

NEUES ENTDECKEN

TALENTE FÖRDERN

IDEEN UMSETZEN

FWF

Der Wissenschaftsfonds.

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

**Application Guidelines for
Special Research Programme
(SFB)
(1.Stage – Draft proposal)**

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1. General Information

1.1. Aim of the programme

The creation of research networks to international standards is to be achieved by autonomous concentration at one university location, or under certain conditions at several university locations. The funding in the SFB programme serves to develop extraordinarily efficient, closely networked research units to deal with generally inter/multidisciplinary, long-term, complex research topics.

1.2. Definition

Nachfolgend werden in den Antragsrichtlinien verwendeten Begriffe erklärt:

Lead research institution	The Austrian research institution that submits the application and where the coordinator is located.
Collaborating research institution	Austrian research institution that is involved in the application and where the participating researchers work.
Researchers	5–15 scientists/scholars on the FWF project incl. coordinator.
Subproject leader	The researchers of the SFB are responsible for the management of SFB subprojects.
Subproject	Research unit in the SFB that is described and budgeted by the individual researcher and can only be implemented in conjunction with other subprojects of the SFB. A subproject leader must be assigned to each subproject. Each researcher (incl. coordinator) may lead max. one scientific subproject, the project management is formally not divisible. The coordinator may lead max. one scientific subproject and manages the coordination budget for the coordination of the SFB.
Young researchers	Researchers with at least 2 years of postdoctoral research experience (international experience or experience in carrying out their own research project, e.g. FWF project), who themselves lead a subproject in the SFB
Coordinator	This researcher is responsible for the scientific management of the SFB and also for the management of the SFB; he or she is appointed by the research institution as a representative within the framework of the project implementation of the funding contract; formerly spokesperson of the SFB. The coordinator of an SFB project cannot serve simultaneously as the coordinator in a doc.funds project (DOC) or a doctoral programme (DK).
Coordination budget	Project-specific travel, other and material costs necessary for the coordination of the project. These costs are only budgeted in the 2nd stage of the procedure after approval of the concept application.
Administrative	A full-time coordinator position (postdoc rate) can be applied for

coordination position	to provide administrative support to the coordinator; ideally, this person has experience in science/academic management.
Staff	Academic staff in the research group who are financed by the approved FWF funding for the SFB (PhD, postdoc positions, technical personnel).
Members	All researchers and staff in the research group.
Own position	The salary of the researcher financed from the funds of the approved FWF funding of the SFB.
Statutes	The statutes are the agreement between researchers. They are to be drawn up as part of the second stage, the full proposal, and to describe the tasks and competences of the coordinator and regulate the cooperation between the researchers as well as the decision-making processes. They must be signed by the researchers and attached to the application.

1.3. Deadlines

The deadline for submission (approval of applications by the research institution) is **30.09.2020 (2 pm local time, Vienna/Austria)** online at [ELANE](#).

1.4. Who is eligible to apply?

All Austrian research institutions are eligible to apply. There is no limit to the number of applications that can be submitted by a research institution. The scientific/scholarly question is to be deepened at Austrian research institutions. The SFB that deals with this question is anchored at one location, under certain conditions several locations¹ (but with at least 50% of the subprojects at one location).

The SFB for which funding is requested must consist of **at least 5 and a maximum of 15** researchers with one third of the under-represented gender; in the context of the evaluation procedure the composition of the team is defined as a decision-relevant criterion². These are internationally outstanding scientists/scholars (researchers and young researchers) from all disciplines, especially in the humanities, social and cultural sciences. In the case of implementation of an SFB research potential must be available and the nucleus of the scientists/scholars placing the application must be sufficiently large and well qualified to be

¹ Research location = all research institutions located in a city/municipality; all research institutions within a maximum radius of 80 km (as the crow flies) that regularly cooperate with the research institution directly located at the site are also considered to be the same research location.

² See document [Background information target ratio SFB](#)

able to establish and run a research program of international standing within the scientific/scholarly profile of the participating research institution(s);

The researchers are as a rule employed at Austrian research institutions and are either funded by the research institution or financed by the project as part of their *own position* (cf. section 2.6.2.). If they are employed part-time at the time of the start of the project, an increase to full employment through the project is possible.

