

**NEUES ENTDECKEN**

**TALENTE FÖRDERN**

**IDEEN UMSETZEN**

**FWF**

Der Wissenschaftsfonds.

In accordance with its Funding Guidelines of 1 January 2019  
(as last amended), the FWF has issued the following

## **Application Guidelines for the *doc.funds* Programme**



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## 1. General Information

### 1.1. Aim of the programme

The main objective of the *doc.funds* programme is to support the outstanding academic or arts-based education and training of doctoral students within the framework of existing doctoral programmes. With funds from the [Österreich-Fond](#), the programme is intended to assist in the development of structured doctoral programmes in accordance with international standards at Austrian doctoral research institutions. In the long term, it aims to contribute to reinforcing the research orientation and to consolidating existing education and training structures for highly qualified junior researchers. At the same time, the programme is designed to support the development of specific scientific or arts-based focus areas at institutions entitled to confer doctoral degrees.

### 1.2. Definitions

The most important terms used in these guidelines are defined below.

<i>Applicant</i>	A research institution entitled to confer doctoral degrees (referred to below as the “applicant” or “research institution”)
<i>Faculty member</i>	Scientific or arts-based researcher participating in the application, doctoral student supervisor, and person involved in carrying out the FWF-funded <i>doc.funds</i> project
<i>Faculty</i>	Community of all faculty members
<i>Coordinator</i>	The faculty member mainly responsible, head of the faculty and of the FWF-funded project, and person working 100% within Austria appointed by the research institution
<i>Doctoral candidate</i>	A person enrolled in and actively pursuing doctoral studies at an Austrian doctoral research institution and who has been accepted into the doctoral programme in question
<i>Research location</i>	All research institutions located in a city, town, or municipality, as well as any research institutions located within a radius of 80 km which cooperate regularly with a research institution in the city, town, or municipality concerned

### 1.3. Deadlines

The **submission deadline** for applications is **6 May 2019** (date of postmark).

### 1.4. Who is eligible to apply?

All Austrian research institutions entitled to confer doctoral degrees are eligible to apply.

Grant agreements can only be concluded with research institutions that fulfil this requirement. There is no limit on the number of applications a research institution can submit.

## **1.5. What types of projects can be funded?**

Funding may be requested for the **additional funding of any structured doctoral programme** that has been **in existence for at least two years** at a doctoral research institution. The project, which must be clearly defined, convincingly described in terms of objectives and methods, and limited in time (no more than 48 months), is designed to generate new research insights. The planned project should integrate seamlessly into the existing structure so that excellent dissertations based on state-of-the-art international research can be expected.

Double funding is not permitted (see [Funding guidelines](#)).

Any other support or grants relating to the subject of the application that have been requested from or awarded by the FWF or other funding agencies (e.g., the EU, the Austrian National Bank [OeNB], or government ministries) must be disclosed (see application form).

**Additional funding** from the *doc.funds* programme may be requested **for ongoing FWF-funded doctoral programmes** (DK projects) **only if** the scheduled duration of the FWF-funded DK project ends on or before the deadline for *doc.funds* applications (**6 May 2019**). In all other cases, no additional funding may be requested for ongoing FWF-funded DK projects.

## **1.6. What requirements must be met to apply?**

In order to be eligible to apply, a structured doctoral programme must have been in existence for at least two years, be based at one research location, and fulfil the following requirements.

### **1.6.1. Structured doctoral programme**

Structured doctoral programmes are embedded in a focused and consistent research framework and require the existence of procedures or structures and commitments that ensure the quality of the research as well as optimal and adequate scientific/scholarly support for the doctoral students. To achieve this, specific minimum standards of structuring must be fulfilled: assurance of supervision; dissertation agreement; progress reports; separation of supervision and evaluation personnel for the dissertation (if compliant with study-law regulations); subject-specific education and accompanying measures (transferable skills, etc.); support teams rather than exclusively individual supervision; supervisor development; facilitation of mobility; as well as concrete funding models for doctoral students.

In particular, contexts must be created for doctoral candidates and supervisors in which mentoring and appropriate discussion can take place as part of a peer culture. These contexts should have their own institutional structure and be clearly located in the research organisation (at the university, faculty, or departmental level). The doctoral students are regarded by the university as early-stage researchers or early-stage artists.

The aim is to ensure independent and high-quality scientific or arts-based research by the doctoral candidates, to integrate them into the institutional research activities, and to lead them to a degree through active mentoring/supervision.

### **1.6.2. Faculty**

The research institution submitting the application must appoint a coordinator for the project, who must be a scientific or arts-based researcher working solely in Austria. This person will serve as the head of the project if the funding application is approved.

The doctoral programme for which additional funding is requested must involve **at least five scientific or arts-based researchers** (including the coordinator). Increasing the proportion of women is an important concern of the FWF. If the proportion of **women in the faculty** falls below 30%, this fact must be justified.

