



Funding of Interregional Project Networks (IPN)

2 call

European Region Tyrol-South Tyrol-Trentino (EGTC)

Diversity in nature, culture and language characterizes the European Region Tyrol-South Tyrol-Trentino and its citizens. This European region consists of three mountain areas that share history and similarities, despite having their own particular characteristics. It is a European region with a high potential for further development.

In 2011, according to European Parliament's Regulation (EC) No 1082/2006, the EVTZ "Europaregion Tirol-Südtirol-Trentino" respective GECT "Euregio Tirolo-Alto Adige-Trentino", from now on referred to as EGTC European Region Tyrol-South Tyrol-Trentino or EGTC was established as the first EGTC in Austria, the second one in Italy and the 21st EGTC in Europe. The EGTC European Region Tyrol-South Tyrol-Trentino is a non-profit legal entity and strives to promote and facilitate cross-border, transnational and interregional collaboration among its members within the context of European Integration.

The European region Tyrol-South Tyrol-Trentino unites 1.7 million citizens living in a total area of 26,255 km², within the two autonomous Italian provinces of Bolzano-South Tyrol and Trentino and the Austrian federal state of Tyrol. This European region is an interface and a platform where diverse cultures and mentalities come together to enrich each other. The idea of a united Europe has prevailed. Chances for further cultural, political and economic integration are pursued. Cross-border collaboration upgrades and strengthens the whole European region by enhancing and promoting economic growth while preparing for the challenges given by globalization. All important aspects of life of its citizens are covered by the EGTC's sphere of action: from communication, culture, education, youth policy, research, and economy, tourism, up to transport policy, health, nature and energy.

Establishment of the Euregio Science Fund

Article 5 (2)(b)(iv) of the Convention of the EGTC European Region Tyrol-South Tyrol-Trentino stipulates that research and innovation are areas of cooperation of particular interest for the EGTC. Article 7 (1)(f) stipulates that the establishment and intensification of networks of knowledge and excellence is a specific field of action for the EGTC.

On 27 March 2014, the EGTC's Board of Directors and its Assembly decided upon the establishment of a joint science fund, preceded by a close technical examination by the regional authorities. The Board of Directors and the Assembly agreed upon the establishment of the Euregio Science Fund as a direct project of and managed by the EGTC Tyrol-South Tyrol-Trentino, according to Article 3 (5) of the EGTC's Rules of Procedure, which stipulates that all costs associated with the Euregio Science Fund have to be borne by the EGTC and anchored within its budget.

On 18 November 2015, the EGTC's Board of Directors and its Assembly decided upon the publication of the second call of the Euregio Science Fund.



The Euregio Science Fund provides financial support for interregional basic research projects which fulfil international criteria with respect to scientific quality standards. Proposed projects shall foster and strengthen networks between scientists and researchers as well as existing research centres within the European Region Tyrol-South Tyrol-Trentino and, at best, be the basis for joint project proposals for EU research programmes.

The goals of the Euregio Science Fund (EGTC) are as follows:

- To develop new ideas in various scientific areas of non-profit scientific research
- To reach out and establish and / or foster research networks between the 3 regions Tyrol-South Tyrol-Trentino
- To fund interregional research networks that involve preferably all 3 regions Tyrol-South Tyrol-Trentino, present an overarching common goal and discuss a collaborative approach
- To foster interregional research networks in the main thematic fields of interregional cooperation
- To support project networks with a project volume of 250.000 Euro up to 500.000 Euro and a funding period of 24 up to 36 months
- To foster and increase international visibility of scientists and researchers from the European Region Tyrol-South Tyrol-Trentino
- To give young scientists and researchers an opportunity to improve their knowledge, professional skills and integration into the scientific community

Application Guidelines¹ for Interregional Project Networks (IPN)

2nd Call for Proposals

The Euregio Science Fund is implemented by the EGTC European Region Tyrol-South Tyrol-Trentino based upon the principles of fairness, transparency and equal treatment. Having consulted the Scientific Advisory Board, the EGTC's Board of Directors shall decide upon the necessary directives for the implementation and settlement of payments for all fundable projects in the field of non-profit-oriented scientific research. Within the framework of the present call for proposals, a total of 1,4 million euros is available for the funding.

