

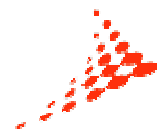
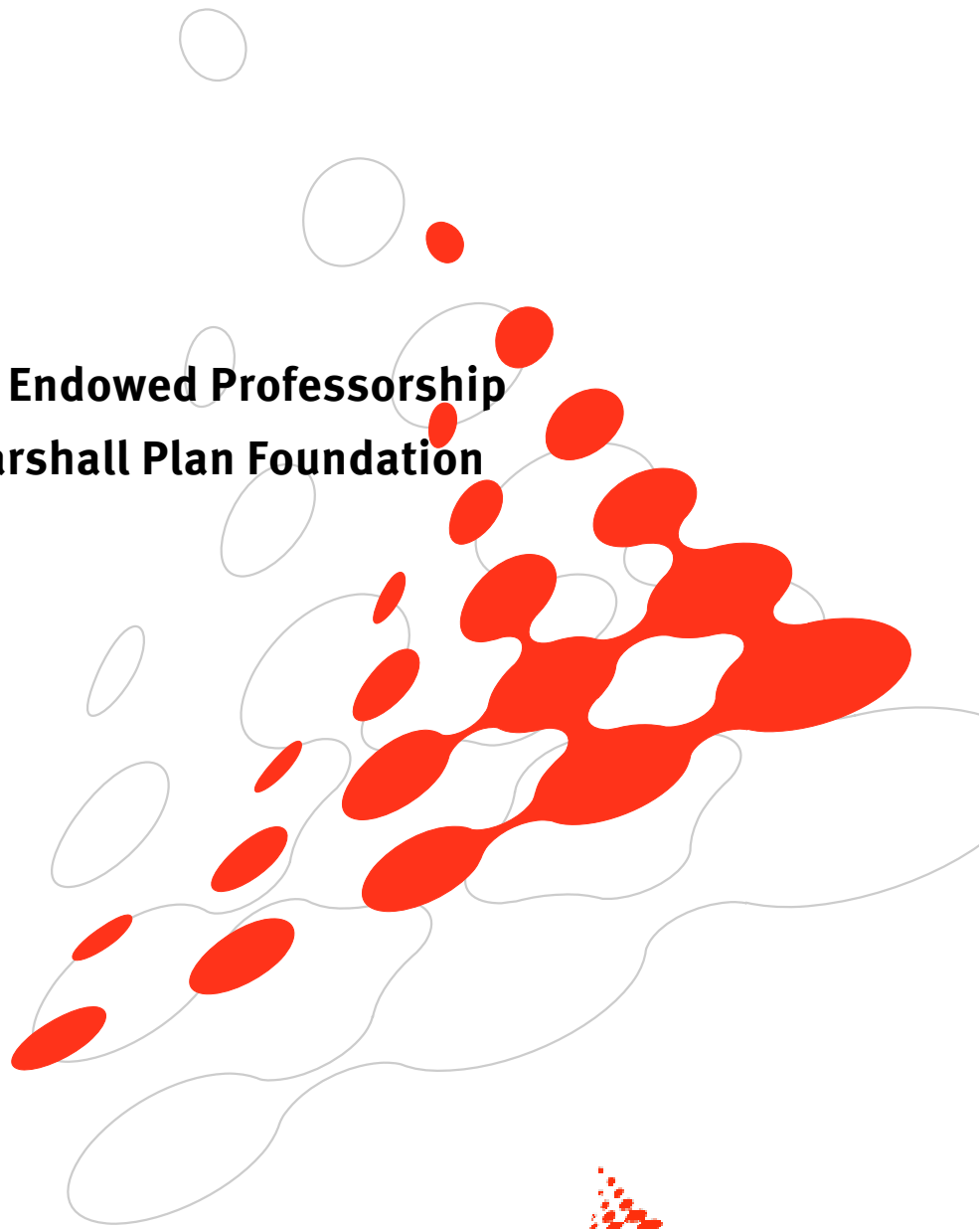


Marshallplan-Jubiläumsstiftung  
Austrian Marshall Plan Foundation

# Guidelines for the Endowed Professorship of the Austrian Marshall Plan Foundation

Version 1.0

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FFG

## Disclaimer

Every effort has been made to ensure the accuracy of this translation. Nevertheless, the FFG cannot assume responsibility for any errors that may inadvertently have occurred. In the event of any discrepancy, the German version is to be taken as valid.

