

In accordance with its Funding Guidelines dated January 1, 2022
(as amended), the FWF has issued the following
Application Guidelines for the program

doc.funds

Vienna, valid from December 11, 2023

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1 General Information

This document has been prepared in German and English for your convenience. In the event of a dispute, the German version shall prevail.

1.1 Program objective

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

1.2 Definition of terms

Explanations of the terms used in the Application Guidelines can be found in the [Definition of Terms](#) (PROFI mode). In addition, some terms specific to doc.funds are explained below:

Term	Definition
Research institution	Austrian research institution entitled to award doctorates
Faculty member	Scientific or arts-based researcher participating in the application, doctoral student supervisor, and person involved in carrying out the FWF-funded doc.funds project; equivalent to “consortium member” in the Definition of Terms linked above.
Faculty	The group of all faculty members; equivalent to “consortium” in the Definition of Terms linked above.
Doctoral candidate	Individual who is enrolled in a doctoral program at an Austrian research institution entitled to award doctoral degrees and who is actively pursuing doctoral studies
Research location	All research institutions located in a city, town, or municipality, as well as any research institutions located within an 80-km radius that cooperate on a regular basis with the local research institution

1.3 Submission deadline

The deadline for submission (i.e. approval of the application for submission by the research institution) is **March 5, 2024 (2:00 pm local time Vienna)**. All proposals must be submitted online using the [elane](#) digital application portal. Project funding is administered through the

research institutions ([PROFI](#)); this means the application must be approved for submission by both the coordinator and the respective research institution (= lead research institution).¹ All forms required for the application must be completed online; other application documents (see [section 2.1](#)) must be uploaded in full before the application can be approved for submission by the lead research institution. Applications submitted after the deadline will be returned without review, regardless of the circumstances. For additional information, please see the [elane user manual](#).

1.4 Who is eligible to apply?

All **Austrian research institutions entitled to confer doctoral degrees** are eligible to apply.²

The project must be carried out in Austria and under the auspices of the applying research institution (= lead research institution). The application is submitted by the research institution where the coordinator works. Grant agreements are concluded exclusively with the lead research institution.

The lead research institution appoints the coordinator to carry out the project. 100% of the coordinator's work must be in Austria at the time of application and for the entire duration of the planned project.

The doctoral program for which additional funding is requested must involve **at least five scientific or arts-based researchers** (including the coordinator), with **one-third of the researchers from the underrepresented gender**. An explanation must be provided if this percentage is lower than one-third. In addition, a description should be provided of the efforts made to increase the proportion of the underrepresented gender. In the context of the evaluation procedure, the composition of the team is defined as a decision-making criterion. All faculty members must be based **at a research location**.

If the project will include faculty members who do not work 100% in Austria, the following guidelines apply: The faculty member in question must be employed at the Austrian research institution at the time of application and for the entire duration of the project. The extent of employment at the Austrian research institution not funded by the FWF must be at least 25%. Before submitting an application, researchers are required to submit evidence of such employment 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 Approval for submission by the research institution may be waived by the research institution if it has authorized the coordinator to approve it themselves.

² Research institutions must be [registered](#) in the FWF's research institution portal.

1.4.1 Can multiple applications be submitted simultaneously?

Researchers who are not yet involved in an ongoing doc.funds project as a faculty member can participate in **a maximum of two doc.funds applications** per call.

Please note that **for faculty members**, participation in ongoing/approved doc.funds projects is **limited to a maximum of two ongoing doc.funds projects**. Faculty members involved in two ongoing doc.funds projects may participate in a doc.funds application *no earlier than 12 months before the end* of one of the two ongoing projects.

The following applies to both the proposal phase and the implementation phase of the project:

- A researcher may serve as **coordinator** in **no more than one doc.funds project**.
- **The coordinator** of a doc.funds project **may not simultaneously be the coordinator, Director of Research (DOR), or spokesperson** of an ongoing project or pending proposal for **any of the following programs**: Clusters of Excellence (COE), Emerging Fields, Special Research Areas, #ConnectingMinds, Research Groups, Young Independent Research Groups, Doctoral Programs (DK),³ doc.funds.connect
- **The reverse also applies**: The person named as coordinator, Director of Research, or spokesperson in an ongoing project or pending proposal for any of the above-mentioned programs is not eligible to apply as a coordinator in the doc.funds program.
- Other members of a COE (key researchers, associate researchers, and BOD members who are not the DOR) may be named as coordinator of a doc.funds or doc.funds.connect application or serve as coordinator in an ongoing Doctoral Program, doc.funds, or doc.funds.connect project.

No additional funding may be requested from the doc.funds program for **ongoing FWF-funded Doctoral Programs (DK), doc.funds, or doc.funds.connect projects**. Research institutions entitled to award doctoral degrees can only apply for funding for these projects from the doc.funds program if the FWF-funded Doctoral Program, doc.funds, or doc.funds.connect project is scheduled to end on or before the doc.funds application deadline (**March 5, 2024**).

Proposals that are **thematically related to ongoing Doctoral Programs, doc.funds or doc.funds.connect projects** must also meet **all** of the following requirements in addition to those defined in the program-specific application guidelines:

- **Research program**: The research questions and research work in the proposal are clearly different from those of the ongoing Doctoral Program, doc.funds, or doc.funds.connect project.

³ This does not apply to FWF Doctoral Programs if the scheduled duration has already ended.

