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Guidelines

for the

Translational-Research-Programme¹

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¹ **Please note** that all limits (e.g. on the number of pages, publications, enclosures) specified in these guidelines must be observed.

TRANSLATIONAL-RESEARCH-PROGRAMME (TRP)

Commissioned by the Austrian Federal Ministry of Transport, Innovation and Technology (BMVIT)

Preface

The application guidelines for the Translational Research Programme (TRP) contain important information relating to the submission of applications and represent an addendum to the special guidelines for the Translational-Research-Programme and to the Federal Ministry of Transport, Innovation and Technology's special guidelines² in accordance with Item 10 of the Austrian Federal Government's guidelines under Art. 11 para. 2 of the Austrian Research Organisation Act (Federal Law Gazette No. 341/1981), which governs the allocation and administration of funding according to Art. 10 leg. cit.

The BRIDGE Initiative

BRIDGE is a joint initiative of the FWF (Austrian Science Fund) and the FFG (Austrian Research Promotion Agency) established to fund projects at the interface between basic scientific research at research institutions (university and non-university) and industrial research/experimental development in commercial undertakings. This initiative involves two programmes, the Translational-Research-Programme (FWF) and the Bridge Programme (FFG), which differ in terms of their proximity to applied research.

Programme objectives

This programme is intended to provide scientists with an incentive to examine research findings from the perspective of concrete applications or other uses, and to give outstanding researchers an opportunity to develop these findings into specific applications and/or economic, societal or social benefits. Such applications or benefits might come in the form of patents or successful partnerships with the world of business, medicine, politics, government or other interest groups in Austria and abroad. However, additional financing is then left up to the respective partners or funding institutions.

Specifically, the Translational-Research-Programme pursues the following objectives:

- to support extended or "oriented" basic research at the interface to applied research;
- to develop human resources in science and research based on the principle of research-driven education and training;
- to intensify national cooperation arrangements as well as international networks.

The programme is open to all researchers working in Austria who can demonstrate that they possess the qualifications and infrastructure necessary to carry out a project.

The programme is carried out by issuing calls for proposals.

² Issued in accordance with the Federal Minister of Finance, as stipulated in Art. 15 para. 1 no. 3 of the Federal Budget Act (BHG).

Eligible projects

In order to qualify for funding, projects must be limited to a maximum of three years in duration and should predominantly deal with basic research. The work should have realistic exploitation potential, and no commercial financial partner may already be involved.

Research projects will be considered eligible for this programme if they address one of the following focus areas: production technology, mobility & transport, energy, information and communications technologies (ICT), security or space research. Within these focus areas, researchers may also address socio-political and societal aspects (e.g. accessible and affordable mobility, technological and organisational innovations, increasing need for security), the acceptance of technology products, factors related to social medicine and emotions (especially in the ICT focus area), and similar interdisciplinary questions. An overview of key research topics can be found in Appendix III.

In the application, grant applicants are required to briefly explain the significance and relevance of the research project for the respective focus area (programme specific form "thematic relevance"). The scientific questions and envisaged insights, research aspects and potential applications are key parts of the funding application. In contrast to FWF stand-alone projects, however, the research project is generally intended to achieve a certain objective or purpose with regard to future applications or to generate additional benefits.

In the Translational-Research-Programme, the general FWF requirement indicating that a research project must break new scientific ground is substituted by a less stringent requirement calling for the further development of applied aspects that may be commercially exploited. Nevertheless, these application-related aspects must be sufficiently close to basic research to make it impossible to obtain cofinancing from an organisation such as a commercial business. However, the fundamental requirements regarding the scientific excellence of the applicant and of the application are the same as in all other FWF programmes. Both the quality of the scientific research and the aspects relating to its application represent important criteria for the funding decision.

The application-related aspects of the research may entail the pursuit of possible medium- and long-term opportunities for commercial exploitation or may enable the project to generate social or cultural benefits in another way.

Free access to research results must be guaranteed in all cases (patents, publications etc.).

Projects involving a visiting scientist (Translational Brainpower)

The Translational-Brainpower-Programme represents an optional extension to research projects within the Translational-Research-Programme. The objective of Translational Brainpower is to support the intensive integration of internationally renowned researchers of all disciplines from other countries into Austrian research projects at the interface between extended/oriented basic research and applied research. In order to enhance "brain gain," the potential of these scientists and researchers is expected to create added value for the projects funded and contribute to strengthening Austria's science and innovation system.

The involvement³ of the international partner is an integral component of each Translational-Brainpower-project. Specific project partners are to be integrated on the basis of a personal, binding commitment, and their involvement is subjected to a peer review and considered part of the project approval. The international project partner's work in Austria may include "transfer activities" within reasonable limits. In addition, the international partner must also permit members of the Austrian research group to visit his/her research institution abroad. Only one international partner may be integrated into a given project in this way.

When submitting an application for a Translational Brainpower-project, please note that it is also necessary to adhere to the **Guidelines for Translational-Brainpower-Projects:** (http://www.fwf.ac.at/en/projects/translational_brainpower.html).

³ The international project partner must spend at least 9 months within the three years of the project at the applicant's research institution in Austria. Should the proposed project last for less than three years, the minimum length of time the international partner must spend at the institution is reduced accordingly.

Who is eligible to apply?