Funding is provided by the EGTC European Region Tyrol-South Tyrol-Trentino. Specific administrative tasks within this call are delegated to the Austrian Science Fund (FWF):

- Administration of the external scientific review of all project proposals provided
- The administration of all tasks associated to project parts funded based within the federal state of Tyrol, in particular funding contract, financial transfers, reporting and audition.

The administration of project parts based within the Autonomous Province of Bolzano-South Tyrol or the Autonomous Province of Trento, in particular funding contract, financial transfers, reporting and audition, will be carried out by the EGTC itself or contracted out to one or more service provider(s) by the EGTC.

¹ Please note that all limits (e.g. on the number of pages, publications, enclosures) specified in these guidelines must be observed. Please note also that only the English version of the guidelines is the legally binding version for the EGTC / FWF.



A. What may be applied for?

Interregional project networks are research projects in which scientists and researchers from the three European regions Tyrol-South Tyrol-Trentino co-operate in pursuing a common research goal corresponding to the goals of the EGTC. It is only advisable to apply for such a project if the preferable three parts of the project **are closely integrated** so that one part could not be carried out without the others (see also application processing p.17f). It is expected that all sides contribute significantly in terms of scientific input. Each region can be represented once in form of a scientific project part in such an interregional project network.

The project should be in the field of non-profit-oriented scientific research and its duration should be limited (24 to not more than 36 months). Non-profit-oriented scientific/scholarly research refers to research whose value is primarily related to the further development of science and research (scientific work directed at enhancing our understanding of the field).

Any aspects of a research project that go beyond basic research (results of relevance to society, to the environment or to the economy) may be mentioned, although they play no part in the assessment of whether the project should be funded.

The EGTC provides 100 percent funding in accordance to the national and European law regarding the funding of basic research. The overall project volume of an IPN should be within the scale of 250.000 Euro and 500.000 Euro.

Research activities within the IPN shall be performed at all participating partners, the difference between the largest and the smallest project part (Tyrol, South Tyrol, Trentino) may not be more than 25 percent of the total costs of the project. This financial correlation will be checked by the EGTC after the submission of the application.

B. Who is eligible to apply?

For Tyrol: Any scientist or researcher working in the European Region Tyrol-South Tyrol-Trentino who possesses the qualifications, available capacity, and the infrastructure necessary to carry out the project submitted.

No particular academic title is needed, nor is Austrian citizenship required. However, the project part must be carried out in Tyrol or based at an Tyrolean research institution. Applications for this type of projects may only be submitted by individual natural persons. Applications from institutes, institutions or companies are not permitted.

For South Tyrol and Trentino:

Applications for project parts regarding South Tyrol and Trentino may only be submitted by research organisations such as university or research institute, irrespective of its legal status (organised under public or private law) or way of financing, whose primary goal is to conduct fundamental research, industrial research or experimental development and to disseminate their results by way of teaching, publication or technology transfer which are situated within the territory of the Autonomous Provinces of South Tyrol and Trento; all profits are reinvested in these activities, the dissemination of their results or teaching; undertakings that can exert influence upon such an entity, in the quality of, for example, shareholders or members, shall enjoy no preferential access to the research capacities of such an entity or to the research results generated by it.

The Research Organisation has to name a scientist or researcher who will lead the project and possesses the qualifications listed below.

Scientific/Scholarly Demands on the Leaders of the Project Parts

The following criteria are decisive in the assessment of the scientist or researcher'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:** The publications must have been subjected to a quality assurance procedure in line with high international standards, meaning that the journals must be listed in the Web of Science, Scopus or the Directory of Open Access Journals (DOAJ). In the case of monographs, anthologies or other publication types, the peer-review procedure must be documented on the publisher's website.
- **International publications:** In the natural sciences, life sciences and social sciences, the majority of the applicant's publications must be in English; in the humanities, the majority of publications should go beyond German-and Italian speaking countries and be published outside of Austria and Italy; any exceptions must be justified.