- **Doctoral program:** The doctoral program described in the proposal must not be the currently ongoing doc.funds or doc.funds.connect project.
- **Faculty:** The majority (at least 50%) of the faculty is not made up of faculty members involved in the current Doctoral Program, doc.funds, or doc.funds.connect project. If the total number of faculty is higher than in the current Doctoral Program, doc.funds, or doc.funds.connect project, grounds for this increase must be provided.

The difference to the ongoing project must be explicitly and clearly explained in the application. In addition, the cover letter to the FWF must state that all of the above requirements have been met. If only one of the above-mentioned requirements is not met or if there are reasonable doubts about the difference between the proposal and the existing project, the application can be returned without review.

1.5 What types of projects can be funded?

Funding may be requested for the **additional funding of structured doctoral programs**. The project must be clearly defined, convincingly described in terms of objectives and methods, **limited in duration (no more than 48 months)**, and intended to generate new research insights. The planned project should be seamlessly integrated into the existing structure so as to facilitate excellent dissertations based on state-of-the-art international research.

In order to be eligible to apply, a **structured doctoral program** based at *one* research location and which fulfills the requirements below must have been **in place for at least two years**.

1.5.1 Structured doctoral program

Structured doctoral programs are embedded in a focused and consistent research framework. They also feature procedures or structures and commitments that ensure the quality of the research, as well as optimal and appropriate academic or arts-based research support for doctoral candidates.

The following specific minimum structuring standards apply: Supervision confirmation; dissertation agreement; progress reports; supervision and evaluation of dissertations performed by different people (if compliant with study law regulations); subject-specific education and supporting measures (transferable skills, etc.); supervision teams rather than exclusively individual supervision; supervisor development; mobility options, and specific funding models for doctoral candidates.

In particular, contexts must be created for doctoral candidates and supervisors in which mentoring and appropriate discourse can take place as part of a peer culture. These contexts should have their own institutional structure and be clearly located in the research

organization (at the university, faculty, or departmental level). Doctoral students should be regarded by the university as early-stage researchers or early-stage artists.

The aim is to ensure that doctoral candidates can conduct independent and high-quality scientific or arts-based research, to integrate them into the institutional research activities, and to guide them to completion of their degree through active mentoring/supervision.

1.6 What are the requirements for faculty members?

1.6.1 General requirements

All of the faculty members involved in the project must have documented **experience** over the past **five** years in **supervising/co-supervising doctoral students**, possess **excellent research qualifications** and/or meet international standards for arts-based research and demonstrate a connection to the development and exploration of the arts.

The **publication records of each faculty member over the last five years** must be internationally visible and commensurate with the expected career path in their field. The following criteria apply for the assessment of an applicant's publication record and initiation of the review process:

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

For proposals dealing with arts-based research, faculty members who are active in the field of arts-based research must have excellent qualifications according to international standards and must have a connection to the development of the arts. This qualification is to be documented based on artistic, scholarly, and/or arts-based achievements of the last five years commensurate with the faculty member's career path and which demonstrate their international visibility.

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

- **Number/scope and quality** of the faculty member's publications/work lists must be commensurate with the discipline and expected career progression. At least two publications must be quality-assured and internationally visible publications with a substantial and independent contribution on the part of the respective faculty member. At least one publication with first, last, or corresponding authorship is required, with the exception of publications in journals (or disciplines) that rank authors alphabetically. If any such publications are included in the required document *PI_publication.pdf* (see [2.2.5.1](#)), the respective faculty member's contribution must be specified.

The *Program-specific data* form must include the persistent digital identifier [ORCID](#) (Open Researcher and Contributor ID) of **each** faculty member.

The **experience in supervision/co-supervision** of all faculty members involved in the proposal must be presented in the additional file *Supervision_list.pdf*, an overview of all doctoral students (co-)supervised by faculty members in the last five years (Feb. 2019–Feb. 2024).

If there is any uncertainty about general application requirements or about accounting for career interruptions (see [sections 1.6.3](#) and [1.6.4](#)), the FWF recommends that the coordinator or faculty member contact the FWF Office or the FWF Equal Opportunities in Research Funding office in good time before submitting the application to confirm that all requirements are met and that any career interruptions can be accounted for. In cases of doubt, the appropriate decision-making bodies of the FWF shall decide on applicants' eligibility.

1.6.2 Equal opportunities, diversity, and inclusion

The [FWF Strategy for Gender Equality and Diversity of Researchers](#) applies. This means that breaks or delays in faculty members' research careers that have led to publication gaps, unorthodox career paths, or limited international research experience can be taken into consideration. For further details on accounting for career breaks, please refer to the [information sheet on career interruptions](#).

1.6.3 Consideration of career breaks

The FWF will take justified, documentable career breaks (e.g. due to pregnancy, childcare,⁴ caregiving obligations,⁵ military or civilian service, flight, and asylum) into consideration when assessing eligibility to apply.

⁴ Childcare includes parental leave periods, if applicable.

⁵ Immediate family members and/or persons living in the same household: Spouses, registered partners, parents, children, adopted, step, and foster children, siblings, parents-in-law, and children-in-law.

1.6.4 Inclusion of the disabled and chronically ill

The FWF will also take any exceptions to and interruptions of typical career paths due to disability and/or long-term illness into consideration when determining whether an applicant meets the application requirements.

1.6.5 Data protection notice

When assessing eligibility, all personal data provided to the FWF by a faculty member on a voluntary basis that relates to the information provided in [sections 1.6.3](#) and [1.6.4](#) shall be taken into consideration exclusively to their benefit (to compensate for disadvantages). Relevant information (without sensitive or personal data) can be included in an individual's academic CV, making it available to the reviewers. A general explanation, including the duration of the interruption or delay, is sufficient. Please complete the required [form](#) and give your explicit consent to data processing on the last page.