The programme is open to all researchers working in Austria who can demonstrate that they possess the qualifications and infrastructure necessary to carry out a project within the respective focus areas. The applicants' qualifications to carry out the work should be demonstrated by scientific publications in internationally recognised journals or by other appropriate documentation⁴ (the amount of which should correspond to the stage the applicant has reached in his/her career). The FWF normally expects international and/or peer reviewed publications that are internationally recognised outside the German speaking area because of the exclusive use of international reviewers. Exceptions must be justified.

Applicants must also satisfy the requirements specific to each programme and have sufficient working capacity available to carry out the research project at the level specified in the application.

No particular academic title is needed, nor is Austrian citizenship required. However, projects must generally be carried out in Austria, in any case under the responsibility of a funding recipient based in Austria.

Applications for grants in the Translational-Research-Programme can only be submitted by individuals (natural persons).

Type of grant

Grants are paid out in the form of non-repayable subsidies.

Grant amount

The extent of funding granted is determined by the extent to which the proposed research is deemed worthy of support and by its funding requirements. In basic research, the extent of funding is generally 100% of the project costs.

For all TRP-projects funded, 20% of direct project costs will be paid out as an additional grant amount (overhead costs) following acceptance of the final report on the use of funds (which comprises the final accounts and the final project report). This amount serves as a lump sum to cover the expenses incurred by the recipient's research institution and, where appropriate, those of his/her national cooperation partners (see also Section 3.1). This additional amount serves to cover the overhead costs incurred by the research institution(s).

Eligible costs

All costs and expenditure attributable to the project are eligible; this refers to actual, direct personnel and non-personnel costs that arise from the project in addition to the research institution's normal expenses over the duration of the project.

Neither infrastructure nor basic equipment may be funded, although overhead costs in the amount of 20% of direct project costs will be approved to cover the research institution's expenses. This amount must be made available to the research institution.

With the exception of applications by independent scientists as described under "Explanations and Definitions – Translational-Research-Programme," it is not permitted to apply for salary costs for the applicant him- or herself (see Section 2.2).

Please note that exaggerated cost calculations may constitute grounds for rejection, even in cases where the content of the application is considered excellent.

Double funding is not permitted: in other words, a project for which support is being requested may not receive full funding from another source or from a different FWF programme. Applications that are largely identical may not be submitted – either in the same programme or in different programs – unless the specific application guidelines explicitly provide for an exception to this general rule.

⁴ For projects from application-oriented organisations, this documentation may also include patents, reference projects, etc.

Submitting an application

All parts of the free-form application (narrative text), the abstracts and enclosures (responses to reviews or final reports in the case of FWF follow-up projects) are to be submitted **in 11-point font, line spacing 1.5 only**.

One black-and-white copy of the following must be submitted **in writing**:

- 1 **A one-page project abstract** in German and English, for each no more than 450 words (no formulas or special characters)
- 2 Completed **application documents** (application form, itemisation of funds requested, and forms for national research partners [where applicable]; for **Translational Brainpower**⁵ proposals, the form **Programme specific data Translational Brainpower** is also required)
- 3 **Supplement with names and contact information of all persons named as co-authors** who made substantial scientific contributions to the conception and composition of the application, including a brief description of the nature of each person's contribution
- 4 **Free-form application** (narrative text) consisting of:
 - Project description, **no more than 20 pages including illustrations and tables with a maximum of 9000 words** (incl. headlines, footnotes, captions etc.); the table of contents is not included
 - **Applications for TRP-projects that build on the results of previously funded TRP-projects** will generally be considered critically. **A detailed scientific justification should be provided for the necessity of a further period of funding** within the TRP-Programme. **This justification must be provided within the project description**, which may not exceed 20 pages and 9000 words in length.
 - **Explanation of the significance and relevance** of the research project for the respective focus area (programme specific form "thematic relevance")List of project-relevant literature⁶ and index of abbreviations (**no more than 5 pages**)
 - **Academic curriculum vitae (CV; no more than 3 pages per person) and list of publications for each person involved in the project** (see also p. 7 ff.; persons involved in the project include the principal investigator, scientific staff members [where already known] to be employed in the project and funded by the FWF⁷ and any national research partners);
- 5 **Enclosures** (see Explanations and Definitions – Translational-Research-Programme)

Please submit the following in an **electronic medium** (no write-protected files):

- **One-page project abstract** in German and English (separate files in Word format), for each no more than 450 words (no formulas or special characters)
- **In one file** (format: PDF; do **not** use scanned files): **completed application form, completed itemisation of funds requested, supplement indicating names of all co-authors (where applicable), free-form application (narrative text) including form "thematic relevance", a list of project-relevant literature, CVs and publication lists for all persons involved in the project**
- **Enclosures** (see Appendix I, Explanations and Definitions – Translational-Research-Programme; file format: PDF or Word)

Please note: Changes are no longer possible once an application has been submitted. **Incomplete applications as well as those which violate the FWF's requirements, or that contain any other formal deficiencies (in particular those which exceed the permitted length, use smaller fonts and/or exhibit a lack of or an insufficient explanation of thematic relevance) will be rejected by the FWF without review** (see also Appendix 1, Section 7).

The submission of an electronic copy of the application facilitates and accelerates the review process. No

⁵ The Translational-Brainpower-Programme is designed as an extension of the Translational-Research-Programme (TRP). Thus, an application for the involvement of an international project partner under the Translational-Brainpower-Programme can only be submitted together with a TRP-proposal in accordance with the relevant guidelines.