In addition, the participation of an international researcher who is employed at least 25% at an Austrian research institution is possible.³

One researcher from the team assumes the task of coordinator (formerly spokesperson). The researchers (incl. coordinator) are managers of subprojects. The coordinator represents the SFB externally and also manages its own subproject in the SFB in addition to the funds for the coordination of the SFB. The position of coordinator can only be exercised in max. one SFB project. The coordinator of an SFB project cannot simultaneously perform a coordinator function in a doc.funds (DOC) and a speaker function in a doctoral programme (DK).

With 5 researchers at least 3 groups must be anchored at one research location; otherwise the rule of at least 50% of the groups at one location applies; sub projects from Germany that are financed on the basis of an LAV agreement (see researchers from Germany), are included in this distribution rule.

Multiple participation in the SFB programme: Each researcher may only participate in a maximum of two SFBs, including participation in an SFB funded by the DFG in Germany. Each researcher may lead a maximum of 1 scientific/scholarly subproject within an SFB.

Researcher from Germany can be involved in the SFB through international cooperation (LAV-agreement). The integration takes place according to the rules of the FWF and must be agreed with the FWF before the draft proposal is submitted. Such integration must also be notified in advance to the funding organisation DFG.

Restrictions on the number of projects: In addition to participation in the SFB programme it is possible to assume project management for three projects that differ from the SFB in terms of content in the categories of individual projects, international programmes, clinical research, programme for arts-based research.

³ Potential applicants are considered eligible in cases where they have a genuine part-time contract of employment (extent of employment: at least 25%) which is not funded by the FWF and which is guaranteed for the planned duration of the project. Before submitting an application, researchers 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, rules of representation, etc., for approval by the FWF

1.5. What types of projects can be funded?

Applications can be submitted for the implementation of a **joint multidisciplinary or interdisciplinary⁴ project**, that aims at gaining scientific/scholarly knowledge. The project duration is limited to a support period of 48 months. As part of the project description, the first application period is to be described in detail, the long-term perspective as an overview (long-term, short-term research goals). A Special Research Programme can be funded for a maximum of eight years.

In all cases, the SFBs should pursue scientific/scholarly goals that as a rule go beyond established disciplinary boundaries and therefore require the collaboration of several researchers of different specialisations. Owing to the multidisciplinary or interdisciplinary issues involved, these projects can only be worked on jointly from different perspectives and thus open up unusual new fields of research. The SFB extends an innovative topic in Austria, builds on existing research potential and supplements the existing research priorities at research institutions.

Aspects of a research project that go beyond the realm of science and scholarship may be mentioned, but they will not play a part in the assessment of whether the project should be funded. Double funding is not permitted (see [Funding guidelines](#)).

1.6. What requirements must be met to apply?

All researchers participating in the application must show that they possess the research qualifications needed to carry out the project by means of a publication record over the last 5 years commensurate with their career stage, which demonstrates their international visibility.

The following criteria are decisive in assessing an applicant's publication record and initiating the review process:

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

⁴ Definition: "Interdisciplinarity" refers to the integration-oriented interaction of people from at least two disciplines with regard to common goals and results, with the disciplinary perspectives being brought together to form an overall view.

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

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

1.7. What types of funding can be requested?

Project-specific costs are eligible for funding. These include personnel and non-personnel costs incl. 5% general project costs that are necessary for carrying out the project (Benchmark 1,000,000 € per year) 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.

For information on requesting funding for the personnel costs of the researcher (= researcher's own position) see section 2.6.2.; please note that exaggerated costs may represent a reason for rejecting an application, even one that is considered excellent in terms of content.

2. Application content and form

2.1. Sections of the application

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

- 1) **Academic abstract** in **English** comprising no more than 3,000 characters (incl. spaces; no formulas or special characters). The academic abstract will be used to inform potential reviewers about the project. The abstract must be subdivided into the following sections using the given English terms:
 - Wider research context / theoretical framework
 - Hypotheses / research questions / objectives
 - Approach / methods
 - Level of originality / innovation
 - Added value
 - Researchers

2) **Project description:**

- Cover sheet: Project title, Lead research institution (address and director) und name und institution adresse of the coordinator; list of the collaborating research institution/s (address and director) including details of the researchers working there (name and institute address).
- List of contents
- Project description on no more than 15 consecutively numbered pages, incl. table of contents, list of abbreviations headings, figures, captions, tables, footnotes, etc.;

The following content of the project description is expected:

- Description of the innovative multidisciplinary or interdisciplinary research programme.
- The human potential of the SFB.
- Further-reaching effects on the Austrian scientific/academic system.
- Organisation and financing of the SFB
- In addition **one abstract on each scientific/scholarly subproject** (max. 3000 characters incl. headings, footnotes, keys to illustrations etc., 1 page per subproject).