If you wish to submit further supporting documents in addition to those listed in the form, please submit them directly to the FWF office. These will not be visible to your research institution. This information is only used to check the application requirements and is not made available to reviewers.

1.7 What types of funding can be requested?

Project-specific costs are eligible for funding. These include personnel and non-personnel costs that are necessary for carrying out the project and that go beyond the resources provided by the infrastructure of the research institution(s). The FWF does not finance the infrastructure or basic equipment of research institutions.

When requesting funding, the regulations of the respective research institution and the FWF guidelines apply. The requested funds must be summarized in the elane *Cost breakdown* form, and justification must be provided in [Appendix A](#). Please note that exaggerated cost projections may be grounds for rejection, even if a proposal is otherwise excellent.

Multiple funding is not permitted (see [FWF Funding Guidelines](#)). Any other support or grants for the project that have been requested or awarded by the FWF or other funding bodies must be disclosed on the *Application form*.

2 Application

2.1 Sections of the application

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

2.1.1 Academic abstract

The academic abstract must be **written in English**, may not exceed 3,000 characters (including spaces, no formulas or special characters) and will be used to inform potential reviewers about the project. The abstract must use the English headings provided below.

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

Where alternatives are indicated between slashes, please select the alternative that applies to your project.

2.1.2 Project description

- Title page: Project title, research institution submitting the application (address and head of institution), and name and institution address of the existing doctoral program (including information on the program coordinator)
- Table of contents
- Project description on **max. 20** (not including the title page and table of contents) consecutively numbered pages, including a list of abbreviations, headings, figures, captions, tables, footnotes, etc.

The **following contents** are expected:

- Description of research framework (max. 8 pages)
- Description of faculty (max. 4 pages)
- Description of education program (max. 4 pages)
- Organizational structure (max. 2 pages)
- Discussion of added value generated by the program (max. 2 pages)

The project description must also include Annexes 1–3 and Annex 4 if applicable, on additional pages:

- Annex 1: List of literature cited in the application (*References*) on no more than 5 pages
- Annex 2: Details of the lead research institution and any partner research institutions and a plausible justification of the funding requested
- Annex 3: Academic CVs and description of previous research achievements for all faculty members involved in the application (no more than 3 pages per CV)

- Annex 4 (optional): Collaboration letters from national and international cooperation partners (max. 1 page per letter)

The project description, including these annexes, must be uploaded as a single file titled *Proposal.pdf*. The FWF will send this document to the reviewers.

2.1.3 Additional documents

- Required:
 - Two publications written by each faculty member must be named, documenting fulfillment of the general application requirements (publication record, see [section 1.6.1](#)); compiled in *one* PDF file entitled *PI_Publication.pdf*
 - Publication lists for internal FWF use to assess eligibility to apply and to check for conflicts of interest with potential reviewers (*Publication_lists.pdf*)
 - Description of the planned dissertation projects on no more than one page and in a structured form addressing hypotheses/aims, approach/methods, time frame, and participating faculty. Please note that the number of dissertation projects described must correspond with the number of doctoral candidate positions requested (*Dissertation_topics.pdf*).⁶
Please note: If the description of the dissertation projects is included in the 20-page project description, this file may be omitted. This should be briefly noted in the cover letter to the FWF (see below).
 - Table with an overview of all doctoral candidates (co-)supervised by the faculty members over the last five years (Feb. 2019–Feb. 2024), listed separately for each faculty member and including the following information: name of doctoral candidate, name of (co-)supervisor, topic of dissertation, start date, and date of doctoral degree or “ongoing” (*Supervision_list.pdf*).
- Where applicable:
 - Additional files in the case of resubmission: If the application is a revised version of a previously rejected application (see [section 2.4](#)), a response to the reviews (*Revision.pdf*) and an overview of all changes made in the resubmitted application (*Overview_Revision.pdf*) must be uploaded.
 - A cover letter (*Cover_letter.pdf*) should accompany the application to the FWF:
 - In the case of an ongoing, thematically related FWF-funded Doctoral Program, doc.funds, or doc.funds.connect project, or if two or more members of the faculty are

⁶ If additional doctoral student positions are funded by the research institution(s), the proposed dissertation projects may also be attached.

involved in an FWF-funded Doctoral Program, doc.funds, or doc.funds.connect project, the difference between the FWF-funded projects and the proposed doctoral program must be presented and clearly explained, and it must be demonstrated that the criteria described in [section 1.4.1](#) are met.

- If the proposed dissertation projects have been described in the max. 20-page project description and no additional *Dissertation_topics.pdf* file is being uploaded
- List of max. 3 researchers (*Negative_list.pdf*) – including, if applicable, reviewers of a previously rejected proposal – who are to be excluded from the review process (see [section 3.2](#)), with a brief justification

All additional documents must be uploaded individually.

Any additional documents (e.g., recommendations for potential reviewers, letters of recommendation, forthcoming publications) will not be considered in further stages of the application process.

2.1.4 Forms to be completed

- Required: *Research institution assignment form*, *Contact form*, *Application form*, *Cost breakdown form*, *Program-specific data form*, *Academic abstract form*, and *Co-authors form*
- Where applicable: *Other cooperation form*

2.2 Application content and form

2.2.1 Application language

To allow applications to be reviewed by international experts, **all** applications must be submitted in English.