If the project intends to include faculty members who do not work 100% within Austria, the following guidelines apply: at the time of submission of the application by the research institution, the faculty member concerned must prove that he/she has a genuine employment contract with the research institution, guaranteed for the planned duration of the project and not financed by the FWF, with a minimum employment rate of 25%. Applicants are required to submit evidence of such an employment arrangement and a brief description of the project, including a plan for its execution, information on the researcher's presence on site, substitution arrangements, etc., for advance approval by the FWF.

### **1.6.3. Research qualifications**

**All of the faculty members** involved in the project must have proven experience in supervising doctoral students, possess excellent research qualifications and/or meet international standards of arts-based research, and demonstrate a connection to the development and exploration of the arts (EEK).

The research qualifications of all faculty members involved in the application must be evidenced by means of a publication record over the last 5 years commensurate with their career stage, which demonstrates their international visibility or, where appropriate, by forms of arts practice over the last 5 years which have been explicitly informed by research and which have been recognised and evaluated internationally.

The following criteria are **decisive** for the **assessment of the research qualifications** of each faculty member and in determining whether a review procedure will be initiated:

- **Peer review:** All the publications listed (or more than half in the case of the humanities) must have been subject to a quality assurance procedure in line with high international standards, which usually means that journals should be listed in the Web of Science, Scopus, or the Directory of Open Access Journals (DOAJ). For journals not listed in those databases, or monographs, edited volumes or contributions therein, or other publication types, the peer-review procedure must be documented on the publisher's website to which faculty members should provide a link. Should no such documentation be available on the website, it is the applicant's responsibility to provide evidence that the publication has been subject to an appropriate quality assurance procedure.

For faculty members where examples of his/her **arts practice and critical reflection on it** are presented, the items submitted must have been made publicly available. They should demonstrate levels of achievement that could be regarded as comparable in terms of critical recognition to the publication of research in internationally recognised journals, with evidence of this in appropriately documented form. To be accepted as part of the application, the research dimensions of and the research questions underpinning each such item submitted should be made explicit in a short supporting statement written by the faculty member and to be included in the publication or works list. Where applicable, all talks (gallery, theatre, or similar) and conference papers given on the works of art should also be listed.

- **Number and quality** of the publications must be commensurate with the faculty member's career stage. **At least two publications** must be peer-reviewed and internationally visible publications/arts practice with a substantial and independent contribution on the part of the faculty member.
- **International nature:** In the natural sciences, life sciences, and social sciences, most of the publications listed must be in English. In the humanities and cultural studies, as well as arts-based research, most of the applicant's publications must have a wider than national reach.

Should a faculty member fail to meet one or more of the above criteria, the applicant must include an explanation with the application. In cases of doubt, the decision-making bodies of the FWF shall decide whether the research qualifications are adequate.

The *Programme-specific data form* must include the *persistent digital identifier* [ORCID](#) for **each** faculty member.

#### 1.6.4. Multiple participation

Researchers can participate in a maximum of two *doc.funds* applications per call.

Researchers can participate as faculty members in a maximum of two ongoing *doc.funds* projects. If a researcher serves as a faculty member in two ongoing *doc.funds* projects, he/she cannot participate in any additional *doc.funds* applications or projects.

A researcher may serve as coordinator in no more than one *doc.funds* project. The coordinator of a *doc.funds* project cannot simultaneously act as a speaker of a Special Research (SFB) or a Doctoral Programme (DK).

## **1.7. What types of funding can be requested?**

Project-specific costs are eligible for funding. These include personnel and non-personnel costs that are necessary for carrying out the project and that go beyond the resources provided by the infrastructure of the research institution. The FWF does not finance the infrastructure or basic equipment of research institutions. Please note that exaggerated costs may represent a reason for rejecting an application, even one that is considered excellent in terms of content.

The **only projected costs eligible** for funding are those in the following cost categories.

### **1.7.1. Personnel costs**

Funds can be requested to cover personnel costs for **five to ten doctoral candidates** in accordance with the applicable [FWF personnel rates](#) (see ‘Personnel costs and salary scale’ or, for graduates of medical degree programmes, ‘Personnel costs and salary scale for graduates of medical studies in Austria’) plus a fixed percentage rate to compensate for costs of legally required increases in remuneration in subsequent years. In the application, the research institution must briefly provide reasons for the number of doctoral candidate positions requested.

The personnel costs funded will be based on the FWF personnel rates applicable at the time of the funding decision plus the percentage increase for the subsequent years. The exact percentage rate for 2019 as well as the applicable personnel rates will be announced on the [FWF website](#) in March 2019.

### **1.7.2. Costs for education and training**

In this category, the maximum amount per doctoral candidate and year amounts to €5,000 and is broken down into consumables, travel costs, and other costs. No additional costs can be requested.

