



Der Wissenschaftsfonds.

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

## Application Guidelines<sup>1</sup> for Stand-Alone Projects

### What can be applied for?

A stand-alone project, the goals and methodology of which should be precisely described. The project should be in the field of non-profit-oriented scientific/scholarly research<sup>2</sup> and its duration should be limited (no more than 48 months). Aspects of a research project that go beyond basic research (e.g. results of relevance to society, to the environment or to the economy) may be mentioned, but they do not play a part in the assessment of whether the project should be funded.

For research projects whose structure and content may make it necessary to conduct additional stand-alone projects after the initial project, please see the relevant document for [long-term projects](#).

### Who is eligible to apply?

Any researcher working in Austria who possesses the research qualifications, available capacity, and the infrastructure necessary to carry out the project submitted. No particular academic title is needed, nor is Austrian citizenship required. However, stand-alone projects must be carried out in Austria or based at an Austrian research institution. Applications for stand-alone projects may only be submitted by individual natural persons. Applications from institutes, institutions or companies are not permitted.

Please note that starting on April 1, 2016, the number of ongoing/approved projects in which one researcher can serve as principal investigator will be limited to **two** in the Stand-Alone Projects Programme, International Programmes, Clinical Research and Arts-Based Research Programmes. Principal investigators who already have two ongoing/approved projects will not be permitted to submit another application within those programmes until 12 months before the end of one of their ongoing projects.

The limit on the number of ongoing projects has brought about similar limits on the number of applications that can be submitted. Example: If a researcher does not have any ongoing/approved projects or applications under review in the programmes listed above as of April 1, 2016, s/he can submit up to two funding applications. In cases where a single researcher has submitted two or more applications for funding within those programmes as of April 1, 2016, no further applications can be submitted.

Additional information on these limits can be found at

[http://www.fwf.ac.at/fileadmin/files/Dokumente/Antragstellung/project\\_number\\_limit.pdf](http://www.fwf.ac.at/fileadmin/files/Dokumente/Antragstellung/project_number_limit.pdf).

For information on submitting an application from abroad see the FWF Website at <http://www.fwf.ac.at/en/research-funding/applications-from-abroad/>.

The applicant's qualifications to carry out the research work should be demonstrated by publications in internationally recognised journals (the number of which should correspond to the stage the applicant has reached in his/her career). The following criteria are decisive in the assessment of the applicant's research qualifications and determine whether a review procedure is initiated:

- Number of publications: The applicant's number of publications should correspond to his/her

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

<sup>2</sup> Clinical studies in the field of human medicine should be submitted in the [programme for clinical research](#).

career to date; however, each applicant must have at least two publications in the five years prior to submission of the application.

- **Independence:** The applicant's independent contribution to the publication should be visible. For example, at least one publication listing the applicant as the first author is required in the Life Sciences category.
- **Peer review:** All the publications listed (or more than half in the case of the humanities) must have been subjected to a quality assurance procedure in line with high international standards, normally meaning that the journals should be listed in the Web of Science, Scopus or the Directory of Open Access Journals (DOAJ). In the case of 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 the applicant should provide a link. In the case of monographs, edited volumes or contributions therein, or other publication types where the policy is not documented on the publisher's website, or journals not listed in the Web of Science, Scopus or the Directory of Open Access Journals (DOAJ) the onus is on the applicant to provide evidence of the outlet's quality assurance policies.
- **International publications:** In the natural sciences, life sciences and social sciences, the majority of the applicant's publications listed must be in English. In the case of the humanities and cognate fields a majority of publications must have wider than national reach..

Where one or more of the above conditions are not met, the applicant must make a case for exemption to the rule which will then be considered by the FWF Executive Board.

Principal investigators must mention the ORCID persistent digital identifiers (<http://orcid.org/>) in the application forms.

### What types of funding can be requested?

Only project-specific costs up to a **maximum of € 400,000** (incl. general costs) may be requested; "project-specific costs" refer to personnel and non-personnel costs that are required in order to carry out the project and that go beyond the resources made available from the research institution's infrastructure. The FWF does not finance infrastructure or basic equipment at research institutions.

For information on submitting an application as an independent researcher (*Selbstantragstellung*) see Appendix I, Explanations and Definitions for Stand-Alone Projects, Section 2.2.

