NEUES ENTDECKEN
TALENTE FÖRDERN
IDEEN UMSETZEN

FWF

Der Wissenschaftsfonds.

In accordance with its Funding Guidelines of 1 January 2021
(as last amended), the FWF has issued the following

Application Guidelines for the
doc.funds Programme

Table of contents

1.   General Information

1.1. Aim of the programme

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

1.2. Definitions

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

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

1.3. Deadlines

The **deadline** for submission (i.e. approval by the research institution) is **1 March 2022** (**2 p.m. Vienna local time**) online via the electronic application portal https://elane.fwf.ac.at/

1.4. Who is eligible to apply?

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

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

1.5. What types of projects can be funded?

Funding may be requested for the **additional funding of any structured doctoral programme** that has been **in existence for at least 2 years** at a doctoral research institution. The project, which must be clearly defined, convincingly described in terms of objectives and methods, and limited in time (no more than 48 months), is designed to generate new research insights. The planned project should integrate seamlessly into the existing structure so that excellent dissertations based on state-of-the-art international research can be expected.

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

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

Additional funding from the *doc.funds* programme may be requested **for ongoing FWF-funded doctoral programmes** (DK) or *doc.funds.connect* projects) **only if** the scheduled duration of the FWF-funded DK or *doc.funds.connect* project ends on or before the deadline for *doc.funds* applications (**1 March 2022**). In all other cases, no additional funding may be requested for ongoing FWF-funded DK or *doc.funds.connect* projects.

1.6. What requirements must be met to apply?

In order to be eligible to apply, a structured doctoral programme must have been in existence for at least 2 years, be based at one research location, and fulfil the requirements below.

1.6.1. Structured doctoral programme

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

skills, etc.); support teams rather than exclusively individual supervision; supervisor development; facilitation of mobility; as well as concrete funding models for doctoral students.

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

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

1.6.2. Faculty

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

The doctoral programme for which additional funding is requested must involve **at least 5 scientific or arts-based researchers** (including the coordinator), with one-third of the researchers from the underrepresented gender; in the context of the evaluation procedure, the composition of the team is defined as a decision-making criterion.[1]

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

1.6.3. Research qualifications

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

The research qualifications of **all** faculty members involved in the application must be evidenced by means of a publication record **over the last 5 years** commensurate with their

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[1] See document "*Background information on the target ratio*"

career stage, which demonstrates their international visibility or, where appropriate, by forms of arts practice over the last 5 years which have been explicitly informed by research and which have been recognised and evaluated internationally.

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

- **Quality assurance:** Most relevant in assessing the publication record are those publications that have undergone a quality assurance procedure in line with international standards (peer review or an equivalent procedure; in the natural and life sciences, peer review is expected). Journals must usually be listed in Web of Science, Scopus, or the Directory of Open Access Journals (DOAJ). In the case of journals that are not listed in these databases, or in the case of monographs, edited volumes, contributions to edited volumes, or other publication types, the respective faculty member must provide a link to the publisher's website, describing the respective quality assurance procedure. If no description should be available, it is the faculty member's responsibility to provide evidence that the publication has been subject to an appropriate quality assurance procedure.

  For faculty members where examples of his/her **arts practice and critical reflection on it** are presented, the items submitted must have been made publicly available. Their quality is to be documented in a verifiable manner and thus be comparable with the research results published in internationally renowned journals. To be accepted as part of the application, the (arts-based) research dimension as well as the underlying research questions must be described individually in a brief statement. This must be written by the respective faculty member and included in the publication or works list. Where appropriate, a list of all lectures and talks (in galleries, theatres, or similar forums) about the artistic work are also to be included.

- **International visibility:** Most of the faculty member's publications/work lists must have a wider than national reach. In the natural sciences, life sciences, and social sciences, most of the publications listed must be in English.

- **Number/scope and quality** of the faculty member's publications/work lists must be commensurate with the expected career progression and the field concerned. At least *two publications* must have *undergone a quality assurance procedure and must be internationally visible* with a substantial and independent contribution on the part of the faculty member. At least one publication with first, last, or corresponding authorship in the life sciences is required.