3) **Annexes:**

Please note that annexes are a part of the application and they must be attached to the project description (*proposal.pdf*) in the order listed below (see also [Section 2.4.](#)):

- Annex 1: Information on research institution(s) and justification of requested funding;
- Annex 2: List of literature cited in the application (*References*) on no more than 5 pages;
- Annex 3: Academic curriculum vitae (hereinafter referred to as CV) and description of previous research achievements for each researcher and staff (postdocs financed by the SFB) (no more than 3 pages per person);
- Annex 4: Confirmations (collaboration letters) of national and international cooperation partners (no more than 1 page per letter);

4) **Attachments to be uploaded individually:**

Mandatory:

- Attachment 1: for each researcher and postdoc financed by the SFB a publication list for the last 5 years, broken down into peer-reviewed and non-peer-reviewed see also [Section 2.5](#); merged into one PDF document
- Attachment 2: comittment of all participating resarch institutions

Where applicable:

- Cover letter
- only for junior researchers (with at least 2 years research experience): PDF scan of the doctoral certificate and proof of 2 years postdoctoral research experience
- list of reviewers to be excluded

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

5) Completed forms

- Required forms: *academic abstract*, *application form*, *programme specific data form*, *Cost breakdown form* and *Co-authors form*;
- Optional forms: *International cooperation arrangements form*.

2.2. Form requirements

2.2.1. Language of application

In order to ensure the international review process, all applications must be submitted **without exception in English**.

2.2.2. Formatting

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

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

2.2.3. Submitting the application

The application must be submitted online at [ELANE](#).

To submit the application online, applicants are required to register at the address shown above. All the necessary forms must then be filled out online; additional documents such as the project description can be uploaded.

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)

- *Publication_lists.pdf* (publication list of all the key project participants for the last 5 years, broken down into peer-reviewed and non-peer-reviewed)
- *Appendix A_B_research organisation A (Comittment of the participating research organisation A; to be designed for each research organisation)*

b) Forms:

- *Academic abstract in English*
- *Application form*
- *Programme specific data form*
- *Cost breakdown*
- *Co-authors (mandatory information)*
- *International cooperation (optional)*

2) Optional file uploads:

- *Cover_Letter.pdf* (= accompanying letter)
- *PhD certificate_name researcher.pdf* (=PhD certificate of the researcher)
- *Postdoc-research experience_researcher.pdf* (= certificate of the postdoc – experience of the researcher)
- *Negative_list.pdf* (= list of reviewers who should be excluded)
- *Overview_Revision.pdf* (=in the case of resubmission, overview of all changes made in the resubmitted application)
- *Revision.pdf* (=in the case of resubmission, an overall response to all the reviewers or, if preferred, a short response to *each* reviewer saved in a *separate* file: *Revision_A.pdf, Revision_B.pdf* etc.)

The completion of the registration by the researchers must take place on time in order to enable the responsible research institution to approve the applications by **30 September 2020 (2pm local time, Vienna/Austria)**.

2.3. Project description

The project description (corresponds to points 2.3.1. to 2.3.4. on max. 15 pages plus point 2.3.5. with one abstract per subproject) must address the following aspects:

2.3.1. Research programme

- Description of the excellent, innovative, scientific/scholarly research to be carried out under the programme according to international standards; description of the state of research, the expected scientific/scholarly progress, the significance of the research results for the international community and the distinction of the work of the SFB in the context of the relevant national and international scientific community (the most important national and international cooperation is to be mentioned);

- Definition of the long-term goals (8 years) of the research programme, which is generally interdisciplinary or multidisciplinary in scope and may also include high-risk elements; definition of the concrete goals of the first application period (4 years);

In the case of an interdisciplinary research approach including:

- Description of the common language (coherent and consistent terminology)
 - Description of the research areas to be investigated
 - Description of the relevant scientific/scholarly challenges
 - Description of the merging of the various disciplinary theories to be combined into a common theoretical approach
 - Description of the shared methodologies used
 - Presentation of how the synthesis is formed – shared “language” theoretical basis, building on the individual contributions.
- Presentation of the coherence of the subprojects with regard to a coherent interaction of scientific/scholarly competences and work; description of the synergies and added value of the cooperation between all groups;
- All potential sex-specific and gender-related aspects⁵ 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 applicant believes the project does not raise any sex-specific and gender-related issues.
- All potential ethical, safety-related, or regulatory aspects⁶ 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 applicant believes the project does not raise any ethical issues.