2.2.2 Scope and formatting requirements

The continuous text in the project description, Annexes 1–3, and the additional files specified in [section 2.1.3](#) where applicable, must be written, without exception, in 11 pt. font with 1.5 line (15–20 pt.) spacing and at least 2 cm margins. A standard, easily legible font must be used for the body text. These form requirements (font type and size, line spacing, and margins) also apply for all additional files, except for documents not prepared by the applicants, such as collaboration letters. The file must be created in such a way that it is searchable in PDF format and the formatting can be reviewed.

The structure provided in [section 2.2.3](#) and all upper limits (e.g., number of pages, attachments, etc.) must be strictly complied with, without exception.

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

2.2.3 Project description

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

The project description (**no more than 20 pages**) must address the following aspects:

2.2.3.1 Research framework (max. 8 pages)

The existing doctoral program for which additional funds are being requested must be embedded in a focused, consistent research framework on par with the highest international standards. The following aspects must be addressed:

- Description of outstanding scientific or arts-based research conducted in the existing doctoral program (objectives, research questions, methods, originality, unique features), with a reference to the state of the art in international research
- Description of the research topics/questions to be addressed by the doctoral candidates for whom additional funding is being requested. A structured presentation of the planned dissertation projects must be provided in an additional file entitled *Dissertation_topics.pdf*.
- Discussion of the academic advances to be expected from the planned project, its innovative potential, and the significance of the resulting research findings for the international scientific community
- Presentation of existing procedures or structures to ensure the quality of research as well as the involvement of doctoral candidates in the existing research framework

- All potential ethical, safety-related, or regulatory aspects⁷ of the planned research project and how the applicants plan to handle them must be described briefly in a separate section. This aspect should be addressed briefly in the text even if the faculty members believe the project does not raise any such issues.
- All potential sex-specific and gender-related aspects⁸ in the planned research project and how the applicants plan to handle them must be described in a separate section. This point should be briefly addressed in the text even if, in the opinion of the faculty members, these aspects do not apply to the project.

2.2.3.2 Faculty (max. 4 pages)

The existing doctoral program for which additional funding is requested must be run by a team of at least five scientific or arts-based researchers. **All** researchers (i.e., faculty members) involved in the proposal must have experience in (co-)supervising doctoral candidates as well as one outstanding academic qualification that **meets or exceeds** the criteria in [section 1.6.1](#). A description of the selection criteria for admitting new researchers is also required.

The quality and composition of the faculty should be presented as follows:

- Brief description of the academic profiles of the faculty members involved in the proposal and their experience in supervising doctoral candidates; an overview of all doctoral candidates supervised by the faculty members over the last 5 years (Feb. 2019-Feb. 2024) must be provided in the required file *Supervision_list.pdf*.
- Proportion of the researchers from the underrepresented gender; if this percentage is less than 30%, reasons must be provided.
- Selection criteria for the admission of new researchers into the existing doctoral program, and a brief description of new faculty members hired to participate in the current proposal and the grounds for their addition

2.2.3.3 Existing education and training program (max. 4 pages)

In addition to outstanding research, the existing doctoral program is expected to feature a high-quality education and training program based on international standards (see e.g. [The Seven Principles of Innovative Doctoral Training](#), [Charter & Code for Researchers](#) | [EURAXESS](#), [Salzburg I and II Recommendations](#)), which fulfills the requirements of a

⁷ For instance, the European Commission's [Ethics for Researchers](#) or [The European Code of Conduct for Research Integrity](#) can serve as a guide here.

⁸ Positioning and thoughts on the research approaches in the planned for the project in terms of sex-specific and gender-related aspects could include: 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 determining the relevance of sex-specific and gender-related issues please see the [FWF website](#).)

structured doctoral program as specified in [section 1.5.1](#). Ideally, the education and training program should be tailored to the research conducted in the doctoral program (i.e., education through research).

The structure of the existing education and training program as well as procedures for ensuring the quality of scientific/scholarly supervision of the doctoral candidates must be described in the proposal. In particular, it must address subsections [2.2.3.3.1](#) through [2.2.3.3.4](#):

2.2.3.3.1 Program content

- Subject-specific education (content and workload, e.g., number of (required) courses, ECTS credits, etc.)
- Existing opportunities for the acquisition of additional qualifications (transferable skills), for interdisciplinary collaboration, and for the exchange of ideas within the doctoral program (among doctoral candidates, and between candidates and the participating scientific or arts-based researchers, e.g., journal clubs, retreats, doctoral seminars, lab rotations) and with the business world, public administration, the arts, culture, NGOs, etc.

2.2.3.3.2 Selection of doctoral candidates

- Positions advertised internationally, transparent application and selection procedures
- Process of matching doctoral candidates to supervisors

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

- Rules on supervision, mentoring, and assessment (dissertation agreements, regular progress reports, team supervision instead of exclusively individual supervision, etc.) as well as conflict resolution mechanisms
- Support for international networking and promotion of mobility, including opportunities for research stays abroad (over several months), budget allocations for conference attendance, lab visits, invitations to visiting researchers, organization of PhD conferences, etc.
- Working conditions (including infrastructure) of current doctoral students: Description of employment contracts (duration, extent of employment, any options for extension) and funding models for doctoral candidates, available infrastructure, and any special equipment or facilities at the research institution

2.2.3.3.4 Criteria and assessment procedures to ensure a top-notch international doctoral degree

- Requirements for completion (both formal and content-related)
- Assessment procedures (with involvement of external researchers; supervision and evaluation performed by different people, if compliant with study-law regulations)

2.2.3.4 Organizational structure (max. 2 pages)

Participating research institution(s) must commit to providing all the necessary infrastructure (equipment, workstations, workspace, supplies, etc.), at least for the duration of the four-year funding period, and ensure that the doctoral program is integrated into the research institution's regular activities.

