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In implementation of its Funding Guidelines of 21 February 2006 (in the currently valid version), the FWF hereby issues the following

## Application guidelines<sup>1</sup> for the CAREER DEVELOPMENT PROGRAMME FOR WOMEN – “ELISE RICHTER”

### I. PRINCIPLES OF THE PROGRAMME

The Elise Richter programme has been conceived as a specific funding measure for women in science and research. The programme represents a further step towards directed support for women in Austria.

#### 1. Aims

Excellently qualified university graduates of all disciplines should receive support for the development of their academic careers, generally by becoming attached to a particular institution. Having completed the programme, the scientists should have attained a level of qualification that enables them to apply for professorial positions within Austria or abroad (the “*Habilitation*” or equivalent). As a result, women should be encouraged to embark on university careers and the proportion of female lecturers and professors should be increased.

#### 2. Application requirements

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

The limit on the number of ongoing projects has brought about similar limits on the number of applications that can be submitted. Example: If a researcher does not have any ongoing/approved projects or applications under review in the programmes listed above, s/he can submit an application within the Richter Programme. In cases where a single researcher has submitted two or more applications for funding within those programmes listed above, no further applications (neither in the Richter Programme) can be submitted.

Additional information on these limits can be found at

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

Applicants for an Elise Richter position

- must present a research project / plan for their “*Habilitation*” (professorial qualification) in the field of non-profit-oriented scientific research<sup>2</sup> covering the period of funding. The goals and methodology of the project should be precisely described. The project must be conceived such that at the end of the period for which support is requested the candidate will have attained the level of qualification required to apply for professorial positions.

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

<sup>2</sup> Clinical studies are funded only if they are hypothesis-driven and meet the scientific criteria that are applicable to all other projects supported by the FWF. For clinical studies in the field of human medicine, the Programme Clinical Research (KLIF) is offered; see also <http://www.fwf.ac.at/en/research-funding/fwf-programmes/programme-clinical-research-klif/>.

- must show that they have **completed their doctoral studies** (PhD). Courses of study abroad which are equivalent to the level of a doctorate at an Austrian university will be accepted irrespective of their designation. Graduates of degree programmes in medicine in Austria are only eligible to apply if their degree programme was based on the curriculum **N, O, Q 201 or N, O, Q 094 or N, O 790, Q 794 or N 090** (please specify the relevant curriculum in the *academic curriculum vitae*). Scientists who have already completed their “*Habilitation*” (professorial examinations) are not eligible to apply.
- must have at least **two years** of relevant **post-doctoral experience** (from the date of the PhD certificate) within Austria or abroad at the time when the application is submitted.
- must have performed scientific research in an area relevant to the field of the application and be able to prove this by scientific publications in internationally recognised journals (the number of which should correspond to the stage the applicant has reached in her career). The following criteria are decisive in the assessment of the applicant's research qualifications and determine whether a review procedure is initiated:
  - Number of publications: The applicant's number of publications should correspond to his/her career to date; however, each applicant must have at least two publications in the five years prior to submission of the application.
  - Independence: The applicant's independent contribution to the publication should be visible. For example, at least one publication listing the applicant as the first author is required in the Life Sciences category.
  - Peer review: All the publications listed (or more than half in the case of the humanities) must have been subjected to a quality assurance procedure in line with high international standards, normally meaning that the journals should be listed in the Web of Science, Scopus or the Directory of Open Access Journals (DOAJ). In the case of journals not listed in those databases, or monographs, edited volumes or contributions therein, or other publication types, the peer-review procedure must be documented on the publisher's website to which the applicant should provide a link. In the case of monographs, edited volumes or contributions therein, or other publication types where the policy is not documented on the publisher's website, or journals not listed in the Web of Science, Scopus or the Directory of Open Access Journals (DOAJ) the onus is on the applicant to provide evidence of the outlet's quality assurance policies.
  - International publications: In the natural sciences, life sciences and social sciences, the majority of the applicant's publications listed must be in English. In the case of the humanities and cognate fields a majority of publications must have wider than national reach.

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

- **Preliminary work** for the planned project must have been undertaken and must be in relation to the length of funding requested or the intended qualification.
- must submit a **career plan** in which the planned research project/“*Habilitation*” work represents a key part. Coaching and/or mentoring measures should also be foreseen.
- need to submit a **letter of recommendation** from somebody who has already completed their “*Habilitation*” in the same subject and who works at the research institution at which the planned research project/“*Habilitation*” work is to be performed.
- must have had their main residence in Austria for at least three of the past ten years at the time the application is submitted, and/or must have been working continuously as a researcher in Austria for at least the two consecutive years preceding the submission of the application.