Should a faculty member fail to meet one or more of the above criteria, the applicant must include an explanation with the application (attachment: *Statement on publication record.pdf*). In cases of doubt, the decision-making bodies of the FWF shall decide whether the research qualifications are adequate.

The *Programme-specific data form* must include the *Persistent digital identifier* ORCID of **each** faculty member.

1.6.4. Consideration of career breaks

The FWF will take justified career breaks (e.g., parental leave, caring for a family member, or long-term illness) into consideration in assessing the applicant's eligibility to apply. Relevant information can be included in the academic CV and thus also be available to the reviewers.

1.6.5. Inclusion of disabled and chronically ill people

The FWF will also take any atypical career paths due to disability and/or chronic illness into consideration in assessing the applicant's eligibility to apply. Relevant information can be included in the academic CV and thus also be available to the reviewers.

1.6.6. Multiple participation

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

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

A researcher may serve as coordinator in no more than one *doc.funds* project. The coordinator of a *doc.funds* project cannot simultaneously act as a speaker of a *doc.funds.connect*, a Special Research (SFB) or a Doctoral Programme (DK) project. This applies to both the application and the implementation phases of a project.

As a result, a researcher cannot submit an application for a *doc.funds* project if he/she is already serving as the speaker or coordinator in an ongoing *doc.funds*, *doc.funds.connect*, SFB, or DK project, or if he/she has already applied to be the speaker or coordinator of a *doc.funds.connect*, SFB, or DK project.

1.7. What types of funding can be requested?

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

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

1.7.1. Personnel costs

Funds can be requested to cover personnel costs for **5 to 10 doctoral candidates** in accordance with the applicable [FWF personnel rates]. In the application, the research

institution must briefly provide reasons for the number of doctoral candidate positions requested.

The personnel cost rates that can be applied for within the framework of PROFI (project funding via research institutions), including a fixed percentage increase from the second planning year onwards to compensate for wage rises, can be found on the FWF website.

1.7.2. Costs for education and training

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

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

1.7.3. General project costs

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

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

Applicants can apply up to three years after the completion of the project for additional funds for publications resulting from projects supported by the FWF as part of its Peer-Reviewed Publications programme.

2. Application content and form

2.1. Sections of the application

For an application to be complete, it must contain the following sections 1-5:

1) Academic abstract

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

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

2) Project description

- Cover sheet: Project title, research institution submitting the application (address and head of institution), and name of existing doctoral programme, and responsible institute/department (including information on the programme coordinator)
- Table of contents
- Project description on **no more than 20 consecutively numbered pages**, incl. list of abbreviations, headings, figures, captions, tables, footnotes, etc.; this description should **address the following points**:

    – Description of research framework (max. 8 pages)
    – Description of faculty (max. 4 pages)
    – Description of education programme (max. 5 pages)
    – Contribution of research institution (max. 2 pages)
    – Discussion of added value generated by the programme (max. 1 page)

3) Annexes:

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

- Annex 1: List of literature cited in the application (*References*) on no more than 5 pages
- Annex 2: Information on and justification of requested funding

- Annex 3: Academic curriculum vitae (hereinafter referred to as CV) and description of previous research achievements for all faculty members involved in the project (no more than 3 pages per CV)

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

4) Attachments

The following attachments are to be uploaded individually:

Required attachments:

- Attachment 1: Description of the planned dissertation projects on no more than 1 page and in a structured form addressing hypotheses/research questions, approach/methods, time frame, and participating faculty. Please note that the number of described dissertation projects must correspond with the number of doctoral candidate positions requested.[2]

- Attachment 2: Table with an overview of all doctoral students supervised by the faculty over the last five years (2016-2021), separated by faculty member and including the following information: name of doctoral candidate, name of supervisor, title/topic of dissertation, start date, and date of doctoral degree or ongoing.