The following information must be provided:

- For the existing doctoral program:
 - Institutional conditions, such as responsibilities and organizational structure, position within the research organization, integration or incorporation in academic teaching, etc.
 - Available facilities and equipment (rooms/space, equipment, supplies, etc.) at the participating research institution(s)
- For the proposed research:
 - The research institutions' contribution, for example, providing rooms and workstations, supplies, infrastructure, funding for visiting professors if applicable, additional infrastructure, training opportunities for supervisors, etc.

2.2.3.5 Added value (max. 2 pages)

The doctoral program for which additional funding is being requested must differ from general doctoral education and training programs in the relevant discipline and be more than just a consolidation of scientific or arts-based researchers for the purpose of training doctoral candidates.

This section must address the following:

- The unique characteristics of the existing doctoral program (with regard to research and training), value added to the existing program by the current proposal, and how it differs from general doctoral education and training
- The specific added value for doctoral candidates, the faculty, and the research institution
- How the proposed project will contribute to strengthening the research institution's research basis and help the program attain critical mass

2.2.4 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.

2.2.4.1 Annex 1: List of references

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

2.2.4.2 Annex 2: Information on and justification of requested funding

A description of financial aspects using the template in [Appendix A](#) is to be appended to the project description as Annex 2.

- Information on the lead research institution and any partner research institutions if applicable:
 - Existing project participants (not financed by FWF project funds) (usually the academic project staff supporting the project at the research institutions)
 - Existing infrastructure available to the project
- Information on the funding requested:
 - Concise justification for the number of doctoral positions requested (where appropriate, with reference to the planned dissertation projects/works)
 - Concise justifications for and planned use of requested funding for education and training

2.2.4.3 Annex 3: CVs and description of previous research achievements

The academic CVs and research achievements must be attached for all faculty members and may not exceed 3 pages per faculty member.

Required contents for academic CVs

- *Personal data*: Personal data (name, researcher-unique identifier(s) such as ORCID, research ID, etc., no photos), address of research institution, and relevant websites; please also provide a publicly accessible link to a list of all the researcher's publications.
- *Education*: List of academic milestones
- *Position(s)*: List of academically relevant positions (with the extent of employment in the case of part-time employment)
- *Career breaks* (if any): List of career breaks or delays (see also [sections 1.6.2](#) and [1.6.3](#))

- *Net research experience* (optional): The length of time (in years and months) that has actually been used in net total for research – calculated in such a way as to be equivalent to full-time employment – and broken down into the time before and after completion of the applicant's doctoral degree. This is intended to make it easier for the reviewers to assess the researcher's qualifications in terms of academic age.
- *Research interests*: Description of the main areas of research and the most important research results achieved to date
- *Academic publications*: List of no more than ten of the most important published or accepted academic or arts-based research publications (journal articles, monographs, edited volumes, contributions to edited volumes, proceedings, etc.) or works; for each publication, either a [DOI address](#) or another [persistent identifier](#) should be indicated, if available. Pursuant to the [Agreement on Reforming Research Assessment](#), journal-based metrics such as journal impact factors, Article Influence Scores, or the h-index should not be included.
- *Additional research achievements*: List of no more than ten of the most important research or arts-based research achievements apart from research or arts-based research publications, including achievements such as freely accessible research data including software and codes, awards, contributions to conferences, keynote lectures, significant research projects, peer review activities, promotion of junior researchers, exhibitions, interactions with society (including citizen science or transdisciplinary activities), science communication, knowledge transfer, licenses, or patents. If available, a persistent identifier or link to the respective research achievement must be provided.

2.2.4.4 Annex 4: Collaboration letters

Optional: Collaboration letters (each no more than 1 page) from national and international cooperation partners who are convincingly stated in the project description as being essential for the implementation of the project

2.2.5 Required additional documents

2.2.5.1 Publication output

The following two separate uploads are required:

- *PI_publication.pdf*: Two publications written by each faculty member must be named, documenting fulfillment of the general application requirements (see template [PI_publication](#)), compiled into *one* PDF file. The FWF will determine eligibility to apply based on these publications.

- *Publication_lists.pdf*: A list of all research publications⁹ over the last five years (categorized into “quality-assured publications” and “other publications”) by all faculty members for whom a CV has been submitted, in *one* PDF file; this publication list helps the FWF to determine if there are any potential conflicts of interest with reviewers. It will not be forwarded to the reviewers.

2.2.5.2 Planned dissertation projects (*Dissertation_topics.pdf*)¹⁰

This file should include a description of the planned dissertation projects in the context of the overall research framework ([section 2.3.1](#)). The descriptions may not exceed one page per project, must be written in structured form, and should address the hypotheses/aims, approaches/methods, time frame, and the participating faculty members. Please keep in mind that the number of the dissertation projects described must correspond with the number of doctoral candidate positions requested.¹¹ Please note that the project description must also include a description of the theoretical framework and of how the dissertation projects will be integrated into the research program.