Internal structure of the IPN:

The partners should nominate an IPN coordinator who then overtakes several tasks in the course of the administration of the funded projects such as e.g. yearly reporting. It is expected that the role of the Coordinator comprises at least the following duties:

- Submission of the proposal
- Communication within the IPN
- Supervision of the IPN overall work progress
- Notification to the EGTC regarding facts that could lead to extension of the IPN or the repayment and reclamation of funds
- Yearly reporting to the EGTC
- Coordination of a consortium agreement among the partners regarding intellectual property rights on project results and specific responsibilities and liabilities
- All duties which apply for Other beneficiaries

The role of the Other beneficiaries comprises at least the following duties:

- Planning of and working on the own project part in accordance with the guidelines for IPN
- Providing of all requested information to the Coordinator regarding the reporting
- Documentation of spending in accordance with the guidelines
- Notification to the Coordinator and EGTC regarding any fact that could lead to the extension of the IPN or the repayment and reclamation of funds
- Fulfilling all duties out of the funding contract with the EGTC or FWF and the consortium agreement

C. What types of funding may be requested and which costs are eligible?

Only project-specific costs may be requested, i.e. personnel and non-personnel costs that are essential to carry out the project and that go beyond the resources made available from the research institution's infrastructure.

Ineligible costs: The EGTC does not finance infrastructure or basic equipment at research institutions. 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.)

No personnel costs may be requested for project leaders (note for Tyrolean partners: applications as an "independent researcher" like in FWF "Stand alone projects" where the principal investigators salary is to be paid from the funding provided for the project is not possible) .

Within the IPN project no contribution to the indirect costs (overheads) is granted.

Funding for publication costs cannot be requested in IPN applications for this type of research projects. The EGTC does not provide additional funding for peer-reviewed publications in the category of IPN. However, publication cost can be financed as running costs in the course of the funding period of the project.

Double funding is not permitted. Any other grants relating to the subject of the application that have been requested from or awarded by the FWF or other funding agencies (e.g. the EU,, government, ministries, Italian provinces etc.) must be mentioned (see application forms).

For Tyrolean Partners: Applications that are essentially identical may not be submitted – in a different programme of the FWF – unless the programme-specific application guidelines explicitly make an exception to this general rule. 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.

Eligible costs (project specific costs) are personnel costs, equipment costs, material costs, travel costs, other costs and general costs. Since e.g. for personnel costs and travel costs the Austrian and Italian law differs, the eligible costs are separately explained for partners from Tyrol and from South Tyrol and Trentino.

TYROL

1A personnel costs (Tyrol)

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 (DV) and reimbursement for work on an hourly basis (GB). In addition, a part-time contract of employment (DV 50%, "studentische Mitarbeit")

SOUTH TYROL AND TRENTINO

1A personnel costs (South Tyrol, Trentino)

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

The available legal categories of employment as well as salary scales apply as they are generally in use at the research organisation. Part-time employment may apply.

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");

<https://www.fwf.ac.at/de/forschungsfoerderung/personal/kostensaetze/>

indicates the salaries that may be requested. The EGTC grants an annual increase to compensate for inflation; this is applied automatically to all contracts of employment in stand-alone projects that are valid when the increase is effected.

The reasoning for the personnel requested should contain the following:

- a description of the nature of each employee's work;
- each employee's extent of involvement (part-time contracts are permitted). Please note that it is not permitted to apply for PhD student positions where the extent of employment is greater than 75% (which corresponds to 30 hours per week).

For every scientific position requested where the person to fill the position is known at the time of application, the following must be submitted:²

- academic curriculum vitae, not exceeding three pages in length;
- lists of all scientific publications³ from the past five years;

separate listing of the 10 most important scientific publications in the researcher's entire career to date.

The EGTC grants only additional personnel costs including an annual increase to compensate for inflation.