- Attachment 3: Publication or works list for the last 5 years (2016-2021), broken down into "quality assured publications" and "other publications" for all faculty members involved (see also Section 2.5.3)

Attachments to be uploaded where applicable:

- Cover letter (in the case of an ongoing FWF-funded DK or *doc.funds.connect* project or where two or more members of the faculty are closely related to an FWF-funded DK or *doc.funds.connect* project; in the event that no Annex 1 is uploaded)

- List of reviewers to be excluded

- Statement on one's own publication record

- For resubmissions: overview of all changes made in the resubmitted application and response(s) to reviews

5) Completed forms

- Required forms: *Academic abstract, Application* form, *Contact* form, *Programme-specific data* form, *Cost breakdown* form, and *Co-authors* form

- Optional forms: *Other Cooperation* form

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2   If the description of the dissertation projects is integrated into the maximum 20-page project description, Attachment 1 may be omitted. This must be briefly noted in the cover letter to the FWF.

2.2. Form requirements

2.2.1. Language of application

To allow applications to be reviewed by international experts, applications must be submitted in English **without exception**.

2.2.2. Formatting

The continuous text in the project description, annexes 1-3, and the attachments must be written in 11 pt. font with 1.5 line (15-20 pt.) spacing and at least 2 cm margins. The document must be created in such a way that it is searchable in PDF format and the formatting can be reviewed.

The structure provided in section 2.3 and all upper limits (e.g., number of pages, attachments, etc.) must be strictly followed, without exception.

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

2.2.3. Submitting the application

Applications must be submitted exclusively online via the electronic application portal **elane**.

To do this, both the user accounts of the coordinator as well as the responsible research institute must be activated in the electronic application portal (see Information). All forms required for the application are to be filled in afterwards online; the other documents such as the project description and the attachments are to be uploaded as separate files.

The researchers must complete the application in time to ensure that the responsible research institution has sufficient time to approve and submit the application by **1 March 2022 (2 p.m. Vienna local time)**.

1) Required parts of the application:

a) Files:

- *Proposal.pdf* (project description incl. annexes 1-3 and where applicable 4, with PDF bookmarks, at least for the major sections)

- *Dissertation_topics.pdf* (description of the planned dissertation projects on no more than 1 page, in structured form; with PDF bookmarks, at least for the major sections)

- *Supervision_list.pdf* (overview of all doctoral students supervised by the faculty members over the last 5 years)
- *Publication_list.pdf* (publication/works list of all the faculty members for the last 5 years, broken down into "quality assured publications" and "other publications")

b) Forms:
- *Academic abstract in English*
- *Application form*
- *Contact form*
- *Programme-specific data form*
- *Cost breakdown*
- *Co-authors (mandatory information)*
- *Other Cooperation form* (where applicable)

2) Optional file uploads:
- *Cover_Letter.pdf* (= accompanying letter)
- *Negative_list.pdf* (= list of reviewers who should be excluded)
- *Statement on publication record.pdf*
- *Overview_Revision.pdf* (=in the case of resubmission, overview of all changes made in the resubmitted application)
- *Revision.pdf* (=in the case of resubmission, an overall response to all the reviewers or, if preferred, a short response to *each* reviewer saved in a *separate* file: *Revision_A.pdf, Revision_B.pdf* etc.)

2.3. Project description

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

The description of the project comprising **on no more than 20 pages** must include the following contents:

2.3.1.   Research Framework (max. 8 pages)

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

- Description of outstanding scientific or arts-based research conducted in the existing doctoral programme (objectives, research questions, methods, originality, unique features) with reference to the state of the art in international research

- Description of the research topics/questions to be addressed by the doctoral candidates for whom additional funding is requested. A structured presentation of the planned dissertation projects has to be given in Attachment 1 (no more than one page per project).

