1-15-2009

Proposal on a Research Institute for the Protection of Cultural Property in the Event of Armed Conflicts to the Ludwig Boltzmann Society (Austria)

University of Vienna

Austrian Society for the Protection of Cultural Property

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Proposal on a Research Institute for the Protection of Cultural Property in the Event of Armed Conflicts to the Ludwig Boltzmann Society (Austria)

An Initiative at the University of Vienna and of the Austrian Society for the Protection of Cultural Property
1. Cover Sheet

1.1. Name of the planned Institute

Ludwig Boltzmann Institute for the Protection of Cultural Property in the Event of Armed Conflicts (LBI PCP)

1.2. Coordinator and Applicants

The coordinator and the applicants accept the conditions set out in the guidelines for the application for Ludwig Boltzmann Institutes and in the corresponding manual. They also accept their responsibility for the compliance with all relevant legal regulations. The applicants grant to the coordinator all the necessary powers to act on their behalf in connection with this call for proposals.

<table>
<thead>
<tr>
<th>Coordinator</th>
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<tbody>
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<tr>
<td>Place, Date, Signature</td>
<td>Vienna, January 15, 2009</td>
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<table>
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<th>Applicants</th>
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<td>Partner organization 1</td>
<td>University of Vienna</td>
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<tr>
<td>Contact Person</td>
<td>Dr. Friedrich Schipper</td>
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<td>Department</td>
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<td>Partner organization 2</td>
<td>Center for Global Law &amp; Policy, School of Law, Santa Clara University (California, U.S.A.)</td>
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<td>Contact Person</td>
<td>Dr. Jiri Toman</td>
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<td>Department</td>
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<td>Partner organization 3</td>
<td>Austrian Society for the Protection of Cultural Property</td>
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<td>Contact Person</td>
<td>Brig Norbert Fürstenhofer</td>
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<td>Department</td>
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<tr>
<td>Partner organization 4</td>
<td>Association of National Committees of the Blue Shield</td>
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<tr>
<td>Contact Person</td>
<td>Karl Habsburg-Lothringen</td>
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3. Ausschreibung
Partner organization 5 | Austrian Federal Ministry of the Interior, Criminal Intelligence Service, Cultural Property Unit (Interpol Art Crime Bureau)
---|---
Contact Person | Anita Gach (Gen Franz Lang)
Department | 

Partner organization 6 | CIMIC Center of Excellence (NATO)
---|---
Contact Person | Col Hans Jürgen Kasselmann
Department | 

For additional Institutional Partners please use the space given below.

List of partners currently without LoI and potential partners that would be considered for the extend version of the proposal:
- UNESCO Division of Cultural Objects and Intangible Heritage
- Austrian National Committee of the Blue Shield
- Foreign Policy and United Nations Association of Austria
- National Defense Academy Austria - Institute for Human and Social Sciences
- Austrian Armed Forces Disaster Relief Unit
- Defense Force College South Africa
- Center of International Political Studies at the University of Pretoria
- Cultural Policy Center at the University of Chicago
- Sustainable Heritage Development Department of the Australian National University
- American Institute of Archaeology
- Dept. of Archaeology at Boston University
- US Department of Defense Legacy Resources Management Program
- Raiffeisen-Holding NÖ-Wien
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4. Executive Summary (no more than 1 page)

The history of the past 25 years demonstrates that, despite international conventions and public awareness, cultural property is increasingly becoming a target of high priority in armed conflicts and the cultural cleansing of whole regions one of the prime goals of warfare. These conflicts often form the context of the looting of cultural property. The illicit trade in looted cultural property is one of the most profitable branches of international organized crime and also adds to the war chests of international terror organizations. This makes the targeting and looting of cultural property in the context of armed conflicts and the illicit trade in cultural property also a matter of international security. The Hague Convention (HC) for the Protection of Cultural Property in the Event of Armed Conflict (1954) and its First Protocol were drafted against the backdrop of experiences of World War II when damage to cultural property mainly happened as collateral damage. Since then, conflict scenarios have changed dramatically, even though regular armed forces of many national states have applied procedures to meet the principles and standards of the HC and its protocols. Nevertheless today – and most likely also tomorrow – armed conflicts are no longer limited to “classical” conflict in the sense of international law (as the HC); wars fought by regular armed forces of national states. Rather, more and more we face inter-ethnic and inter-religious armed conflicts fought by irregular forces that are not constrained by the conventions of international law. We have to deal also with long lasting and devastating post-conflict scenarios, situations of political instability and long term military occupation. Even when conflicts are carried out by national states that are subjects to international law, it is an increasing reality that governments deploy private military and security companies in addition to regular armed forces. All these developments have added significantly to the dramatic loss of cultural property since the end of World War II, which is almost 50 % of all cultural property according to UN estimates. Faced with such dramatic changes in warfare and the incredible loss of cultural property, research is needed to mitigate further damage and loss. The developments in conflict outlined above present a huge challenge to research and demand a multidisciplinary approach within a multinational network of partners to be facilitated by the Ludwig Boltzmann Institute for the Protection of Cultural Property in the Event of Armed Conflicts (LBI PCP). Research will cover a broad range of philosophical, ethical, juridical, humanitarian, social, sociological, psychological, humanistic, historic, religious, cultural, economic, political, military disciplines and approaches, phenomena and problems. The multidisciplinary approach will enhance understanding of the mechanisms of the targeting, looting and destruction of cultural property in the diversity of armed conflict scenarios. The network of partners carrying out research will consist of academic, civil and military, research institutions on all five continents. Its center will be based in Vienna. The network of partners benefiting from and applying the results of this research will consist of international, civil service and military organizations. The main goal of this research is to provide new neutral information to serve as a solid basis for the development of international law; effective procedures and tools for the protection of cultural property in the event of armed conflict; and applicable principles for military doctrines and rules of engagement.
5. Research Program (no more than 10 pages)

1. Objectives and concept

The axiom: Preserving cultural heritage is not merely about monuments and artifacts but about people and identity. Consequently, the protection of cultural property is not about the past but concerns the present and future of all humankind.

The state of affairs: The history of the past 25 years demonstrates that, despite international conventions and public awareness, cultural property is increasingly becoming a target of high priority in armed conflicts and the cultural cleansing of whole regions one of the prime goals of warfare.