These amounts are intended to cover the costs of scientific/scholarly events specific to the doctoral programme (e.g., retreats, thesis committees); costs for study stays abroad; “generic skills” courses (e.g., project management, English academic writing, etc.); costs for the announcement of supported doctoral candidate posts; interview invitations; and the costs of conference travel. In addition, the funds may be used to invite visiting researchers and seminar speakers. All applicants are required to provide a brief explanation of how grant funds would be used to cover education costs.

### 1.7.3. General project costs

For reasons of simplicity, general project costs refer to all those costs that are generally permitted but cannot be requested individually. These include, for example, the costs of additional conference/congress travel, dissemination of scientific/scholarly results in the broader media, and smaller, unforeseen expenses specific to the project. General project costs should not be understood in the sense of “overhead costs” of the research institution

General project costs should be entered in the appropriate field in the *Cost breakdown* form<sup>1</sup> and calculated as 5% of the total funding requested. No justification for general costs is needed in the project description.

Applicants can apply up to three years after the completion of the project for additional funds for publications resulting from projects supported by the FWF as part of its [peer-reviewed publications](#) programme.

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<sup>1</sup> Will be available in March 2019.



## 2. Application content and form

### 2.1. Sections of the application

For an application to be complete, it must contain the following sections:

1) **Academic abstract** in **English** comprising no more than 3,000 characters (incl. spaces; no formulas or special characters). The academic abstract will be used to inform potential reviewers about the project. The abstract must be subdivided into the following sections using the given English terms:

- Wider research context / theoretical framework
- Hypotheses / research questions / objectives
- Approach / methods
- Faculty
- Existing doctoral programme
- Added value

2) **Project description:**

- Cover sheet: Project title, research institution submitting the application (address and head of institution), name of existing doctoral programme, and responsible institute/department (including information on the programme coordinator)
- Table of contents
- Project description of no more than 50,000 characters (incl. spaces) on no more than 20 consecutively numbered pages, incl. list of abbreviations, headings, figures, captions, tables, footnotes, etc.; this description should **address the following points**:
  - Description of research framework (max. 8 pages)
  - Description of faculty (max. 4 pages)
  - Description of education programme (max. 5 pages)
  - Contribution of research institution (max. 2 pages)
  - Discussion of added value generated by the programme (max. 1 page)

3) **Annexes:**

Please note that annexes are a part of the application and they must be attached to the project description (*proposal.pdf*) in the order listed below:

- Annex 1: Information on and justification of requested funding
- Annex 2: List of literature cited in the application (*References*) on no more than 5 pages
- Annex 3: Academic curriculum vitae (hereinafter referred to as CV) and description of previous research achievements for all faculty members involved in the project (no more than 3 pages per CV)

- Annex 4: Confirmations (collaboration letters) of national and international cooperation partners (no more than 1 page per letter)

Attachments to be enclosed individually:

Required attachments:

- Attachment 1: Description of the planned dissertation projects on no more than 1 page and in a structured form addressing hypotheses/research questions, approach/methods, time frame, and participating faculty. Please note that the number of described dissertation projects must correspond with the number of doctoral candidate positions requested.
- Attachment 2: Table with an overview of all doctoral students supervised in the existing doctoral programme in the last five years (2014-04/2019) including the following information: name of doctoral candidate, name of supervisor, title/topic of dissertation, start date, and date of doctoral degree or on-going
- Attachment 3: Publication or works list for the last 5 years, broken down into peer-reviewed and non-peer-reviewed for all faculty members involved (see also [Section 2.5.3](#))

Where applicable:

- Cover letter (in the case, of an ongoing FWF-funded DK project or where two or more members of the faculty are closely related to an FWF-funded DK project)
- List of reviewers to be excluded
- For resubmissions: overview of all changes made in the resubmitted application and response(s) to reviews

#### 4) **Completed forms**

Forms have to be submitted all in a single file *forms.pdf*, no scanned files.

- Required forms: *Academic abstract*, *Application form*, *Programme-specific data form*, *Cost breakdown form*, and *Co-authors form*
- Optional forms: *International cooperation arrangements form*

## 2.2. Form requirements

### 2.2.1. Language of application

To allow applications to be reviewed by international experts, applications must be submitted in English.

## 2.2.2. Formatting

The continuous text in the project description, annexes 1-3, and the attachments must be written in 11 pt. font with 1.5 line (15-20 pt.) spacing and at least 2 cm margins. The beginning of each paragraph should be clearly recognisable (e.g., by indenting the first line and/or spaces between paragraphs). Applicants must comply strictly with all upper limits (e.g., number of pages, attachments, etc.).

Citations in the text and the list of works cited (*References*) in the application must be in line with the conventions of the respective discipline, preferably according to a widely-used style guide (e.g., *Chicago Manual of Style*, *APA Publication Manual*). Applicants are free to choose the citation conventions or style guide they prefer, but they must apply them/it consistently throughout the application. If available, a [DOI address](#) or another [persistent identifier](#) should be used for the literature cited.