## Contents

<b>0</b>	<b>Preamble</b> .....	<b>3</b>
<b>1</b>	<b>REQUIREMENTS AND FINANCING CONDITIONS</b> .....	<b>3</b>
1.1	What is an endowed professorship of the Austrian Marshall Plan Foundation? .....	3
1.2	What requirements must be met? .....	3
1.3	Who can submit an application for financing? .....	4
1.4	What financial contribution will be made by the Austrian Marshall Plan Foundation?.....	4
1.5	What costs are eligible? .....	4
1.6	What criteria are used to assess the applications? .....	5
1.7	What documents are required for submission? .....	6
<b>2</b>	<b>SUBMISSION PROCEDURE</b> .....	<b>6</b>
2.1	What is the procedure for submission? .....	6
2.2	What measures are taken to protect confidential data? .....	7
<b>3</b>	<b>EVALUATION AND FINANCING DECISION</b> .....	<b>7</b>
3.1	How is the evaluation process organised? .....	7
3.2	What is the formal check? .....	8
3.3	What does the compliance check by FFG involve? .....	8
3.4	What is the peer review? .....	8
3.5	What does the initial assessment by the members of the jury involve? .....	8
3.6	How is the hearing conducted? .....	8
3.7	Who takes the financing decision? .....	9
<b>4</b>	<b>PROCEDURE AFTER THE FINANCING DECISION</b> .....	<b>9</b>
4.1	How is the financing contract concluded? .....	9
4.2	How should requirements and recommendations be taken into account? .....	9
4.3	How are the candidates selected? .....	9
4.4	How are the instalments paid? .....	9
4.5	What requirements must be met prior to payment of the 1st instalment? .....	10
4.6	What reports and accounts are required? .....	10
4.7	How should changes be communicated? .....	11
4.8	Can the financing period be extended? .....	11
4.9	What happens after expiry of the financing period? .....	11

## 0 Preamble

The Guidelines for the Endowed Professorship of the Austrian Marshall Plan Foundation contain the fundamental **requirements, financing conditions and procedures** for the submission of applications for the financing of an endowed professorship.

The specific details of the call, including its goals and priorities, the budget and the deadline for submissions are specified in the Guidelines for Applicants.

## 1 REQUIREMENTS AND FINANCING CONDITIONS

### 1.1 What is an endowed professorship of the Austrian Marshall Plan Foundation?

Endowed professorships financed by the Austrian Marshall Plan Foundation are designed to attract excellent researchers from the United States to Austria. A key point is that the appointed professor will also be integrated in an existing work environment and will have his/her own research group. The selection criteria for endowed professorships include the scientific excellence of the professor to be appointed and the presence of a productive environment at the appointing university (research group/research field of the endowed professor).

The endowed professor will also be appointed university professor in accordance with Sec. 99 of the Austrian Universities Act (UG 2002). The call stipulates special requirements for the appointment. If a university is granted financing for an endowed professorship, it will be responsible for conducting the recruitment procedure in accordance with these requirements. The process to be followed in the appointment procedure is specified in the Austrian Universities Act.

### 1.2 What requirements must be met?

The endowed professorship is financed under the following conditions:

- The concept submitted must present the total costs of the endowed professorship. The funds provided by the applicant university as well as the contributions by the co-financing partners must be evidenced by Letters of Commitment (LOC).
- The financing period is limited to 5 years and includes the establishment of a research group in Austria in the chosen research topic (see Guidelines for Applicants).
- The Call is addressed to universities in accordance with Sec. 6 UG 2002.
- The appointment is made in accordance with Sec. 99 UG 2002.
- The person appointed must conduct research in a research topic specified in Chapter 2.3 of the Guidelines for Applicants.
- The person appointed must come from a US research organisation (university, non-university research institution).

- The appointing university declares that the use of the funds is at the sole discretion of the endowed professor.
- The endowed professor must have an employment contract of at least 80% with the appointing university throughout the financing period.

### 1.3 Who can submit an application for financing?

Applications may be submitted by universities in accordance with Sec. 6 UG 2002.

The applicant university nominates a project manager to act as contact for the FFG and the Austrian Marshall Plan Foundation.

### 1.4 What financial contribution will be made by the Austrian Marshall Plan Foundation?

The Austrian Marshall Plan Foundation will make available a maximum amount of EUR 1 million over a period of 5 years.