This restriction does not apply to

- a) researchers who have received grants under the Lise Meitner Mobility Programme and who submit applications for funding to continue their research in Austria following completion of their Meitner projects;
  - b) researchers who can provide evidence at the time of application that they will be employed (at least 50 % employment; not funded by the FWF) at an Austrian research institution for the planned duration of the project in question. In such cases, the application must be accompanied by a confirmation from the researcher's employer.
- must present an **affirmation of their research institution signed by** the head of the research institution (or the person to whom this responsibility has been delegated by the head of the research institution). Under exceptional circumstances it may be possible to submit an application without being tied to a particular institution. In such cases this point is not applicable.<sup>3</sup> However, the project must be carried out in Austria or be based at an Austrian research institution.
  - There is **no age limit** but the publication record should correlate with the *curriculum vitae*. Time spent raising children and on non-typical career paths will be taken into account.

<sup>3</sup> In exceptional cases, support may take the form of payment to an independent scientist. Such cases require detailed justification.

- Principal investigators must mention the ORCID persistent digital identifiers (<http://orcid.org/>) in the application forms.
- Principal investigators who have been awarded an Elise Richter grant in the past are no longer eligible for grants in this programme.

### 3. Salary

- Applications within the Elise Richter programme may be placed for a period from **12 to 48 months**. If an Elise Richter application is submitted immediately following a Hertha Firnberg Position, the maximum length of time for which support may be requested is 36 months.
- The level of support includes **personnel costs** for the project leader (senior post-doc); **project-specific costs**<sup>4</sup> may be requested up to a level of **EUR 15,000/year**. Of this amount, up to EUR 2,000/year may be foreseen for coaching or personal development<sup>5</sup>.
- The type of employment is a **contract of employment for senior post-docs**, i.e. personnel costs are granted at a level of **EUR 72,630** (gross, including all employer's and employee's contributions) per year if the applicant is to work at a research institution that is subject to the 2002 Universities Act (UG 2002) or that has concluded a corresponding agreement with the FWF. In all other cases, a grant to an independent researcher ("*Forschungssubvention*") – this is at a level of **EUR 64,020** (gross) – should be requested. Additional income (e.g. resulting from lecture contracts) to full-time employment is allowed either up to 5 hours per week or up to the legally defined limit for marginal part-time employment ("*Geringfügige Beschäftigung*"), provided that these additional occupations serve to further the principal investigator's career.
- Project leaders who are employed with a 100 % employment contract after the birth of a child can receive a **child allowance** of EUR 9,600 per child per year (gross, including all employer's and employee's contributions; to be paid 12 times per year) until the third birthday of the child.
- **Part-time work** is possible and may be requested in the initial application. The level of employment must be at least 50 %. Applications may also be submitted by persons with part-time contracts. The level of personnel costs granted will be reduced in proportion to the level of employment. The FWF must be informed immediately (even before a positive funding decision) of any changes in the extent of employment.
- Following approval, a **contract of employment** will be concluded **with the Austrian research institution** if it is subject to the 2002 Universities Act (UG 2002) or has concluded a corresponding agreement with the FWF. If support takes the form of a grant to an independent scientist, the project leader is self-employed.

### 4. Use of grants

If all criteria for the granting of an Elise Richter position are met, a contract will be drawn up between the applicant and the FWF. This will describe in detail the amount and duration of the funds awarded and the way in which they will be paid. It will also describe how the funds are to be used and what reports are required.

### 5. Third-party funds

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

Applicants for Elise Richter positions must not submit parallel applications to the same programme or to any other FWF programme for the promotion of junior researchers (Erwin Schrödinger, Lise Meitner, Hertha Firnberg, Elise Richter PEEK). However, Richter applicants may apply for FWF funding in other programme categories (i.e. stand-alone projects, participation in SFB, DK) by submitting a separate proposal.

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

<sup>4</sup> i.e. costs for personnel and consumables that are necessary for the project and that go beyond what the research institution can make available (infrastructure).