Around the whole world, such armed conflicts often form the context and the incentive for the looting and destruction of archaeological sites as well as religious buildings and cultural institutions, such as libraries, archives, and museums. The targeting, looting and destruction of cultural property connected to armed conflicts threatens scientific investigation on, conservation of, and general access to our common cultural heritage, and to World Heritage sites, in particular.

An additional threatening factor is the illicit trade in cultural assets. Apart from the trade in arms, drugs, menial labor and sex slavery, as well as in rare and endangered animals, the trade in looted artifacts forms one of the most profitable branches of international organized crime and also adds to the war chests of international terror organizations. This makes the targeting, looting and destruction of cultural sites in the context of armed conflict and the illicit trade in cultural property also a matter of international security.

The legal framework: The 1954 Hague Convention for the Protection of Cultural Property in the Event of Armed Conflict and its First Protocol were drafted against the backdrop of the experience of World War II when destruction of cultural property was commonly the result of collateral damage. Since then, warfare and conflict scenarios have changed dramatically and, even though regular armed forces of many national states have applied procedures to meet the principles and standards of the HC (e.g. within the CIMIC model) and even though the Second Protocol (1999) to the HC intends to address these changes, damage and destruction continues to increase.

Furthermore, a series of other legal conventions supports the HC purpose to protect cultural heritage, no matter whether in peace or wartime.

The set of problems: Today – and most likely also tomorrow – armed conflicts will no longer be limited to “classical” conflict scenarios as war in the sense of international law (as the HC) wars fought by regular armed forces of national states. More and more we face inter-ethnic and inter-religious armed conflicts – conflicts of an asymmetric character – fought by irregular forces that are not constrained by the conventions of international law. At the same time, we have to deal with long lasting and devastating post-conflict scenarios, situations of political instability and long term military occupation. Even when conflicts are carried out by national states that are subject to international law, it is an increasing reality that governments tend to deploy private military and security companies in addition to regular armed forces. All these developments add significantly to the dramatic loss of cultural
property since the end of World War II, which is almost 50% of all cultural property according to UN estimates.

**The concept:** Faced with such dramatic changes in warfare and the incredible loss of cultural property, research is needed to mitigate further damage and loss. The developments in conflict outlined above present a huge challenge to research and demand a multidisciplinary approach within a multinational network of partners that will be embraced and provided by the *Ludwig Boltzmann Institute for the Protection of Cultural Property in the Event of Armed Conflicts (LBI PCP)*. While the Institute will work closely at times with the governments and armed forces of different countries it will always remain an independent, neutral organization.

Research will have to cover a broad range of philosophical, ethical, judicial, humanitarian, social, sociological, psychological, humanistic, historic, religious, cultural, economic, political, military, disciplines and approaches, phenomena and problems. The multidisciplinary approach will enhance understanding of the mechanisms of the targeting, looting and destruction of cultural property in the diversity of armed conflict scenarios.

**The objectives:** The goal of research at the *LBI PCP* is to provide new, neutral information to serve as solid basis for the development of international law; effective procedures and tools for the protection of cultural property in the event of armed conflicts for governmental bodies, administrations and civil service, public institutions and NGOs; and applicable principles for military doctrines and rules of engagement. Such information will be set within the context of basic principles and ethical guidelines for the interaction between political/governmental, military/security, legal/law enforcement and academic agents involved.

2. Partner Organization Network

As the problems intended to be addressed by the research design of the *LBI PCP* and the challenges faced by the scientific community cover a broad range of questions, the network of national and international partners reflects the multidisciplinary approach of the institute. This network is a strong combination with some partners carrying out research with others applying and testing research results. Some partners will both carry out and apply and test research. Their reasons to join this network vary as can be stated according to the *Letters of Intend*. Altogether, they form a research coalition of a new kind.

One of the prime strategic goals is to focus the competences already existing in Austria. To this end the Austrian partners will be [a] the University of Vienna; [b] the Austrian National Committee of the Blue Shield (including the Austrian UNESCO-Commission); [c] the Austrian Society for the Protection of Cultural Property – as the leading NGOs in the field of cultural property protection in this country; [d] the Cultural Property Unit of the Criminal Intelligence Service/Federal Ministry of the Interior, that is also the HQ of the Art Crime Bureau of Interpol – as law enforcement is an indispensable issue of cultural property protection especially in regard to illicit trade; and [e] the Austrian Armed Forces, in particular the Institute for Human and Social Sciences of the National Defense Academy – as military knowledge and expertise crucial to any research that deals with aspects and effects of war and armed conflicts.
Prime military partners will be [a] the CIMIC Center of Excellence in Enschede, The Netherlands, which is a higher academic institution of NATO and deals with future concepts of civil/military cooperation in theory and practice; [b] the Legacy Resources Management Program of the US Department of Defense; and [c] the Defense Force College of South Africa – in cooperation with the Center of International Political Studies at the University of Pretoria in South Africa which together will provide a modern African perspective on the overall issue.

With respect to international NGOs, the Association of National Committees of the Blue Shield (ANCBS) will be the prime partner as it comprises all National Committees of the Blue Shield around the world and allows access to both the more powerful and active committees (e.g. Australia, Chile, France, The Netherlands, U.K and Ireland, and U.S.A.) and also to committees in regions harshly affected by armed conflicts. Of course, UNESCO will not only be a crucial member of the LBI PCP’s Curatorship, but its Division of Cultural Objects and Intangible Heritage will be an important partner as well.

A series of university partners will cover various scholarly aspects of cultural property protection. These include [a] the Cultural Policy Center at the University of Chicago; [b] the Center for Global Law & Policy of the School of Law of the Santa Clara University in California; [c] the Department of Archaeology of Boston University; and [d] the Sustainable Heritage Development Department of the Research School of Pacific and Asian Studies of the Australian National University. This range of academic institutions will be supported by scholarly NGOs such as the American Institute of Archaeology.

3. Methodological Approaches and Theoretical Background

There is little academic literature relating to the relationship between cultural heritage experts and the military. Given this paucity of literature the LBI PCP will be developing not only its own approaches but the research field as a whole. The theoretical basis for this new research field will therefore be developed drawing on the literature from a wide range of disciplines - that will include philosophy, ethics, law, sociology, psychology, military and other history, religion, cultural heritage and archaeology, economics, and politics - and practices from areas such as development work, military strategies and tactics, and NGO activity.