⁶ For each publication, this list must indicate the following: All authors, complete title, journal, year, and page numbers.

⁷ Where known scientific staff members completed their medical studies in Austria, the corresponding CV must indicate the curriculum (*Studienplan*: N, O, Q etc.) in which the degree was earned; see also the current version of the "Personnel costs and salaries – Graduates of medical studies in Austria" at <http://www.fwf.ac.at/de/projects/personalkostensaetze.html>

signatures are necessary in the electronic version. The files are to be named clearly as indicated below, and file sizes should be kept to a minimum. The total size of all files submitted on a data medium **must not exceed 5 MB.**

File name requirements

1. Required files

- **Abstract_deu.doc** and **Abstract_eng.doc** (= project abstracts in German and English, in separate files)
- **Proposal.pdf** (consisting of: 1.) completed application form⁸, 2.) itemisation of funds requested, 3.) supplement naming all co-authors (where applicable), 4.) free-form application (narrative text) including form “thematic relevance” and a project-related bibliography, and 5.) CVs and publication lists of all persons involved in the project)

2. Enclosures (where applicable; see Appendix I/6.)

- **Annex_Equipment.pdf** (= FWF forms for equipment in one file)
- **Annex_Coop.pdf** (= FWF forms for international cooperation arrangements in one file)
- **Annex_Overview_Revision.pdf** (= Overview of all changes made in the resubmitted application)
- **Annex_Revision.pdf/doc** (= responses to reviews in the case of revised projects, provided separately for **each** review in **separate** files; Annex_Revision_A.pdf/doc, Annex_Revision_B.pdf/doc, etc.)
- **Annex_Follow.pdf** (= previous project's results in cases where the project is the continuation of a previous FWF project)
- **Annex_Reviewers.doc** (= list of reviewers who should not be contacted)

Applications are **reviewed by international referees** whose anonymity is ensured by the FWF.

In order to facilitate the international peer review, **applications must be submitted in English.** If desired, an additional version may be submitted in German or another language which is in widespread use in the particular discipline. Submission only in German or in a language other than English is possible only in exceptional cases. Such exceptions can only be made for proposals from the fields of linguistics and/or literature which concern only texts in German or in languages other than English and where it is not necessary to place the research within an international target context. In these cases, it is first necessary to contact the project officers administering the application in the FWF secretariat, followed by the submission of an abstract of the application (max. 1 A4 page) and a written justification for submission in the language chosen (in electronic form). The FWF's Executive Board will decide whether submission in a language other than English is to be permitted.

The project description must address the following points:

1 Scientific aspects

- Goals (hypotheses)
 - Project's foundation in scientific research (basic or application-oriented research) and preliminary work⁹ undertaken, with due reference to the relevant international scientific environment (international status of the research)
 - Originality and quality of the research approaches
 - Innovative aspects of expected application(s)
 - Potential (probability) that the scientific research will give rise to successful applications in the future
- Methods
- Work plan and time schedule
- Cooperation arrangements (national und international, inter- or transdisciplinary [where applicable], synergies between university and non-university institutions)

⁸ In the case of Translational Brainpower-project applications, the applicant must also enclose a confirmation of consent from the international project partner.

⁹ For projects from application-oriented organisations, this documentation may include patents, reference projects, etc.

2 Human resources

- Scientific qualifications of the scientists involved
- Importance of the project to the careers of the project participants (principal investigator and project staff, in particular doctoral students), plans with regard to career development

3 Broader implications expected or planned

- Framing and importance of the project with regard to the relevant research field as well as the institutional context
- Dissemination strategies and planned handling of intellectual property rights
- Implications for other areas of science
- What exactly are the possibilities for application (new production technologies, new products, etc.) to be expected? Within what time period can they be expected?
- Planning of processes required for further transfer or application of the project's results, including cooperation arrangements that may be required in the future (these steps are not funded by the FWF)
- Prospective patents and plans for their exploitation

4 Financial aspects

- Information on the research institution:
 - Available personnel not funded by the FWF (usually the principal investigator and national research partners)
 - Available infrastructure
- Information on funding requested:
 - Concise justification of personnel requested (type of position[s], descriptions of nature of work, length and scope of involvement in the project)
 - Concise justification of non-personnel costs (equipment, materials, travel and other costs). If equipment is requested, applicants must specify why it is not part of the available infrastructure (see also Appendix I, Section 2.3).

5 Academic curricula vitae (CVs) and publication lists

In all cases, the following information must be provided on the principal investigator and all persons involved in the project (where known at the time of application):

Academic curriculum vitae (no more than 3 pages per person)

- Personal information, address(es) and web site
- Main areas of research
- Description of academic career and positions held to date (with brief description of reasons for any career breaks)
- (where applicable) Highest academic prizes/recognition received (**no more than 5** in each of the following categories: 5 most important invitations to present at scientific conferences; 5 most important academic prizes/awards received; 5 most important peer review activities, editorships and/or memberships in academic organisations)
- (where applicable) Most important research projects funded in the past (**no more than 5**)¹⁰
- (where applicable) Name and institution of key international cooperation partners in the last 5 years.

Publication lists¹¹

- List of all scientific publications **in the last 5 years**
- Separate listing of the **10 most important** scientific publications in the researcher's entire career to date

¹⁰ Please indicate only those (peer-reviewed) research projects in which the applicant is/was the main person responsible for the project in terms of both planning and execution. For each project, please provide the following information: Project title, funding agency, project duration (from/to) and amount of funding granted.

