must ensure that the guidelines of the Austrian Agency for Scientific Integrity (OeAWI) on good scientific/scholarly practice are observed by the researchers when submitting applications and carrying out projects.

The applying institution must ensure that if deviations from these standards are suspected, they will be reviewed by the ombudsman of the relevant research institution or by the OeAWI. The FWF reserves the right to suspend application or project-related procedures in whole or in part until the result of these reviews.

3.8 Publication of project data and findings

The FWF points out that in the event of a permit being granted, the German and English abridged version for public relations work as well as the amount of the approved sum and subsequently the abstracts of the project final report will be published on the FWF website. The project management should ensure that the contents of these abstracts are designed in such a way that they do not lead to restrictions on any patent applications based on project findings.

Both the presentation and publication of project findings must comply with the relevant guidelines for naming the FWF as a funding institution and with the open-access policy.

APPENDIX: Questions to reviewers of the “research group” funding category

The FWF actively strives for equal opportunities and equal treatment in all programmes. The review of an application must not be based on non-academic criteria, such as age, gender, etc., to the detriment of researcher. For example, the reviewing of applications should focus on the relationship between individual duration of academic career and scientific/scholarly achievement achieved so far, rather than on absolute age. For the FWF, equal opportunities also means that unavoidable delays in the scientific/scholarly careers of the researchers (longer qualification phases, e.g. due to childcare periods, longer illnesses etc.) which have led to gaps in publications, reduced stays abroad etc. are taken into account appropriately.

When formulating your review, please bear in mind that your comments will be anonymously communicated to the applicant research institution in the first part of the review.

The task of the FWF is to ensure the best possible use of public funds in the area of basic research according to scientific/scholarly criteria. Based on the requirements imposed on a project by the FWF, reviewers should be able to comment briefly on the following aspects of the proposal.

Part 1 (Full content notification to the applicant research institution)

1. The scientific/scholarly quality of the application submitted (including gender-relevant and ethical aspects where appropriate), in particular with regard to its strengths and weaknesses
2. A multidisciplinary or interdisciplinary approach, methodology and execution of the project, in particular with regard to strengths and weaknesses
3. The degree of innovation and potential of the proposal to change existing paradigms in the research fields involved and beyond, particularly with regard to strengths and weaknesses
4. Scientific/scholarly qualification – measured in terms of academic age – of researchers as well as gender relations among researchers, particularly in terms of strengths and weaknesses
5. Implementation effects of the internationalisation strategy of the research groups
6. Significance of the project for the career development of the junior researchers
7. Organisation of the research group, especially with regard to strengths and weaknesses
8. Final assessment with regard to the main strengths and weaknesses and final recommendation for funding

Part 2 (confidential information for the FWF)

Other comments for the FWF