2.3.2. The Human potential of the SFB

In the sense of the SFB programme, well-networked, efficient researchers, building on their existing expertise, form an excellent research unit with long-term objectives. The quality and composition of the research team must be presented as follows:

- Presentation of the personnel basis of the SFB: previous research achievements of the individual scientists/scholars involved, including allocation to the research programme of the SFB (to the individual subprojects);

⁵ 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/>)

⁶ For instance, the European Commission’s [Ethics for Researchers](#) or [The European Code of Conduct for Research Integrity](#) can serve as a guide here.

- Description of the proportion of women in the consortium (the failure to achieve 30% participation of women must be justified);
- a brief description of the situation of the young researchers⁷ at the research centres
- Description of an internationalisation strategy to connect with the international scientific/scholarly community
- Presentation of the involvement of doctoral students and postdocs in the research work; description of the training concept for young researchers. In addition to internal SFB training, cooperation with a doctoral programme can and should be sought in conjunction with an SFB; possible considerations in this direction must be mentioned;
- Presentation of the institutions involved (possibly comments on special equipment) and their contribution.

2.3.3. Further effects on the Austrian research system

- Science Communication

Planned publications and conference participations as well as strategies for making the SFB visible in the international scientific community, including a suitable Open Access policy see <https://www.fwf.ac.at/de/forschungsfoerderung/open-access-policy/>; also strategies to increase the visibility of the Austrian public.

2.3.4. Organisation and financing structure

- Summary table showing the total costs applied for, broken down by categories of staff, equipment, material resources and other costs for the first application period;
- Outline presentation of the internal communication, cooperation and information structures of the SFB in order to define the decision-making process in financial and personnel matters;
- Presentation of the gender-equitable working environment and a description of measures to reconcile work and family life⁸.

⁷ Once the draft proposal has been approved, the full proposal (i.e. the second stage of the procedure) must include comments on the situation of female researchers and young researchers. Ideally, these are provided by the research institution and contain the following points: Number of female researchers, young researchers, objectives in the women's promotion plan, objectives in the area of promotion of young researchers at the research institution(s); including references and references to the corresponding documentation.

⁸ If the draft proposal is approved, detailed descriptions of the planned measures must be submitted in the second stage of the procedure during the preparation of the full proposal. Further explanations on the costs that can be applied for in the order of 20,000 euros per year will be given during Proposers' Day in the case of an invitation to submit a full proposal.

Within the framework of the second stage (full proposal of the SFB) of the procedure, it will be necessary to draw up statutes regulating the internal cooperation between the researchers which must be brought to the attention of the lead research institution and the collaborating research institution(s).

2.3.5. Abstracts of the subprojects

An abstract for each scientific/scholarly subproject with no more than 3,000 characters (incl. spaces; no formulas or special characters). 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*
- *Level of originality / innovation*
- *Contribution of the project part to the overall project, synergies with other project parts*
- *Researchers*

2.4. Annexes to the project description

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

2.4.1. Annex 1: Financial aspects

The template for the description of projected costs can be found in [Appendix I](#).

- Information on the research institution(s)
 - Available personnel (not financed by the FWF; usually, the researchers and the personnel of the research institutions)
 - Available infrastructure
- Information on the funding requested
 - Concise justifications for the personnel requested (type(s) of requested position(s), job descriptions, extent of employment, and duration of involvement in the project);
 - Concise justifications for non-personnel cost (equipment, materials, travel, and other costs). If funding for equipment is requested, applicants must explain why this does not constitute part of the basic equipment of the given research environment – see [Section 2.6.3](#).

2.4.2. Annex 2: List of references

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

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

The academic CVs and research achievements for all participating researchers as well as staff from the postdoc level and should be described on no more than three pages per person.

2.4.3.1. Required contents for academic CVs

- Name and contact details of the person, address of the research institution, and relevant websites. It is also required to provide a publicly available link to a list of all published publications; 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 results achieved to date.