2.2.5.3 List of doctoral candidates supervised over the last five years (*Supervision_list.pdf*)

The application must include a table with an overview of all doctoral candidates (co-)supervised by the faculty members over the last five years (Feb. 2019–Feb. 2024), listed separately for each faculty member and including the following information: name of doctoral candidate, name of (co-)supervisor, topic of dissertation, start date, and date of doctoral degree or “ongoing.”

2.2.6 File uploads, if applicable

In addition to the project description with annexes and the required additional documents, only the files listed in [section 2.1.3](#) can be uploaded separately, if required.

2.3 What project-specific costs can be funded?

When requesting funding, the regulations of the respective research institution and the FWF guidelines apply. The requested funds must be summarized in the elane *Cost breakdown* form.

⁹ Publication lists must include: all authors, complete titles, journal, year, and page numbers. For each publication, if available, either a [DOI address](#) or another [persistent identifier](#) should be indicated; for publications with more than 20 authors, an “et al.” citation can be used.

¹⁰ If the proposed dissertation projects have been described in the max. 20-page project description, the additional file *Dissertation_topics.pdf* is not required. This must be briefly noted in the cover letter to the FWF.

¹¹ If additional doctoral student positions are funded by the research institution(s), the proposed dissertation projects may also be attached.

If the research institution for which funds are requested is entitled to deduct value-added tax (VAT), the funds should be applied for without value-added tax (net). VAT is an eligible expense only if the funding recipient is not entitled to deduct it and it is demonstrably and finally borne by the funding recipient. Recoverable VAT is also ineligible for funding if it is not reclaimed or recovered by the funding recipient.

Funding may only be requested for the cost categories specified below.

2.3.1 Personnel costs

Funds can be requested to cover personnel costs for five to ten doctoral candidates in accordance with the applicable [FWF standard personnel rates](#). Employment contracts for doctoral students may not exceed 75% employment (up to 30 hours per week). In the application, the research institution must briefly provide reasons for the requested number of doctoral candidate positions and the extent of their employment.

When requesting funding for [PROFI](#) (project funding via research institutions)-eligible standard personnel costs, a fixed percentual increase must be included for the subsequent year to compensate for wage raises ([see PROFIs standard personnel costs and salaries 2023](#)).

2.3.2 Costs for education and training

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

These amounts are intended to cover the costs of academic events specific to the doctoral program (e.g., retreats, thesis committees); costs for study stays abroad; generic skills courses (e.g., project management, English academic writing, etc.); costs for advertising funded doctoral candidate positions; interview invitations, and the costs of conference travel. In addition, the funds may be used to invite visiting researchers or seminar speakers. All applications must include a brief explanation of how grant funds would be used to cover education costs.

Please note: Publication costs cannot be requested as part of the application process. Information on funding options for publications resulting from FWF-funded projects can be found on the FWF website at [Open-Access Block Grant](#).

2.3.3 General project costs

The approved grant sum includes 8% general project costs that are permitted for funding but cannot be requested individually using the abovementioned cost categories. They are subject to the [FWF's Funding Guidelines](#) and the costs must be eligible for funding. These

include, for example, costs for conference travel, dissemination activities, and minor unforeseen costs necessary for the project. Overhead costs for the research institution are not included in general project costs.

General project costs are to be entered in the appropriate field in the *Cost breakdown* form and calculated as 8% of the total funding requested. No justification for general costs is needed in [Appendix A](#).

2.4 Resubmitting a previously rejected application

A resubmission is defined as the revision of an application which the FWF has rejected with the same or similar research or arts-based research questions, regardless of the program category. If an application is submitted on the same or a very similar research or arts-based research question and if, in the view of the faculty members, this application is not a resubmission but a completely new project, this must be explained in a separate accompanying letter to the FWF Office. 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 appropriate decision-making bodies of the FWF shall decide.

Resubmissions must show changes from the rejected application. If an application has been rejected for the standardized reason C3, C4, or C5, these changes need to be substantial (based on the comments in the reviews). If no such changes are made, the FWF's decision-making bodies will return the application to the applicant without review.

When resubmitting an application, the following documents must be uploaded:

- An additional file containing an overview of all changes made in the resubmitted application (*Overview_Revision.pdf*) must be submitted to the FWF. This overview will not be passed on to the reviewers.
- A response to all reviews of the rejected application must be provided (*Revision.pdf*), even if one of the reviewers is to be excluded from reviewing the resubmitted application (see [section 3.2](#)). This response, consolidated in *one* document, will be forwarded to all reviewers reviewing the resubmission and should address the recommendations and criticisms included in the previous reviews as well as describe the resulting changes made.

While no deadlines for the resubmission of a rejected application apply, the respective application requirements apply. Resubmissions must be submitted as described in [section 2](#), i.e., as a separate, new application and not as a supplementary application to the previously rejected proposal.

2.5 File formats, file names, and online forms

Below please find an overview of all files and forms to be submitted.

2.5.1 All applications must include the following parts:

a) Files:

- *Proposal.pdf* (project description incl. annexes 1–3 and where applicable 4, with PDF bookmarks, at least for the major sections)
- *Dissertation_topics.pdf* (description of the planned dissertation projects on no more than 1 page, in structured form; with PDF bookmarks, at least for the major sections)¹²
- *Supervision_list.pdf* (overview table of all PhD students (co-)supervised by the faculty in the last five years)
- *PI_publication.pdf* (two publications written by each faculty member must be named, documenting fulfillment of the general application requirements)
- *Publication_lists.pdf* (publication/works list of all the faculty members for the last five years, broken down into “quality assured publications” and “other publications”)

b) Forms:

- *Research institution assignment*
- *Contact*
- *Application*
- *Program-specific data* (to be completed for each faculty member)
- *Cost breakdown*
- *Academic abstract* (in English)
- *Co-authors*
- *Other collaboration* (if applicable; for national and international collaboration partners)

2.5.2 File uploads, if applicable

- *Cover_letter.pdf* (= accompanying letter, if necessary)
- *Negative_list.pdf* (reviewers who should be excluded; optional)
- *Overview_Revision.pdf* (= for resubmissions, overview of all changes made in the resubmitted application)
- *Revision.pdf* (= for resubmissions, response to all reviews)

¹² This file is not required if the description of the dissertation projects is included in the 20-page project description.