¹¹ Publication lists must include the following information: All authors, complete titles, journal, year, and page numbers. Where available, the DOI address (Digital Object Identifier – see <http://www.doi.org/>) or the URL to an open access postprint of the publication should also be provided.

Appendix I: Explanations and Definitions – Translational-Research-Programme

1 Application prerequisites

1.1 *Projects in oriented, but not profit-oriented, scientific research*

“Oriented” basic research is defined as basic research that builds on available scientific knowledge and is performed in the expectation of creating the knowledge base required for future applications or to give rise to future uses.

1.2 *Projects building on previously funded TRP-projects*

Applicants are asked to pay particular attention to the fact that TRP-projects are generally expected within three years to advance the application sufficiently to enable the work to continue with the involvement of a commercial partner and the support of a different instrument (e.g., FFG, CDG, EU, etc.). **Applications for TRP-projects that build on the results of previously funded TRP-projects will generally be considered critically.** A detailed scientific justification should be provided for the necessity of a further period of funding within the Translational–Research-Programme. This justification must be provided within the project description, which may not exceed 20 pages in length.

1.3. *Number of applications per call*

Please note that individual applicants are not permitted to apply for more than one TRP-project per call.

1.4 *Double funding prohibited*

Any grants relating to the theme of the application that have been requested from or awarded by the FWF or other funding agencies (e.g. EU, OeNB, government ministries, etc.) must be mentioned on the application form.

2 Eligible project-specific costs

2.1 *Personnel costs*

Funding may be requested to cover personnel costs for project staff members who, in addition to the staff already available, will be required for the proposed project and will work exclusively on the project for the agreed proportion of their time.

The available legal forms of employment are contracts for full-time or part-time employees (DV) or marginal part-time employment (GB). Research scholarships (FB) can only be requested for persons who have not yet completed a diploma (*Diplom*) in the relevant discipline.

The FWF salary scheme included in the application documentation ("Personnel costs and salary scale") or for graduates of medical degree programs in Austria ("Personnel costs/Salaries for graduates of Medical Studies in Austria") indicates the salaries that may currently be requested (<http://www.fwf.ac.at/de/projects/personalkostensaetze.html>). The FWF grants an annual increase to compensate for inflation; this adjustment is applied automatically to all those contracts of employment in TRP-projects which are valid at the time the increase is effected.

Please note that the length of service of scientific staff members in FWF projects must not exceed six years, irrespective of the extent (full-time or part-time) of the contracts held. Applicants who are independent scientists (see Section 2.2) are not subject to this restriction.

The justification of requested personnel must include the following:

- Description of the duties associated with each position;
- Extent of employment (part-time employment is permitted). **Please note** that since **January 1, 2007**, the maximum extent of employment for **Ph.D. student positions** has been limited to 75% (30 hours/week).

For each scientific staff member known and named at the time of application, the following documents must be submitted:¹²

- Academic curriculum vitae (no more than 3 pages)
- List of all scientific publications¹³ in the last 5 years
- Separate listing of the **10 most important** scientific publications in the researcher's entire career to date

2.2 Personnel costs for the applicant himself/herself (independent scientists)

The FWF defines "independent scientist applications" as those in which the principal investigator requests funding for his or her own salary from the research project grant. As a prerequisite for such requests, the focus of the researcher's vital interests must have been in Austria for at least three of the last ten years. This restriction does not apply to researchers who have received grants under the Lise Meitner mobility program and who apply for funding to continue their research work in Austria after completion of their Lise Meitner projects. An applicant may request funding for his or her own salary (either in full or in part) provided that:

- a) he or she does not have a contract of employment and has no regular income sufficient to cover his or her costs of living (subsistence level); or
- b) he or she is employed part-time (the level of support payable will be reduced in relation to the actual extent of employment within the project funded by the FWF); or
- c) he or she is self-employed. In this case, the salary paid by the FWF will not exceed 50% of the full salary for an independent scientist.

Additional income (i.e. resulting from lecture contracts) to full-time employment is allowed either up to 5 hours per week or up to the legally defined limit for marginal employment ("Geringfügige Beschäftigung"), provided that these additional occupations serve to further the principal investigator's career. In any case, the FWF must be informed immediately of any changes in the extent of employment (even before project approval).

Independent scientist applications are exempted from the six-year limit on employment contracts in FWF-sponsored projects.

In the event of legal questions, please contact:

- Ulrike VARGA (Tel.: +43-1-5056740-8841, e-mail: ulrike.varga@fwf.ac.at), especially for questions regarding residence permits for project employees from non-EEA countries.
- Ingrid JANDL (Tel.: +43-1-5056740-8851, e-mail: ingrid.jandl@fwf.ac.at), especially for questions on the distinction between contracts of employment, independent work contracts, independent employment contracts, marginal employment

Amount of personnel costs to be requested for independent scientists (prorated in the case of partial funding):

Independent scientists can generally request a postdoctoral research subsidy regardless of their educational background (e.g., a university degree is not a requirement for these requests). Independent scientists who have completed their doctoral studies and have more than two years of research experience, and independent scientists who have already successfully headed an FWF-sponsored project may apply for a senior postdoctoral subsidy. The following documents are to be submitted for this purpose (hard copies only): a copy of the applicant's Ph.D. certificate and a written confirmation from a third party evidencing a total of at least two years of research experience at the postdoc level. This confirmation is not required in cases where the applicant already has two years of postdoctoral research experience in FWF-sponsored projects; however, this should be noted in a covering letter.