<sup>5</sup> i.e. measures for coaching and personal development, such as those offered by the University of Vienna within its programmes to support the training of scientists. Links: **CEWS – Centre of Excellence for Women in Science and Research**: <http://www.gegis.org/en/cews/cews-home/>; **Human Resources and Gender Equality service unit, University of Vienna**: <http://personalwesen.univie.ac.at/en/services-for-employees/human-resources-development/>.

## II. INSTRUCTIONS FOR APPLICANTS

### 1 How should applications be submitted?

If the available level of funds is sufficient there will be 2 calls for application per year, in spring and in autumn, with in each case a 6 to 8-week deadline for applications. At the time of a call the Board meeting will be specified at which the funding decisions will be taken (generally in November for the spring call and in June for the autumn call).

All parts of the free-form application, the abstracts and the enclosures must be submitted in 11pt type, line spacing 1.5.

A complete application must include the following parts:

- 1 **Academic abstract in English** comprising no more than 450 words, or 3,000 characters incl. spaces (no formulas or special characters). The academic abstract will be used to inform potential reviewers about the project. Applicants are therefore asked to address the following points as concisely as possible: 1) research questions/hypotheses, 2) scientific/scholarly innovation/originality of the project, 3) methods to be used, and 4) main researchers to be responsible for the project;
- 2 **Two one-page abstracts** for the FWF's **public relations (PR) work**: one in German, one in English. These abstracts are also subject to the limit of 450 words (DIN A4 format) or 3,000 characters incl. spaces and should contain the following information: 1) project title, 2) content of research project, 3) hypotheses, 4) methods, and 5) an explanation indicating what is new and/or special about the project. The language of the PR abstracts should be comprehensible to non-specialist audiences and contain as few technical/specialist terms as possible;
- 3 **Completed forms** (necessary: Application form, "Programme specific data" and "Cost breakdown"; optional: "National research partner", "International cooperation arrangement");
- 4 **Form "Co-authors" with the names (and contact details) of all persons** who have made substantial scientific/scholarly contributions to the application, either in its conception or composition. A brief description of the nature of each contribution should be included. In cases where no co-authors are involved, it is necessary to indicate this explicitly in the attachment;
- 5 **A free-form application** (DIN A4, with consecutively numbered pages) composed of:
  - **Project description: no more than 20 pages** including all tables and figures with no more than **9,000 words** (including headings, footnotes, captions, etc.), but not including the table of contents;
  - Bibliography<sup>6</sup> relevant to the project, including a list of abbreviations (**no more than 5 pages**);
  - Academic curriculum vitae (CV; **no more than three pages per person**) and a list of publications for each person involved in the project (persons involved in the project include the applicant, research personnel<sup>7</sup> [where already known] to be employed in the project and funded by the FWF, and any national research partners);
- 6 **Enclosures** (see pp. 7 ff.).

<sup>6</sup> Literature lists must include the following information: All authors, complete titles, journal, year and page numbers. For publications with more than 20 authors, an "et al." reference can be used.

<sup>7</sup> Where known project employees completed their medical studies in Austria, the corresponding CV must indicate the curriculum (*Studienplan*: N, O, Q, etc.) in which the degree was earned; see also the current version of "Personnel Costs and Salaries – Graduates of Medical Studies in Austria" at <http://www.fwf.ac.at/de/forschungsfoerderung/personalkostensaetze/>.

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

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

#### **1. Required forms:**

- Application form
- Programme specific data
- Cost breakdown
- Academic abstract in English
- Co-authors

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

- National research partner
- International cooperation arrangement

#### **3. Required file uploads**

- **Proposal.pdf** (consisting of the free-form application including a project-related bibliography, academic CVs and publication lists of all researchers to be involved in the project)
- **PR\_Abstract\_deu.docx** and **PR\_Abstract\_eng.docx** (project abstracts for PR purposes in English and German, each in a separate Word file)
- **Annex\_Career.pdf** (= career plan of the applicant)
- **Annex\_Recommendation.pdf** (= letter of recommendation)

#### **4. Optional file uploads (= Userdefined attachment)**

- **Annex\_Collaboration\_Letters.pdf** (max. 3 collaboration letters, in one file)
- **Annex\_Offer.pdf** (offer for equipment with acquisition cost per item from EUR 1,500 including VAT or higher, in one file)
- **Annex\_Overview\_Revision.pdf** (overview of all changes made in the resubmitted application)
- **Annex\_Revision.pdf** (responses to reviews or review excerpts **in a separate file for each review or excerpt**; Annex\_Revision\_A.pdf, Annex\_Revision\_B.pdf etc.)
- **Annex\_Follow.pdf** (report on previous project's results if the proposal is for the continuation of a prior FWF project)
- **Annex\_Reviewers.pdf** (list of reviewers who should not be contacted)