## 2.2.3. Submitting the application

The application must be completed in writing, and a **single copy is to be submitted on paper** with original signatures and stamps **along with files on a data storage device**. All parts of the application must be submitted (see [2.1 Sections of the application](#)).

The submission of an **electronic copy** of the application on a data storage device (CD-ROM or USB stick) serves to simplify and accelerate the review process. No signatures are required in the electronic versions of application documents. Files must be named as specified below, and their size must be kept to a minimum. The total size of all files submitted on the data storage device (write-protected files are not permitted) must not exceed 5 MB.

### 1) Required parts of the application:

#### a) Files:

- *Proposal.pdf* (project description incl. annexes 1-3 and where applicable 4, with PDF bookmarks, at least for the major sections)
- *Dissertation\_topics.pdf* (Description of the planned dissertation projects on no more than 1 page, in structured form; with PDF bookmarks, at least for the major sections)
- *Supervision\_list.pdf* (overview of all doctoral students supervised in the existing doctoral programme in the last five years)
- *Publication\_list.pdf* (publication/works list of all the faculty members for the last 5 years, broken down into peer-reviewed and non-peer-reviewed)

#### b) Forms:

- *Academic abstract in English*
- *Application form*
- *Programme-specific data form*
- *Cost breakdown*

- *Co-authors (mandatory information)*
- *International cooperation arrangements form (where applicable)*

The Forms have to be submitted all in a single file *forms.pdf* (with PDF bookmarks for the major sections; no scanned files).

## 2) Optional file uploads:

- *Cover\_Letter.pdf* (= accompanying letter)
- *Negative\_list.pdf* (= list of reviewers who should be excluded)
- *Overview\_Revision.pdf* (=in the case of resubmission, overview of all changes made in the resubmitted application)
- *Revision.pdf* (=in the case of resubmission, an overall response to all the reviewers or, if preferred, a short response to *each* reviewer saved in a separate file: *Revision\_A.pdf, Revision\_B.pdf* etc.)

## 2.3. Project description

In the project description, the research institution must indicate how the requested budget (additional funding) will be used over a period of up to four years: What topics or research questions will the doctoral candidates work on? How will the planned research efforts dovetail with the existing doctoral programme? To what extent will those efforts serve to strengthen the programme's research basis and help the programme attain critical mass? The basis for the funding application is the structured doctoral programme (which must have been in existence for at least two years prior to the current submission deadline), the research conducted in the programme, and its education and training structure. All of those elements will be subjected to a review and must therefore be described in the application.

The description of the project comprising no more than **50,000 characters incl. spaces on no more than 20 pages** must include the following contents:

### 2.3.1. Research Framework (max. 8 pages)

As a basic prerequisite, the existing doctoral programme for which additional funds are requested must be embedded in a focused, consistent research framework on par with the highest international standards. In this regard, the application must address the following points:

- Description of outstanding scientific or arts-based research conducted in the existing doctoral programme (objectives, research questions, methods, originality, unique features) with reference to the state of the art in international research
- Description of the research topics/questions to be addressed by the doctoral candidates for whom additional funding is requested. A structured presentation of the planned dissertation project has to be given in [Attachment 1](#).

- Discussion of the scientific/scholarly advances to be expected from the planned project, its innovative potential, as well as the significance of the resulting research findings for the international scientific community
- Presentation of existing procedures or structures to ensure the quality of research as well as the involvement of doctoral candidates in the existing research framework
- All potential ethical, safety-related, or regulatory aspects<sup>2</sup> of the submitted project and the planned handling of them must be described in a separate section. This aspect should be addressed briefly in the text even if the applicants believe the project does not raise any ethical issues.
- All potential sex-specific and gender-related aspects<sup>3</sup> in the planned project as well as the planned implementation of these research questions must be described in a separate section. This aspect should be addressed briefly in the text even if the applicants believe the project does not raise any sex-specific and gender-related issues.

### 2.3.2. Faculty (max. 4 pages)

The existing doctoral programme for which additional funding is requested must be run by a team of at least five scientific or arts-based researchers. **All** of the researchers (i.e., faculty members) involved in the application must have experience in supervising doctoral candidates as well as one outstanding academic qualification that **as a minimum** meets the criteria in [1.6.3](#). The selection criteria for admitting new researchers must also be described.

The quality and composition of the faculty is to be described as follows:

- Brief description of the academic profile of the faculty members involved in the funding application and their experience in supervising doctoral candidates. A list of doctoral candidates supervised in the last 5 years (2014-04/2019) in the existing doctoral programme should be given in [Attachment 2](#).
- Proportion of women on the faculty. If the percentage is less than 30%, reasons must be provided.
- Selection criteria for the admission of new researchers into the existing doctoral programme; brief description of faculty members newly admitted for the funding application and short rationale for their addition

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<sup>2</sup> For instance, the European Commission's [Ethics for Researchers](#) or [The European Code of Conduct for Research Integrity](#) can serve as a guide here.