3 Processing and Decision on the Application

3.1 Submission and requests for changes

All of the files and forms specified above must be uploaded in full to [elane](#). Once an application has been officially submitted, the research institution and the coordinator can make no further changes to the application themselves.

The coordinator must finish preparing the application in time to allow the research institution sufficient time to approve the application for submission by **March 5, 2024 (2:00 pm local time, Vienna/Austria)**. All applications approved and submitted by the research institutions by this deadline will be subjected to a formal check by the FWF Office.

If the FWF Office identifies issues with the application that it considers to be rectifiable, it will notify the research institution and the coordinator, giving them the opportunity to correct the problems within a reasonable period of time (generally 10 workdays after notification of the issues). The requested changes are to be submitted to [elane](#) as a supplementary application and approved for submission by the lead research institution if necessary. If the **requested changes** are not submitted before the deadline, the decision-making bodies at the FWF will return the application without review.

Similarly, applications will not be reviewed if they have been previously rejected by the FWF and resubmitted without appropriate revisions (see [section 2.4](#)).

Once the review process has begun, no more changes can be made to the application. The FWF must be notified immediately of any changes to the faculty during the review process; such changes require the FWF's approval.

3.2 Excluding reviewers

A list of a maximum of 3 potential reviewers who should not be consulted to review the proposal due to a possible conflict of interest can be uploaded as an additional document. This selection and the grounds for exclusion must be briefly justified. If the grounds for exclusion are professionally and technically sound, the FWF will generally fulfill such requests and will exclude those reviewers from the review process. A detailed description of the FWF's policy on conflicts of interest can be found in the [General Principles of the Decision-Making Procedure](#).

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

3.3 Number of reviews required

At least three independent reviews will be obtained for the shortlist decision.

3.4 Decision-making process

The **review process** generally takes about ten months.¹³ The FWF Board decides on applications once per year on the basis of recommendations issued by the international doc.funds jury (late November 2024). These funding recommendations are based on the written reviews received from international experts and on hearings held with the most promising applicants. These hearings will be held on the first two days of the meeting of the international doc.funds jury (which is expected to take place in mid-November 2024). Approximately one month before this meeting, the FWF Board will draw up a shortlist of promising applications on the basis of at least three substantive reviews; those candidates will then be invited to a hearing. After the hearings, the international *doc.funds* jury will hold a closed session to prepare its recommendations.¹⁴

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

3.5 Grounds for rejection

The reasons for rejecting an application are assigned to one of five categories (C1–C5) and communicated to the coordinator and the lead research institution; the coordinator is also sent anonymized copies of the reviews. A detailed description of the reasons for rejection can be found in the [General Principles of the Decision-Making Procedure](#).

3.6 Reviewing 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.

3.7 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

¹³ Information on the average duration of the review process can be found on the [FWF Dashboard](#).

¹⁴ A detailed description of the decision-making process, the criteria for selecting international reviewers, detailed rules concerning conflicts of interest, and the composition of juries and review panels can be found in the [General Principles of the Decision-Making Procedure](#).

(from the date of decision); rejections for reasons C1 or C2 do not count towards this total. In principle, only topics are barred, not researchers or applying research institutions.

4 Compliance with Legal Requirements and Standards of Research Integrity

4.1 Legal regulations

Please note that participating research institution(s) must comply with all legal requirements and safety provisions (e.g., Federal Disabilities Act, Federal Equal Treatment Act) that apply for the doc.funds project and obtain all the necessary permits (e.g., from the Ethics Committee, the Animal Testing Commission, the National Heritage Agency, or the relevant foreign authorities).

4.2 Academic integrity

The [Guidelines for Good Scientific Practice](#) of the [Austrian Agency for Research Integrity \(OeAWI\)](#) apply.

Where a breach of these standards is suspected, the ombud of the respective research institution is responsible for investigating the issue. The research institution must report any cases of suspected serious deviations to the ÖAWI. The FWF reserves the right to suspend, in part or in whole, any procedures related to applications or ongoing projects until this check or investigation has been concluded. For more detailed information, please see [FWF procedure in cases of suspected violation of the standards of good research practice](#).

5 Data Protection and Publication of Project Data and Results

5.1 Data protection

Regarding personal data, pursuant to Art. 6 (1) item a of the General Data Protection Regulation (GDPR), the coordinator or applying research institution consents to the processing of personal data and other data (e.g., title of the project submitted, research institution, academic abstract, PR summaries) necessary for the administration of the funding by the FWF –while safeguarding business and trade secrets –for the purposes of research policy (e.g., presentation of the development of basic research in Austria, economic analyses, funding impact reports, etc.), and for public relations work (publication of excerpts in the FWF annual report, on the FWF website, in press releases, media collaborations, etc.) and to the passing on of this data to third parties (e.g., for use in research policy studies). This consent can be revoked at any time in full or in part in writing to the FWF with effect for

future data processing. Further information on the data privacy rights of the coordinator or applying research institution as well as the contact details of the FWF's data protection officers is available [here](#).