2.4.3.2. Required description of previous research achievements

- Academic publications: list of no more than ten of the most important published or accepted academic publications (journal articles, monographs, edited volumes, contributions to edited volumes, proceedings, etc.), for each publication, either a [DOI address](#) or another [persistent identifier](#) should be indicated. In accordance with the [San Francisco Declaration on Research Assessment](#) (DORA), journal-based metrics like the journal impact factor should not be included.
- Additional research achievements: list of no more than ten of the most important scientific/scholarly research achievements apart from academic publications, 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

- Confirmations (each no more than 1 page) of national and international cooperation partners that are stated to be essential in the project description, but are no members of the SFB..

2.5. Mandatory Attachments

- **Attachment 1:** A list of all published publications⁹ of the last five years (divided into peer reviewed and non-peer-reviewed) of all researchers for whom a scientific

⁹ 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.

curriculum vitae is enclosed, as well as for all postdocs for whom personnel costs are requested (Publication_list.pdf). This list helps the FWF to determine if there are any potential conflicts of interest with reviewers and thus speeds up the process of identifying reviewers. This list will not be forwarded to the reviewers.

- **Attachment 2:** Commitment of all participating Austrian research institutions: Presentation of the planned support by the respective research institutions. Each participating research institution must provide the necessary personnel (Appendix A) and room equipment (Appendix B) for the SFB (see p. 25-27).

2.6. Eligible project-specific costs

Principle on costs

The regulations of the respective research institution must always be taken into account when applying for funding (such as for personnel and contracts for work and services).

The requested costs for the whole SFB shall be described in Annex 1 and summarised on a spreadsheet (a spreadsheet shall be drawn up in the cost breakdown form).

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

2.6.1. Personnel costs

The application should include all persons, in addition to the staff already available, who will be needed to carry out the project and will work exclusively to the extent agreed on for this project.

The available legal categories of employment are contracts of employment for full-time or part-time employees and marginal employment. A part-time (50%) contract of employment for “student assistants,” which equates to 20 hours per week, may be requested for researchers who have not yet completed a master’s or diploma degree programme in the relevant subject area. A full-time coordinator position (postdoc rate) may be requested to assist the coordinator.

The personnel cost rates that can be applied for within the framework of PROF1, including a fixed percentage increase for the subsequent year to compensate for wage rises, can be found on the [FWF-Homepage](#). Please note that contracts of employment of no more than 75% (which equates to 30 hours per week) may be requested for doctoral students.

2.6.2. Own Position

The FWF understands “own position” to mean that the researcher’s salary is financed from the third-party funds of the research project.

Applying for funding (including part-funding) of one's own position is possible for every researcher, regardless of whether they are in permanent or long-term employment at the time of application.

Either a postdoc rate or a senior postdoc rate can be applied for for one's own position (correspondingly aliquoted in the case of partial funding):

- Researchers who have two years of research experience as postdocs at the time of submitting an application, or researchers who have already successfully led their own FWF project, can apply for the senior postdoc rate. As proof, a copy of the doctoral certificate and a confirmation/proof by a third party of a total of at least 2 years of research experience as a postdoc must be added. This is not necessary if you already have research experience in managing your own FWF-funded project; however, this should be indicated in an accompanying letter.
- Women can apply for additional funds for personal qualification measures. Female researchers who finance themselves to the extent of at least 50% through their own position have the additional option of applying for up to EUR 2,000.00 per year in the category "Other costs" for personal coaching and further training measures that directly contribute to the career development of the researcher. Coaching is understood to mean person-centred counselling and support processes in the professional context. Continuing education measures with eligible costs include courses to acquire scientific - in particular subject-specific - competences (e.g. courses to acquire methodological competences) and personnel development measures such as those offered at some research institutions (e.g. in the areas of didactics, writing scientific texts and applications - in particular in English, personnel management and project management, conflict and problem solving, scientific organisation as well as vocation training and other seminars directly related to career development, e.g. as part of the promotion of women).

2.6.3. Equipment costs

Equipment may only be requested if it is specifically required for the project and if it is not part of the institution's existing infrastructure. "Infrastructure" is considered to include all equipment (and components for the equipment) that should be available in a modern research institution to conduct basic research in the relevant discipline at an internationally competitive level. Please note that if such equipment or components are requested nonetheless, doubts may be raised whether it is possible to conduct leading-edge basic research in such an environment and how it was possible to carry out the preliminary work related to the project. This may have an impact on the funding decision.

