

## Funding Guidelines (English Version for information purpose only)

### 1 Scope of application

- (1) These funding guidelines apply to all of the FWF's autonomous funding programmes:
  - a) Stand-Alone Projects programme
  - b) Programmes for international cooperation (e.g. calls within the framework of bilateral research cooperations, ERA-Net programmes of the EU, Joint Seminars, GROW programme)
  - c) Priority research programmes (Special Research programme)
  - d) Awards and prizes (START programme and Wittgenstein Prize)
  - e) FWF Doctoral Programmes (DK programme)
  - f) International mobility programmes (Erwin Schrödinger fellowships, Lise Meitner programme)
  - g) Programmes for the promotion of women in research (Elise Richter programme, Hertha Firnberg programme)
  - h) Clinical Research (KLIF) programme
  - i) Programme for Arts-Based Research
  - j) Stand-Alone Publications programme
  - k) Science Communication programme
  - l) Top Citizen Science programme
- (2) Apart from the general guidelines given in the present document, the specific guidelines pertaining to individual funding programmes must be respected. These are available on the FWF's web site ([www.fwf.ac.at](http://www.fwf.ac.at)). They relate in particular to requirements for individual programmes, necessary qualifications, age limits, publication activity and relevant preliminary work.

### 2) Eligible projects

- (1) Funding may be requested for research projects in any branch of science and the humanities. The goals, methods and in particular the hypotheses or research questions should be precisely described. Projects should be of limited duration and should be in the field of non-profit-oriented scientific research or non-profit-oriented arts-based research (as defined in the Programme for Arts-Based Research).
- (2) "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 from a different FWF programme. Applications that are essentially identical may not be submitted – either in the same programme or in different programmes – unless the specific application guidelines explicitly make an exception to this general rule.
- (3) The assessment of research proposals is based solely on internationally recognised quality criteria and on the importance of the proposed work for the potential gain in knowledge and the extension or deepening of our understanding of science or the arts. In the Programme for Arts-Based Research, the visibility of the work to a broader public (beyond the arts and academic communities) represents

an additional criterion. Otherwise, any aspects of a project that go beyond basic research (results of relevance to society, to the environment or to the economy) should be mentioned, although they do not play a part in the assessment of whether the project should be funded.

### 3) Eligible researchers

- (1) Depending on the funding programme, one or more natural persons or legal entities may be eligible to apply for funding. The project must be headed by a person or persons who work in scientific/scholarly research, art or art-related research in Austria or under the auspices of an Austrian research institution, and who possess the appropriate qualifications and can demonstrate that they have at their disposal the infrastructure necessary to carry out the project. They must meet any requirements particular to the funding programme under which they are requesting support and must have sufficient capacity available to complete the project for which support is requested.
- (2) In general, projects must be carried out in Austria or based at an Austrian research institution.
- (3) The following programmes represent exceptions to this rule:
  - a) Lise Meitner programme:
    - (i) Incoming: Applications may be submitted only by researchers who have been based in Austria for less than three of the past ten years at the time when the application is submitted and who have not been working continuously as researchers in Austria for two consecutive years preceding the submission of the application.
    - (ii) Reintegration: Applications may be submitted only by researchers whose main place of residence has been outside of Austria for at least four years at the time of application and who seek to re-establish themselves at an Austrian research institution.
  - b) Erwin Schrödinger fellowships: Projects are carried out at foreign research institutions.
  - c) Joint Seminars programme: Applications may be submitted only by researchers who have been awarded an FWF grant in the past ten years.
  - d) Science Communication programme and GROW programme: Applications may be submitted only by researchers who have been awarded an FWF grant in the past 5 years.
  - e) Top Citizen Science (TCS) programme: Applications may be submitted only by researchers who are serving as principal investigators in ongoing FWF projects at the time of the TCS funding decision.

### 4) Limit on number of ongoing FWF projects

As a rule, a single researcher is allowed to take on the role of principal investigator in no more than two FWF-funded projects at the same time unless the relevant programme-specific application guidelines define exceptions to this limit.

### 5) Eligible costs

- (1) Only “project-specific costs“ may be requested, i.e. personnel and non-personnel costs that are essential to carry out the project and that go beyond the resources made available from the research institution’s so-called “infrastructure”. The FWF does not finance infrastructure or basic equipment at research institutions.
- (2) The project-specific costs should be calculated in a reasonable manner and must not exceed any upper limits defined for particular funding programmes. Inadequate calculations of project costs may represent a reason for rejection, even where the application is considered excellent in scientific/scholarly terms.
- (3) Subject to the provisions of any possible future collective agreement for university employees, personnel costs for project employees should be based on the FWF’s salary scheme, which is updated annually. The salaries given in this scheme represent minimum levels; lower salaries are not permitted.
- (4) Funding for personnel costs may not be requested in the Joint Seminars Programme.

#### 5.1 Applications from independent researchers

- (1) In cases where a researcher does not have a contract of employment with an Austrian research institution and has no regular income that is sufficient to cover his or her costs of living (subsistence level), he or she is eligible to request a salary for leading a research 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 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 funding grants under the Lise Meitner programme and who submit funding applications for funding to continue their research in Austria following completion of their Meitner projects;
  - b) researchers who apply for funding under the Programme for Arts-based Research (PEEK) or the START programme;
  - c) researchers who will be employed (at least 50%) at an Austrian research institution for the planned duration of the project in question.
- (2) 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.
  - c) Where researchers 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.
- (3) Income resulting from lecture contracts is permitted up to the legally defined limit payable for work on an hourly basis.