Once the application has been completed, a PDF cover sheet can be generated. This cover sheet must be signed, stamped, and sent to the FWF by conventional mail. The application is not officially considered to be "submitted" until the FWF receives the cover sheet. Alternatively, the signed/stamped cover sheet can be scanned in, signed using the applicant's qualified electronic signature<sup>8</sup> and sent to the FWF by e-mail ([office@fwf.ac.at](mailto:office@fwf.ac.at)). Please note that a signed/stamped version of the cover sheet without a qualified electronic signature will **not suffice**.

**Please note: Applications that are incomplete or do not comply with the FWF's regulations** (in particular those which exceed the permitted length or do not comply with the formatting guidelines) will be returned to the applicants for revision. Errors and problems are to be dealt with **within no more than 10 days after receipt of a notification** from the FWF. If the applicant fails to do so, the FWF's Executive Board will reject the applications without subjecting them to review (see also pp. 10 ff.).

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

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

<sup>8</sup> <https://www.digitales.oesterreich.gv.at/web/digitales-osterreich/die-burgerkarte>

## 2 Forms

The formal part of the application consists of the application form, "Programme specific data", "Cost breakdown", "Co-authors" and supplementary forms.

### 2.1 Application form, Programme specific data, if applicable National research partner

All required forms must be completed in their entirety. For the application to be legally binding, the FWF requires original signatures and, if requested, an original stamp (seal) on the following parts of the cover sheet: "Affirmation of applicant" and "Affirmation of the research institution of the applicant" and, if applicable, "Affirmation of the national research partner(s)" and the "Affirmation of the research institution of the national research partner(s)".

### 2.2 Form Co-authors

All persons who have made substantial scientific contributions to the application, either at its conception or during its writing, should be named. A brief description of the nature of each contribution should be included; where there are no co-authors, applicants should state this explicitly on the form.

## 3 Project description

The project application will be reviewed by international reviewers. It is in the applicant's own interest to describe the research proposal in full detail.

The project description<sup>9</sup> **must** address the following points:

### 3.1 Scientific aspects

- aims (hypotheses or research questions):
  - relationship to international research in the field (international status of the research);
  - explanation of how the project could break new ground scientifically (innovative aspects);
  - importance of the expected results for the discipline (based on the project described);
- methods;
- work plan, time plan as well as strategies for dissemination of results;
- cooperation arrangements (national and international).
- Where ethical issues<sup>10</sup> have to be considered in the proposed research project: All potential ethical, security-related or regulatory aspects of the proposed research project and the planned handling of those issues must be discussed in a separate paragraph. In particular, the benefits and burdens arising from the experiments as well as their effects on the test subjects/objects should be explained in detail. Applicants must also provide a brief explanation in cases where no ethical issues have to be taken into account.

### 3.2 Additional information

- Details on the preliminary work performed in relation to the planned research project/"Habilitation" work.

### 3.3 Financial aspects

- Information on the research institution:
  - available personnel (not financed by the FWF);
  - available infrastructure;
- Information on the support requested:
  - concise justification for the personnel requested (type of position(s), description of nature of work, length and extent of involvement in the project);
  - concise justification for non-personnel costs (equipment, material, travel and other costs). If equipment is requested, applicants must specify why this does not represent part of the available infrastructure (see also pt. 6.2. – equipment costs).

## 4 Academic curricula vitae (CVs) and publication lists

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

<sup>9</sup> Hyperlinks in the project description or in enclosures to contents, for which a login/password is required, will be disregarded.

<sup>10</sup> For orientation purposes, applicants may wish to review the document "[Ethics for researchers](#)" published by the European Commission or "[The European Code of Conduct for Research Integrity](#)". In cases of uncertainty, researchers can also contact their more experienced colleagues or the person/department responsible for ethical issues at their respective research institution.

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

- Personal details, address and web site
- Main areas of research
- Description of academic career<sup>11</sup> and positions held to date (with brief description of reasons for any career breaks)
- (where applicable) Highest academic prizes/recognition received (no more than 5 in each of the following categories: 5 most important invitations to present at scientific conferences; 5 most important academic prizes/awards received; 5 most important peer review activities, editorships and/or memberships in academic organisations)
- (where applicable) Most important research projects funded in the past (**no more than 5**)<sup>12</sup>
- (where applicable) Names and institutions of key international cooperation partners in the last years.