In this context, "equipment" includes scientific instruments, 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 licenses, industrial property rights, and licenses derived from such rights, whose acquisition cost per item exceeds the amount specified in Article 13 of the Austrian Income Tax Act 1988 as last

amended, Federal Law Gazette No. 400/1988, which is currently EUR 800.00 (incl. VAT, unless the research institution is entitled to deduct VAT). A vendor quote from a company (PDF scan) must be uploaded with the full proposal (2nd stage of the evaluation) for each piece of equipment whose acquisition cost (including VAT) exceeds EUR 5,000.00.

For items of equipment which are required specifically for the project and whose acquisition cost (including VAT) is EUR 24,000.00 or higher, the lead research institution must confirm with the application form (*Affirmation of the lead research institution*) 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 has been explored. The research institution to which the device belongs, must also ensure that they are aware of any possible costs that could arise from the use, maintenance, and repairs of the equipment.

The coordinator 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 from the respective project budget in accordance with the relevant agreement between the research institution and the FWF.

2.6.4. Material costs

"Materials" encompasses consumables and small pieces of equipment (cost per item is below EUR 800.00 incl. VAT).

The calculation of requested funds for project-specific material costs should be justified with reference to the timelines, work plans, and experiment plans. Experience from previous projects should be considered in making the calculation.

2.6.5. Travel costs

Funding may be requested for project-specific travel and accommodation, field work, expeditions, etc. The project description must include a detailed travel plan broken down by project participant. This plan must indicate which persons, for what purpose, when (in which year of the project), for how long and where they will be travelling, and how much this will cost.

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

The calculation of travel and accommodation costs should generally be based on the federal regulations governing travel costs (RGV). The current RGV rates for travel abroad can be found in the following [document](#).

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

Researchers must not request funding for the presentation of project results at congresses; the costs associated with attending such conferences should be covered by the “general project costs”.

2.6.6. Costs as part of national and international cooperation arrangements

Costs arising within the context of a research collaboration with an external research institution are to be borne by that research institution.

Within the context of cooperation arrangements, funds may only be transferred to a cooperation partner (also abroad) if they are clearly limited contracts or services and directly necessary for carrying out the Austrian project. This does not apply to [cooperation arrangements with scientists or scholars from developing countries](#).

2.6.7. Other eligible costs

- Independent contracts for work and services (costs for work of clearly defined scope and content carried out by individuals, provided that they are justified in terms of research and economical);
- Costs for the preparation, archiving, open access, and reuse of research data in repositories in accordance with the [Open Access Policy](#) of the FWF;
- 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 for the project-specific use of available equipment (project-specific “equipment time”) or large research facilities; vendor quotes should be provided with the full proposal (in the 2nd step of the evaluation). Where the costs exceed EUR 10,000.00 not including VAT (over the entire term of the project), each vendor quote must be accompanied by the corresponding calculation basis. 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.) and may not contain any infrastructure-related costs like equipment depreciation, supplementary charges for overhead, costs of research premises, etc.;
 - Costs for any laboratory animals necessary for the project;
 - Costs for project-specific work carried out outside the applicant’s research institution (e.g., for analysis work performed elsewhere, interviews, sample collection, preparation of thin slices, etc.); vendor quotes should be uploaded;
 - Costs for the disposal of project-specific hazardous waste.
 - Costs for gender equality measures – the SFB can budget a maximum of €20,000 per year for this type of measure within the framework of the current project; the costs are described in the context of the preparation of the full proposal, provided that the concept proposal has been approved and the project has been invited to

submit a full proposal.

2.6.8. 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, costs for conference travel, dissemination activities as well as smaller, unforeseen costs necessary for 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.

2.7. Formulare

All required forms must be completed in their entirety. In order for the application to be legally binding, the FWF requires a completed application form including the "Declaration of the lead research institution and the collaborating research institution(s).

- *Application form*
- *Programmspezifische data form (Data of the participating researchers.)*
- *Cost break down (SFB-total costs)*
- *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.

2.8. Additional attachments

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

- Cover letter;
- only for junior researchers (with at least 2 years research experience): PDF scan of the doctoral certificate and proof of 2 years postdoctoral research experience
- Additional commitment of all participating Austrian research institutions (see Attachment 2, p. 26–27 - please create Appendix A, B per research institution)
- List of reviewers who should be excluded;

- For the attachments needed in the case of revising a rejected application (resubmission), see [Section 2.9](#);
- Vendor quotes¹⁰ for the requested equipment for pieces of equipment whose acquisition cost (including VAT) is EUR 5,000.00 or higher (one quote from one company for each piece of requested equipment; can be submitted in German);
- Vendor quotes¹¹ for any relevant items requested under “Other costs” (e.g., use of research facilities).