² Only academic curricula vitae and publication lists of project employees who are to be financed by the EGTC and/or who are directly involved with the project (including national research partners) should be included.

³ Publication lists must include the following information: All authors, complete titles, journal, year and page numbers For each publication the DOI address (Digital Object Identifier – see <http://www.doi.org/>) or another persistent identifier (http://en.wikipedia.org/wiki/Persistent_identifier) should be provided. In addition, the publication should be publicly available for free (Open Access).

2 Equipment costs (Tyrol, South Tyrol, Trentino)

Equipment may only be requested if it is specifically required for the project and if it does not represent part of basic infrastructure. Such infrastructure is considered to include equipment and components that should be available in a modern research institution in the scientific field in question in order to permit basic research at an internationally competitive level. Please note that if such components are requested nonetheless, the EGTC and/or FWF will first examine carefully whether it is possible to perform topical basic research in such a research environment and how it was possible to undertake the preliminary experiments related to the project.

The category “scientific equipment” includes apparatus and instruments, system components, costs for the use of software required by the project and other durable goods, provided the cost per item (including VAT) exceeds EUR 1,500 up to a maximum of EUR 24,000. The completed “Equipment data” form and an offer from a supplier must be included.

In the case an applicant intends to buy more expensive scientific equipment, which does not represent part of basic infrastructure and is essential to the research project, within this call co-financing by the EGTC may apply up to a maximum of 24.000 Euro in total for all items (including VAT). The EGTC does not claim any property rights.

For South Tyrol & Trentino only:

“Scientific Equipment” as described above and financed within this call shall become property of the Italian research institution, which entitles the researchers involved in project to use the equipment.

For the Tyrolean Partner only:

Due to an approved amendment to the Research and Technology Promotion Act, since October 1st 2015 FWF is committed to fundamental changes in its equipment financing practice.

FWF is intensively working on implementing the legal provisions.

In case of an authorization of the IPN, the conditions for equipment financing will be reflected in the funding agreement.

3 Material costs (Tyrol, South Tyrol, Trentino)

This category encompasses consumables and smaller pieces of equipment where the cost per item is below EUR 1,500 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.

4A Travel costs (Tyrol)

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

4B Travel costs (South Tyrol, Trentino)

Funding may be requested for project-specific travel and accommodation, field work, expeditions, etc. Applicants are to provide a detailed travel (cost) plan broken

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. Each partner must provide own travel expenses within the proper project part.

The calculation of travel and accommodation costs should be based on the federal regulations governing travel costs (RGV). The RGV rates applicable to travel in Austria and abroad can be found on the FWF web site

<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.

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

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 below point 6).

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. Each partner must provide own travel expenses within the proper project part.

The calculation of travel and accommodation costs should be based on the research institutes internal regulations.

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

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 below point 6).

5 Other costs (Tyrol, South Tyrol, Trentino)

- Independent 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 submitted. Where the costs exceed EUR 10.000,00 (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 for 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 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.
- For the Italian project parts only: the total amount of other costs may not exceed 25 Percent of each partner's total project costs.

6. General costs (Tyrol, South Tyrol, Trentino)

Costs for attendance at conferences, activities to publicise the project (web sites), etc., as well as smaller, unforeseen costs necessary for the project, such as repairs, student assistance, etc. General costs should be included in the application forms in the appropriate field and are to be calculated as 5% of the total of other funding requested. No justification for general costs needs to be included in the written project description, documentation of spending is requested.

D. How should applications be submitted?

Proposals can be submitted to a dedicated call for proposals. All applications received by the published deadline will be subjected to a formal check by the EGTC.