#### 4.2 Publication lists<sup>13</sup>

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

### 5 Enclosures

The project description and the application forms should be accompanied by the following uploads<sup>14</sup>, where applicable:

- The **career plan (max. 2 pages)** should include information relating to the further scientific qualifications the applicant hopes to attain as a result of the proposed project as well as to the career goals following the end of the period of support. If support for a "*Habilitation*" project is requested, information on the faculty and the university that the candidate hopes will grant the *Venia Docendi* (teaching qualification).
- **Letter of recommendation** from somebody with a "*Habilitation*", signed and on the institution's headed notepaper or with the institution's stamp:
  - relating to the applicant as a person;
  - relating to the topic and to the importance of the proposed project;
  - concerning the project's implications for the applicant in relation to the programme's goals.
- If the project requested represents the continuation of a project funded by the FWF, a report of the previous project's results and a list of publications resulting from it should be submitted in the language of the application (10 pages maximum).
- The form "International cooperation arrangement" assists the FWF in interpreting the application. This form should be completed as necessary and included with the enclosures.
- Both national and international cooperation arrangements essential to the project can be evidenced by means of collaboration letters (no more than 3 letters, each no longer than 1 DIN A4 page).
- Bids/offers for requested equipment for each piece of equipment whose acquisition cost (including VAT) is EUR 1,500 or higher (an offer from a supplier for each item requested, German language acceptable).
- Bids/offers for any relevant items requested under 'Other costs' (e.g. use of research facilities).

#### 5.1 Revision of rejected applications (resubmission)

A *resubmission* is defined as an application which has already been submitted to the FWF in the past with the same research question(s), regardless of the programme category in which the application was rejected. Where an applicant submits a funding application on the same topic but does not consider it to be

<sup>11</sup> Applicants who completed their **medical studies in Austria**, must specify the curriculum (*Studienplan*: N, O, Q etc.) in which the degree was earned; see also pt. I.2. Application requirements.

<sup>12</sup> Please indicate only those (peer-reviewed) research projects in which the applicant is/was the main person responsible for the project in terms of both planning and execution. For each project, please provide the following information: Project title, funding agency, project duration (from/to) and amount of funding granted.

<sup>13</sup> Publication lists must include the following information: All authors, complete titles, journal, year and page numbers. For each publication, either the DOI address (Digital Object Identifier – see <http://www.doi.org/>) or another persistent identifier (see [http://en.wikipedia.org/wiki/Persistent\\_identifier](http://en.wikipedia.org/wiki/Persistent_identifier)) should be indicated; for publications with more than 20 authors, an "et al." reference can be used. In addition, the publications should be freely accessible in line with the [FWF's Open Access Policy](#). This requirement applies to all publications from ongoing or completed FWF projects.

<sup>14</sup> in each case in the language used for the project description, generally **English**

a resubmission, s/he must also indicate specifically how the research question has changed in the accompanying letter. For example, changes in research methods alone are not sufficient to qualify a proposal as a completely new application. In cases of doubt, the FWF's Executive Board will make the final decision.

- In cases where a project is revised and resubmitted after previous rejection by the FWF, the applicant must indicate that it is a resubmission (e.g., in a footnote) at the beginning of the free-form project description.
- In any case, applicants resubmitting projects are required to provide the FWF with an accompanying letter containing an overview of all changes made in the resubmitted application; this overview will not be passed on to the reviewers.
- In addition, the applicant must upload brief comments on each review (with each set of comments in a **separate document**). These comments should address the suggestions and criticism expressed in each review of the previous application and point out the changes made on that basis. Such comments are not necessary in the case of reviews written by persons who are to be excluded from the review process for the resubmitted application. However, such exclusions must be justified appropriately and will also be counted toward the list of undesired reviewers for the resubmission.
- **Recommendation:** As a rule, new reviewers are also called in to review resubmitted projects. Therefore, it may be helpful to include brief notes on modifications made as a direct result of reviewer suggestions in an appropriate form in the project description (i.e., in parentheses or footnotes).

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

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

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

The costs specific to the project (detailed below; excluding item 6.6 General costs) should be calculated appropriately and **may not exceed the limit for the Elise Richter programme (EUR 15,000/year)**. Cost calculations that are insufficiently justified represent a reason for rejecting an application without review.

