FUNDING GUIDELINES
LIT CALL 13 / 2024

GENERAL INFORMATION

Funding is provided by the Austrian Federal Ministry of Education, Science and Research and the State of Upper Austria.

- The call is open to all researchers who have already obtained a PhD degree / Dr. (scient.med.) In case of external researchers the grant of a funding is subject to the proviso that an employment at JKU is legally possible or an entrustment agreement according to § 29 para. 9 of the Austrian Universities Act will be concluded.
- Topics are not limited to those listed in the call.
- A PI may have only one LIT / LIFT_C funded project running. PIs who are already leading a LIFT_C project are not entitled to apply for a LIT fund.
- The PI's employment contract to JKU respectively the entrustment agreement according to § 29 para 9 of the Austrian Universities Act has to cover the entire duration of the project.
- It is not possible to change PI before the start of the project (next project in the ranking takes priority). In the event of a necessary change of PI (before starting the project), the project may not start. Instead, the next project in line will be funded.
- A potential PI who can take over the project lead in case the applicant PI is unable - for any reason - to complete the project, must be nominated.
- Submissions of the proposal to external funding agencies have to be indicated in the proposal. A double funding is not allowed.
- Funding for participants of the Faculty of Medicine in the categories SeedplusMED, Incoming and Co-Funding will be provided by the Faculty of Medicine.

REVIEW PROCESS

International scientific experts, nominated by the FWF, review **Young Career, Incoming Scientists, Seed and SeedplusMED Projects.** The entire review process requires approx. 8-10 months plus a few additional weeks to render the decision within JKU.

If there are two smaller excellent projects vs. one larger project that has same budget needs and they are equally good, then most likely the two smaller projects will be chosen to fund.

Co-Funding Projects undergo a shortened review process through scientific experts within the JKU.

PROJECT IMPLEMENTATION

General Information

The project management team (PI(s), Co-PIs) 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 which outlines the planned changes as well as provides detailed information on how the changes will influence the project's financial circumstances to the Rectorate (via lit@jku.at)

and – for **Projects involving the MED faculty** – to andrea.navarro-quezada@jku.at. Any changes require written approval issued by the Rectorate. Approved projects are not entitled to receive additional funds.

Starting the Project
The project start can be postponed up to a maximum of 6 months after approval or alternatively a cost-neutral extension may be granted once up to a maximum of 6 months. It is not possible to start the project later and apply for a cost-neutral extension.
The start of the project should be communicated by the PI on due time to lit@jku.at and – for **Projects involving the MED faculty** – to andrea.navarro-quezada@jku.at in order to have a record of the funding period.

LIT: Engaged scholarship and impact
The principles of academic freedom apply to all persons involved in a LIT funded project. All members of a LIT funded project are expected to take part in an interdisciplinary LIT community of practice that supports the mutual exchange of ideas between research groups. The project management team are encouraged to pursue third mission / transfer activities related to their research project.

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 to its own organisational unit, each publication and presentation must also mention the Linz Institute of Technology at the JKU (LIT), which will be referred to as "Johannes Kepler University Linz, Linz Institute of Technology (LIT)", and the individual LIT Project.

Furthermore, the publication/presentation has to include a reference to the fact that the project is funded by the State of Upper Austria and the Federal Ministry of Education, Science and Research.
Publications, talks etc. of the LIT project have to be fed into the Research Documentation (FoDok / Pure) with a share of approximately 25%.

Use of Research Findings
The research findings are the result of university research conducted at the JKU. All results/objects/artifacts must remain the complete property of the JKU. This has also to be taken into account when ordering services from third parties e.g., a work contractor or in context with cooperations with companies or other third parties. 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).

Processing of personal data
If personal data is processed in the course of the project (e.g. conducting a study, etc.), it may be necessary to draw up data protection declarations or agreements are drawn up in accordance with the GDPR (DSGVO). If you have any questions, please contact datenschutz@jku.at

Completing a Project Ahead of Schedule
The LIT Office (lit@jku.at) – for Projects involving the MED faculty additionally andrea.navarro-quezada@jku.at - are to be notified immediately in the event that:
- Insoluble technical issues arise during the project period,

- The PI's employment contract at the JKU ends or cannot start 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 has ended, the Rectorate will not make any further payments and the JKU cannot withdraw any funds from the project 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 well as the regulations and provisions outlined in these guidelines (e.g. funding contracts with the Austrian Federal Ministry of Education, Science and Research and with the State of Upper Austria) also apply even after the project's conclusion.

Transferring the project to another research facility is not permitted.

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. Eligible for funding are personnel costs and reasonable allowances for consumables; travel, and small equipment to be funded in exceptional cases only.

For the procurement of external services and equipment exceeding the amount of € 1.000,- exclusive VAT two comparative offers are to be obtained, over € 10.000,- exclusive VAT three comparative offers are needed. For external services and equipment exceeding the value of € 90.000,- excl. VAT a permission of the Department for Legal Affairs is needed before the procurement. Depending to the Federal Procurement Act a tender procedure may be required. For further details, please see SOP 4205 Beschaffungsrichtlinie or contact vergabeverfahren@jku.at.