<sup>3</sup> Positioning and reflecting on the research approaches in the planned for the project in terms of sex-specific and gender-related issues, for instance: Is the research approach likely to produce sex-specific and gender-related findings? If so, what findings? How and where are these integrated into the research approach? (For information on checking the relevance of sex-specific and gender-related issues to a project, see <https://www.fwf.ac.at/en/about-the-fwf/gender-issues/fix-the-knowledge/fix-the-knowledge-detail/>)

### 2.3.3. Existing education and training programme (max. 5 pages)

In addition to outstanding research, a high-quality education and training programme based on international standards (see e.g., [The Seven Principles of Innovative Doctoral Training, Charter & Code for Researchers | EURAXESS](#), [Salzburg I and II Recommendations](#)) must have been established in the existing doctoral programme, which likewise fulfils the requirements of a structured doctoral programme defined under [1.6.1](#). Ideally, the education and training programme should be tailored to the research conducted in the doctoral programme (i.e., “education through research”).

The structure of the existing education and training programme as well as procedures for ensuring the quality of scientific/scholarly supervision of the doctoral candidates must be described in the application. In particular, it must address subsections 2.3.3.1 – 2.3.3.4:

#### 2.3.3.1. *Content*

- Subject-specific education (content and workload, e.g., number of (required) courses, ECTS credits)
- Existing opportunities for the acquisition of additional qualifications (transferable skills), for interdisciplinary collaboration, and for the exchange of ideas within the existing doctoral programme (among doctoral candidates, and between candidates and the participating scientific or arts-based researchers, e.g., journal clubs, retreats, doctoral seminars, lab rotations) and with the business world, public administration, the arts, culture, NGOs, etc.

#### 2.3.3.2. *Selection of doctoral candidates*

- International advertisement of the programme, transparent application and selection procedures
- Process of matching doctoral candidates to supervisors

#### 2.3.3.3. *Supervision (including monitoring) of doctoral candidates and their integration into the research framework*

- Rules on supervision, monitoring, and assessment (e.g., in the form of dissertation agreements, regular progress reports, team supervision instead of exclusively individual supervision) as well as conflict resolution mechanisms
- Support for international networking and promotion of mobility, including opportunities for research visits abroad (over several months), budget allocations for conference attendance, lab visits, invitations to visiting researchers, organisation of doctoral conferences, etc.
- Working conditions (including infrastructure) for existing doctoral candidates: description of contracts of employment (duration, extent of employment, any options for extension) and funding models for doctoral candidates, available infrastructure and any special equipment or facilities at the research institute

#### 2.3.3.4. *Criteria and assessment procedures to ensure a top-notch doctoral degree*

- Requirements for completion (both formal and content-related)
- Assessment procedures (with involvement of external researchers; separation of supervision and assessment functions, if compliant with study-law regulations)

#### **2.3.4. Contribution of research institution (max. 2 pages)**

The research institution must commit to providing all the necessary infrastructure (equipment, workstations, workspace, supplies, etc.) and ensure that the doctoral programme is integrated into the institution's regular activities.

In addition, the research institution must make a plausible contribution of its own (through its own funds and/or third-party funds) to funding additional positions for doctoral candidates (i.e., in addition to the positions for which FWF funding is requested). Please note that regardless of the source of funding, all doctoral candidates in the programme must be required to undergo the same admission process and meet the same admission criteria.

In this context, the following information must be provided:

- Institutional conditions for the existing doctoral programme, such as responsibilities and organisational structure, location in the research organisation, integration or incorporation in the university teaching system, etc.
- Facilities and equipment already available for the existing doctoral programme (rooms/space, equipment, supplies, etc.) at the research institution(s) involved
- The research institution's own contribution to funding additional positions for doctoral candidates, visiting professorships, additional space, workstations, additional infrastructure, training opportunities for supervisors, etc.

#### **2.3.5. Added value (max. 1 page)**

The doctoral programme for which additional funding is requested must differ from general doctoral education and training programmes in the relevant discipline and go beyond a mere thematic “bundling” of scientific or arts-based researchers for the purpose of training doctoral candidates.

In this context, the applicant must discuss the following:

- The unique characteristics of the existing doctoral programme (with regard to research and training) and how it differs from general doctoral education and training
- The specific added value for doctoral candidates, the faculty, and the research institution as well as
- The extent to which the project submitted can strengthen the programme's research basis and thus help the programme attain critical mass



## **2.4. Annexes to the project description**

Annexes are not included in the maximum character limit for the project description and must be attached to the project description in the specified order.

### **2.4.1. Annex 1: Information on and justification of requested funding**

The description of financial aspects shall be presented using the following structure and appended as Annex 1 to the project description. The list and justification of the requested funding must be in accordance with the costs indicated in the Cost breakdown form<sup>4</sup>.