The applicant university is expected to provide at least 15% of the funds required (in cash or in kind). A higher contribution is desired.

The involvement of other external co-financing partners (e.g. other foundations, companies, private sponsors) is possible. The co-financing partners make contributions in cash. The financing concept for the entire financing period must be presented in the application.

### 1.5 What costs are eligible?

All costs attributed to the establishment of the endowed professorship are eligible for financing. This includes expenses incurred directly, actually and additionally (to the normal operational costs) during the financing period.

**Costs** will not be **recognised** and the financing period for the endowed professorship will not commence until the appointment procedure has been concluded and the **professor has accepted the appointment**.

The financing period corresponds with the contractually agreed term of the endowed professorship.

**Detailed information on eligible and non-eligible costs** are given in the “Guidelines for the Accounting of Project Costs in Funding Applications and Reports” (Cost Guidelines Version 1.3), which may be found at [www.ffg.at/kostenleitfaden](http://www.ffg.at/kostenleitfaden).

The following rules apply to endowed professorships **in addition to the Cost Guidelines**:

- Costs of internationally excellent research are eligible for financing up to the maximum amount specified in the federal salary scale. The salary may exceed this limit (international customary level of remuneration for special research expertise), but the amount exceeding this limit is not eligible for financing from funds of the Austrian Marshall Plan Foundation.
- Administrative costs are not eligible for financing and must be included in the overhead costs.

- Third-party costs must not exceed 20% of the total costs.

## 1.6 What criteria are used to assess the applications?

Financing applications for the endowed professorship of the Austrian Marshall Plan Foundation will be assessed according to the following **three main criteria**:

- Relevance to the call
- Quality of planned implementation
- Qualification of the applicant university

The following table provides the relevant sub-criteria and the questions used to assess them. In the course of the assessment, marks are assigned to each criterion. The maximum number of points achievable in each criterion reflects the significance of that criterion.

		<b>Points</b>	<b>Threshold</b>
<b>1. Relevance to the call</b>		<b>35</b>	<b>21</b>
• Thematic relevance	<ul style="list-style-type: none"> <li>• To what extent does the endowed professorship contribute to reaching the three goals of the call?</li> <li>• Does the thematic focus for the planned appointment correspond with the call topics?</li> <li>• What is the future potential of the endowed professorship for the planned research topic?</li> </ul>		
• Potential for cooperation with US partners	<ul style="list-style-type: none"> <li>• Is the endowed professorship expected to provide a significant impact for broadening or deepening collaborations between Austrian universities and US research institutions?</li> <li>• Will the endowed professorship lead to long-term collaborations beyond the term of the professorship?</li> </ul>		
<b>2. Quality of planned implementation</b>		<b>35</b>	<b>21</b>
• Quality of planning	<ul style="list-style-type: none"> <li>• Have strategies been put in place to integrate the professorship in research, teaching and the development of young researchers?</li> <li>• Is the planned appointment procedure well-structured, transparent and realistic?</li> <li>• Is the financing concept transparent and realistic? Is the financing framework flexible enough to support the development of research and teaching capacity?</li> </ul>		
<b>3. Qualification of applicant university</b>		<b>30</b>	<b>18</b>
• Framework and development potential	<ul style="list-style-type: none"> <li>• Does the university provide development opportunities for the research field?</li> <li>• Does the infrastructure provide an attractive and productive environment for the endowed professorship?</li> </ul>		

## 1.7 What documents are required for submission?

Applications may only be **submitted electronically via eCall** at <https://ecall.ffg.at>. The following **documents** must be attached to the electronic application using the **eCall upload function**:

- **Project Description:** thematic application – upload as PDF file
- **Cost Plan:** cost tables – upload as **one** Excel file
  - **Attachments to the electronic application (PDF file):**
    - Letters of Commitment
    - Draft of the position announcement for the endowed professorship
    - Extract from the development plan of the applicant university; including English translation (extract must be presented at the hearing at the latest).

In individual cases additional supporting documents may be requested. The financing application must be submitted in English.

## 2 SUBMISSION PROCEDURE

### 2.1 What is the procedure for submission?

The complete set of application documents must be submitted electronically via **eCall** at <https://ecall.ffg.at>. The deadline for applications is **15 May 2014**, 12:00 noon (CEST).

The application forms for the relevant call are to be used without exception (see Chapter 3 of Guidelines for Applicants).