In cases where an applicant works at a research institution which is subject to the Austrian Universities Act 2002 (UG 2002) or which has concluded a corresponding agreement with the FWF, the salary for a

¹² Academic CVs and lists of publications are only to be submitted for project employees whose salaries are to be financed using FWF funds or who are directly involved in the project (including research partners in Austria).

¹³ Publication lists must include the following: All authors, complete titles, journal, year, and page numbers. Where available, the DOI address (Digital Object Identifier – see <http://www.doi.org/>) or the URL to an open access postprint of the publication should also be provided.

postdoc or senior postdoc employment agreement is to be requested. In all other cases, the current FWF rate for research subsidies applies (see current version of the FWF's "Personnel costs and salary scale" or, for graduates of medical degree programs in Austria, the "Personnel costs and salary scale for graduates of medical studies in Austria").

In order to ensure the correct form of employment, however, it is advisable to consult the FWF before submitting the application (contacts in the relevant specialist departments: see <http://www.fwf.ac.at/en/contact/index.html>)

2.3 Equipment costs

Funding for equipment may only be requested if it is specifically required for the project and if it does not represent part of basic equipment and infrastructure. Infrastructure is considered to include equipment and components that should be available in a modern research institution in the scientific field in question to permit basic research at an internationally competitive level. Please note that if such components are requested nevertheless, when a funding decision is taken it will generally be questioned whether it is possible to perform topical basic research in such a research environment and how it was possible to undertake the preliminary experiments related to the project.

The category 'scientific equipment' includes apparatus and instruments, system components, costs for the use of software required specifically for the project, and other durable goods where the cost per item exceeds EUR 1,500.00 (including VAT). The completed "*Erfassungsblatt Geräte*" form (Itemisation form – Equipment) and a relevant offer from a supplier firm must be included with the request.

For items of equipment which are specifically necessary for the project and whose cost exceeds EUR 24,000.00 (including VAT), the applicant confirms with his/her signature on the application form "Affirmation of applicant" „ that she/he has verified that no comparable equipment is available at a reasonable distance that could be used or shared, and that the possibility of (co-)financing by third parties and the interest in shared use has been checked. The applicant also confirms that he/she is aware of possible costs that could arise as a result of use, servicing, maintenance and repairs.

In case of questions relating to equipment, please contact:

Monika MATTULA (Tel.: +43-1-5056740-8813, e-mail: monika.mattula@fwf.ac.at)

2.4 Material costs

This category encompasses consumables and small pieces of equipment where the cost per item is below EUR 1,500.00 (including VAT).

The calculation of requested material costs should be justified with reference to the time schedule, work plan and experimental plan. Experience from prior research projects must be taken into account in this context.

2.5 Travel costs

Costs for project-specific travel and accommodation, field work, expeditions, etc. may be requested. For this purpose, it is necessary to present a detailed travel (cost) plan broken down by project participant.

For brief trips, the calculation of travel and accommodation costs should be based on the Austrian federal regulations governing travel expenses (RGV). The RGV rates for travel within Austria and abroad can be found in the FAQs on the FWF web site (<http://www.fwf.ac.at/de/faq/reisegebuehrevorschrift.html>).

For longer stays, applicants are to prepare a transparent and appropriate budget.

Travel expenses for researchers from other Austrian and foreign institutions can only be granted in exceptional cases and requires detailed justification.

Costs for the presentation of project results at international conferences should not be requested; the costs associated with attending such meetings should be covered under "General costs" (see Section 2.7).

2.6 Other costs

- Independent contracts for work and services: costs for specific jobs which are carried out by individuals and which are clearly defined in terms of content and scope, where such activities are scientifically justified and economical.

- Costs which cannot be classified as personnel costs, equipment costs, material costs or travel costs, such as:
 - Reimbursement of costs towards or for the use of research facilities, e.g. of large-scale research facilities (project-specific 'equipment time'). Offers from such facilities should be submitted along with the application.
 - Costs for laboratory animals required by and used in the project
 - Costs for project-specific work carried out outside the applicant's research institution (e.g. for analysis work performed elsewhere, for interviews, for sample collection, for preparation of thin slices etc.). Offers from suppliers/providers should be submitted along with the application.
 - Costs for the disposal of hazardous waste
 - Costs for honoraria paid to test persons.

2.7 General costs (see "Itemisation of requested funding" sheet)

This includes the costs of travel to conferences, dissemination activities (web sites) and the like, as well as minor, unforeseen project-specific expenses such as repairs, student assistance, etc.

General direct costs should be included in the application forms in the appropriate field and are to be calculated as 5% of the total of the other funding requested. No justification of general costs is required in the project description.

3 Ineligible costs

3.1 Infrastructure

"Infrastructure" includes all facilities necessary to maintain the normal operations of the research institution (such as construction, installations, communication facilities, equipment, etc.). However, for all TRP-projects funded, 20% of direct project costs will be paid out as an additional grant amount (overhead costs) following acceptance of the final report on the use of funds (which comprises the final accounts and the final report). This amount will be remitted directly to the funding recipient's research institution (and if appropriate those of his/her national cooperation partners) and should primarily be used to enable the research institution to meet its responsibilities with regard to supporting the project.