5.2 Publication of project data and results

Please note that if a grant is awarded, a PR summary in German and English will be published on the FWF website, as well as the grant amount and later, PR summaries of the project's findings in German and English. Summaries must be submitted to the FWF when the grant agreement is returned. The content of these texts is to be written in such a way as to safeguard the legitimate interests of secrecy for reasons of national security and patent rights and to guarantee that trade secrets are protected appropriately. [Guidelines for writing PR summaries](#) can be found on the FWF website.

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

The guidelines specified in the grant agreement on acknowledging the FWF as the funding institution and the FWF's [Open-Access Policy](#) apply for any publication of project results (e.g., academic publications, research data, conference papers, and media reports).

6 Appendices to the Application Guidelines

6.1 Appendix A: Information on the research institution and description of financial aspects

Information on the lead research institution(s) and any partner research institutions and the description of project finances must be presented **in English** and appended to the project description as Annex 2. Costs must be broken down and adequately justified for each point below. The list of and justification for the requested funds must correspond to the costs indicated in the *Cost breakdown* form. The description should be structured as follows:

a) Details on the lead research institution and of any partner research institutions, if applicable

- Existing personnel (not financed by the FWF, usually research personnel at the research institution(s) supporting the project)
- Existing infrastructure (available and accessible for the project)

(b) Information on the funding requested:

- Explain briefly why the personnel requested is needed for the project (requested number of doctoral candidate positions, extent of employment, and duration of involvement in the project)
- Explain briefly why the non-personnel costs requested are justified (costs for education and training)

Please list and provide justifications for the following:

Personnel costs:

Costs for education and training:

6.2 Appendix B: Notes and questions for reviewers in the doc.funds program¹⁵

In all of its programs, 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.

Our commitment to equal opportunities also means taking into account breaks or delays in applicants' research careers (e.g., due to parental leave; long-term or chronic illness; disability; caregiving responsibilities; etc.), which may have resulted in gaps in a researcher's publication record, unorthodox career paths, or limited international research experience. Please also see our information for reviewers on [unconscious bias in the decision-making process](#).

Only the ten most important academic or arts-based research publications/works and the ten most important additional research achievements of the faculty member are to be considered when evaluating the application. As a signatory to the [San Francisco Declaration on Research Assessment \(DORA\)](#), the FWF also emphasizes that, in assessing research performance, reviewers should refrain from using journal-based metrics such as journal impact factors, Article Influence Scores, or the h-index.

Please review the current proposal¹⁶ based on the following six assessment criteria: 1) Quality of the prior and planned research, 2) quality and composition of the faculty, 3) quality of the (existing) education and training program, 4) organizational structure, 5) added value, 6) ethical, sex-specific and gender-related aspects, and 7) overall evaluation. For each of these criteria except 6) we ask you for both written comments and a rating on a scale from "outstanding" to "poor." Please be aware, however, that the FWF's funding decision will be based primarily on reviewers' written assessments rather than the ratings assigned.

Please keep in mind that sections 1 and 2 will be forwarded to the researchers in anonymous form. In the event of approval, the research institution will be allowed to read the anonymized reviews forwarded to the coordinator.

¹⁵ Further information can be found on our website: [FWF's corporate policy and mission statement](#) or the [doc.funds program page](#).

¹⁶ The project proposal must meet the FWF's formal requirements. Please bear these in mind when writing your review. (Key formal requirements: 20 pages max. for the project description including figures and tables; 5 pages max. for the list of references; 3 pages max. for each academic CV, including a description of previous research achievements and the ten most important publications.)

Section 1:¹⁷

1) Quality of prior and planned research

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

2) Quality and composition of the faculty

How well qualified are the researchers involved to carry out the proposed research? How would you rate the academic qualifications and training/supervision experience of the faculty members? How do you assess the reputation and international networking of the faculty? Is the gender ratio in the faculty appropriate?

When assessing qualifications, please consider the respective career stage, taking into consideration atypical career paths and circumstances that may have slowed down their progress (e.g., parental leave, long-term or chronic illness, disability, or caretaking responsibilities).

3) Quality of (existing) education and training program

How do you assess the quality of the education and training program in terms of the transparency of its selection procedures, adequacy of supervision structures, clarity in the evaluation procedure of dissertations, contents of the scientific or arts-based training program, available programs for obtaining additional qualifications, and gender-appropriate design?

4) Organizational structure

How would you rate the organizational structure and the resources (infrastructure, etc.) available at the research institution(s)?

5) Added value

Does the planned research project represent an added value as compared to other consolidations of researchers who (also) train doctoral candidates, or will it add value to the general doctoral curriculum? Does the project add value for research, education, doctoral candidates, and the participating research institutions?

How do you assess the project's contribution towards strengthening the existing research basis?

¹⁷ Forwarded to the applying team in full

6) Ethical, sex-specific, and gender-related aspects

Ethics: Have ethical considerations been addressed satisfactorily?

Sex-specific and gender-related aspects: The proposal must address all relevant gender and/or sex-specific aspects of their research questions and/or research design. Please assess whether the treatment of these components is adequate.

7) Overall evaluation

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

Section 2: Optional recommendations to the research team

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

Section 3: Confidential remarks to FWF

Please use this field to make comments that you do not want submitted to the research team. Feel free to also give us feedback about the evaluation process and your interactions with us.