- Information on the funding requested
  - Concise justifications for the number of doctoral positions applied for (where appropriate, with reference to the planned dissertation projects)
  - Concise justifications for and planned use of requested funding for education and training

### **2.4.2. Annex 2: List of references**

List of literature cited in the application on no more than 5 pages.

### **2.4.3. Annex 3: CVs and description of previous research achievements**

The academic CVs and research achievements (publication/works list) must be attached for each faculty member and should be described on no more than three pages per person.

#### *2.4.3.1. Required contents for academic CVs*

- Name and contact details of the person, address of the research institution, and relevant websites. It is also required to provide a publicly available link to a list of all published publications/works of art; the use of [ORCID](#) is expressly recommended for this purpose.
- List of academic milestones and relevant positions held to date (with a brief explanation of any career gaps, if applicable)
- Main areas of research and short statement of the most important scientific/scholarly or arts-based results achieved to date
- *If applicable*, a list of doctoral candidates supervised in the last 5 years **outside of the doctoral programme** for which supplementary funding is requested (in table form: name, title/topic of the dissertation, start date, and date of doctoral degree or on-going<sup>5</sup>)

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<sup>4</sup> See also Footnote 1: Will be available in March 2019.

<sup>5</sup> Double mentioning of doctoral candidates listed in Attachment 2 must be avoided in any case.



#### 2.4.3.2. *Required description of previous research achievements*

- Academic publications/work lists: list of no more than ten of the most important published or accepted academic publications (journal articles, monographs, edited volumes, contributions to edited volumes, proceedings, etc.) or work lists; for each publication, either a [DOI address](#) or another [persistent identifier](#) should be indicated. In accordance with the [San Francisco Declaration on Research Assessment](#) (DORA), journal-based metrics like the journal impact factor should not be included.
- Additional research achievements: list of no more than ten of the most important scientific/scholarly or arts-based research achievements apart from academic publications or works lists, such as awards, conference papers, keynote speeches, important research projects, research data, software, codes, preprints, exhibitions, knowledge transfers, science communication, licenses, or patents.

#### 2.4.4. **Annex 4: Collaboration letters**

If applicable, confirmations (each no more than 1 page) of national and international cooperation partners that are stated to be essential in the project description can be attached to the application.

### 2.5. Required Attachments

#### 2.5.1. **Attachment 1: Planned dissertation projects**

With reference to [2.3.1 Research Framework](#), a description of the planned dissertation projects should be attached to the application. The description should be no longer than 1 page, be written in a structured form, and address the hypotheses/research questions, approach/methods, time frame, and the participating faculty. Please note that the number of the described dissertation projects must correspond with the number of doctoral candidate positions requested.

#### 2.5.2. **Attachment 2: List of doctoral candidates supervised in the last 5 years**

Table with an overview of all doctoral students supervised in the existing doctoral programme in the last five years (2014-04/2019) including the following information: name of doctoral candidate, name of supervisor, title/topic of dissertation, start date, and date of doctoral degree or on-going.

#### 2.5.3. **Attachment 3: Publication or works list for the last 5 years**

A list of all published publications<sup>6</sup> or works of the last five years (divided into peer reviewed and non-peer-reviewed) of all faculty members for whom an academic curriculum vitae is

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<sup>6</sup> Publication lists must include: all authors, complete titles, journal, year, and page numbers. For each publication, either a [DOI address](#) or another [persistent identifier](#) should be indicated; for publications with more than 20 authors, an “et al.” reference can be used.

enclosed. This list helps the FWF to determine if there are any potential conflicts of interest with reviewers and thus speeds up the process of identifying reviewers. This list will not be forwarded to the reviewers.

## **2.6. Forms**

All required forms must be completed in their entirety.

- Application form
- Programme-specific data form
- Cost breakdown
- Co-authors form: All persons who have made substantial research-related contributions to the conception and writing of the application should be named as co-authors. A brief description of the nature of each contribution should be included; where there are no co-authors, applicants should state this explicitly on the form.

In order for the application to be considered legally binding, the applicant must submit the completed application form along with a signed and stamped original copy of the “Affirmation”.

## **2.7. Additional attachments**

In addition to the project description and the forms, the following attachments should be uploaded, where applicable:

- Cover letter: In the case of an ongoing FWF-funded DK project or where two or more members of the faculty are closely related to a FWF-funded DK project, the differences between the FWF-funded DK project and the doctoral programme for which additional funding is being requested must be presented and comprehensively justified.
- List of reviewers who should be excluded
- For the attachments needed in the case of revising a rejected application (resubmission), see Section [2.8](#)

It should be noted that any annexes or attachments in addition to the ones mentioned above shall not be considered in further stages of the process (such as letters of recommendation, publications not yet published).