### **6.1 Personnel costs**

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

The available legal categories of employment are contracts of employment for full- or part-time employees ("*Dienstvertrag*"); and reimbursement for work on an hourly basis ("*Geringfügige Beschäftigung*"). In addition, a part-time contract of employment (DV 50 %, "*studentische Mitarbeit*") may be requested for people who have not yet completed a master's or diploma program ("*Diplom*") in the relevant subject.

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

The reasoning for the personnel requested should contain the following: a description of nature of work; extent of involvement (part-time contracts are permitted).

### **6.2 Equipment costs**

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

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

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

For items of equipment which are required specifically for the project and whose cost (including VAT) is



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

**Note:** The principal investigator is to instruct his/her research institution to order the equipment and effect payment accordingly. In all equipment purchases, the research institution's procurement guidelines are to be observed. Each item of equipment is to be recorded in the institution's inventory and the acquisition costs are to be reimbursed in accordance with the relevant agreement between the research institution and the FWF.

*FWF employees responsible for questions relating to equipment:*

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

### **6.3 Material costs**

This category encompasses consumables and smaller pieces of equipment, where the cost per item is below EUR 400 including VAT.

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

### **6.4 Travel costs**

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

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

The calculation of travel and accommodation costs should be based on the federal regulations governing travel costs (RGV). The current RGV rates applicable to travel are provided in the following document:

<http://www.fwf.ac.at/fileadmin/files/Dokumente/Downloads/bgbl.pdf>.

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

Funding for the presentation of project results at international conferences should not be requested; the costs associated with attendance at such meetings should be covered by the “General costs” item (see 6.6).

### **6.5 Other costs**

Contracts for work and services (costs for work of clearly defined scope and content, commissioned to individuals, provided that it is scientifically justifiable and economical).

Costs that cannot be included under personnel, equipment, materials or travel costs, for example:

- Coverage of costs for the use of research facilities, e.g. costs incurred due to the project-specific use of available equipment (project-specific “equipment time”) or large research facilities; in any case, offers from potential suppliers must be uploaded. Where the costs exceed EUR 10,000 (not including VAT) over the entire term of the project, each offer must be accompanied by the corresponding calculation basis for costs from the research institution involved in the project. This calculation must include information on the nature and scope of the services for which project-specific costs are incurred (according to internal charging procedures, e.g. based on usage days or hours, or based on the number and type of measurements/analyses performed, etc.) as well as a confirmation indicating that the offer does not include any infrastructure-related costs such as equipment depreciation, supplementary charges for overhead, costs of research premises, etc.;
- costs for laboratory animals required by and used in the project;
- costs for the use of software required by the project. Tenders should be supplied;
- costs for project-specific work carried out outside the applicant's research institution (e.g. for analysis work performed elsewhere, for interviews, for sample collection, for preparation of thin slices etc.). Offers should be supplied;
- costs for the disposal of hazardous waste;
- costs for honoraria to test persons;
- costs for coaching or personal development.

### **6.6 General costs (see form Cost breakdown)**

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

included in the form "Cost breakdown" in the appropriate field and are to be calculated as 5 % of the total of the other funding requested. They are not part of the maximum requestable costs of EUR 15,000 per year. No justification for general costs needs to be included in the written project description.

## 7 Ineligible costs

### 7.1 Infrastructure

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

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

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

### 7.3 Dissemination activities

Funding for publication costs cannot be requested in FWF applications for research projects. However, the FWF does provide additional funding for [peer-reviewed publications](#) upon request up to three years after the end of an approved project.

## 8 Cooperation arrangements

### 8.1 National and international cooperation arrangements

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

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

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

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

All cooperation arrangements planned within the proposed project (national and/or international) should be detailed in the free-form application. In the case of individual cooperation arrangements, it is necessary to specify the persons with whom project members will cooperate as well as the object of the planned cooperation arrangement(s), i.e. their specific contribution to the project. Each of the planned **international** cooperation arrangements on an individual basis (even within the framework of international programmes such as COST, EUREKA, or EU framework programmes) should be included with all relevant information in the form "International cooperation arrangement"<sup>15</sup>.