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

The application must contain the subsequent information in the electronic version:

- 1 **One-page academic abstract in English** comprising no more than 450 words, or 3,000 characters in the case of electronic applications (DIN A4 format; 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 **One-page abstract for the public relations (PR) work**: in English. This abstract is also subject to the limit of 450 words (DIN A4 format) or 3,000 characters 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;

In one file (including items 3 to 5) (format: PDF; do **not** use scanned files; no protected files, no signatures required):

- 3 **Completed application forms (application form, itemisation of requested funding);**
The structured part of the application consists of the application form and supplementary forms. All required forms must be completed in their entirety. For the application to be legally binding, the EGTC / FWF requires a copy of the application forms of the "Affirmation of applicant" and (Only for Tyrolean Partner the "Affirmation of applicant's research institution" form) that carries original signatures and, if requested, an original stamp (seal).
- 4 **Form with the names (and contact details) of all persons (co-authors)** 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, printed on one side only, with consecutively numbered pages, unbound) 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;
 - Bibliography⁴ 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

⁴ 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.

publications for each person involved in the project (see also pp. 4 ff.; persons involved in the project include the applicant, research personnel⁵ [where already known⁶] to be employed in the project and funded by the EGTC;

Enclosures, each in a separate file (PDF format).

The project description and the application forms (one original and one on an electronic medium) should be accompanied by the following enclosures, where applicable:

- The additional forms – equipment forms (forms for new equipment and forms for existing equipment financed by the FWF) and forms for international cooperation arrangements – assist the FWF in interpreting the application. They should be completed as required and included with the enclosures.
- Bids/offers for requested equipment (an offer from a supplier for each item requested, German and Italian language acceptable; electronic version is not obligatory).
- Bids/offers for any relevant items requested under ‘Other costs’.

Revision of rejected IPN applications

- In cases where a IPN is revised and resubmitted after previous rejection by the EGTC the applicant must indicate that it is a resubmission (e.g. in a footnote) at the beginning of the free-form proposal.
- Applicants resubmitting projects are required to provide the EGTC 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 include brief responses to each review (with each set of responses in a separate document). These responses should address the suggestions and criticism expressed in each review of the previous application and point out the changes made on that basis. Such responses are not necessary in the case of reviews written by persons who are to be excluded from the review process for the resubmitted application. However, such exclusions must be justified 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 EGTC without review.**

⁵ 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/fileadmin/files/Dokumente/Personalkostensaetze/personnel-costs-2014-medicine.pdf>

⁶ Please, note that the FWF policy is only partially applicable for the South Tyrolean and Trentino project parts. Since new project related personnel at public research institutes in Italy has to be identified by competition announcement ("bando di concorso") after the funding decision is taken

Further information concerning 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 EGTC 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 (as mentioned in Section 5) and where such assignments or services are directly necessary in order to carry out the IPN project.

All cooperation arrangements (international) planned within the proposed project 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 should be included with all relevant information in the "International cooperation arrangements"⁷ form.

The application (as listed above) must be provided via **electronic email to the EGTC** - the latest by **February 29th 2016, 6 pm CET**:

E-Mail: research@europaregion.info

(Please note: The applicant will receive an auto-generated email confirming the receipt of the application. If the Coordinator is an institution from South Tyrol or Trentino which is familiar with the specific PEC-email-service, the application may also be submitted to europaregion.euregio@pec.prov.bz.it)

Two hard copies of the following items must be submitted to the EGTC postal address (date of postmark the latest 29th of February 2016)

*EVTZ Europaregion Tirol-Südtirol-Trentino / GECT Euregio Tirolo-Alto Adige-Trentino
Drususallee 1 / Viale Druso 1
I-39100 Bozen / I-39100 Bolzano*

Including the following:

- 1 One-page academic project summary** in English, no more than 450 words in length (no formulas or special symbols/characters);
- 2 Completed application forms including the original signatures and stamps** (application form, itemisation of requested funding)

⁷ Only those international cooperation arrangements which are discussed in the free-form project description are to be indicated on the "International cooperation arrangements" form.

Please note: Post hoc improvements / changes to the content **of the application** are permitted on the basis of a list of deficiencies provided by the EGTC to the applicants within 10 days (running days) after the notification via Email through the EGTC. If the problems are not rectified within this period of time, the EGTC's will reject the application without review.

No signatures are required in the electronic version (originals submitted als PDF files). Files should be named as specified below and their size kept as small as possible. The total size of all files submitted on an electronic medium must not exceed 5 MB.