- Discussion of the scientific/scholarly advances to be expected from the planned project, its innovative potential, as well as the significance of the resulting research findings for the international scientific community

- Presentation of existing procedures or structures to ensure the quality of research as well as the involvement of doctoral candidates in the existing research framework

- All potential ethical, safety-related, or regulatory aspects[3] of the submitted project and the planned handling of them must be described in a separate section. This aspect should be addressed briefly in the text even if the applicants believe the project does not raise any ethical issues.

- All potential sex-specific and gender-related aspects[4] in the planned project as well as the planned implementation of these research questions must be described in a separate section. This aspect should be addressed briefly in the text even if the applicants believe the project does not raise any sex-specific and gender-related issues.

2.3.2.   Faculty (max. 4 pages)

The existing doctoral programme for which additional funding is requested must be run by a team of at least 5 scientific or arts-based researchers. **All** of the researchers (i.e., faculty members) involved in the application must have experience in supervising doctoral candidates as well as one outstanding academic qualification that **as a minimum** meets the

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[3]   For instance, the European Commission's *Ethics for Researchers* or *The European Code of Conduct for Research Integrity* can serve as a guide here.

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

criteria in Section 1.6.3. The selection criteria for admitting new researchers most also be described.

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

- Brief description of the academic profile of the faculty members involved in the funding application and their experience in supervising doctoral candidates.
  A list of doctoral candidates supervised by the faculty members over the last 5 years (2016-2021) must be given in Attachment 2.

- Proportion of the researchers from the underrepresented gender. If the percentage is less than 30%, reasons must be provided.

- Selection criteria for the admission of new researchers into the existing doctoral programme, and a brief description of faculty members newly admitted for the funding application including a short rationale for their addition

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

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

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

2.3.3.1.   Content

– Subject-specific education (content and workload, e.g., number of (required) courses, ECTS credits)

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

2.3.3.2.   Selection of doctoral candidates

– International advertisement of the programme, and transparent application and selection procedures

– Process of matching doctoral candidates to supervisors

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

– Rules on supervision, monitoring, and assessment (e.g., in the form of dissertation agreements, regular progress reports, team supervision instead of exclusively individual supervision) as well as conflict resolution mechanisms

– Support for international networking and promotion of mobility, including opportunities for research visits abroad (over several months), budget allocations for conference attendance, lab visits, invitations to visiting researchers, organisation of doctoral conferences, etc.

– Working conditions (including infrastructure) for existing doctoral candidates: description of contracts of employment (duration, extent of employment, any options for extension) and funding models for doctoral candidates, available infrastructure and any special equipment or facilities at the research institute

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

– Requirements for completion (both formal and content-related)

– Assessment procedures (with involvement of external researchers; separation of supervision and assessment functions, if compliant with study-law regulations)

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

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

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

In this context, the following information must be provided:

▪ Institutional conditions for the existing doctoral programme, such as responsibilities and organisational structure, location in the research organisation, integration or incorporation in the university teaching system, etc.

▪ Facilities and equipment already available for the existing doctoral programme (rooms/space, equipment, supplies, etc.) at the research institution(s) involved

▪ The research institution's own contribution to funding additional positions for doctoral candidates, visiting professorships, additional space, workstations, additional infrastructure, training opportunities for supervisors, etc.

2.3.5. Added value (max. 1 page)

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

In this context, the applicant must discuss the following:

- The unique characteristics of the existing doctoral programme (with regard to research and training) and how it differs from general doctoral education and training

- The specific added value for doctoral candidates, the faculty, and the research institution

- The extent to which the project submitted can strengthen the programme's research basis and thus help the programme attain critical mass

2.4. Annexes to the project description

Annexes are not included in the maximum page limit for the project description and <u>must be attached to the project description</u> in the specified order.

2.4.1. Annex 1: List of references

List of literature cited in the application (*references*) on no more than 5 pages.

2.4.2. Annex 2: Information on and justification of requested funding

The description of financial aspects shall be presented using the following structure and appended as Annex 2 to the project description. The list and justification of the requested funding must be in accordance with the costs indicated in the Cost breakdown form.

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

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

The academic CVs and research achievements (publication/works list) must be attached for each faculty member and should be described on <u>no more than 3 pages per person</u>.