## **2.8. Revising a rejected application (“resubmission”)**

A resubmission is defined as the revision of an application which has already been rejected with the same or similar research questions, regardless of the programme category. Where an applicant submits an application on the same or very similar research questions yet does not consider it to be a resubmission but an entirely new project, the applicant must submit a separate accompanying letter to the FWF Office explaining how the research questions have

changed. For example, changes in research methods alone are not sufficient for a proposal to qualify as a completely new project. In cases of doubt, the decision-making bodies of the FWF shall decide.

If the project submitted is a resubmission of a rejected application,

- this should be indicated at the beginning of the project description (e.g., in a footnote).
- an accompanying letter containing an overview of all changes made in the resubmitted application must be submitted to the FWF; this overview will not be passed on to the reviewers.
- response(s) to reviews is (are) to be made: the applicant can decide whether the response(s) should be passed on to the relevant previous reviewer or all reviewers (see [Section 3](#)). These response(s) should address the suggestions and criticism expressed in each review of the previous application and point out the changes made on that basis. Such responses are not necessary in the case of reviews written by persons who are to be excluded from the review process for the resubmitted application. However, such exclusions must be justified and will also be counted toward the list of reviewers who should be excluded for the resubmission.

If all the reviewers are to receive this response, a document containing an overall response must be submitted.

If these responses are to be passed on only to the reviewers who were previously involved, a short response to each review in a separate document should be included.

Resubmissions must show changes. In the case of resubmissions of applications that have been rejected for the standardised reasons C3, C4, and C5, the changes need to be substantial (based on the comments in the reviews). If such changes are not made, the application will be returned without review by the decision-making bodies of the FWF.

### **3. Processing and decision on the application**

All applications submitted by **6 May 2019** (date of postmark) will be subjected to a formal check by the FWF.

The review process generally takes about ten months. The FWF Board decides on applications once per year on the basis of recommendations issued by the international *doc.funds* jury. The jury's funding recommendations, in turn, are based on the written reviews received from international experts and on hearings to which the most promising applicants are invited. These hearings will be held on the first two days of the meeting of the international *doc.funds* jury (scheduled for February 2020).

Approximately one month before that meeting, the jury will prepare a shortlist of the most promising applications on the basis of at least three substantive reviews; those candidates

will then be invited to a hearing. After the hearings, the international *doc.funds* jury will hold a closed session to prepare its recommendations<sup>7</sup>.

Each research institution will be informed in writing of the decision. Research institutions whose applications are not selected for a hearing will receive a decision letter along with the reviews received (in anonymous form) prior to the meeting of the international *doc.funds* jury

#### *Requests for changes and returning applications without review*

The FWF Office undertakes a formal check of the application. Incomplete applications or those which do not comply with the FWF's regulations or which contain formal errors (in particular, those which exceed the permitted length) will be returned. If the problems identified in an application are not rectified within a reasonable period of time (no more than **ten calendar days** after notification), the decision-making bodies of the FWF will return these proposals without review. Similarly, the decision-making bodies of the FWF will return without review applications that have been previously rejected by the FWF and resubmitted without appropriate revisions.

All applications that conform with the FWF's regulations will be sent for review. The reviewers (generally persons working outside of Austria) will be selected by the members of the FWF Board and confirmed by the decision-making bodies of the FWF. Once the review process has begun, no more changes can be made to the application.

#### *Reasons for rejection*

The reasons for rejecting a project will be assigned one of five categories (C1–C5) and will be sent to applicants along with the reviews.

#### *Resubmissions*

If the application is a resubmission of a previously rejected proposal, the FWF will generally contact those reviewers who provided *constructive* criticism on the previous application. Reviewers who gave entirely positive or negative comments will generally not be contacted for a second review. However, please note that all resubmissions are also evaluated by new reviewers.

#### *Proposal bans*

Applications that are rejected for reason C5 will be barred for 12 months (from the date of the decision) and cannot be resubmitted during that period.

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<sup>7</sup> A detailed description of the decision-making process, the criteria for selecting international reviewers, detailed rules concerning conflicts of interest, and the composition of expert juries and boards can be found in the [General principles of the decision-making procedure](#).

Applications that have been submitted three times and rejected for reasons C3 or C4 (i.e., the original application and the respective resubmissions) are also barred for 12 months (from the date of decision); rejections for reasons C1 or C2 do not count towards this total.

#### *Exclusion of reviewers*

Applicants may include a separate document with a list of reviewers who should not be asked to review the application due to possible conflicts of interest. A detailed description of the FWF's rules concerning conflicts of interests can be found in the [General principles of the decision-making procedure](#).

This list may include up to **three potential reviewers** whom the applicant believes may have conflicts of interests. This selection must be briefly justified. If the reasons for exclusion are professionally and technically sound, the FWF will generally fulfil such requests and will exclude those reviewers from the review process.

Please note that the FWF does not wish to receive, nor will it consider a list of possible reviewers from applicants.