3.2 Large independent work contracts for persons who have already been employed in FWF-sponsored projects for six years

It is not permissible to conclude an independent work contract for more than EUR 4,500.00 with persons who have already been employed in FWF projects (and were financed by the FWF) for six years.

3.3 Dissemination activities

Funding for publication costs cannot be requested in FWF applications for research projects. However, the FWF does provide additional funding for peer-reviewed publications upon request up to three years after the end of an approved project. For further information, please visit http://www.fwf.ac.at/en/projects/peer-reviewed_publications.html.

3.4 Patent costs

Costs for patenting cannot be requested.

4 Cooperation arrangements

Cooperation arrangements refer to any form of scientific collaboration directly related to the research project.

Any cooperation arrangements planned in the course of the research project must be described in the free-form part (narrative text) of the application. Applicants from universities of applied sciences (FHs) are advised to arrange for cooperation with a partner at an Austrian university.

If the applicants are able to exert any influence, legal or economic, on companies with an interest in the

proposed research, this fact must be mentioned. Any rights that result from the project are unaffected by cooperation or collaboration with the commercial partner, and if they are exploited, they must be offered by the funding recipient at a normal market price.

For **research partners at other research institutions in Austria**, the corresponding form ("National research partner") is **only** to be completed if costs will actually be incurred at another university or non-university research institution. **In particular, it is necessary to indicate whether it is planned to employ personnel or deploy equipment at the research partner's institution.** This form must also be signed by the head of the research institution/university or a person authorised by that institution/university.

If **international cooperation arrangements** are planned on an individual basis (even within the framework of international programmes such as COST, EUREKA, EU framework programmes) the "International cooperation arrangements (TRP)" form should be completed and included with the application.

In case of questions relating to international cooperation arrangements, please contact:

- *Beatrice LAWAL (Tel: +43-1-5056740-8703, e-mail: beatrice.lawal@fwf.ac.at)*
- *Christoph BÄRENREUTER (Tel: +43-1-5056740-8702, e-mail: christoph.baerenreuter@fwf.ac.at)*
- *Reinhard BELOCKY (Tel: +43-1-5056740-8701, e-mail: reinhard.belocky@fwf.ac.at)*

5 Forms

The formal part of the application consists of the application form as well as a number of additional forms.

5.1 Project forms

The application forms must be completed in their entirety.

In order for the application to be legally binding, the FWF requires a copy of the forms "Affirmation of applicant" and "Affirmation of the research institution of the applicant" and (where applicable) a copy of the "Affirmation of national research partner" and the "Affirmation of the research institution of the national research partner" forms with the original signatures and, if requested, an original stamp (seal).

For Translational Brainpower¹⁴-proposals the form "Programme specific data Translational Brainpower" is also required.

To explain the significance and relevance of the research project for the respective focus area the programme specific form "thematic relevance" should be used. Applications that exhibit a lack of or an insufficient explanation of the thematic relevance will be rejected by the FWF without review

5.2 Supplement indicating names of co-authors

All persons who made substantial scientific contributions to the conception and composition of the application must be indicated. A brief description of the nature of each person's contribution should also be included.

6 Enclosures

The project description and application form (one original hard copy and one electronic version on a data medium) must be accompanied by the following enclosures (where applicable):

- The additional forms, namely the equipment forms (forms for new equipment and for existing equipment financed by the FWF) and the forms for international cooperation arrangements, serve to assist the FWF in reviewing the application. These forms are to be filled out and enclosed as necessary.
- If the project requested is the continuation of a project funded by the FWF, a report on the previous project's results and a list of publications resulting from the previous project should be submitted in

¹⁴ The Translational-Brainpower-Programme is designed as an extension of the Translational-Research-Programme (TRP). Thus, an application for the involvement of an international project partner under the Translational-Brainpower-Programme can only be submitted together with a TRP-proposal in accordance with the relevant guidelines.

the language of the application (no more than 10 pages).

- Offers from suppliers for equipment requested (German language acceptable; electronic version not necessary).
- Offers for any relevant expenses listed under "*Other costs*".

6.1 Revision of rejected applications

- In cases where a project is revised and resubmitted after previous rejection by the FWF, the applicant should indicate that it is a resubmission (e.g. in a footnote) at the beginning of the free-form project description (narrative text).
- In addition, the applicant should include a brief response to each review (with each response in a separate document). These responses 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, these exclusions must be justified appropriately and will also be counted toward the list of undesired reviewers for the resubmission.
- In any case, applicants resubmitting projects are required to provide the FWF with an accompanying letter containing an overview of all changes made in the resubmitted application.
- Recommendation: As a rule, new reviewers are also called in to review resubmitted projects. Therefore, it may be helpful to include brief indications of modifications made as a direct result of reviewer suggestions in a suitable form in the project description (i.e. in parentheses or footnotes).

In cases where no substantial changes are made in a resubmitted application, the application may be eliminated by the FWF without review.

Please note that no attention will be paid to any enclosures above and beyond those described above. Please also note that applicants confirm with their signatures on the application forms that the electronic and hard-copy versions of the application are identical.

7 Processing of funding applications

The programme is carried out in the form of a call for proposals. All applications received by the published deadline (**date of postmark**) will be subjected to a formal check by the FWF. Post-hoc improvements/changes to the content of the free-form application (narrative text) are not permitted. However, it is possible to add 'formal' information (e.g. original signatures or stamps) up to 10 days after the deadline for submission of applications, but **only** if prior approval is granted by the FWF Secretariat (i.e. before the submission of the application).