Guidelines for naming files

1. Required files

- **Academic_abstract.pdf (academic abstract in English)**
- **PR_Abstract_eng.doc (abstract for public relations purposes in English)**
- **Proposal.pdf** (consisting of: 1.) completed application forms, 2.) form cost breakdown of each project part (Tyrol, South Tyrol, Trentino), 3) form naming all co-authors who contributed substantially with ideas and texts to this application, 4.) free-form application including a project-related bibliography, and 5.) academic CVs and publication lists of all persons involved in the project, plus any collaboration letters)

2. Enclosures (where necessary; see prior page)

- **Annex_Equipment.pdf** (= form[s] for project-specific equipment, in one file)
- **Annex_Coop.pdf** (FWF form[s] for international cooperation arrangements, in one file)
- **Annex_Revision.pdf/doc** (responses to reviews or review excerpts in a separate file for each review or excerpt: Annex_Revision A pdf/doc/ Annex_Revision B pdf/doc/ eventually also Annex_Revision C pdf/doc/)
- **Annex_Reviewers.doc** (= list of reviewers who should not be contacted)

Applications are reviewed by **international reviewers**, whose anonymity is ensured by the FWF.

In order to enable this international peer review, **applications must be submitted in English.**

The project description⁸ must address the following points:

1 Scientific aspects

- aims (hypotheses or scientific questions):
 - relationship to international scientific work 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 explaining which task will be done by each partner;
- cooperation arrangements (national and international) – clear description of the collaborative approach among the preferable 3 individual project parts (Tyrol, South Tyrol,

⁸ Hyperlinks in the project description or in enclosures to contents, for which a login/password is required, will be disregarded.

Trentino) describing the aim to achieve the overarching research question and produce added value

- Where ethical issues⁹ 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.

2 Human resources

- academic/scholarly qualifications of the researchers involved;
- importance of the project for the career development of the participants (project leader and project staff members).

3 Broader effects

- implications for other branches of science;
- effects with implications beyond the specific research field.

4 Financial aspects (per applicant/research institution Tyrol, South Tyrol and Trentino)

- information on the research institution/s for each individual project part:
 - available personnel not financed by the EGTC (usually the project leader and co-applicants);
 - available infrastructure.
- information on the support requested by each individual research project parts:
 - 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 Point C – Eligible costs).

Requirements for 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 EGTC), the following information must be provided:

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

- Personal details, address and web site;
- Main areas of research;
- Description of academic career 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 academic conferences; 5 most

⁹ For orientation purposes, applicants may wish to review the document "Ethics for researchers" published by the European Commission (http://ec.europa.eu/research/participants/data/ref/fp7/89888/ethics-for-researchers_en.pdf) or "The European Code of Conduct for Research Integrity" (http://www.esf.org/fileadmin/Public_documents/Publications/Code_Conduct_ResearchIntegrity.pdf). 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.

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**);¹⁰
- (where applicable) Names and institutions of key international cooperation partners in the last 5 years.

Publication lists¹¹

- List of all scholarly publications **in the last 5 years**;
- Separate listing of the **10 most important scientific / scholarly publications** in the researcher's entire career to date.

¹⁰ 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.

¹¹ 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) 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 IPN projects financed by the EGTC; see <http://www.fwf.ac.at/en/research-funding/open-access-policy/>.

E. How does the evaluation and decision making on IPN proposals work?

Only completely filled-out applications, submitted with all the necessary enclosures and declarations, will be considered and handed over by the EGTC to the FWF for further evaluation.

All applications that pass this formal check by EGTC / FWF will be sent to reviewers (as a matter of principle outside Austria and Italy) nominated by the FWF's Executive Board. The number of reviews required for a positive decision on funding is two to three.