### 8.2 National research partners

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

## 9 Processing<sup>16</sup> of applications

A **formal check** of all applications submitted within the deadline is undertaken by the FWF office. Valid proof is either the postal stamp of the mailing or, in case of a full electronic submission, the sending date of the e-mail with the applicant's qualified electronic signature. Please note that no alterations may be made to the application after the submission deadline. Only errors and problems communicated by the FWF can be corrected within no more than 10 days after receipt of an official notification of the FWF. If the applicant fails to do so, the FWF's Executive Board will reject the applications without subjecting them to review. Similarly, applications that have previously been rejected by the FWF and are resubmitted without substantial revisions will generally be rejected by the FWF's

<sup>15</sup> Only those international cooperation arrangements which are discussed in the free-form project description are to be indicated on the form "International cooperation arrangement".

<sup>16</sup> More details about the decision procedure, the criteria for the selection of international peer reviewers as well as the rules regarding bias, conflicts of interest, and the composition of expert juries and boards are discussed in the document "General Principles of the Decision-Making Procedure" (<http://www.fwf.ac.at/en/research-funding/decision-making-procedure/decision-making-procedure/>).

Executive Board without review. All applications that pass this formal check will be sent to reviewers (based outside of Austria). The FWF Executive Board decides whether a review procedure is to be initiated and appoints reviewers on the basis of the recommendations submitted by the FWF's Reporters and/or Alternates. Once the review procedure has begun, it is not possible to make changes to applications.

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

On completion of the review procedure the FWF Board will decide, in the meeting specified in the call text, on whether and to what extent to fund an application based on the reviews. Applicants will be informed in writing of the decisions taken by the FWF committees.

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

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

Applications that have been submitted three times and rejected under grounds for rejection C3 or C4 (= original application and corresponding resubmissions, see point 5.1), are also blocked for 12 months (from the decision date); this does not affect applications rejected under C1 or C2.

## 9.1 Reviewers<sup>17</sup>

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

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

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

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

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

## 10 Designated use of funds

Acceptance of funding within the framework of the Elise Richter programme obliges the recipient to dedicate her work efforts fully to the project. Any changes in her personal or financial circumstances that may have an influence on the funding must be communicated to the FWF.

With her signature the applicant confirms the correctness of all information she has provided. The sanctions provided for by the Research Funding Act ("*Forschungsförderungsgesetz*") oblige all organs of the FWF and all specialists and reviewers to treat all information provided with discretion.

Any liability for the misuse of funds rests solely with the grant recipient.

## 11 Additional information

**11.1** The FWF would like to draw attention to the fact that applicants are required to comply with all valid legal provisions (e.g. the Austrian law relating to the equal treatment of disabled persons) and safety provisions, and to

<sup>17</sup> The criteria for the selection of international peer reviewers as well as the rules regarding bias, conflicts of interest, and the composition of expert juries and boards are discussed in the document "General Principles of the Decision-Making Procedure" (see [http://www.fwf.ac.at/files/Entscheidung\\_Evaluation/fwf-decision-making-procedure.pdf](http://www.fwf.ac.at/files/Entscheidung_Evaluation/fwf-decision-making-procedure.pdf)).

obtain any permits required for their research (e.g. from the Ethics Commission, the Commission for Animal Experimentation, the Department for the Protection of Ancient Monuments or the corresponding authorities abroad).

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

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

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

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

## **Appendix I: Guidelines and Questions for FWF Reviewers of the “Elise Richter Programme”**<sup>18</sup>

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

It is the FWF's duty to ensure the best possible use of public-sector funds in the field of basic research. On the basis of the project application requirements defined by the FWF, reviewers should be able to provide brief comments on the following aspects of each application.

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

- 1 Scientific/scholarly quality of the proposal with special attention to strengths and weaknesses
- 2 Approach/methods and feasibility of the proposal with special attention to strengths and weaknesses
- 3 Research-related qualifications of the applicant (based on her academic age) with special attention to strengths and weaknesses
- 4 Is the project planned in such a way that the applicant will be qualified to apply for a professorial position in Austria or abroad upon completion of the project (objective of the funding programme)?
- 5 Ethical issues
- 6 Overall evaluation with regard to key strengths and weaknesses and final funding recommendation

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

Other comments intended solely for the FWF

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<sup>18</sup> Further information about the FWF's 'Corporate Policy' and a copy of the Guidelines for the Richter Programme may be found on the FWF's website (<http://www.fwf.ac.at/en/> or <http://www.fwf.ac.at/en/research-funding/fwf-programmes/richter-programm/>).