An application is considered to have been submitted if it has been **completed in eCall** by clicking the “Submit” button. On successful submission an automatic confirmation of receipt will be sent by e-mail. It is **not possible to resubmit** the application or parts of it or to revise the application once it has been submitted.

Applicants are not required to send a duly executed copy of the financing application by post. The online submission is sufficient.

The application may only be submitted by the applicant university or by a duly authorised person, usually the rector or vice-rector. Proof that this person is entitled to represent the university must be provided to the FFG at any time on demand. If this cannot be done, the FFG reserves the right to reject the applications in question for formal reasons.

A **detailed tutorial** on eCall is available at <https://ecall.ffg.at/Cockpit/Help.aspx>.

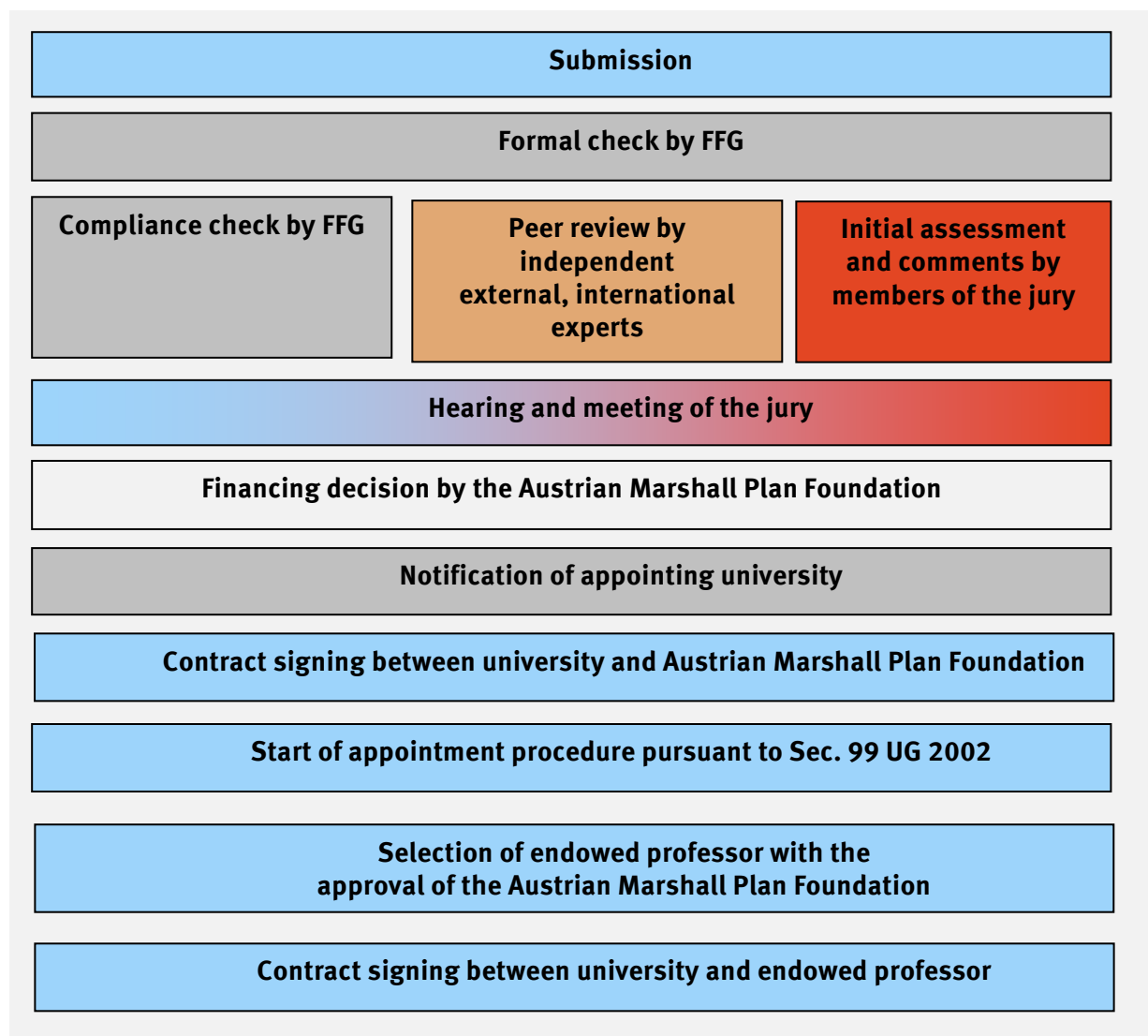
Please refer to the Guidelines for Applicants for further instructions and formal requirements for submissions.