The FWF will reject (without review) any applications that are incomplete, that do not conform to the FWF's requirements, or that contain any other formal deficiencies (in particular those which exceed the permitted length, use smaller fonts and/or exhibit a lack of or an insufficient explanation of thematic relevance). **Applications that have previously been rejected by the FWF and are resubmitted without substantial revisions will generally be rejected without review by the FWF.** Once the review process has been initiated, no amendments to applications are permitted.

All applications which meet the relevant formal requirements will be subjected to a review by peer reviewers (generally outside of Austria) selected by the FWF Executive Board. In selecting referees, the FWF will pay attention to the application-related aspects of the project (see also Appendix II). Applications that span several disciplines may be sent to more referees than formally required.

Once the review process is completed, the FWF Board and the BRIDGE Advisory Board work together to prepare funding recommendations for the Federal Ministry of Transport, Innovation and Technology (BMVIT) on the basis of the written reviews. On the basis of these recommendations, the Federal Minister of Transport, Innovation and Technology decides which projects to fund.

The decisions are communicated by the FWF Secretariat on behalf of the BMVIT and sent to the applicants together with the relevant excerpts from the reviewers' reports (in anonymous form). If an application is rejected, the Board will also provide a brief explanation of the reasons for rejection.

The number of reviews required in order to take a decision primarily depends on the amount of funding requested. For requests up to EUR 350,000.00, a minimum of two reviews is necessary in any case. Above that level, at least one review must be obtained for every additional EUR 100,000.00 requested.

For each increment of EUR 150,000.00 requested in excess of EUR 550,000.00, a disproportionate number of additional reviews are obtained.

Please note that experience has shown that the average processing time increases significantly where larger numbers of reviews are required.

Level of funding requested:

Up to EUR 350,000.00	At least 2 reviews
Up to EUR 450,000.00	At least 3 reviews
Up to EUR 550,000.00	At least 4 reviews
Up to EUR 700,000.00	At least 6 reviews or more

7.1 Suggestions regarding referees

The enclosures may also include a list (hard copy and electronic version in Word format) of reviewers who **should not** be asked to review the application due to possible biases ("List of undesired reviewers"):

List of undesired reviewers: Applicants may name a **maximum of 3** potential reviewers who are believed to have possible biases or conflicts of interest and should be excluded from the review process. If the grounds for exclusion can be verified by an expert review, the FWF Executive Board will generally follow these instructions. A brief justification must be provided for the exclusion of each reviewer on this list.

Reviewers are considered to be biased or to have conflicts of interest if:

- they stand to gain professionally, financially or personally from the approval or rejection of the application;
- they have published together with the applicant (or with any co-applicant or cooperation partner) within the previous five years, or if they have cooperated or worked at the same research institution with the applicant, co-applicant or cooperation partner within this period;
- there are fundamental scientific difference of opinion between the applicant (including project employees and/or cooperation partners) and the reviewer (e.g., disputes between schools of thought, methodology, etc.);
- any other close professional or personal ties exist which may raise suspicions of bias or of conflicts of interest in the eyes of third parties.

Please note that the FWF's Executive Board does not wish to receive suggestions of possible reviewers from applicants. Any such suggestions (i.e. a "positive list" of reviewers) will be disregarded.

8 Additional information

The FWF would like to draw attention to the fact that applicants are required to comply with all applicable safety provisions and to obtain any permits required for their research (e.g. from the Ethics Commission, the Commission for Animal Experimentation, the Department for Protection of Ancient Monuments or the corresponding authorities abroad).

In general, applicants must adhere to the rules of good scientific practice. In particular, this means that:

- a) references to sources of information used in the preparation of applications should be given in the form customary in the appropriate scientific disciplines;
- b) publications must be presented in a manner that makes all results comprehensible;
- c) openness and fairness among researchers is a matter of course and no researcher is denied due recognition for his or her scientific achievements.

In the case of suspected violations of these principles, a review will be carried out by the ombudsman at the relevant research institution or by the Austrian Agency for Scientific Integrity. The review process will be suspended for the duration of this review. The FWF Executive Board has decided to apply the content of the recommendations published by the DFG's Commission on Professional Self-Regulation in Science.

For more information, please refer to the German Research Foundation (DFG) web site, http://www.dfg.de/en/research_funding/legal_conditions/good_scientific_practice/index.html (document: "Proposals for Safeguarding Good Scientific Practice").

9 General remarks

The FWF would like to point out that in the event that funding is granted, the German and English summaries of the application and subsequently the summaries of the final project report will be published on the FWF's web site. The principal investigator should ensure that the content of these abstracts and summaries is articulated in such a way that it does not bring about any limitations on any potential patent registrations that might arise from the project. Should this not be possible, two different versions of the English and German abstracts/summaries should be prepared: one for review purposes and one for public relations purposes.

In the presentation and publication of all project results, grant recipients are to comply with the requirements regarding the acknowledgement of BMVIT and FWF and with the FWF's open access policy (see <http://www.fwf.ac.at/de/faq/dissemination.html>)

Appendix II: Information and questions for reviewers of TRP applications¹⁵

In all of its programmes, the FWF actively supports equal opportunities and equal treatment. The review of an application must not put the applicant at a disadvantage for non-scientific reasons such as age, gender, etc. For example, the assessment of research proposals should not be based on the applicants' actual age, but instead on the individual circumstances relating to the duration of their scientific careers and previous research achievements. For the FWF, ensuring equal opportunities also involves accounting for unavoidable delays in the scientific careers of applicants (e.g. longer qualification periods, gaps in publication activity, or less time spent abroad for family reasons). When preparing your review, please keep in mind that your comments in Section 1 will be forwarded in their entirety to the applicant (without including your name).