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

2.9. 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, the applicant should indicate this at the beginning of the project description (e.g., in a footnote).
- An accompanying letter containing an overview of all changes made in the resubmitted application must be submitted to the FWF; this overview will not be passed on to the reviewers.
- Response(s) to reviews: 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.

¹⁰ Original quotations for equipment must only be submitted as an annex in the course of the full application, i.e. in the second stage of the procedure.

¹¹ Offers for other costs must only be submitted in the original as an annex in the course of the full application, i.e. in the second stage of the procedure.

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

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

3. Processing and decision on the application

All applications approved by the research institutions by **30 September 2020 (2pm local time, Vienna/Austria)** will be formally examined by the FWF Office.

All applications meeting the formal criteria will be sent out for review. The reviewers (generally persons working outside of Austria) are 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. Any changes in the research team must be notified to the FWF immediately during the evaluation period and the FWF's approval must be obtained.

For the evaluation of the draft proposal, 3 independent expert opinions will be obtained. In the spring of the following year, the FWF Board of the FWF will decide on the draft proposal on the basis of these reviews and, if the decision is positive, the full proposal will be invited. This full proposal must be submitted within 10 weeks.

International experts will be invited to a hearing with all participating research institutions and researchers to review the full proposal (second stage of the procedure). This international panel discusses with the researchers and research institutions and, on the basis of the presentations and discussions, prepares a recommendation for the FWF Board (in a closed session, i.e. in the absence of the FWF Board). The FWF Board will decide on the award in November of the same year, based on this recommendation. The research institutions are informed of the decisions in writing.

Requests for changes and returning applications without review

Please note that no changes can be made after the deadline. Any rectifiable deficiencies can only be rectified within a ten-day period after a list of deficiencies has been drawn up and submitted by the FWF Secretariat.

If these deficiencies are not remedied within this period, these applications will be dismissed by the FWF bodies.

Applications that have already been rejected by the FWF but are resubmitted but have not been revised will also be dismissed by the FWF decision-making bodies.

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. A detailed description of the categories can be found in the [General principles of the decision-making procedure](#).

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.

Exclusion of reviewers

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

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

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

4. Compliance with legal requirements and standards of research integrity

The FWF would like to point out that applicants must comply with all legal requirements and safety provisions (e.g., Federal Disabilities Act) that apply for their Stand-Alone 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.

If there is reason to believe that an applicant has failed to comply with these standards, the FWF will arrange for the ombudsperson of the respective research institution or the [Austrian Agency for Research Integrity](#) (ÖAWI) to carry out an investigation. The FWF reserves the right to suspend, in part or in whole, any procedures related to applications or ongoing projects until the investigation has been concluded. For more detailed information, see [FWF procedure in cases of suspected scientific misconduct](#).

5. Publication of project data and results

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

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

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

APPENDIX I:

Template: information on the research institution and description of financial aspects

Note: The information on the research institution and the description of financial aspects shall be presented using the following structure and appended as Annex 1 to the project description. The list and justification of the costs requested must be in accordance with the costs indicated in the form *cost breakdown*.

(a) Details on the lead research institution and the collaborating research institution:

- Existing personnel (not financed by the FWF, usually the researchers and research personnel at the research site(s))
- existing infrastructure (current and future status quo confirmed by Anlage 2)

(b) Information on the funding requested:

- Concise justifications for the personnel requested (type(s) of requested position(s), job descriptions, extent of employment, and duration of involvement in the project);
- Concise justifications for non-personnel cost (equipment, materials, travel, and other costs). If funding for equipment is requested, applicants must explain why this does not constitute part of the basic equipment of the given research environment – see also [Section 2.6.3](#).

List and justification of the personnel costs applied for:

List and justification of the equipment costs applied for:

List and justification of the material costs applied for:

List and justification of the travel expenses applied for:

List and justification of other costs applied for:

Attachment 2:

Comittment of all participating Austrian research institutions

(Please describe in Attachment 2 what additional infrastructure is provided by the research institution(s). Attachment 2 can be prepared in German, as it remains with the FWF and is not sent to the reviewers)

Appendix A) Forschungsstätte A–X

beschreibt die notwendigen Humanressourcen, die der SFB benötigt. Allfällige Modifikationen aufgrund der Begutachtung und Bewilligung durch den FWF sind nachzuverhandeln.