## **4. Compliance with legal requirements and standards of research integrity**

The FWF would like to point out that applicants must comply with all legal requirements and safety provisions (e.g., Federal Disabilities Act) that apply for their *doc.funds* project and obtain all the necessary permits (e.g., from the Ethics Commission, the Commission for Animal Experimentation, the Federal Monuments Authority Austria, or the relevant foreign authorities).

Applicants must also comply with the guidelines for [good scientific practice](#) of the Austrian Agency for Research Integrity (ÖAWI) when submitting the application and carrying out the project.

Where a violation of these rules is suspected, an investigation must be initiated at the respective research institution, or the suspicion must be passed on to the [Austrian Agency for Research Integrity](#) (ÖAWI). In the event of serious suspected cases, the research institution should definitely inform the ÖAWI. The FWF reserves the right to suspend, in part or in whole, any procedures related to applications or ongoing projects until the investigation has been concluded. For more detailed information, see [FWF procedure in cases of suspected scientific misconduct](#).

## **5. Publication of project data and results**

The FWF would like to point out that should the project be approved, the FWF will publish on its website a summary of the project in German and English for public relations purposes –

which must be sent to the FWF when returning the grant agreement – as well as the amount of funding granted and, on project completion, summaries of the final report of the project. These summaries are to be written in such a way as to safeguard legitimate interests of secrecy for reasons of national defence and patent law and to protect trade secrets appropriately.

In addition, the FWF requires a data management plan (DMP) for all approved projects. This should also be sent to the FWF when returning the grant agreement. The template for the DMP can be viewed and downloaded at <https://www.fwf.ac.at/en/research-funding/open-access-policy/research-data-management/>.

In presentations and publications of project results (e.g., scholarly publications, research data), applicants must comply with the relevant requirements on acknowledging the FWF as the funding institution and the FWF's [Open Access Policy](#).

## 6. APPENDIX I: Notes and questions for reviewers in the *doc.funds* programme<sup>8</sup>

In all of its programmes, the FWF actively supports equal opportunities and equal treatment. The review of an application must not put applicants at a disadvantage for non-research-related reasons such as age, gender, etc. For example, the review of applications should not focus on the actual age, but on the relation between the previous research achievements and the length of his/her research career. For the FWF, equal opportunities also means taking into account any unavoidable delays in individual research careers that have led to publication gaps, less time spent abroad, etc. (e.g., due to well-founded, extended qualification periods; time spent raising children; long-term illness; caring for relatives; etc.).

In writing your review, please keep in mind that your comments in the first section of the review will be forwarded to the applicant and, where applicable, other reviewers, in an anonymous way.

The FWF would like to point out that the length and the form of the project proposal must fulfil the form requirements<sup>9</sup> of the FWF, and therefore we ask that you keep these restrictions in mind when writing your review.

The FWF is obligated to ensure the best possible use of public-sector funds for basic research according to scientific/scholarly research criteria. We therefore ask you to comment on the following aspects of the application in Section 1a.

### Section 1a (forwarded to the applicant in its entirety):

#### 1) Quality of prior and planned research

Relation to current state of the art, innovation potential, thematic focus and coherence, international visibility and competitiveness, and sex-specific and gender-related issues [where relevant to the subject area]

- of the planned project / the planned dissertation projects
- of previous research achievements

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<sup>8</sup> Further information on the FWF's corporate policy and mission or the application guidelines for *doc.funds* projects can be found on our website at <https://www.fwf.ac.at/en/about-the-fwf/corporate-policy/> and <https://www.fwf.ac.at/en/research-funding/fwf-programmes/docfunds/>

<sup>9</sup> Form requirements: Project description incl. figures and tables, no more than 20 pages; list of literature cited no more than 5 pages; academic CVs and description of previous research achievements of the faculty members incl. the 10 most important publications, no more than 3 pages each.

## **2) Quality and composition of the faculty**

Academic quality, reputation and international networks of faculty members, as well as their experience in educating/training and supervising doctoral candidates; gender balance of the faculty

## **3) Quality of (existing) education and training programme**

Quality of the education/training and supervision programme (selection procedures, supervision structures, procedures for assessing dissertations, scientific or arts-based education/training programme, additional qualifications; sex-specific or gender-related issues concerning the education and training)

## **4) Contribution of research institution**

Adequacy and plausibility of the research institution's contribution (infrastructure and own contribution to the additional funding of the programme)

## **5) Added value**

- compared to groups of researchers who (also) train doctoral candidates; compared to the general doctoral curriculum
- for research, training, doctoral candidates, and research institutions
- contribution to strengthening the existing research basis

## **6) Ethical aspects**

7) **Concluding evaluation** with regard to key strengths and weaknesses and final funding recommendation

### **Section 1b (optional remarks to the applicant)**

Reviewer's recommendations to the applicants for implementing the project (in the case of approval). The recommendations made here generally should not play a role in the funding decision.

### **Section 2 (confidential remarks to the FWF)**

Other comments intended solely for the FWF.