The research at the LBI PCP falls in all three categories of research: basic, applied and experimental. Consequently, the methodology employed by researchers will, by necessity, vary given the nature of their particular activity. It will by default be multidisciplinary and pluralistic. Much will be based on the approaches developed for ‘Action Research’ where theories are constructed, tested, and modified in a continual feedback loop. The central premise of the LBI PCP is to provide advice and protocols based on detailed, neutral research that will be of immediate use in conflict situations.

4. State of Research

Since the 1954 Hague Convention came into force there has been a surprising but steady decline in interest in and research on the protection of cultural property in the event of armed conflicts. Instead, research on cultural property protection focused on natural disasters and economic development as the two major threats. For reasons not really
comprehensible, the time and world of the Cold War was not perceived as a suitable stage for further research on the protection of cultural property in the event of armed conflicts. Perhaps, because the many proxy wars were fought in regions far away from the West in areas arrogantly and wrongly not considered as requiring consideration regarding cultural property protection. And perhaps, nobody considered cultural property protection an issue in the case of nuclear war.

This situation changed completely when the so-called Balkan Wars began. Research and diplomacy against the backdrop of the dramatic destruction in Bosnia-Herzegovina and Kosovo led to the drafting of the Second Protocol of the Hague Convention that addresses the developments in warfare that have taken place between World War II and the Balkan Wars. It has to be added that by that time also other armed conflicts around the world had caused similar losses of cultural heritage but such damage failed to become a key issue in international media or politics and were mostly neglected by scholarship. The research that was undertaken dealt with a limited range of questions, in part also limited to theory without taking in consideration any practical consequences, and usually within the borders of particular disciplines.

It was not until the Second Iraq War (2003), with the opportunity for somewhat theatrical media coverage of the looting of the National Museum in Baghdad as an image and PR disaster for the U.S.A. and its Western coalition partners, that things started to change again. Today, cultural property protection in the event of armed conflict is a cardinal issue for scholars of many disciplines as well as civil administration and military experts. Literature of diverse orientation and quality has been produced and numerous so-called 'experts' meetings' have become common.

*The current research situation* seems widely chaotic and the search for effective solutions and applicable modes, models and procedures seem partly frantic – as armed conflicts and subsequent destruction of cultural heritage are increasing phenomena worldwide. There is no adequate coordination of research efforts; hardly any communication between the different sectors of science and service – and if there is such there is no sustained yield; and, in part, there is serious disregard and distrust between academic, civil service, and NGO communities and the military.

The *LBI PCP* wants to bring overdue and decisive change to this complex situation. It will be able to overcome the drifting situation, to head forward in promising directions and serve as an independent, neutral scholarly interface between influential international organization such as UNESCO, ICBS, ANCBS, ICRC; military organizations and units like NATO, PfP, MoDs; academies, centers and schools; governmental and public service bodies; private NGOs and civil academic research institutions (e.g. university schools and institutes) that will allow new basic, applied and experimental research to focus and flourish.

5. Type of Research

The research at the *LBI PCP* falls in all three categories of research: basic, applied and experimental. As the *LBI PCP* is made up of five research units devoted to different sets of questions and tasks, the types of research used in the units deviate from each other.
Unit 1 will carry out basic research as it investigates the diverse array of motives for the targeting, looting and destruction of cultural property in the event of armed conflicts and the impact on affected communities and society in general – in both the historic and contemporary context. Particular interest will be given to the phenomenon of cultural cleansing that is an even older aspect of war than ethnic cleansing but usually neglected in research.

Unit 2 will carry out basic and applied research as it deals with the various aspects of international law concerning cultural property, in particular the 1954 Hague Convention and its two protocols. It has the ambitious aim of laying the grounds for (chapters of a) third protocol to the HC that, building on the results of Unit 1, will address present and future challenges of warfare and war threats to cultural property. It will also deal with other corpora of international law concerning cultural property protection with particular regard to the consequences of the illicit transfer of ownership of cultural property. It will also tackle all aspects and challenges relating to law enforcement, especially in the event of armed conflict and post conflict scenarios.

Unit 3 will carry out applied research by dealing with the huge and diverse problem of illicit trade in cultural property. In particular it will focus on illicit trade in relation to organized crime which is – apart from the trade in arms, drugs, menial labor and sex slavery, as well as that in rare and endangered animals – one of its most profitable branches. The effects of the structure of international security will be a central focus. Of crucial importance is the broadening of the scope on the rather new aspect of looted cultural property as an additional element, or even back bone, of the financing of terror groups, especially those working internationally.

Unit 4 will carry out applied and experimental research. It will explore the potential for the development of effective procedures and tools for and chapters of political doctrines on the protection of cultural property in the event of armed conflicts that can be applied by governmental bodies and civil administrations as well as public institutions and NGOs. It intends to develop modes of interrelation and cooperation for the parties involved.

Unit 5 will carry out applied and experimental research dealing with all military aspects of the protection of cultural property in the event of armed conflicts, e.g. the education of military experts; training of officers and soldiers; cultural property protection as an issue of military planning and operation (e.g. exploring new ways for implementing cultural property protection into military doctrines and rules of engagement – in particular for international missions); and cultural property protection as a matter of future civil/military cooperation.

Units 4 and 5 will also have to carry out basic research as they have to investigate for basic principles of – and ethical guidelines for – the interaction and/or cooperation between political/governmental/administrative, military/security, legal/law enforcement, NGO, and academic agencies/agents involved.

6. Human Resources

The positions will be filled through advertising all research posts internationally. At present there are no candidates for any position but the coordinator.
Ludwig Boltzmann Gesellschaft

Board of directors: Due to the intended size and structure of the LBI PCP it will be directed by three scholars: a Director and two Deputy Directors. All have to be very experienced in a broader range of issues related to the protection of cultural property in the event of armed conflict regardless of their particular discipline and they will have to show experience in the management of research projects and/or academic units. Applicants will have to be familiar with the overall state of relevant research as well as the extent and make-up of the international scientific community. They must have a good record in publications and presenting papers at national and international meetings as they will be the main international academic representatives of the Institute. They have to be able to demonstrate a successful record of activity within the international NGO-sector.