The evaluation takes into account the following criteria:

- 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 (Note: a special focus should be put on the collaborative approach, the integration and complementarity of the scientific contributions of the different project partners)
- 3 Research-related qualifications of the researchers involved (based on their academic age) with special attention to strengths and weaknesses
- 4 Overall evaluation with regard to key strengths and weaknesses
- 5 Ethical issues

Application processing

Proposals can be submitted to a dedicated call for proposals via E-mail (see p.13). All applications received by the published deadline (**February 29th 2016, 6 pm CET**) will be subjected to a formal check by the EGTC/ FWF.

Post hoc improvements / changes to the content **of the application** are permitted on the basis of a list of deficiencies provided by the EGTC to the applicants within 10 days (running days) after the notification via Email through the EGTC. If the problems are not rectified within this period of time, the EGTC's will reject the application without review.

Only completely filled-out applications, submitted with all the necessary enclosures and declarations, will be considered and handed over by the EGTC to the FWF for further evaluation. Before the evaluation starts the FWF will check for eligibility of the Tyrolean project part leaders. If positive the FWF will be sent the eligible IPN to reviewers (as a matter of principle outside Austria and Italy) nominated by the FWF's Executive Board. The number of reviews required for a positive decision on funding is at least two or a maximum of three depending on the budget size of the project.

Based on the reviews provided by the peer review process the FWF Board will provide a recommendation for funding and all project proposals will be assigned to one of the following categories:

- A-Projects: projects rated "excellent" which can be funded by the EGTC, subject to the availability of sufficient funds
- B-Projects: projects rated "very good" which can be funded only to a small extent/or not at all funded by the EGTC;



- C-Projects: projects “not fundable” by the EGTC.

Please note that the EGTC places high demands on the quality of the projects it funds and thus predominantly supports projects rated as “excellent” and “very good” if sufficient funds are available. The EGTC has appointed a Scientific Advisory Board consisting of the EGTC’s President as well as one representative of each of the 3 regional administrations and one representative of the scientific community of each EGTC member region, both appointed by the individual provincial government. The President of the EGTC European Region Tyrol-South Tyrol-Trentino takes the chair of the Scientific Advisory Board and has a decisive vote which may only be exercised in the event of a tie vote.

The Scientific Advisory Board discusses all evaluated Category A and Category B projects, based upon the estimation prepared by the Board of the FWF, and proposes a funding recommendation. The Scientific Advisory Board shall select the scientifically best projects based on the scientific evaluation.

Should there be several proposals of equally high scientific standards (e.g. in Category A) the Scientific Advisory Board shall recommend at least one project related to the fields of natural sciences, technology or life science and medicine and at least one project related to the fields of humanities, law and social sciences for funding within the context of this call.

Should there be several proposals of equally high scientific standards (e.g. in Category A) the Scientific Advisory Board shall recommend those project with project parts in all three regions Tyrol, South Tyrol and Trentino.

Should there be several proposals of equally high scientific standards (e.g. in Category A) with project parts in Tyrol, South Tyrol and Trentino the Scientific Advisory Board will take into consideration the strategic relevance of the project regarding the scientific cooperation within the European Region Tyrol-South Tyrol-Trentino.

The final funding decision is taken by the Executive Board of the EGTC European Region Tyrol-South Tyrol-Trentino.

F. Which further explanations and definitions apply for IPN?

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

2 Suggested reviewers

Applicants may include (on paper and in electronic form [Word format]) 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 competition or fundamental differences in ideology would make it difficult for these persons to judge the applications objectively. 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 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.

3 Evaluation and reporting during and at the end of the project

Financial and scientific reports have to be provided on a yearly basis. The scientific reports comprise 1-2 pages and point out the progress of the project. It is obvious that for an IPN there has to be established a common scientific report.

The financial reporting occurs to the contractual funding partner EGTC or FWF. The applicant has to prepare and submit a yearly financial report which includes an overview of the expenditures and the original bills.

Note: All duties regarding evaluation during and at the end of the project will be specified by the funding contract.