## 2.2 What measures are taken to protect confidential data?

All applications that are submitted will only be made available to the persons involved in the administration of the call. All these persons are sworn to treat the information in strict confidence. In particular, the national and international experts involved in the review must sign a declaration of confidentiality before they start their work.

## 3 EVALUATION AND FINANCING DECISION

### 3.1 How is the evaluation process organised?



- Main Responsibility of applicant university
- Main Responsibility of FFG programme management
- Main Responsibility of jury
- Main Responsibility of external peer reviewers

### 3.2 What is the formal check?

During the formal check, the application is checked for **formal correctness and completeness**. The information contained in the application is not examined during the formal check; this takes place during the evaluation process. Should it transpire after the formal check that incorrect information has been given, the application may also be removed from consideration at a subsequent point in the procedure.

The **result** of the formal check will be communicated within **four weeks by means of an eCall message**.

**If the formal criteria are not met and the deficiency(ies) cannot be rectified, the application for financing will fail the formal check and will not enter the subsequent steps of the procedure. If the formal check reveals deficiencies that can be rectified, the applicant is given the opportunity to rectify these problems within a reasonable period of time.**

A relevant “**Checklist**” can be found in the project description template.

### 3.3 What does the compliance check by FFG involve?

The FFG programme management will check the application for compliance with the relevant guidelines.

The correctness and plausibility of the financing plan for the endowed professorship will also be examined.

### 3.4 What is the peer review?

The peer review is carried out by international experts based on the submitted documents. They assess the scientific quality of the application and its relevance to the goals of the call. The peer reviews will be made available to the members of the jury.

It is possible to **exclude reviewers** (individuals or staff of particular organisations) for justified reasons. eCall contains an entry field for this purpose.

### 3.5 What does the initial assessment by the members of the jury involve?

The members of the jury assess the applications in accordance with the criteria specified in Chapter 1.6. This assessment includes both scientific perspectives as well as structural issues. This initial assessment provides the basis for formulating questions for the hearing, which are forwarded to the applicants prior to the hearing.

### 3.6 How is the hearing conducted?

The hearing is conducted by the members of the jury. The applicants use the hearing to present the concept for their endowed professorship. The jury has the opportunity to ask questions based on the assessment of the applications in order to discuss the written project description in more detail.

The jury takes the compliance check, the peer reviews and the results of the hearing (presentation and interview) as a basis to recommend which endowed professorships



should receive financing and formulates the corresponding conditions and/or recommendations.

**The hearing is conducted in English. The applicants will be notified of the exact date of the hearing in due time and receive detailed information via eCall.**

### **3.7 Who takes the financing decision?**

The financing decision is taken by the Austrian Marshall Plan Foundation based on the recommendation of the jury. In the event of rejection the applicant university will be notified of the reasons for the decision in writing.

## **4 PROCEDURE AFTER THE FINANCING DECISION**

### **4.1 How is the financing contract concluded?**

The Austrian Marshall Plan Foundation will send the successful university a tentative financing contract, which will enter into effect upon written acceptance by the university.

### **4.2 How should requirements and recommendations be taken into account?**

During the assessment of the application, recommendations or binding requirements may be formulated. Requirements may be preconditions for the conclusion of the financing contract or may represent conditions to be met within the financing period.

### **4.3 How are the candidates selected?**

The candidates will generally be selected by the appointing university with the approval of the Austrian Marshall Plan Foundation.

### **4.4 How are the instalments paid?**

The Austrian Marshall Plan Foundation will pay the first instalment once the contract has been signed and any conditions and requirements have been met.

The payment of financial support during the financing period does not imply approval of the costs.

Before payment of the final instalment, the final report and the final accounts will be examined. The costs will be approved once discharge is granted following the audit by the FFG Project Controlling & Audit Division.