2.4.3.1. Required contents for academic CVs

- Name and contact details of the person, address of the research institution, and relevant websites. It is also **required** to provide a publicly available link (hyperlink) to a list of all published publications/works of art; the use of ORCID is expressly recommended for this purpose.

- List of academic milestones and relevant positions held to date (with a brief explanation of any career gaps, if applicable)

- Main areas of research and short statement of the most important scientific/scholarly or arts-based results achieved to date

2.4.3.2. Required description of previous research achievements

- **Publications/work lists**: list of **no more than ten** of the most important published or accepted academic publications (journal articles, monographs, edited volumes, contributions to edited volumes, preprints, proceedings, etc.) or work lists; for each publication, either a DOI address or another Persistent identifier must be indicated, if available. In accordance with the San Francisco Declaration on Research Assessment (DORA), journal-based metrics like the journal impact factor should not be included. For faculty members where examples of his/her arts practice and critical reflection on it are presented, these must be accessible to the public.

- **Additional research achievements**: list of **no more than ten** of the most important scientific/scholarly or arts-based research achievements apart from academic publications or works lists, such as awards, conference papers, keynote speeches, important research projects, research data, software, codes, preprints, exhibitions, knowledge transfers, science communication, licenses, or patents.

2.4.4. Annex 4: Collaboration letters

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

2.5. Required Attachments (uploaded separately)

2.5.1. Attachment 1: Planned dissertation projects

With reference to Section 2.3.1 Research Framework, a description of the planned dissertation projects must be attached to the application as Attachment 1. The description should be no longer than 1 page, be written in a structured form, and address the hypotheses/research questions, approach/methods, time frame, and the participating

faculty.[5] Please note that the number of the described dissertation projects must correspond with the number of doctoral candidate positions requested.

2.5.2.   Attachment 2: List of doctoral candidates supervised over the last 5 years

Table with an overview of all doctoral students supervised by the faculty in the last 5 years (2016-2021), <u>separated</u> by faculty member and including the following information: name of doctoral candidate, name of supervisor, title/topic of dissertation, start date, and date of doctoral degree or on-going.

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

A list of all published publications[6] or works of the last 5 years (2016-2020, broken down into "quality assured publications" and "other publications") of all faculty members for whom an academic curriculum vitae is enclosed (merged into the document *Publication_list.pdf*). This list–which will not be forwarded to the reviewers–is used to assess applicants' eligibility and helps the FWF to speed up the process of finding reviewers who do not have a conflict of interest.

2.6. Forms

All required forms must be completed online.

- Academic abstract

- Application form

- Contact form

- Programme-specific data form

- Cost breakdown

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

In order for the application to be considered legally binding, the FWF requires the fully completed forms as well as the "Affirmation of the research institution" given during the approval and submission of the application.

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[5]   If the description of the dissertation projects is integrated into the maximum 20-page project description, Attachment 1 may be omitted. This must be briefly noted in the cover letter to the FWF.

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

2.7. Additional attachments

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

- Cover letter: In the case of an ongoing FWF-funded DK or *doc.funds.connect* project or where two or more members of the faculty are closely related to a FWF-funded DK or *doc.funds.connect* project, the differences between the FWF-funded DK or *doc.funds.connect* project and the doctoral programme for which additional funding is being requested must be presented and comprehensively justified.
  If the description of the dissertation projects is already integrated into the maximum 20-page project description, Attachment 1 can be omitted. This must be pointed out in the cover letter.

- List of reviewers who should be excluded

- Statement on one's own publication record

- For the attachments needed in the case of revising a rejected application (resubmission), see Section 2.8

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

2.8. Revising a rejected application ("resubmission")

A resubmission is defined as the revision of an application which has already been rejected with the same or similar research questions, regardless of the programme category. Where an applicant submits an application on the same or very similar research questions yet does not consider it to be a resubmission but an entirely new project, the applicant must submit a separate accompanying letter to the FWF Office explaining how the research questions have changed. For example, changes in research methods alone are not sufficient for a proposal to qualify as a completely new project. In cases of doubt, the decision-making bodies of the FWF shall decide.