On the basis of the TRP-project application requirements defined by the FWF¹⁶ reviewers should be able to provide brief comments on the following aspects of each application.

Section 1 (to be transmitted to the applicant in its entirety):

1 Scientific quality of the project

- How would you assess the preliminary work (basic or application-oriented research) undertaken by the participating scientists?
- How would you assess the quality and originality of the proposed research approaches?
- Are the project's goals described clearly?
- Are the expected applications innovative?
- How high is the potential (probability) that the scientific research will give rise to successful applications in the future?
- Are the chosen methods (including the work plan and time schedule) appropriate?
- How would you assess the quality of cooperation arrangements in the project (national and international, university and non-university)?

2 Quality of human resources

- How would you assess the scientific quality and/or potential of the scientists involved?
- How important would you expect the project to be for the careers of the project participants (principal investigator and project staff, in particular doctoral students)? Are there plans with regard to career development? If so, are those plans adequate?

3 Broader implications¹⁷

- How would you assess the framing and importance of the project with regard to the relevant research field and institutional context?
- Are the planned strategies for the dissemination of results and for the handling of intellectual property rights adequate?
- Can the project be expected to have implications for other areas of science?
- What exactly are the possibilities for application (new production technologies, new products, etc.) to be expected? Within what time period can they be expected?

¹⁵ Further information about the FWF's corporate policy and a copy of the Guidelines for the Translational-Research-Programme can be found on the FWF's web site (www.fwf.ac.at).

¹⁶ **Formal requirements:** A project description no more than 20 pages in length (including tables or figures), programme specific form "thematic relevance", a list of literature relevant to the project, and a list of abbreviations (no more than five pages); scientific curricula vitae of the project participants (no more than three pages); (project-related) publication lists of project participants (limited to publications from the past five years).

¹⁷ These aspects are not decisive to the funding decision. However, when the FWF subsequently examines the success of the project, these additional aspects do play a part. (Your opinion, where applicable, would be of great help to the FWF.)

4. Suggestions

What could (or should) be done to increase the project's chances of success?

Section 2 (confidential remarks to the FWF):

1 Financial aspects¹⁸

In your review, please bear in mind that exaggerated costs may represent a reason for rejecting an application. Please comment on the following:

- Appropriateness of personnel and non-personnel costs (including any suggested budget reductions that could be made without jeopardising the success of the project);
- Suggestions for improvement (i.e. higher efficiency in terms of costs and benefits) with regard to the equipment requested.¹⁹

2 Concluding recommendation on approval or rejection of the proposal; other comments.

Please note: If you rate the proposal as excellent (95-100%), please provide a brief additional rationale as to why you feel the proposal is among the top 5% in its field.

¹⁸ "General costs," i.e. 5% of the other costs requested, are awarded automatically and do not need to be justified or commented on by reviewers.

¹⁹ Please note that the FWF does not fund basic infrastructure. Nevertheless, we would be very grateful for your opinion on the importance of such infrastructure components for the execution of the project.

Appendix III: Overview of TRP focus areas

Research projects are to be submitted within the focus areas indicated below. Specific topics within these areas are provided as examples.

Intelligent production

- Materials: High-tech materials and surfaces
- Processes: High-performance, resource-efficient and robust production processes
- Production systems: Flexible and versatile production
- Products: Innovation, optimisation, miniaturisation and sensor-actuator integration
- Bio-based industry/biorefinery
- Raw materials: Substitution and recycling
- Cross-sectional topics: Development of production skills for materials and processes / production systems, virtual methods for integrated process and product development, etc.

Mobility & transport

- Environmentally friendly, energy-efficient, safe and quiet vehicles for all modes of transport
- New propulsion systems, alternative fuels and materials
- Intelligent infrastructure (on the ground and in space) to support interoperability between various forms of transport and the exchange of information with vehicles
- Transport and traffic management for improved use of infrastructure and vehicles, real-time information systems, booking and payment systems on an intermodal and interoperable basis
- Information and communication systems, especially integrated traffic routing and information systems to support intelligent mobility services
- Transport infrastructure and maintenance measures
- Technologies to improve transport safety
- Technologies and innovations for intermodal logistic chains
- Technologies and innovations for sustainable, accessible and socially affordable mobility in urban as well as rural areas

Energy

- Renewable energy sources
- Energy supply and energy efficiency
- Bio-based industry

Information and communications technologies (ICT)

- Semantic systems
- Embedded systems
- Visual computing, visualisation of data and applications
- Systems on chips
- Trust in IT systems for defence against threats and damage and for higher reliability in IT systems
- ICT and demographic change, especially ICT solutions for older people, acceptance of technological products, factors related to social medicine and emotions

Security

- Leadership support and equipment for emergency service staff in crisis situations
- Intelligent video monitoring
- Socio-political aspects of security

- Concepts and technical solutions to protect critical infrastructure
- Recognition and handling of hazardous materials
- National security in information and communications technology (cyber security)

Space research

- Development of scientific tools for European and international space missions
- Generation of new scientific insights in the course of space missions
- Development of innovative technologies, products and processes
- Diffusion of space technology in other sectors