<b>Instalment scheme</b>	
<b>Duration in months (years)</b>	<b>60 (5)</b>
<b>Number of reports (interim reports and final report)</b>	<b>5</b>
<b>1<sup>st</sup> instalment</b> (% of contractual amount)	20 %
<b>2<sup>nd</sup> instalment</b> (up to % of contractual amount)	20 %
<b>3<sup>rd</sup> instalment</b> (up to % of contractual amount)	20 %
<b>4<sup>th</sup> instalment</b> (up to % of contractual amount)	20 %
<b>5<sup>th</sup> instalment</b> (up to % of contractual amount)	10%
<b>Final instalment</b> (up to % of contractual amount)	10%

#### 4.5 What requirements must be met prior to payment of the 1st instalment?

The financing period commences upon acceptance of the appointment by the endowed professor. Payment is conditional on the presentation of binding financing commitments by the co-financing partners and a corresponding work plan.

The appointing university must therefore send the following documents to the FFG via eCall:

- Information about the outcome of the appointment procedure (acceptance of appointment by the selected professor),
- Work plan for the entire term of the professorship agreed with the endowed professor,
- Written financing commitments by the co-financing partners including a payment plan and any exit scenarios, if required.

A confirmation by the FFG will be available within 2 weeks of submission of all necessary documents.

#### 4.6 What reports and accounts are required?

Within one month of the reporting deadlines specified in the financing contract, an **interim scientific report** and interim financial accounts must be submitted **via the eCall reporting system**.

Within two months of the end of the contractual period a **final scientific report** and the final accounts must be presented, again via the eCall reporting system.

All reports and accounts must include all partners' activities and costs attributable to the endowed professorship that have been paid from funds of the Austrian Marshall Plan Foundation.

The eCall **templates** are to be used in the preparation of the reports.

**Detailed information** on eligible and non-eligible costs are set out in the “Guidelines for the Accounting of Project Costs in Funding Applications and Reports“ (Version 1.3), which can be found at [www.ffg.at/Kostenleitfaden](http://www.ffg.at/Kostenleitfaden).

In addition, the applicant university undertakes to work together with the Austrian Marshall Plan Foundation, the FFG and the responsible government departments to support PR work, as and when required. This relates in particular to the making available of non-confidential project information and images for electronic dissemination portals and other media purposes.

#### 4.7 How should changes be communicated?

The FFG must be informed of **substantial changes** to the submitted and approved implementation plan (e.g. delays in the appointment procedure, changes in key personnel, withdrawal or admission of co-financing partners) immediately after they become known.

Before any **changes** may be made to **contractual parameters** (dates, costs, etc.), a substantiated request to this effect must be submitted to and **approved by the FFG**.

The **request** for such a change, together with an appropriate description and justification, is to be submitted via **eCall**. Any necessary supporting documentation should be uploaded as an attachment to the eCall message or sent by post.

The reallocation of costs between cost categories (e. g. material costs to personnel costs) is possible.

**Minor cost reallocations** should be justified, either in a report or via an eCall message. Minor cost reallocations between cost categories are taken to mean the reallocation of amounts below 15 % of the total costs or below EUR 15,000.

**Major cost reallocations** are all reallocations that cannot be considered as minor. Major cost reallocations must be requested in advance by means of the cost reallocation table (FFG template) and a detailed explanation and justification.

#### 4.8 Can the financing period be extended?

The financing period may be extended for up to a maximum of one year, without the payment of additional support, subject to prior approval of the Austrian Marshall Plan Foundation. An application for extension of the financing period must in any case be submitted to the FFG via eCall within the approved financing period.

#### 4.9 What happens after expiry of the financing period?

After a **review of the final scientific report and the final accounts**, the FFG’s Project Controlling & Audit Division will undertake an audit to establish whether the support has been used in accordance with the regulations. During the course of the **audit the final level of eligible costs will be established**.

The **result** of the audit **will be communicated in writing to the project partners**. If the results are positive, the FFG will confirm that the support has been used in accordance with its regulations; in the event of a **negative** result, procedures may be initiated to secure **repayment** of support.

If the result is **positive** and if the level of cost initially envisioned has been reached, the final instalment given in the financing contract will be transferred. If the project is underspent the funds will be reduced accordingly.

The funds paid may also be reduced for scientific reasons, as well as on formal and legal grounds.

The FFG is entitled to examine the accuracy of the information provided by the funding recipients as well as the correct and legal use of the funds throughout the financing period and especially during the audit of the final accounts.

Any original receipts and the associated documentation of cash flows (e.g. account statements) must be made available for FFG audits and must be kept for a period of 10 years. The audits will be duly announced by the FFG.