## **5.2 Project-specific equipment costs**

- (1) FWF grant recipients can receive funding for the acquisition of equipment required specifically for their FWF-funded projects. In this context, the term "equipment" refers to apparatus and instruments, system components, project-specific software and other durable goods where the acquisition cost per item exceeds the amount specified in Article 13 of the Austrian Income Tax Act (currently €400.00) and where more than 50% of the total costs of the item are covered using FWF funds.
- (2) In order to acquire project-specific equipment, the principal investigator in the FWF-funded project is to instruct his/her research institution to place the corresponding order and effect payment accordingly. Each item of equipment is to be recorded in inventory and the acquisition costs are to be reimbursed in accordance with the relevant agreement between the research institution and the FWF.
- (3) The programme-specific implementations of these equipment funding rules are defined in the corresponding application guidelines.

## **6) Form of application**

Applications can be submitted on paper (accompanied by files on a data medium) or largely online at <https://elane.fwf.ac.at> according to the FWF's current programme-specific requirements. Please note that the elane application system is currently only available for certain FWF funding programmes.

## **7) Processing and review of applications**

- (1) The FWF Office performs a formal check of applications. Applications that are incomplete or do not comply with the FWF's regulations (in particular those which exceed the permitted length or do not comply with the formatting guidelines) will be returned to the applicants. Errors and problems are to be rectified by the applicants within a reasonable period of time (generally no more than 3 weeks). For programmes with announced deadlines, errors are to be corrected within no more than 10 days after receipt of notification from the FWF. If the applicant fails to do so, the FWF's Executive Board will reject the application without review. Such applications may not be resubmitted unless they are substantially revised. Similarly, applications that have previously been rejected and are resubmitted without substantial revision will be rejected without review.
- (2) All applications that meet the formal criteria will be sent out for review to referees nominated by the FWF's Executive Board. Referees based in Austria are chosen only in exceptional cases. The minimum number of reviews required before a funding decision can be reached depends on the requested level of funding and is set periodically by the FWF's Executive Board.
- (3) Once the review procedure has begun, it is not possible to make changes to applications.
- (4) In the case of programmes managed together with one or more international partner organisations (such as the ESF or funding agencies outside of Austria),

- a) the applications are processed and reviewed by the FWF or by the appropriate international partner organisations in coordination with the FWF;
  - b) the precise procedures and the minimum numbers of reviews required for funding decisions are defined in coordination with the appropriate international partner organisations;
  - c) referees may be nominated by the participating partner organisations.
- (5) Applications for Joint Seminars and within the GROW Programme are generally reviewed on the basis of comments submitted by FWF Board members.

## 8) Two-stage review procedures and interim reviews

In the case of programmes with two-stage review procedures or where interim reviews are required, evaluations generally take the form of panel hearings with international experts. It is the responsibility of the applicants to coordinate the dates of the hearings with the FWF and with any other funding organisations involved so that the hearings take place in time for the appropriate decision-making meetings.

## 9) Funding decisions

- (1) Once the review procedure has been completed, the FWF's Board uses the results of the review to decide whether and to what extent projects should be funded. Applicants are informed in writing of the decisions taken by the FWF Board or juries.
- (2) If funding is approved, a grant agreement will be issued. In all FWF grant agreements, the court of jurisdiction is located in Vienna, with the precise choice depending on which court is appropriate to the case. The agreement is not legally binding until a copy signed by the funding recipient has been received by the FWF.
- (3) In the case of programmes managed together with an international partner organisation, the funding decision may be subject to particular requirements stipulated by the partner organisation.
- (4) Proposal bans: Depending on the result of the peer review, the FWF Board may bar applicants from resubmitting rejected applications for 12 months.

## 10) Publication of data

All project-specific data are processed by the FWF using information technology and are in part published in the FWF's annual report; in addition, data are passed on in anonymous form for statistical analyses and for research policy purposes. The English and German abstracts, the amount of funding approved, and subsequently the brief German and English summaries of the final report for each project are published on the FWF's web site.

## 11) Open Access Policy

As a signatory to the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities, the FWF is committed to supporting and promoting sustained open access to scholarly publications and research data. To this end, the FWF requires and supports all project leaders and project staff to make publications arising from FWF-funded projects freely available through open access media on the Internet.

## 12) Special rules for the Stand-Alone Publications programme

In the Stand-Alone Publications Programme, grants for production, translation and foreign-language editing costs are awarded (on the basis of a review procedure) for scholarly publications by authors who predominantly carry out their research in Austria or under the auspices of an Austrian research institution. Grants can also be provided for the publication of a *venia* dissertation or a revised doctoral dissertation completed and approved under the auspices of an Austrian research institution in the three years prior to submission of the application to the FWF. Researchers who hold a professorship in another country are not eligible to apply for these grants. Publications by authors based outside of Austria are only funded in cases where the work arises from an FWF-funded research project. In this programme, the FWF awards lump-sum grants to cover the costs of production and simultaneous open-access publication in the FWF's e-book library as well as the editing, foreign-language editing or translation of the publication. The peer review procedure is handled either by the FWF or by the publisher; in both cases, however, the FWF's general principles apply to the review.

## 13) Observance of legislative provisions

Applicants are required to comply with all applicable legal regulations (e.g. Austrian laws relating to the equal

treatment of disabled persons) and safety regulations, 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) and any rights necessary for open access publication.

#### **14) Guidelines for Good Scientific Practice**

- (1) The Guidelines for Good Scientific Practice published by the Austrian Agency for Research Integrity ([OeAWI](#)) are to be observed in any case.
- (2) 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.