- (1) Teilnehmende Personen (seitens der Forschungsstätten zur Verfügung gestellte Personen: Ausgangssituation des SFB)
 - a. Anzahl der ProfessorInnen
 - b. Anzahl der AssistentInnen
 - c. Anzahl der nicht wissenschaftlichen Fachkräfte
 Die Personen sind namentlich anzuführen.

(2) Zusätzlich benötigte Personen:

Forschungsstätte A		Maßnahme			Umsetzung bis
	Anzahl	Transfer von Positionen	Neu bzw. Nachbesetzung	Schaffung von neuen Positionen	
ProfessorInnen					
AssistentInnen					
nicht wissenschaftliche Fachkräfte					

Optional:

- (3) Finanzierung von GastwissenschaftlerInnen
 - a) Anzahl der WissenschaftlerInnen pro Jahr
- (4) Finanzierung von DoktorandInnen
 - a) Anzahl der DoktorandInnen pro Jahr

Appendix B) – Forschungsstätte A–X

beschreibt die **notwendige Infrastruktur**, die der SFB bei der Schwerpunktbildung an der Forschungsstätte benötigt und die vorrangig zur Verfügung gestellt werden soll.

- (1) Vorhandene Laborplätze bzw. Arbeitsplätze
 - a) Ausmaß
 - b) Qualität und Einrichtung

- (2) Zusätzlich benötigter und seitens der Forschungsstätte zur Verfügung gestellter Raumbedarf des SFB F ...
 - a) Ausmaß
 - b) Qualität und Einrichtung
 - c) Umsetzung bis:

- (3) Spezifikation der Computereinrichtung – Anzahl und Art

- (4) Benötigte Großgeräte – Anzahl und Art
Ankauf bis:

- (5) Integration des durch den SFB entstehenden Lehrangebots in das vorhandene Curriculum der Universität – Anzahl und Art der neuen Lehrveranstaltungen – Beschreibung des Angebots.

APPENDIX II: Notes and questions for reviewers in the Special Research programme¹²

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

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

The FWF would like to point out that the length and the form of the project proposal must fulfil the form requirements¹³ of the FWF, and therefore we ask that you keep these restrictions in mind when writing your review.

The FWF is obligated to ensure the best possible use of public-sector funds for basic research according to scientific/scholarly research criteria. We therefore ask you to comment on the following aspects of the application in Section 1a. What are the specific strengths of the project? Does it have weaknesses, and if so, what are they?

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

1. Quality of the SFB research programme

- Quality of research on which the SFB is based (international competitiveness, scientific/scholarly innovation potential)
- Thematic coherence and expected added value of the SFB
- Reflections / conceptions on the sex- and gender relevant aspects of the research approaches, if thematically relevant
- Ethical aspects

¹² Further information on the FWF's corporate policy and mission or the application guidelines for Stand-Alone projects can be found on our website at <http://www.fwf.ac.at/de/ueber-den-fwf/leitbild/> and <https://www.fwf.ac.at/en/research-funding/fwf-programmes/special-research-programmes-sfb/>

¹³ Form requirements: Project description incl. figures and tables max. 15 pages plus 1 abstract per subproject, list of literature cited on max. 5 pages; academic CVs and presentation of the previous research achievements of all researchers incl. the 10 most important publications on max. 3 pages each.

2. Quality and composition of the research team

- Subproject managers: scientific/scholarly potential (quality and international reputation), available research capacity;
- Gender ratio;
- Proportion of young researchers as project managers
- Involvement of young researchers as staff

3. Further-reaching effects

- Dissemination strategies including a suitable open-access policy and academic communication: quality of the measures with regard to the profile of the SFB in every respect, also beyond the scientific/academic field (contribution to public awareness of research).

4. Organisation and financing

- Quality of the organisational concept, above all with regard to the organisation of internal coherence, cooperation within the SFB and consistency with the planned project duration (short- and long-term work planning);
- Quality of network structures (communication and information paths) and the formal framework.

5. Overall evaluation with consideration of the key strengths and weaknesses and final funding recommendation

Section 1b (optional remarks to the researchers)

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

Section 2 (confidential remarks to the FWF)

Other comments intended solely for the FWF.