The funds can be used (as requested in section B Budget of the Application Form):
a) To cover personnel costs for scientific/academic staff
b) Non-scientific staff (as part of a service contract) are funded, but have to be budgeted as "Other goods and services"
c) To purchase materials and small equipment/appliances/devices (under € 1.000 incl. VAT)
To be funded in exceptional cases only:
d) To purchase (and, if applicable, repair) scientific equipment needed for the project (over € 1.000 incl. VAT). This budget for equipment has to be requested in the application form under section B. Budget of the Application Form
e) To cover travel expenses
f) For project-specific costs that a) to e) cannot be allocated (for "other costs"). Scientific equipment purchased for the project becomes the property of JKU.

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 Austrian Universities Act 2002; 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). Personal costs have to be verified by time sheets of all project staff members.

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. It is not allowed to cover extra rewards (employee bonus etc.).

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 in good time before.
The project management team is responsible for ensuring that all members of the project team including the management team itself consume entitled holiday time (as outlined in the respective employment contract) before the period of the employment contract ends.

b) Scientific Equipment
The funds can be used to purchase any scientific equipment required in order to successfully complete the project in exceptional cases only and has to be requested in the application form in Section B. Budget of the Application Form.
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. According details will be provided by the department Controlling and Drittmittelservice.

Please note that equipment costs, which were not applied for, have to be shifted from the assigned project budget. Subsequent equipment applications have to be admitted by the LIT Office (lit@jku.at).

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 and have to be requested in the application form in Section B. Budget. Self-constructed materials and small-size equipment for scientific equipment fall under the category of "Scientific Equipment" as soon as their value exceeds € 1000.

d) Travel
Funds may be used to cover any travel required in order to successfully complete the project in exceptional cases only. 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, insurances (e.g. for using electronics) or

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 ("Werkverträge") require the prior approval of JKU legal department. Furthermore, the LIT Office must be informed in advance. Contract templates can be found under https://help.jku.at/recht/formulare. The completed but not yet signed contract has to be sent as a word document to rechtsabteilung@jku.at before the intended assignment – at least two weeks beforehand. Please note that in the case of contractors with foreign residence the service or works are taxable of VAT in Austria under the place of performance rules (reverse charge system) and JKU may furthermore be obliged to retain withholding tax. These individual tax circumstances must be considered in the calculation and paid from the internal account number (Innenauftrag) of the respective project.

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

ADMINISTRATING THE FUNDS

Funds will be paid out by using a separate, special form of internal account numbers (Innenauftragsnummer) created for LIT projects.

Authorization

In general, only the project leader(s) is(are) authorized to dispense and use the funds in accordance with the project's contract. Any authorization and approval requirements arising from the Universities Act or internal directives must be complied with. In exceptional cases, such as if funds are used inappropriately, or the project cannot be continued for whatever reason, the Rectorate reserves the right to access the funding as stated in the project funding form.

PROJECT COMPLETION

Final Progress 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 including a detailed account of the project's main findings and results is to be submitted to the JKU Rectorate (via lit@jku.at) 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). A template is available in https://help.jku.at/jkuallgemein/de/fakultaeten-schools/linz-institute-of-technology-lit/lit-formulare-und-vorlagen.

Evaluation

The 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) Engaged and impact scholarship (e.g., transfer activities/knowledge transfer, direct impact, practical/technological implementation)

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) to lit@jku.at. Unused funds will be deducted from the project's budget sheet. The expense report must include a detailed account that shows how the funds were used.

A template is available in https://help.jku.at/jkuallgemein/de/fakultaeten-schools/linz-institute-of-technology-lit/lit-formulare-und-vorlagen.

All bills, receipts, invoices, and other relevant documents pertaining to the proper implementation of the project will be kept by the PI(s) (in the original, if available, otherwise in copy) for 10 years and have to be provided to the LIT Office for audit purposes.

Time Sheets Employees

The time sheets of all project staff members must be submitted to the LIT-Office (lit@jku.at) together with the final report and the final expense report.

UAR-Monitoring

The Upper Austrian government reviews the funded projects at the end of each year. Therefore, the PI(s) will be contacted by the Upper Austria Research GmbH (UAR). An online-form has to be filled-in with the relevant project data.

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 issues confirmation pertaining to the review results and verifies project completion (a release).

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, or

e) if, based on the grant agreement concluded between JKU and the State of Upper Austria respectively the Austrian Federal Ministry of Education, Science and Research, one of the latter demands repayment for other reasons.

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, data 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.).

REVIEW

As the LIT Projects are funded by the State of Upper Austria the use of funding and the implementation and accounting of the projects may be reviewed by the State of Upper Austria or another external institution (e.g. Court of Auditors). JKU and the project management team respectively are obliged to grant the inspectors access to all of the project's materials and documents. Furthermore, all relevant documents concerning the project must be retained for the duration of the retention period specified in the grant agreement, which is usually set up with 10 years after the end of the project.

USE OF DATA BY THE JKU

The project management team notes that all personal information collected within the scope of the project application procedure may also be used for control and review purposes. Therefore, the information may be transmitted or disclosed to the Panel or to organs and agents of the Court of Auditors or other verifying bodies of the federal government or the Upper Austrian government. For further information concerning the use of data, please observe the "Privacy Statement for Applicants – LIT Call".

Please also note the requirements of the funding regulations of the ministry and the state - these may provide supplementary or deviating regulations for the implementation of the project.