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

- an *accompanying letter* containing an overview of all changes made in the resubmitted application must be submitted to the FWF (*Overview_Revision.pdf)*; this overview will not be passed on to the reviewers.

- *response(s) to reviews* is (are) to be made: the applicant can decide whether the response(s) should be passed on to the relevant previous reviewer or all reviewers (see Section 3). These response(s) should address the suggestions and criticism expressed in each review of the previous application and point out the changes made on that basis. Such responses are not necessary in the case of reviews written by persons who are to be excluded from the review process for the resubmitted

application. However, such exclusions must be justified and will also be counted toward the list of reviewers who should be excluded for the resubmission.

If all the reviewers are to receive this response, a document containing an overall response must be submitted.
If these responses are to be passed on only to the reviewers who were previously involved, a short response to each review in a separate document should be included.

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

There is no deadline within which a resubmission of a rejected application must be submitted, but any relevant application requirements must be considered. Submission of a resubmission follows the application procedure described in Section 2.2.3., meaning that it is submitted as a new independent application and not as an additional application to the previously rejected application.

3. Processing and decision on the application

All applications approved and submitted by the research institutions by **1 March 2022 (2 p.m. Vienna local time)** will be subjected to a formal check by the FWF.

The review process generally takes about ten months.[7] The FWF Board decides on applications once per year on the basis of recommendations issued by the international *doc.funds* jury (End of November 2022). The jury's funding recommendations, in turn, are based on the written reviews received from international experts and on hearings to which the most promising applicants are invited. These hearings will be held on the first two days of the meeting of the international *doc.funds* jury (which is expected to take place at the beginning of November 2022). Approximately one month before that meeting, the FWF Board will prepare a shortlist of the most promising applications on the basis of at least three substantive reviews; those candidates will then be invited to a hearing. After the hearings, the international *doc.funds* jury will hold a closed session to prepare its recommendations.[8]

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

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[7] Information on the average duration of the review process can be found on the FWF-Dashboard.

[8] A detailed description of the decision-making process, the criteria for selecting international reviewers, detailed rules concerning conflicts of interest, and the composition of expert juries and boards can be found in the General principles of the decision-making procedure.

Requests for changes and returning applications without review

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

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

Reasons for rejection

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

Resubmissions

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

Proposal bans

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

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

Only topics are ever temporarily banned according to these rules, not applicants.

Exclusion of reviewers

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

This list may include up to **3 potential reviewers** whom the applicant believes may have conflicts of interests. This selection must be briefly justified. If the reasons for exclusion are professionally and technically sound, the FWF will generally fulfil such requests and will exclude those reviewers from the review process.

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

4. Compliance with legal requirements and standards of research integrity

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

Applicants must also comply with the Guidelines for Good Scientific Practice of the Austrian Agency for Research Integrity (ÖAWI) when submitting the application and carrying out the project. Where a violation of these rules is suspected, an investigation must be initiated at the respective research institution, or the suspicion must be passed on to the Austrian Agency for Research Integrity (ÖAWI). At any rate, the research institute must report any cases of suspected serious deviations to the ÖAWI. The FWF reserves the right to suspend, in part or in whole, any procedures related to applications or ongoing projects until the investigation has been concluded. For more detailed information can be found on the FWF website and in the document "*FWF procedure in cases of suspected scientific misconduct*".

5. Publication of project data and results

The FWF would like to point out that should the project be approved, the FWF will publish on its website a summary of the project in German and English for public relations purposes–which must be sent to the FWF when returning the grant agreement–as well as the amount of funding granted and, on project completion, summaries of the final report of the project. These summaries are to be written in such a way as to safeguard legitimate interests of secrecy for reasons of national security and patent law and to protect trade secrets appropriately. Guidelines for writing PR summaries can be found here.