Please note that exaggerated costs may represent a reason for rejecting an application, even one that is considered excellent in terms of content.

Double funding is not permitted. In other words, a project for which support is being requested may not receive full support from another funding source or under a different FWF programme.

Applications that are essentially identical may not be submitted – either in the same programme or in different programmes – unless the programme-specific application guidelines explicitly make an exception to this general rule.

### How should applications be submitted?

All parts of the free-form application, the abstracts and the enclosures (responses to reviews or final reports in the case of follow-up projects) must be submitted in 11pt type, line spacing 1.5.

A complete application must include the following parts:

- 1 One-page academic abstract in English** comprising no more than 450 words or 3,000 characters incl. spaces (DIN A4 format; no formulas or special characters). The academic abstract will be used to inform potential reviewers about the project. Applicants are therefore asked to address the following points as concisely as possible: 1) research questions/hypotheses, 2) scientific/scholarly innovation/originality of the project, 3) methods to be used, and 4) main researchers to be responsible for the project;
- 2 Two one-page abstracts** for the FWF's **public relations (PR) work**: one in German, one in English. These abstracts are also subject to the limit of 450 words (DIN A4 format) or 3,000 characters incl. spaces and should contain the following information: 1) project title, 2) content of research project, 3) hypotheses, 4) methods, and 5) an explanation indicating what is new and/or special about the project. The language of the PR abstracts should be comprehensible to non-specialist audiences and contain as few technical/specialist terms as possible;
- 3 Completed forms** (necessary: application form, "cost breakdown"; optional: "national research partners", "international cooperation arrangements");

- 4 Form with the names (and contact details) of all persons (co-authors)** who have made substantial scientific/scholarly contributions to the application, either in its conception or composition. A brief description of the nature of each contribution should be included. In cases where no co-authors are involved, it is necessary to indicate this explicitly in the attachment;
- 5 A free-form application** (DIN A4, with consecutively numbered pages) composed of:
- **Project description: no more than 20 pages** including all tables and figures with no more than **9,000 words** (including headings, footnotes, captions, etc.), but not including the table of contents;
  - Bibliography<sup>3</sup> relevant to the project, including a list of abbreviations (**no more than 5 pages**);
  - Academic curriculum vitae (CV; **no more than three pages per person**) and a list of publications for each person involved in the project (see also pp. 4 ff.; persons involved in the project include the applicant, research personnel<sup>4</sup> [where already known] to be employed in the project and funded by the FWF, and any national research partners);
  - Both national and international cooperation arrangements essential to the project can be evidenced by means of collaboration letters (no more than 3 letters, each no longer than 1 DIN A4 page). These letters are to be inserted at the end of the proposal file.
- 6 Enclosures** (see Appendix I, Explanations and Definitions for Stand-Alone Projects).

The submission must be made online at <https://elane.fwf.ac.at>:

In order to submit applications online, users are first required to register at the address shown above. All of the necessary forms must then be filled out online; additional files such as the free-form application, etc. can be uploaded. For additional information, please see the user's manual available at the address shown above.

**1. Required forms:**

- Application form
- Cost breakdown
- Academic abstract in English
- Co-authors

**2. Optional forms (to be filled out as necessary):**

- National research partner
- International cooperation arrangements

**3. Required file uploads**

- **Proposal.pdf** (consisting of the free-form application including a project-related bibliography, academic CVs and publication lists of all researchers to be involved in the project, plus any collaboration letters)
- **PR\_Abstract\_deu.docx** and **PR\_Abstract\_eng.docx** (project abstracts for PR purposes in English and German, each in a separate Word file)

**4. Optional file uploads (general annex)**

- **Annex\_Offer.pdf** (offer for equipment with acquisition cost per item from €1,500 including VAT or higher, in one file)
- **Annex\_Overview\_Revision.pdf** (overview of all changes made in the resubmitted application)
- **Annex\_Revision.pdf** (responses to reviews or review excerpts **in a separate file for each review or excerpt**; Annex\_Revision\_A.pdf / Annex\_Revision\_B.pdf etc.)
- **Annex\_Follow.pdf** (report on previous project's results if the proposal is for the continuation of a prior FWF project)
- **Annex\_Reviewers.pdf** (list of reviewers who should not be contacted)

<sup>3</sup> Literature lists must include the following information: All authors, complete titles, journal, year and page numbers. For publications with more than 20 authors, an "et al." reference can be used.