4 Repayment and Reclamation of Funds and Extension of the IPN and single project parts

The project leader will be required to repay the grant funds paid out plus interest in the amount of three percentage points over the base interest rate in cases where:

- a) the EGTC and/or FWF has been deceived or given incomplete information about significant matters or circumstances; or
- b) the research project is not carried out (or not carried out in due time) at the fault of the grant recipient; or the grant funds are not used in line with their designated purpose(s) or terms or conditions intended to ensure the success of the project are not observed at the fault of the grant recipient, or required reports or records are not submitted.

A cost-neutral extension of the IPN is only possible in exceptional cases upon written request to the EGTC and for the maximum of one year. The decision regarding the request for cost-neutral extension will be taken after having heard the EGTC's Scientific Advisory Board /FWF Board.

Additional information

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

The general rules of good scientific practice apply from the moment the application is submitted. This means in particular that

- references to information used in the preparation of applications should be given in the form customary in the relevant research disciplines;
- publications must be presented in a manner that makes all results comprehensible;
- openness and fairness among researchers is a matter of course and nobody is denied due recognition for his or her scientific contribution.

Where a breach of these rules is suspected, the case will be investigated by the Scientific Advisory Board and for Tyrolean applicants, the ombudsman of the Tyrolean research institution responsible or by the Austrian Agency for Research Integrity.

During the investigation the review procedure will be suspended. Until it develops its own guidelines, the FWF Executive Board has decided to apply the recommendations of the Commission of the German Research Foundation (DFG) on Professional Self-Regulation in Science. Relevant information can be found on the DFG web site at

http://www.dfg.de/en/research_funding/principles_dfg_funding/good_scientific_practice/index.html
(Document: "Proposals for Safeguarding Good Scientific Practice")

4 General remarks

Applicants should be aware that in the event that funding is granted, the English summary of the application as well as the amount of funding provided and (subsequently) the summary of the final project report will be published on the EGTC's and 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. Should this not be possible, two different versions of the English summaries must be provided: one for the peer review and one for the EGTC'S and FWF's PR activities.

In the presentation and publication of all project results, grant recipients are to comply with the requirements regarding the acknowledgement of EGTC funding and with the FWF's open access policy (see <https://www.fwf.ac.at/de/forschungsfoerderung/open-access-policy>) and the Italian Code for conduct of research (see <http://www.garanteprivacy.it/web/guest/home/docweb/-/docweb-display/docweb/1115480>).

JURISDICTION

The funding agreement between the applicant (South Tyrol, Trentino) and the EGTC as well as the consortium agreement are exclusively governed by Italian law as it is in force for the territory of South Tyrol. Any dispute arising in connection with this contracts/agreements and which cannot be resolved outside court, shall fall under the exclusive jurisdiction of the competent court at Bolzano-Bozen.

The funding agreement between the Tyrolean applicant and the FWF is exclusively governed by Austrian law. Any disputes arising from claims relating to a funding agreement with the Austrian Science Fund/FWF shall be settled in an official court. The venue is the competent court in Vienna.

Any disputes which may arise from a suspected infringement of the rules of proper scientific conduct shall be settled solely through arbitration.

APPENDIX I: Notes and questions for FWF reviewers of IPN proposals¹²

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,¹³ 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 (Note: a special focus should be put on the collaborative approach, the integration and complementarity of the scientific contributions of the different project partners)
- 3 Research-related qualifications of the researchers involved (based on their academic age) with special attention to strengths and weaknesses
- 4 Overall evaluation with regard to key strengths and weaknesses
- 5 Ethical issues

Section 2 (confidential remarks to the FWF)

Other comments intended solely for the FWF

¹² Further information about the FWF's corporate policy and the relevant application guidelines can be found on the FWF's website at <http://www.fwf.ac.at/en/about-the-fwf/corporate-policy/> and <http://www.fwf.ac.at/en/research-funding/fwf-programmes/stand-alone-projects/>.

¹³ **Formal requirements:** A project description no more than 20 pages in length (including tables or figures), a bibliography relevant to the project and a list of abbreviations (no more than five pages); academic curricula vitae of the project participants (no more than three pages); (project-related) publication lists of project participants (limited to publications from the past five years).