In addition, the FWF requires a data management plan (DMP) for all approved projects. This should also be sent to the FWF when returning the grant agreement. The template for the DMP can be viewed here.

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

ANNEX: Notes and questions for reviewers in the *doc.funds* programme[9]

In all of its programmes, the FWF actively supports equal opportunities and equal treatment. The review of an application must not put applicants at a disadvantage for non-research-related reasons such as age, gender, etc. For example, when assessing the qualifications of faculty members, please disregard their actual age, but consider their academic age instead.

Our commitment to equal opportunities also means taking into account breaks or delays in faculty members' research careers (e.g., due to parental leave, long-term or chronic illness, disability, caring responsibilities; etc.), which may have led to publication gaps, unorthodox career paths, or limited international research experience.

Only the ten most important academic publications/work lists and the ten most important additional research achievements of the faculty members are to be considered when evaluating the application. As a signatory to the San Francisco Declaration on Research Assessment (DORA), the FWF also emphasises that, in assessing research performance, reviewers should refrain from using journal-based metrics such as the Journal Impact Factor.

Please review the present proposal,[10] using the following seven assessment criteria: 1) quality of the prior and planned research, 2) quality and composition of the faculty, 3) quality of the (existing) education and training programme, 4) contribution of the research institution(s), 5) added value, 6) ethics and gender, and 7) overall evaluation. For each of these criteria except 5) we ask you for both written comments and a rating on a scale from "excellent" to "poor". Please be aware, however, that the FWF's funding decision will be based primarily on the referees' written assessments rather than the ratings assigned.

Please keep in mind that sections 1 and 2 will be forwarded to the applicant in their entirety and in anonymous form.

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

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

Section 1: forwarded to the applicant in its entirety

1) Quality of prior and planned research
How would you rate the quality of the faculty's research achievements to date? Is the planned research project, including the planned dissertation projects, innovative and timely? How do you assess the international visibility and competitiveness of the planned research? Is the planned research project well thought out, focused in terms of content, and coherent?

2) Quality and composition of the faculty
How well qualified are the researchers involved to carry out the proposed research? How would you rate the academic qualifications and training/supervision experience of the faculty members? How do you assess the reputation and international networking of the faculty? Is the gender ratio in the faculty appropriate?
When assessing qualifications, please consider the respective career stage, taking into account atypcial career paths and circumstances that may have slowed down their progress (e.g., parental leave, long-term or chronic illness, disability, or caring responsibilities).

3) Quality of the (existing) education and training programme
How do you assess the quality of the education and training programme in terms of transparency of selection procedures, adequacy of supervision structures, clarity in the evaluation procedure of dissertations, contents of the scientific or arts-based training programme, offer of additional qualifications and gender-appropriate design?

4) Contribution of the research institution(s)
How do you assess the adequacy and plausibility of the contribution of the research institution(s) (infrastructure and own financial contribution)?

5) Added value
Does the planned research project represent an added value compared to a "bundling" of researchers who (also) train doctoral candidates or the general doctoral curriculum? Does the project add value for research, education, doctoral candidates, and the participating research institutions?
How do you assess the contribution of the project to strengthening the existing research basis?

6) Ehtics and gender
Ethics: Have ethical components been satisfactorily addressed?

Gender: Applicants are required to address any relevant sex-specific and/or gender-related elements inherent in research questions and/or research design. Please assess whether the treatment of these components is adequate.

7) **Overall evaluation**

What is your overall impression of the proposal? Specifically, what would you consider its key strengths and weaknesses? Please give reasons for your answers, taking as much space as you need.

Section 1b (optional remarks to the applicant)

If you are in favour of the project being funded, you may want to add to the formal assessment in Section 1 by making further and perhaps more informal comments or suggestions here. However, please note that these remarks, too, may impact on the FWF's funding decision, especially if they amount to substantive criticism of the project.

Section 2 (confidential remarks to the FWF)

Please use this space to make any comments that you do not wish to be conveyed to the applicant(s). Feel free to also give us feedback about the evaluation process and your interactions with us.