<sup>4</sup> Where known project employees 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 "Personnel Costs and Salaries – Graduates of Medical Studies in Austria" at <http://www.fwf.ac.at/de/forschungsfoerderung/personalkostensaetze/>

Once the application has been completed, a PDF **cover sheet** can be generated. This cover sheet must be signed, stamped, and sent to the FWF by conventional mail. The application is not officially considered to be "submitted" until the FWF receives the cover sheet. Alternatively, the signed/stamped cover sheet can be scanned in, signed using the applicant's qualified electronic signature<sup>5</sup> and sent to the FWF by e-mail ([office@fwf.ac.at](mailto:office@fwf.ac.at)). Please note that a signed/stamped version of the cover sheet without a qualified electronic signature will **not suffice!**

**Reviews** are provided by international reviewers whose anonymity is ensured by the FWF.

In order to enable this international peer review, applications must be submitted **in English**. If desired, an additional version may be submitted in German or in another language which is in widespread use in the particular discipline. Submission only in German or in a project-relevant language other than English is possible only in exceptional cases. Such exceptions can be made only for proposals from the fields of linguistics and/or literature which concern only texts in German or in languages other than English. In such cases, it is absolutely necessary to contact the project officers administering the application in the FWF Office first and then to submit an abstract (no longer than 1 DIN A4 page) for the application and a written justification for submission in a language other than English (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<sup>6</sup> must address the following points:**

### 1 Scientific/scholarly aspects

- Aims (hypotheses or research questions):
  - Relevance to international research in the field (international status of the research);
  - Explanation of how the project could break new ground in research (innovative aspects);
  - Importance of the expected results for the discipline (based on the project described);
- Methods;
- Work plan, project schedule and strategies for dissemination of results;
- Cooperation arrangements (national and international);
- Where ethical issues<sup>7</sup> have to be considered in the proposed research project: All potential ethical, security-related or regulatory aspects of the proposed research project and the planned handling of those issues must be discussed in a separate paragraph. In particular, the benefits and burdens arising from the experiments as well as their effects on the test subjects/objects should be explained in detail. Applicants must also provide a brief explanation in cases where no ethical issues have to be taken into account.

### 2 Human resources

- Research-related qualifications of the researchers involved;
- Importance of the project for the participants' career development (principal investigator and project staff members).

### 3 Broader effects

- Implications for other fields of research;
- Effects beyond the field of research.

### 4 Financial aspects

- Information on the research institution:
  - Available personnel (not financed by the FWF; usually the principal investigator and national research partners);
  - Available infrastructure;

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<sup>5</sup> e.g. <https://www.digitales.oesterreich.gv.at/web/digitales-osterreich/die-burgerkarte>

<sup>6</sup> Links in the project description or in enclosures will be disregarded if a login/password is required in order to access the content.

<sup>7</sup> For orientation purposes, applicants may wish to review the document '[Ethics for researchers](#)' published by the European Commission or '[The European Code of Conduct for Research Integrity](#)'. In cases of uncertainty, researchers can also contact their more experienced colleagues or the person/department responsible for ethical issues at their respective research institution.

- Information on funds requested:
  - Concise justification for the personnel requested (type[s] of position[s], description of field of work, extent and duration of involvement in the project);
  - Concise justification for non-personnel costs (equipment, materials, travel and other costs). If equipment is requested, applicants must specify why this does not constitute part of the available infrastructure (see also Appendix I, Section 2.3).

### **Requirements for academic curricula vitae (CVs) and publication lists**

For all researchers involved in the project (i.e. the principal investigator, known researchers on the project staff to be financed by the FWF, and any national research partners), the following information must be provided:

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

- Personal details, address 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 academic 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**);<sup>8</sup>
- (where applicable) Names and institutions of key international cooperation partners in the last 5 years.

#### **Publication lists<sup>9</sup>**

- List of all published or accepted scholarly publications (journals, monographs, anthologies, contributions to anthologies, proceedings, research data, etc.) in the last five years, broken down into a) peer-reviewed publications and b) non-peer-reviewed publications;
- Separate listing of the **10 most important scholarly publications** in the researcher's entire career to date.

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<sup>8</sup> 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.

<sup>9</sup> Publication lists must include the following information: All authors, complete titles, journal, year and page numbers. For each publication, either the DOI address (Digital Object Identifier – see <http://www.doi.org/>) or another persistent identifier (see [http://en.wikipedia.org/wiki/Persistent\\_identifier](http://en.wikipedia.org/wiki/Persistent_identifier)) should be indicated; for publications with more than 20 authors, an "et al." reference can be used. In addition, the publications should be freely accessible in line with the [FWF's Open Access Policy](#). This requirement applies to all publications from ongoing or completed FWF projects.

## **APPENDIX I:**

### ***Explanations and Definitions for Stand-Alone Projects***

#### **1 Eligibility criteria**

##### ***1.1 Non-profit-oriented scientific/scholarly research project***

Generally termed "basic research", this refers to research whose value is primarily related to the further development of science and research (scholarly work directed at enhancing our understanding of the field).

##### ***1.2 Double funding not permitted***

Any other 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, OeNB, government ministries, etc.) must be mentioned (see application forms).

#### **2 Eligible costs (project-specific costs)**

##### ***2.1 Personnel costs***

The application should include all persons, in addition to the staff already available, who will be required for work exclusively on the proposed project.

The available legal categories of employment are contracts of employment for full-time or part-time employees (DV) and reimbursement for work on an hourly basis (GB). In addition, a part-time contract of employment (50% contract of employment for student assistants) may be requested for researchers who have not yet completed a master's or diploma (*Diplom*) degree programme in the relevant subject area.

The current FWF salary scale ("[Personnel Costs and Salary Scale](#)" or, for graduates of medicine in Austria, "[Personnel Costs / Salaries for Graduates of Medical Studies in Austria](#)";) indicates the salaries that may be requested. The FWF grants an annual salary adjustment to compensate for inflation; this is applied automatically to all contracts of employment in stand-alone projects that are valid when the adjustment takes effect.

The reasoning for the personnel requested should contain the following information:

- A description of the nature of each employee's work;
- Each employee's extent of employment (part-time contracts permitted). Please note that the extent of employment for PhD student positions must not exceed 75% (i.e. 30 hours per week).

For each research position to be funded by the FWF where the person who will fill the position is known at the time of application, an academic curriculum vitae and a publication list must be submitted.

*FWF employee responsible for legal questions:*

*Ulrike Varga (Tel.: +43-1-5056740-8841, E-Mail: [ulrike.varga@fwf.ac.at](mailto:ulrike.varga@fwf.ac.at)), in particular for questions relating to contracts of employment, independent contracts for work and services, marginal employment, and residence permits for project employees from outside the European Economic Area.*

##### ***2.2 Applications from independent researchers***

The FWF defines an "independent researcher" as a principal investigator whose salary is to be paid from the funding provided for the project. Such arrangements are possible in cases where the applicant's main residence has been in Austria for at least three of the past ten years at the time when the application is submitted, and/or if the applicant has been working continuously as a researcher in Austria for at least two consecutive years preceding the submission of the application.

This restriction does not apply to

- a) researchers who have received grants under the Lise Meitner Mobility Programme and who submit applications for funding to continue their research in Austria following completion of their Meitner projects;
- b) researchers who can provide evidence at the time of application that they will be employed (at least 50% employment; not funded by the FWF) at an Austrian research institution for the planned duration of the project in question. In such cases, the application must be accompanied by a confirmation from the researcher's employer.

All applicants are permitted to request funding (or partial funding) for their own salaries regardless of whether they have a fixed-term or indefinite contract of employment when the application is submitted. However, the FWF can only provide funding for the researcher's salary under the following conditions at the time when the funds are actually used:



- a) The researcher must not have an existing contract of employment or any regular income exceeding the minimum living wage in Austria.
- b) If the researcher is in part-time employment, the amount of the researcher's salary will be adapted to reflect his/her actual extent of employment in the FWF project.

For researchers who are self-employed at the time when the funds are used for their salary, the personnel costs or salary amount to be requested must not exceed 50% of the full rate for independent researchers.

Income in addition to full-time employment (e.g. resulting from lecturer contracts) is allowed either up to 5 hours per week or up to the legally defined limit for marginal part-time employment (*geringfügige Beschäftigung*), provided that these additional occupations serve to further the principal investigator's career.

The FWF must be informed immediately (even prior to a funding approval) of any changes in the extent of employment.

### **Salary levels to be requested by independent researchers (prorated in the case of part-time employment):**

Independent researchers may request payment at the post-doctoral level (by means of a grant or research subsidy [*Forschungssubvention*]) irrespective of their academic qualifications (i.e. a completed higher education degree is not required). Independent researchers with a doctoral degree and at least two years' post-doctoral research experience at the time when the application is submitted and those who have previously successfully led an FWF-funded project may request payment as senior post-docs. The following supporting documents must be provided as a scan (pdf): the PhD certificate and written confirmation from a third party that the applicant has at least two years' post-doctoral research experience. This confirmation is not required in cases where two years of post-doctoral study have been funded by the FWF; if this is the case, applicants are to mention such experience in a cover letter.

If an independent researcher is to work at a research institution that is subject to the 2002 Universities Act (UG2002) or that has concluded a corresponding agreement with the FWF, the salary to be requested is that for a post-doc or, where appropriate, a senior post-doc contract of employment. In all other cases, a grant for an independent researcher (research subsidy / *Forschungssubvention*) should be requested (see the [current salary table](#) or, for graduates of medicine in Austria, "[Personnel Costs / Salaries for Graduates of Medical Studies in Austria](#)").

To ensure the correct form of employment, applicants should consult the FWF Office (contact persons in the appropriate [specialist departments](#)) before submitting an application.

### **2.3 Equipment costs**

Equipment may only be requested if it is specifically required for the project concerned and if it does not constitute basic equipment (i.e. part of an institution's infrastructure). "Infrastructure" is considered to include equipment and components that should be available in a modern research institution in the relevant discipline in order to permit basic research at an internationally competitive level. Please note that if such components are requested nonetheless, the FWF will first examine carefully whether it is possible to perform leading-edge basic research in such an environment and how it was possible to undertake the preliminary experiments related to the project.

In this context, "equipment" includes scientific instruments, apparatus, system components, self-constructed devices (generally assembled from smaller pieces of equipment and materials) and other tangible fixed assets, as well as intangible assets such as licences, industrial property rights and licences derived from such rights, whose acquisition cost per item (including value-added tax [VAT]) exceeds the amount specified in Article 13 of the Austrian Income Tax Act 1988 (Einkommenssteuergesetz – EStG; Federal Law Gazette No. 400/1988), which is currently €400 (including VAT, unless the research institution is entitled to deduct VAT).

The applicant must upload an offer from (pdf-Scan) a supplier for each piece of equipment whose acquisition cost (including VAT) is €1,500 or higher with the funding application.

For items of equipment which are required specifically for the project and whose cost (including VAT) is €24,000 or higher, applicants must confirm with their signatures on the application form ("Affirmation of applicant") that they have verified that no comparable equipment that could be used or shared is available within a reasonable distance, and that the possibility of (co-)financing by third parties and any interest in shared use have been explored. Applicants must also confirm that they are aware of any possible costs that could arise as a result of use, service, maintenance and repairs.

**Note:** The principal investigator is to instruct his/her research institution to order the equipment and effect payment accordingly. In all equipment purchases, the research institution's procurement guidelines are to

be observed. Each item of equipment is to be recorded in the institution's inventory and the acquisition costs are to be reimbursed in accordance with the relevant agreement between the research institution and the FWF.

*FWF employees responsible for questions relating to equipment:*

*Contact person in the relevant [specialist department](#) at the FWF*

## **2.4 Material costs**

This category encompasses consumables and smaller pieces of equipment where the cost per item is below €400.00 including VAT.

The calculation of requested material costs should be justified with reference to the project schedule, work plan and experiment plan. Experience from previous projects should be taken into account.

## **2.5 Travel costs**

Funding may be requested for project-specific travel and accommodation, field work, expeditions, etc. Applicants are to provide a detailed travel (cost) plan broken down by project participant. This plan must indicate when (in which year of the project), where, for what purpose and for how long a specific project staff member (or members) will be travelling.

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

The calculation of travel and accommodation costs should be based on the federal regulations governing travel costs (RGV). The current RGV rates applicable to travel in Austria and abroad are provided in the following document: <http://www.fwf.ac.at/fileadmin/files/Dokumente/Downloads/bgbl.pdf>

For longer stays, a transparent and appropriate budget should be prepared; in general, this budget will be lower than the costs calculated on the basis of RGV rates.

Funding for the presentation of project results at international conferences should not be requested; the costs associated with attending such conferences should be covered by the "General costs" item (see 2.7).

## **2.6 Other costs**

- Independent contracts for work and services (costs for work of clearly defined scope and content commissioned to individuals, provided that it is scientifically justifiable and economical).
- Costs that cannot be included under personnel, equipment, materials or travel costs, for example:
  - Coverage of costs for the use of research facilities, e.g. costs incurred due to the project-specific use of available equipment (project-specific "equipment time") or large research facilities; in any case, offers from potential suppliers must be uploaded. Where the costs exceed €10,000 (not including VAT) over the entire term of the project, each offer must be accompanied by the corresponding calculation basis for costs from the research institution involved in the project. This calculation must include information on the nature and scope of the services for which project-specific costs are incurred (according to internal charging procedures, e.g. based on usage days or hours, or based on the number and type of measurements/analyses performed, etc.) as well as a confirmation indicating that the offer does not include any infrastructure-related costs such as equipment depreciation, supplementary charges for overhead, costs of research premises, etc.;
  - 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 potential suppliers are to be submitted to the FWF;
  - Costs for the disposal of hazardous waste;
  - Costs for fees paid to test persons;
- When planning project budgets, please observe the [FWF's Open Access Policy](#), including Section VI, "Open Research Data". This means that it is necessary to allocate the necessary funds over the project's duration to ensure the preparation, archiving, open access and later use of research data in repositories (depending on the research field).

## **2.7 General costs (see application forms: Cost breakdown)**

This category includes the costs of conference travel, dissemination activities (web site), etc., as well as smaller, unforeseen costs necessary for the project, such as repairs, student assistance, etc.

General costs should be included in the application forms in the appropriate field and are to be calculated as 5% of the total other funding requested. No justification for general costs needs to be included in the



written project description.

### **3 Ineligible costs**

#### **3.1 Infrastructure**

This category includes all facilities that are required for the normal operations of the research institution (such as buildings, installations, communication facilities, scientific equipment considered part of infrastructure, etc.).

#### **3.2 Contracts for work and services (independent work contracts) immediately after a contract of employment**

The FWF's policies prohibit the conclusion of large-scale independent work contracts (i.e., exceeding the legally defined limit for marginal part-time employment) immediately after a contract of employment.

#### **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.

### **4 Cooperation arrangements and national research partners**

#### **4.1 National and international cooperation arrangements:**

All forms of research collaboration directly related to the project are considered to be cooperation arrangements. Such arrangements are expected to create added value for the project and must work to the advantage of all parties involved.

The FWF assumes that the costs arising from scholarly collaboration at each research institution will be borne by the respective cooperation partner.

In the course of such arrangements, funds can only be transferred to a cooperation partner (including partners abroad) in cases where they cover clearly defined and limited work assignments or services (as mentioned in Section 2.6) and where such assignments or services are directly necessary in order to carry out the Austrian project.

This rule does not apply to [cooperation arrangements with researchers and scientists from developing countries](#).

All cooperation arrangements (national and/or international) planned within the proposed project should be detailed in the free-form application. In the case of individual cooperation arrangements, it is necessary to specify the persons with whom project members will cooperate as well as the object of the planned cooperation arrangement(s), i.e. their specific contribution to the project. Each of the planned international cooperation arrangements on an individual basis (even within the framework of international programmes such as COST, EUREKA, or EU framework programmes) should be included with all relevant information in the "International cooperation arrangements"<sup>1</sup> form.

Additional application guidelines and forms are required for funding applications within the framework of coordinated international programmes (ERA-Net Calls, Joint Projects, etc.; Funding Category I).

*FWF employees responsible for questions relating to international cooperation arrangements:*

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#### **4.2) National research partners:**

National research partners are persons who work at a different research institution and who will consume resources at that research institution in the form of personnel, equipment and/or other costs in the course of the project. These costs are settled between the research institution and the FWF and need not be invoiced to the project's principal investigator. For such partnerships, applicants are to fill out the "National research partners at other research institutions" form. The form (elane cover sheet) must also be signed by the head of the research institution in question or by a person authorised to sign for the institution.

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<sup>1</sup> Only those international cooperation arrangements which are discussed in the free-form project description are to be indicated on the "International cooperation arrangements" form.

## 5 Forms

The structured part of the application consists of the application form and supplementary forms (see also page 4).

All required forms must be completed in their entirety. In order for the application to be legally binding, the FWF requires a copy of the “Affirmation of applicant” and the “Affirmation of applicant’s research institution” form and, if applicable, a copy of the “Affirmation of national research partner(s)” and the “Affirmation of the national research partner’s (partners’) research institution” with original signatures and an original stamp or seal.

### 5.1 Form co-authors

All persons who have made substantial content-related contributions to the application, either in its conception or during its writing, should be named. 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.

## 6 Enclosures

The project description and the application forms should be accompanied by the following uploads, where applicable:

- The form for international cooperation arrangements assists the FWF in interpreting the application. This form should be completed as necessary and upload with the enclosures;
- If the project submitted represents the continuation of a project previously funded by the FWF, a report on the previous project’s results and a list of publications resulting from the project should be uploaded in the language of the application (no more than 10 pages);
- Bids/offers for requested equipment for each piece of equipment whose acquisition cost (including VAT) is €1,500 or higher (an offer from a supplier for each item requested, German language acceptable);
- Bids/offers for any relevant items requested under ‘Other costs’ (e.g. use of research facilities);
- If the stand-alone project is to be carried out within the framework of an international collaboration based on an MoU,<sup>2</sup> the requirements for the relevant call should be taken into account. The application must include a letter of intent from the partner in which she/he confirms her/his intention to submit a concurrent application to the appropriate funding organisation.

### 6.1 Revision of rejected applications (resubmission)

A *resubmission* is defined as an application which has already been submitted to the FWF in the past with the same research question(s), regardless of the programme category in which the application was rejected. Where an applicant submits a funding application on the same topic but does *not* consider it to be a resubmission, s/he must also indicate specifically how the research question has changed in the accompanying letter. For example, changes in research methods alone are not sufficient to qualify a proposal as a completely new application. In cases of doubt, the FWF’s Executive Board will make the final decision.

- In cases where a project is revised and resubmitted after previous rejection by the FWF, the applicant must indicate that it is a resubmission (e.g. in a footnote) at the beginning of the free-form proposal.
- Applicants resubmitting projects are required to provide the FWF with an accompanying letter containing an overview of all changes made in the resubmitted application; this overview will not be passed on to the reviewers.
- In addition, the applicant must upload brief responses to each review (with each set of responses **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, such exclusions must be justified appropriately and will also be counted toward the list of undesired reviewers for the resubmission.
- Recommendation: As a rule, new reviewers are also called in to review resubmitted projects. Therefore, it may be helpful to include brief notes on modifications made as a direct result of reviewer suggestions in an appropriate 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 rejected by the FWF Executive Board without review.**

Please note that the FWF will disregard any enclosures above and beyond those described.

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<sup>2</sup> MoU = Memorandum of understanding between the FWF and international partner organisations

## 7 Processing of applications<sup>3</sup>

A **formal check** of the application is undertaken by the FWF Office. 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 are not rectified within a reasonable period of time (usually 3 weeks), the FWF's Executive Board will reject the application without review. Similarly, applications that have previously been rejected by the FWF and are resubmitted without substantial revisions will generally be rejected by the FWF's Executive Board without review. All applications that pass this formal check will be sent to reviewers (based outside of Austria). The FWF Executive Board decides whether a review procedure is to be initiated and appoints reviewers on the basis of the recommendations submitted by the FWF's Reporters and/or Alternates. Once the review procedure has begun, it is not possible to make changes to applications.

In cases where the application is a **revised version of a previously rejected application** (resubmission), the FWF will generally request a second review from those reviewers who provided constructive criticism on the previous application. Reviewers who gave entirely positive or negative comments without qualification will generally not be contacted for a second review. However, please note that all resubmissions are also evaluated by new reviewers.

The **review process** generally takes about six months.

When it is completed, the FWF Board considers the reviews and decides whether – and to what extent – the application should be supported. Applicants are informed in writing of the decisions taken by the FWF's committees.

For a funding approval, at least two reviews are required.

**Proposal bans:** Applications that are rejected for reason "C5" will be barred from resubmission for at least 12 months from the date of the decision and cannot be resubmitted during that period.

Applications that have been submitted three times and rejected under grounds for rejection C3 or C4 (= original application and corresponding new planning (see point 6.1)), are also blocked for 12 months (from the decision date); this does not affect applications rejected under C1 or C2.

### 7.1 Suggested reviewers

Applicants may include a list of reviewers who should not be asked to review the application due to possible conflicts of interest ("negative list"):

**Negative list:** Applicants may exclude **up to three** potential reviewers from the review procedure if they feel that biases or potential conflicts of interest may arise. If the grounds for exclusion can be verified, the Executive Board will generally fulfil such requests. This list must include a brief justification for excluding the persons in question.

Reviewers are considered to be biased or have a potential conflict of interest if:

- they stand to gain professionally, financially or personally from the approval or rejection of the application;
- they have published, cooperated, served on professional boards or other bodies involving frequent or regular meetings, or worked at the same research institution with the applicant or any co-applicants (including project employees) in the last five years (see also below);
- they have fundamental differences of scientific/scholarly opinion with the applicant or any co-applicants (including project staff members);
- any other close professional or personal ties exist between the reviewers and applicants/co-applicants (including project staff members) which may give rise to suspicions of bias or of conflicts of interest in the eyes of uninvolved third parties.

Please note that the FWF's Executive Board does not accept suggestions for 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 valid legal provisions (e.g. Austrian law relating to the equal treatment of disabled persons) and 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 the Protection of Ancient Monuments, or the

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<sup>3</sup> More details about the decision procedure, the criteria for the selection of international peer reviewers as well as the rules regarding bias, conflicts of interest, and the composition of expert juries and boards are discussed in the document "[General Principles of the Decision-Making Procedure](#)"

corresponding authorities abroad).

The [Guidelines for Good Scientific Practice](#) published by the Austrian Agency for Research Integrity (OeAWI) must be observed in any case.

Where a breach of these standards is suspected, the case will be investigated by the ombudsperson of the research institution responsible or by the Austrian Agency for Research Integrity. The FWF reserves the right to suspend any procedures related to applications or ongoing projects partly or entirely until such investigations have been concluded.

## **9 General remarks**

Applicants should be aware that in the event that funding is granted, the German and English project summaries for public relations (PR) purposes as well as the amount of funding provided and (subsequently) the summaries of the final project report will be published on the FWF's web site. The principal investigator should ensure that these summaries are written in such a way that they do not lead to restrictions on any possible patent applications that might arise from the project.

In the presentation and publication of all project results, grant recipients are to comply with the requirements regarding the acknowledgement of FWF funding and with the FWF's open access policy.

## **APPENDIX II: Notes and questions for FWF reviewers of stand-alone project proposals<sup>1</sup>**

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/non-scholarly 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/scholarly careers and previous research achievements. The FWF endeavours to ensure equal opportunities for all applicants and thus takes into consideration any unavoidable delays in the scientific/scholarly careers of applicants, such as gaps in publication activity or less time spent abroad (e.g. due to longer qualification periods, time spent raising children, long-term illness etc.). 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).

It is the FWF's duty to ensure the best possible use of public-sector funds in the field of basic research. On the basis of the project application requirements defined by the FWF,<sup>2</sup> 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/scholarly quality of the proposal with special attention to strengths and weaknesses
- 2 Approach/methods and feasibility of the proposal with special attention to strengths and weaknesses
- 3 Research-related qualifications of the researchers involved (based on their academic age) with special attention to strengths and weaknesses
- 4 Ethical issues
- 5 Overall evaluation with regard to key strengths and weaknesses and final funding recommendation

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

Other comments intended solely for the FWF

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<sup>1</sup> Further information about the FWF's corporate policy and the relevant application guidelines can be found on the FWF's website at <http://www.fwf.ac.at/en/about-the-fwf/corporate-policy/> and <http://www.fwf.ac.at/en/research-funding/fwf-programmes/stand-alone-projects/>.

<sup>2</sup> **Formal requirements:** A project description no more than 20 pages in length (including tables or figures), a bibliography relevant to the project and a list of abbreviations (no more than five pages); academic 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).