The Director will be responsible for the overall leadership of the LBI PCP. This person must have a deep understanding and appreciation of the agenda, rules and modes of the LBG constantly maintaining contact with its executive office. The Director will be the senior member of staff of the Institute and the only superior to the executive manager. The Director will be the prime contact for the organizations of the Curatorship as well as the scholars on the Scientific Advisory Board – both bodies established according to the guidelines and usus of the LBG. The Director will be the principal line manager for all key research personnel. The first Deputy Director will be responsible for maintaining the international network of partners and for coordinating the exchange and transfer of knowledge and expertise and personnel between the partners; this person must be an extraordinary polyglot and show excellent communication skills and have outstanding experience in the international arena both at an academic as well as NGO-level. A second Deputy Director will be especially committed to the mentoring of the PhD training group; this person must be able to show an excellent record in university teaching including the supervision of PhD candidates.

The key researchers: The board of key researchers will consist of 5 academics, each chairing one of the Institute's research units. Applicants will have to demonstrate a strong academic record at post-doctoral level in the field of the unit they will lead. All Unit leaders will have to be capable of coordinating a small group of researchers over a long period of time. They will have to demonstrate excellent team-working skills and an ability to actively participate in the coordination of research results emanating from the various units of the Institute. They will have to be able to integrate PhD candidates into their unit for shorter periods of time and to foster knowledge and expertise exchange between their unit and the PhD training group. They should have a strong record in presenting papers at international meetings.

The researchers will have to show an academic track record at ABD or PhD level in the field of the unit in which they will work. They have to show excellent team-working skills and should have a record of presenting papers at national and/or international meetings.

PhD training group: The PhD candidates will have to be recommended by their supervisors of their home institutions, have an academic record in the field (e.g. at Master level) and show excellent team-working skills.

Candidates for the positions of key researchers and researchers as well as PhD candidates coming form regions affected by armed conflicts will be considered in particular.
Institute management: The Institute management will be directed by an Executive Officer who must be able to demonstrate significant experience in office management. Candidates will have to demonstrate excellent team-working skills and will be required to guide and coordinate the office’s part-time personnel.

7. Size, Structure and Units as well as Location of the Institute

The LBI PCP will consist of a board of three directors who will share responsibilities (as described in paragraph 6).

The board of directors will be supported in its administrative duties by a management office that will be directed by an Executive Officer. This EO will preside over part-time personnel, e.g. an Office Manager, an Account Manager, an IT Manager, a Web Master, a PR Manager, an Event Manager. It is intended that these part-time personnel will be outsourced respectively and that the service will be fully provided by a partner.

The LBI PCP will comprise five research units. Each unit will be led by one key researcher and have usually two additional researchers. Unit 1 will deal with the diverse array of motives for the targeting, looting and destruction of cultural property as well as with the impact on affected communities and society in general. Unit 2 will deal with the various aspects of international law concerning cultural property and with all aspects and challenges of law enforcement especially in the event of armed conflicts and post conflict scenarios. Unit 3 will deal with the huge and diverse problem of illicit trade in cultural property in general and in particular in relation to organized crime and terrorism. Unit 4 will deal with question of the development of effective procedures and tools for the protection of cultural property in the event of armed conflicts. Unit 5 will deal with all military aspects of the protection of cultural property in the event of armed conflicts.

The LBI PCP will be based in Vienna and accommodated in one single location. The opening of additional offices – in Austria or abroad – is not intended and not necessary due to the broad range of international partners. The venue is still to be decided.
Research Personnel

Unit 1: motives and impact
Unit 2: international law and law enforcement
Unit 3: illicit trade, organized crime, financing of terror groups
Unit 4: politics, government, administration, public institutions, NGOs
Unit 5: military, civil military cooperation
Research Personnel

Unit 1: motives and impact
Unit 2: international law and law enforcement
Unit 3: illicit trade, organized crime, terrorism
Unit 4: politics, government, administration, public institutions, NGOs
Unit 5: military, civil military cooperation

PhD Training Group

3. Ausschreibung
6. Appendix

**Costs:** The budget draft attached to this proposal shows the costs of the *LBI PCP* in Vienna only. At present, it is not possible to outline the extend of the cash and in-kind resources invested by the Institute's partners as the network of partners contains a large number of diverse institutions and organizations that are partly of huge size and complexity and of cardinal importance to global security/politics.

**LoIs:** For the same reason, just a limited number of LoIs is attached to this proposal. This kept the effort for the partners reduced and facilitated to meet time schedule and deadline of the LBG's Call for Proposals. All LoIs will be delivered, of course, in case the Short Proposal will be accepted.

**CVs:** The positions will be filled through advertising all research posts internationally. At present, there are no candidates for any position but the coordinator. Therefore, only the CV of the coordinator is attached to this proposal.
Guidelines for applying to set up a Ludwig Boltzmann Institute

June 2008
## Contents

1 Basic conditions for a Ludwig Boltzmann Institute  
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2.8 Management  
2.9 Competition and quality assurance
1 Basic conditions for a Ludwig Boltzmann Institute

The Ludwig Boltzmann Gesellschaft is a private, charitable sponsoring organisation for setting up and operating Ludwig Boltzmann Institutes in Austria. The main features of a Ludwig Boltzmann Institute are an independent profile and international visibility, whereby the following objectives are pursued:

- **High standards** in respect both of professional competence and of organisational facilities
- **Subjects aligned** to clearly delineated questions in areas where the public and private sectors are close to each other, and which have a high social content
- The creation of attractive development opportunities in Austria for the next generation of researchers from all over the world
- Making possible research programmes where the stakes may be high but the potential for results is wide open
- **Alignment of the research to medium-term user perspectives** to the extent that the users of the results produced have sufficient incentives to invest in that research and its development, and in its application or dissemination

The aim of Austria's research policy is to enable both the quality of research in the country to be raised overall and to attract top-level research at international levels to Austria to a greater extent. It is intended thereby to lift the quality and attraction of the location and to improve its international competitiveness. Ludwig Boltzmann Institutes meet the criteria of excellence and long-term horizons and are taken to be a contribution to this strategy.

1.1 Fundamental principles of Ludwig Boltzmann Institutes

The policy of the institutes is made up of the following strategic fundamental principles:

1. **Subject areas.** The humanities, the social and cultural sciences, and medicine with adjacent subject areas and interdisciplinary research as bridge building between these disciplines.

2. **Research programme.** The execution of high-grade and larger research programmes orientated to the longer term and pitched at international levels.

3. **Size.** The building up of larger institutes with 15 employees in medicine and 10 in the humanities and the fields of cultural and social science as a target.

4. **Partnerships.** The creation of synergies through the building up, operation and finance in the form of partnerships between organisations or institutes that traditionally carry out research and organisations or institutes that traditionally apply research.

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1 Figures concerning employees are always stated as full-time equivalents
5 **Duration.** Long-term setting up of institutes but time-limited to 7 years; Possibility of a second phase linked to a subsequent take-over by partners

6 **Finance.** 100-% finance orientated to the long term and guaranteed by the Ludwig Boltzmann Gesellschaft and the partner organisations.

7 **Management.** Research management by full-time institute managers, personnel recruitment and development as essential prerequisites for the institute’s efficiency.

8 **Competition and quality assurance.** Assurance of quality through competition and evaluation.

### 1.2 Addressees of these guidelines

This document is directed to all persons and groups that are in any way involved with or interested in setting up a Ludwig Boltzmann Institute:

1 **Scientists**

2 **Financiers** and **partner organisations** of any new Ludwig Boltzmann Institute or of the Ludwig Boltzmann Gesellschaft

3 **Professional advisers** involved in applications to set up new Ludwig Boltzmann Institutes

4 **Members of the jury** appointed to select the Ludwig Boltzmann Institutes to be set up

5 **Persons evaluating** any new Ludwig Boltzmann Institute

### 1.3 Target groups and persons entitled to apply

Consortia with, in each case, at least one research-undertaking and one research-applying partner organisation are entitled to apply.

The Ludwig Boltzmann Gesellschaft is addressing in particular 30-40 year old scientists as the target group for managing Ludwig Boltzmann Institutes. It is intended that the management of a Ludwig Boltzmann Institute with about 10 to 15 employees be an attractive career step for such persons.

As far as partner organisations are concerned the Ludwig Boltzmann Gesellschaft is aiming at research organisations outside the universities, polytechnics, companies, institutions in the public sector (public bodies, key hospitals, organisations representing special interests, umbrella organisations and so on) and indeed also at NGOs or charitable foundations.

The Ludwig Boltzmann Gesellschaft seeks explicitly to create the possibility of a “brain gain”, in that the invitation to apply to set up a new Ludwig Boltzmann Institute is not restricted to Austrian researchers. The eventual institute only has to work in some essential respects in Austria, or at least have its strategic centre there. This includes, in particular, that specific activities may be undertaken within Austria and abroad in the course of networking, which represents, among other things, making a contribution to the ‘European research zone’.
2 Guidelines for the design of Ludwig Boltzmann Institutes

In order to guarantee a certain flexibility it is necessary to consider the quantifications put forward in these guidelines as benchmarks. All the criteria presented below must be appraised in the overall context.

2.1 Subject areas

Ludwig Boltzmann Institutes may be founded in the fields of the humanities, cultural and social sciences, and medicine with adjacent subject areas. By adjacent subject areas are meant those spheres of engineering and of the natural sciences that are involved in medical questions, such as medical biotechnology, bio-informatics, tele-medicine and so on. The Ludwig Boltzmann Gesellschaft refrains from making any further top-down specification of such spheres.

The Ludwig Boltzmann Gesellschaft has a special interest in applications that are based on the interfaces between the disciplines of medicine with adjacent subject areas and with the humanities and the cultural and social sciences. This is intended to result in bridge building and bring about understanding between disciplines.

It must be noted that other research entities are already active in these broad categories and any building up of duplicated structures must be avoided. Projects involving potential duplications of research are turned down.

2.2 Research programme

The research programme defined by the applicants jointly is the object of the evaluation. These must present their research programme concisely so that experts can make a qualitative evaluation as part of an international peer review. The following points, in particular, must be portrayed:

- The research programme's central questions and their context
- Fundamental hypotheses
- Status of the research and of their own work
- Methodological approaches and/or theoretical substantiations
- Relevance and user expectations (in what way does relevance and benefit arise, for what groups, for what partner organisations; how will the inclusion of the partner organisations work and how is acquisition of the results guaranteed)
- Work and resource planning
- Responsibilities

The research programme must be innovative to be capable of linking up to the international research scene and to deliver sufficient substance for scientific careers. This rules out, in particular, excessively large routine and service activities.
A coherent research programme defines the profile of a Ludwig Boltzmann Institute. Individual projects must complement each other sensibly and result in some overall added value; an incoherent collection of individual projects would therefore be declined. What matters is the quality, the degree of innovation and the compactness of the research programme as a whole and the quality of the partner organisations' involvement.

2.3 Size

It is intended that new Ludwig Boltzmann Institutes comprise at least 15 employees in medicine and at least 10 in the humanities and fields of cultural and social science by the end of the building up phase, which should be concluded in the second year if not earlier. It is intended that such benchmarks guarantee that Ludwig Boltzmann Institutes become attractive places in which to work, and in which management tools and support structures are set up and developed.

2.4 Duration

Ludwig Boltzmann Institutes are set up for terms limited to 7 years. A second phase covering a maximum of a further 7 years is possible. For this a new application would have to be made that would be distinctive for its development, building on its results to date by posing new questions and suggesting new theoretical and/or methodological approaches and by taking new disciplines or new partner organisations on board. A second phase would only be possible if continuation in the course of that phase and/or after it would be in the strategic interests of the partner organisation(s). The new application would not have to be submitted as part of a tendering process and would be evaluated separately. In the event of such evaluation having negative results a phasing out period after the first seven years would be possible.

An institute might, however, be closed prematurely if essential conditions were not fulfilled and/or objectives not attained (See section 2.9 below).

2.5 Finance

Costs and cost plan

The costs of the institute and of operating it must be shown completely. Even in cases involving non-cash contributions from third parties these must be evaluated and represented in monetary terms. As part of the expert examination these costs will be subjected to an appraisal in respect of their practical necessity and suitability in monetary terms. The particular costs involved that are chargeable to the operation of a Ludwig Boltzmann Institute are:

- The services of own and outside personnel
- The costs of professional advice and of drawing up plans and studies
- The costs of software, development, training and education
- The setting up of research, laboratory and technical facilities
- The costs of renting/leasing buildings and items of equipment
• Costs of test materials, and
• General expense (Office material, communications, events, subsistence, travel costs etc.).

Not chargeable are:
• The costs of acquiring properties and fixed assets
• Investments in buildings, production plant and machinery
• Costs that are incurred but are not directly connected with the research project
• Costs that arose prior to the submission
• Costs that are not recognised under the provisions of EU law.

An appropriate financing plan must be lined up to cover this cost plan.

**Financing**

The financing of new Ludwig Boltzmann Institutes is borne from several sources. Here a basic distinction must be drawn between a) the research programme submitted for the purposes of founding the Ludwig Boltzmann Institute and b) the additional research projects undertaken during its lifetime.

**a) Financing the research programme submitted**

• Basic funds from the Ludwig Boltzmann Gesellschaft: 60-80%
• Partner organisations’ funds: 20-40%  
  - in non-cash contributions and personnel services (maximum one half)
  - in money

The finance by the Ludwig Boltzmann Gesellschaft would ideally amount to 60%. Its level of financing might be adjusted to particular circumstances to be able to implement a project of a higher quality (for instance, involving a unique idea) if appropriate finance partners (partner organisations participating with cash) were not forthcoming. Evaluation of the degree of finance of the Ludwig Boltzmann Gesellschaft would accompany its expert examination of the research programme and be undertaken both by the experts involved in that and by the jury, and would be worked up into a proposal to its board of directors.

The partner organisations must portray their readiness to make finance available in the form of letters of intent.

**b) Financing additional research projects during the Ludwig Boltzmann Institute’s lifetime**

* Outside funds from sponsorships
  - From national / regional support programmes
  - From international, especially EU programmes
* Outside funds from research commissions
  - From public clients
  - From private clients
It is intended that the work financed by third parties and/or undertaken in response to commissions serve development of the research programme and support it in terms of content. It is important that the type and scope of such projects does not jeopardise the execution of the research programme submitted.

2.7 Partnerships

The research in the new Ludwig Boltzmann Institutes is based on partnership and on the creation of synergies between organisations that traditionally undertake research (Universities, research organisations outside the universities etc.) and traditionally apply it (Companies, public bodies, key hospitals, insurance organisations, organisations representing special interests, umbrella organisations, NGOs, charitable foundations and so on).

The consortium must in each case consist of at least one partner organisation that traditionally carries out research and one organisation that applies it. The partner organisations are characterised by their involvement in and cooperation with the research programme and, as a normal result of that, by a longer-term readiness to make payments towards it.

Research-undertaking partner organisations – science links

It is intended that Ludwig Boltzmann Institutes dispose of high-level links to science as a whole, such that scientific careers are possible and fostered in the new ones\(^2\). The following aspects are taken into consideration in this respect:

- **Track record of the scientific partner organisations.** Depiction of the scientific partner organisations' relevant profiles and the quality of their research
- Participation in national and **international research projects** and/or programmes
- **Networks.** Depiction of existing and planned partnerships at national and/or international levels.

Research-applying partner organisations

The inclusion of institutions and/or organisations that are not primarily orientated to research but which may, nonetheless, derive important benefits from it, is an important feature of the new Ludwig Boltzmann Institutes. For this reason the quality of the involvement of the research-applying organisation must be taken into consideration in the course of the evaluation.

It must determined to what extent the participating partner organisations also dispose of demand and implementation skills that are relevant, and how it is intended that the appropriation and implementation of the research results take place. This aspect is examined closely by including the partner organisations

\(^2\) Established scientific and university bodies and/or leading scientists may at this point assume the role of mentors and thereby markedly enlarge their spheres of influence.
in drawing up the application, by the quality of the operational planning, and by the methods deployed to implement the research.

2.8 Management

Management and organisation

Both these tasks are very important. In line with the expositions so far, and especially those on the research programme, the following aspects of the management and organisation must be portrayed:

- Strategic and operational planning of the research project and programme
- Project and programme management
- Measures to ensure financial control and assure quality
- Leadership of the centre (Manager, key researchers), their management principles and their spheres of responsibility
- Organisation chart\(^3\) of the centre and job descriptions for the manager and the key researchers

It is impossible to determine everything in advance. It is nonetheless important for evaluating the quality of the application to understand to what extent the applicants may still be aware of gaps in the specification of the institute they have planned. This should not be to their disadvantage provided they are in a position to identify such gaps and to foresee appropriate measures, for instance by recruiting the specialists needed or by acquiring specific capacities and skills.

Key scientific personnel and personnel development

Presented below are the main requirements when it comes to selecting people and personnel policy:

Manager

The intended size of a new Ludwig Boltzmann Institute is not less than 10 and as high as 15 people. This calls for a manager who is dedicated to that task on a full-time basis, all the more so as it will be one of that person's main duties to lead a group of 10-15 people scientifically.

It is intended that the managing of a Ludwig Boltzmann Institute can be an attractive career step for that person. He or she should, furthermore, be in a position to attract highly-talented young scientists.

It is not absolutely necessary but would be an advantage if the manager of the proposed institute were involved in it from the start, because his/her

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3 Representatives of the Ludwig Boltzmann Gesellschaft and of the partner organisations concerned will make up the board of each Ludwig Boltzmann Institute, which will in turn take the fundamental decisions, including those on questions relating to rights to intellectual property.
judgements could contribute materially to the evaluation of the whole project. The following criteria, in particular, apply here:

- **Scientific track record.** The manager should be personally experienced in research operations, in the form being involved in publications, projects, and in belonging to networks, etc. and be able to demonstrate this with aid of his/her career resume and copies of the most important publications concerned.

- **Building up work.** This entails the candidates being able to put over convincingly that they are in a position and have the capability to build up the institute envisaged rapidly. Relevant references demonstrating the building up of teams, the conducting of major projects and the development of laboratories etc. must accordingly be produced.

- **Leadership skills.** These involve being able to demonstrate experience in research management, especially the leadership of teams, not only on site but also across networks. This criterion is aimed at checking whether and to what extent the candidates are in a position and able to lead the envisaged institute in an efficient and targeted way. Candidates demonstrating implementing skills would have a special advantage.

**Key Researcher**

As it is intended that the planned institute employ at least 15 to 10 people it would not be possible for just one manager to lead it. For this reason alone, but still much more for reasons concerning their motivation and having an appropriately attractive structure for them, it is intended that – in addition to the manager, who must provide the scientific leadership – two or three key researchers be employed. These should be in a position to cover a specific part-subject within the overall project in terms of content, to build and keep up an external network, and to look after several projects and several younger scientists at the same time and to be able to work independently, not least in the field of competing for projects and for finance.

Basically two types of key researcher are being considered, whose work would, in combination, appear attractive. The first type would be more of a younger scientist for whom the position would represent an upward career move, while the other type would already be established – particularly with respect to partner organisations – and be inclined at this juncture to broaden and deepen the basis for his/her research.

The criteria for evaluating the key researchers are the same as those for the manager, with the difference that it is management of a team, rather than of the institute as a whole, that is involved. Also to be evaluated is whether the group of key researchers fit in well with each other in terms of their profiles and specialisations.

**Younger scientists and postdocs**

Postdocs should in principle, in the course of their work at a Ludwig Boltzmann Institute, have prospects of attaining a scientific level corresponding to a postdoctoral lecturing qualification. Postdocs are natural candidates for the role of key researchers. Younger scientists should have prospects of obtaining
a doctorate, though over a period of time that is structured in such a way that the time at the Ludwig Boltzmann Institute is not devoted to acquiring the doctorate but is also, to a substantial extent, particularly beneficial to the aims of the institute. Ludwig Boltzmann Institutes are not postgraduate institutes, but research institutes that are measured primarily by their research results in material terms. They must preferably refrain from employing recently qualified holders of diplomas with too much enthusiasm. The following criteria are therefore applicable:

- **Personnel development plans.** The personnel development plans presented should be examined to see to what extent the jobs envisaged are attractive to the prospective employees both in the sense of building up their skills and in the sense of their making contributions to attaining the institute’s objectives.

- **Mobility and transfer.** It must be set out and judged to what extent the jobs and tasks concerned are suited to building up the skills of the employees concerned – skills that would also be attractive outside the institute and, in particular, with the partner organisations. This criterion, which is in practice not always easy to check, is in any case important for the purpose of understanding whether and to what extent the new Ludwig Boltzmann Institutes are seen as professional cul-de-sacs or are constructed as professional springboards.

**Supporting personnel**

All too often savings are made on supporting personnel (Technicians, laboratory and administrative assistants and so on). This must be avoided in this case to ensure that there is scientific productivity.

- **Adequacy.** Attention will be paid in the course of the expert examinations to equipment that is appropriate in terms of its specification and scope, and to the qualities of the supporting personnel.

**Source of the personnel and institutional operations**

The new Ludwig Boltzmann Institutes are set up on the basis of systematic and institutionalised co-operations. This means, in particular, that all the participating partner organisations lend the institute their support. This applies above all to the personnel who execute and implement the research programmes. Individual employees may, for instance, be employed at the institute for a specific period or under a part-time module; the main thing in this respect is to obtain a concentration of employees at one location.

**2.9 Competition and quality assurance**

**Submission and selection procedure**

The selection of new Ludwig Boltzmann Institutes takes place in a two-stage open selection procedure.

- **Publication of a call for proposals (CfP) by the Ludwig Boltzmann Gesellschaft.** This is specified in the criteria described above. The geographical scope is not actually confined to Austria. It is just that the
eventual institute must work to a substantial extent in Austria or at least have its strategic centre there (Cf. section 1.3).

- **Brief applications.**
  Applicants are invited to draw up an abridged application involving between 6 and 10 pages. In such abridged applications the objectives, the research programme and its execution along with the inclusion and co-operation with partner organisations must be presented concisely. The personal resumes of the key people must also be attached. Partner organisations must assert their readiness to co-operate by means of making declarations of intent concerning possible co-operation.

- **Expert examination of abridged applications and invitation for thorough bidding.** Abridged applications are examined by the Ludwig Boltzmann Gesellschaft with respect to the formal criteria and with the aid of the guidelines and central idea. Absence to a substantial extent of parts of the application or very serious defects in it might lead to disqualification of an application even before the external expert examination. The jury would reach a decision on that. The abridged applications will be subjected to an international peer review. The research programme, the fundamental plan and any innovative questions will be examined expertly, as will the quality of the consortium and the extent to which partner organisations are co-operating. The international research of the sector concerned will act as a benchmark. The abridged applications are chosen on the basis of the expert surveys by an independent jury and presented to the board of the Ludwig Boltzmann Gesellschaft for decision. There is one single objective at this point, namely to be invited to work up an exhaustive application. The applicants invited will receive, if they take up the invitation, a maximum sum of €10,000 in order to settle part of the expenditure associated with finalising the application documentation.

- **Submission and examination of long-term applications.** The invited applicants submit long-term applications that contain a detailed research programme with a realistic budget for the first four years and the partner organisations' commitment. The long-term applications are in turn subjected to an exhaustive expert examination by means of an international peer-review procedure. This expert examination procedure includes a hearing in front of the jury in which the representative companies and representatives of the partner organisations are involved. On the basis of the individual reviews and the hearing the jury works up an overall recommendation to the board of directors of the Ludwig Boltzmann Gesellschaft, which then takes a decision.

- **Negotiations and contracts.** After a basic decision to set up an institute detailed negotiations between the Ludwig Boltzmann Gesellschaft and the applicants are conducted, not least because impositions are normally bound up with such decisions. Under the contract conformity with the EU law on aid (The common framework for
governmental aid for research, development and innovation) must also be guaranteed.

Such a cycle typically lasts for one year. There cannot, though, be any claim – however it might be formulated – for specific deadlines to be met.

**The Ludwig Boltzmann Gesellschaft as sponsoring organisation**

The Ludwig Boltzmann Gesellschaft operates the institute concerned within the charitable Ludwig Boltzmann Gesellschaft GmbH (private limited liability company). A Ludwig Boltzmann Institute forms its own billing circle within the GmbH and is operated as an internal company. The GmbH assumes the duties of accounting for the salaries, and personnel and financial management; apart from that each institute has a high degree of autonomy, above all as far as its research activities are concerned. This is recorded in the contract with all partner organisations, which establishes clearly the main points that were agreed in the course of the application and in the final negotiations. The reporting system, which consists in particular of a detailed annual report, is also laid down there.

After the founding of each institute a scientific advisory board consisting of international experts is set up for the purpose of applying constant quality assurance. The Ludwig Boltzmann Gesellschaft reserves the right to undertake a review in the second year of operations that examines whether the institute has fulfilled the tasks imposed on it and has come into full operation. An intermediate evaluation in the fourth year is vital for securing the institute’s quality and relevance, and this appraises on the one hand the work that has been carried out so far and, on the other hand, takes a look at the coming years, including making a proposal for the institute’s future strategic orientation. The Ludwig Boltzmann Gesellschaft has exclusive responsibility for organising and carrying out the reviews and evaluations.
Ludwig Boltzmann Gesellschaft

Manual
for preparing short and extended proposals

Third call for proposals
to set up Ludwig Boltzmann Institutes

Vienna, November 2008
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I. General Information

1. Basis for the Call for Proposals
The call for proposals and the granting of new Ludwig Boltzmann Institutes take place within the framework of the "Guidelines for Applying to Set Up Ludwig Boltzmann Institutes" (hereinafter termed "Call for Proposals Guidelines"), which were passed in June 2008 by the Board of the Ludwig Boltzmann Society (hereinafter termed "LBG" (Ludwig Boltzmann Gesellschaft)). Please follow the current Call for Proposals Guidelines on the homepage of the LBG since these, compared to the first two calls for proposals of the LBG, have been adapted in accordance with the experience gained. The call for proposals guidelines contain detailed information and are used for both short and extended proposals. This manual is to be seen as an additional paper to assist in preparing proposals.

2. Proposal Entitlement
The LBG aims its call for proposals at all scientific bodies, public institutions, non-profit organisations and companies. Those formally entitled to propose (applicants) are exclusively consortia with at least one research-undertaking and one research-applying partner organisation. Letters of Intent are to be submitted by applicant partner organisations, by which the authorised representative(s) confirm the contents of the application. Only partner organisations, and therefore no private individuals, become subsequent contractual partners for the foundation of a Ludwig Boltzmann Institute.

3. Thematic Area
Institutes are set up in the fields of the humanities, the social and cultural sciences, and human medicine, with adjacent subject areas. Care should be taken at submission to avoid thematic duplication with existing Ludwig Boltzmann Institutes; this is checked by the LBG.

4. Financial Framework
The LBG has provided an annual sum of 5 million euros as the maximum amount for this call. This amount is available each year for a duration of seven years; a total of 35 million euros is therefore announced for the call for proposals.

5. Submission
The application forms necessary for the submission of a short proposal can be found in the protected area of the download centre section, which you access through the "Registering for electronic submission" item on the LBG homepage. The application is to be made electronically (see point I.13.) and as a hard copy. Please do not use any colours which cannot be distinguished in black and white copies. Letters of Intent of the partner organisations must be in both hard copy form with original signatures and also scanned and electronic; the original
signature of the coordinator\(^1\) (see point II.1.2.) in the proposal form (short proposal) does not have to be scanned in specially.

The documents necessary for submitting an extended proposal are sent to the coordinator by e-mail. The full proposal is to be submitted as a hard copy with original signatures and in the form of a CD-ROM. The letters of intent of the partners must be submitted as a hard copy with the signatures in the original and also scanned in for the CD-ROM; the original signature of the coordinator in the proposal form (proposal – extended version) does not have to be scanned in specially.

6. Submission Deadline
The call for proposals begins on 17th November 2008; the deadline for submission of short proposals is 17:00 on 16th January 2009. This is the latest date by which the short proposal including all appendices must arrive at the offices of the Ludwig Boltzmann Gesellschaft, Operngasse 6, 5\(^{th}\) floor, 1010 Vienna, both electronically and in hardcopy format at the risk of the proposer.

The extended proposal period begins on 4th May 2009, the deadline for submission of extended proposals is 17:00 on 31st July 2009. This is the latest date by which the extended proposal including all appendices must arrive at the offices of the Ludwig Boltzmann Gesellschaft, Operngasse 6, 5\(^{th}\) floor, 1010 Vienna, both as a hard copy and in the form of a CD-ROM at the risk of the proposer.

7. Expiry of the Call for Proposals Process
The selection of new Ludwig Boltzmann Institutes is made following a two-step open selection process. The call for proposals starts at 12:00 on 17\(^{th}\) November 2008, with the invitation to submit a short proposal; this must arrive by 17:00 on 16th January 2009.

During the short proposal period, questions can be discussed with staff at the LBG office at any time. For further information, the LBG will arrange a Proposers Day for all interested proposers starting at 11:00 on 28th November 2008; you can find further information and the opportunity to register on our homepage under www.lbg.ac.at/proposersday.

When all short proposals have been received, they are formally verified by the LBG office. In the event of non-compliance with the formal criteria (see point I.8.) or completely false statement of the theme (proposals which do not lie within the thematic area under point I.3.), the proposals

\(^{1}\) All provisions of this Guide shall apply equally to men and women, unless the context otherwise requires, regardless of the form used.
are rejected at the formal checking stage. The substantive absence of parts of the proposal or gross deficiencies can also lead to rejection before the assessment phase; this decision is made by the jury.

Short proposals, which are accepted in the course of formal verification, are scientifically assessed by international experts. In this regard, the proposers have the opportunity to exclude a maximum of 3 experts (using the form in the protected area on the homepage). On the basis of the results of this assessment, the jury will send a recommendation to the board of the LBG; the decision should be made by the beginning of May 2009.

The proposers will be informed of the results on 4th May 2009. A positive evaluation of the short proposal is a prerequisite for participation in the next stage – the preparation of the extended proposal. The submission deadline for the extended proposal ends at 17:00 on 31st July 2008. Extended proposals undergo a further international assessment. Any experts excluded in the short proposal stage are also not consulted in the extended proposal stage. For the purposes of continuity, the extended proposals are in turn evaluated by some of the experts of the short proposals; however, new experts are also consulted, after agreement with the jury members. In addition to the assessment, a hearing is planned in Vienna for the week of 5th – 9th October 2009. Up to five of those primarily responsible for the proposal (designated directors and staff, representatives of partner organisations) are invited to attend. We ask that you notify all planned participants in good time of this date.

Based on the results of the expert opinion and the hearing with the proposers, the jury will compile a recommendation. The final selection of candidates is made by the board of the LBG and should be concluded by mid October 2009. The proposers will then be informed of the results of the selection. In the event of a rejection, this will be notified to the proposer in writing stating the reasons. Contractual negotiations will be started with the proposers whose proposals are selected for funding. We aim to keep to all deadlines, however we reserve the right to make changes.

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8. