FUNDING GUIDELINES

A. GENERAL INFORMATION

- Funding is provided by the Austrian Federal Ministry of Science, Research & Economy and the State of Upper Austria
- The call is open to everyone who has already obtained a PhD degree
- Topics are not limited to topics listed in the call
- A PI may only submit one proposal per year (i.e. submit to every second call) - focus on the best idea one has (except Co-PI /Co-Funding Projects, presuming the application is subject to a new approach). A PI may have only one LIT funded project at the same time.

B. PROJECT IMPLEMENTATION

General Information

The project management team is required to carry out the research project in accordance with the project application to LIT and – in keeping with the rules of good scientific practice - work progressively to advance research. If, during the project period, the need arises to change the project's purpose and objectives, the project management team must submit a written request to the Rectorate which outlines the planned changes as well as provides detailed information on how the changes will impact the project's financial circumstances. Any changes require written approval issued by the Rectorate. Approved projects are not entitled to receive additional funds.

LIT Practices

During the course of implementing the project, the principles of academic freedom apply to the project-specific research group and the project management team. The project management team (and, if applicable, the project team members who are part of LIT supported projects) will be expected to take part in an interdisciplinary LIT platform that supports the mutual exchange of ideas between research groups. In addition, the project management team (and, if applicable, the project team members) will be required to organize, hold and attend lectures and seminars.

Publications

The project management team is encouraged to publish research findings that result as part of the project, also in support of the Berlin Declaration on Open Access to Knowledge (which was signed by the JKU).

In addition, the project management team agrees that the Linz Institute of Technology at the JKU (LIT) will be referred to as "Johannes Kepler University Linz, Linz Institute of Technology (LIT)" at any and all presentations and/or when publishing the project's research findings.

Use of Research Findings

The research findings are the result of university research conducted at the JKU. The use of research findings for teaching and research purposes at the JKU is permitted without constraints. In addition, after consultation with the project management team, the JKU is entitled to use project research findings for the purposes of public research to serve academic and scientific research and support and/or demonstrate the appropriate use of funds.

When working with companies (or other third parties) please ensure the rights to use all findings adhere to the European Union rules and regulations (particularly EU subsidy and financial aid laws).

Completing a Project Ahead of Schedule

The Rectorate is to be notified immediately in the event that:

• Insoluble technical issues arise during the project period,

• The project team's employment contract at the JKU ends as planned, and/or

• If the project cannot be continued (or must end) due to unforeseen circumstances, or it has been determined that the project objectives are unattainable as the planned resources are insufficient and/or results cannot be attained within the project's designated time period.

In these cases, the Rectorate may decide to end the project early (project termination). Once the project ends, the JKU will make no further payment nor can the JKU deduct funds from the project's budget. The project management team must submit a report on any resulting research findings and proof of any and all corresponding costs incurred. The conditions of these guidelines as outlined in the contract regarding the project's conclusion duly apply. These and other regulations and provisions as outlined in these guidelines also apply even after the project's conclusion.

Transferring the project to another research facility is not permitted.

C. ALLOWABLE COSTS

Funds can be used during the project period to cover the project's costs and expenses (actual costs and expenses that have been directly incurred as well as covering regular project operating expenses).

In accordance with the guidelines, the project management team bears the responsibility to ensure that the use of funds adhere to the guidelines (in form and content as well as ensuring correct

accounting practices).   During the project period, the funds are to be used reasonably and economically.

The funds can be used:

a)   To cover personnel costs for scientific/academic staff as well as non-scientific staff (as part of a service contract)

b)   To purchase (and, if applicable, repair) scientific equipment needed for the project (over € 1,500)

c)   To purchase materials and small equipment/appliances/devices (under € 1,500)

d)   To cover travel expenses

e)   For project-specific costs that a) to d) cannot be allocated (for "other costs"). Scientific equipment purchased for the project becomes the property of LIT.

a) Human Resources

Project staff members may only be hired at the JKU for a limited time period (to the end of the project period maximum).   Please take the limited period into account (§ 109 of the 2002 Universities Act; maximum duration of temporary employment contracts) and, if possible, take previous employment relationships of former project employees into consideration.   In addition, the project management will be employed at the JKU for the duration of the project (if this is not already the case).

Personnel costs already borne by the JKU will not be funded for permanent staff members.

Estimated personnel costs for employees involved in the project are to be calculated in accordance with the collective agreement for university employees. Excess payment that exceeds the stated salary in the collective agreement is not permitted.

The project management team is required to notify the Department of Human Resources at the JKU in regards to all necessary and important information regarding any departure/change/absence of project staff members, …

The project management team is responsible for ensuring that both the project management team member(s) and staff member(s) consume entitled holiday time (as outlined in the contract) before the contract period ends.

b) Scientific Equipment

The funds can be used to purchase any scientific equipment required in order to successfully complete the project.

In regards to the acquisition and inventory of equipment, the regulations and provisions as outlined by the JKU apply as well as the corresponding regulations and policies by university management and by responsible departments.

Equipment and devices purchased using grant funds are to be stationed at LIT, are the property of the JKU, and - taking the project's requirements into account - can also be used for research work at the JKU and for other projects.

c) Materials and Small-Size Equipment

The JKU's regulations and policies - as well as the regulations of university management and corresponding departments - apply to the purchase and inventory of materials and small-size equipment. Materials and small-size equipment purchased using grant funds are the property of the JKU. Self-constructed materials and small-size equipment for scientific equipment fall under the category of "Scientific Equipment" as soon as their value exceeds €1,500.

d) Travel

Funds may be used to cover any travel required in order to successfully complete the project. The travel expense report is to be submitted by the project management team in cooperation with the responsible departments (in compliance with the JKU's legal, contractual, and internal policies & regulations).

e) Additional Costs

 "Additional Costs" include project-specific expenses that are not categorized as salary costs, purchase costs for equipment and materials, or travel expenses. This includes, for example, paying someone who is not employed at the university (as part of a work contract) to be involved in the project. Work contracts of this kind must be discussed in advance with LIT management and must meet all legal requirements.

Publication costs can also be billed after project completion.

After the end of the project, a 'no cost extension' of 6 months can be submitted.

Excluded Costs and Activities

The following expenses will not be covered or reimbursed:

a) Fees/remuneration for project management

b) Fees/remuneration for preparing scientific/academic papers

c) Construction expenses, building costs, furnishing expenses, leasing costs, etc.

d) Non-specified project expenses

e) Lump sum costs

D. ADMINISTRATING THE FUNDS

Funds will be paid out by using a separate, special form created for LIT projects.

Authorization

In general, only the project management team is authorized to dispense and use the funds in accordance with the project's contract. In exceptional cases, such as if funds are used inappropriately, or the project cannot be continued for whatever reason, the JKU reserves the right to access the funding as stated in the project funding form.

Expense Report

In accordance with the funding guidelines, an annual expense report about the state of the project must be submitted to the JKU Rectorate. A report on the expenditure of funds is to be submitted a year after the project begins or a year after the scheduled date from the previous year. Regardless of the project's duration period, all documented expenses are to be submitted by the time the project ends.

The expense report must include:

a) A detailed account of the project's main findings and results

b) A detailed account of how the funds were used, including all original invoices and receipts that show how the funds provided by the Upper Austrian government (co-financers of the LIT projects) were used.

All bills, receipts, invoices, and other relevant documents pertaining to the proper implementation of the project will be kept by LIT (in the original, if available, otherwise in copy) until after the project ends.

E. PROJECT COMPLETION

Final Report

When the project is completed, the project management team must submit a final progress report about the research findings ("final report"). The final progress report is to be submitted to the JKU Rectorate no later than three months after the project period ends.

If there is a brief period in which the project management team does not wish to publish the report due to pending patent application(s) or impending publication(s), please submit an accompanying letter with the report stating that the information is not yet to be released (the maximum period is 3 months). If no such concerns are expressed, the JKU will assume that the project management team agrees with the use of the report for public relation purposes. Using the report for verification purposes with

regard to the federal government, Upper Austrian government or review committees is permissible within the blocked period (any previously indicated concerns will be referenced).

Evaluation

A final progress report is required and serves as the basis for possible project evaluation by the JKU. Evaluation criteria includes

a) Academic and scientific excellence

b) The quality of the publications (High Impact Publications)

c) Acquiring additional or subsequent funding

d) Practical/technological implementation options, direct benefits of results

The evaluation result will be taken into account for future project applications or funding.

Final Expense Report

The final expense report must be submitted together with the final written progress report (expenses of available funds from the previous research year). Unused funds will be deducted from the project's budget sheet.

Release

The JKU will review the research report, all documentation (ensuring the appropriate use of funds), and the numerical and factual correctness of the accounting procedure used. The file will then be closed and archived. The project management team can request that the JKU issue confirmation pertaining to the review results and verify project completion (a release).

F. REPAYING GRANT FUNDING

The project management team will be required to pay the full amount of funding back

a)   if the JKU has been deceived, misled, or not kept completely informed about the project, or

b)   if the research project was not completed or incomplete by the stated date, or

c)   if the funds were used inappropriately or not outlined in the project proposal or not permitted, or the required progress report was not submitted, or documentation was not submitted, or essential information was not provided or,

d)   if the project management team prevents or hinders required control measures, or the authorization to use appropriated funds is not available for review within the period designated to retain all documents.

G. LIABILITY

When implementing the research project, the project management team is responsible for ensuring compliance with legal provisions and other conditions. Please pay special attention to regulations regarding human studies, animal experimentation, genetic engineering experimentation, and provisions regarding EU subsidies. The JKU assumes that in regards to the project, the project management team is complying with all corresponding safety regulations and that all required permits have been obtained (such as, for example, the Ethics Committee, Animal Testing Commission, etc.).

H. REVIEW

In the event of a review procedure by an external institution, the JKU is authorized to grant the inspectors access to all of the project's materials and documents. The project management team must also provide inspectors with information and show any requested documents or materials. This will remain in effect for the duration of the contract.

I. USE OF DATA BY THE JKU

The project management team agrees that personal information may be used for control and review purposes. As part of the procedure, the information may be transmitted or disclosed to organs and agents of the Court of Auditors or other verifying bodies of the federal government or the Upper Austrian government.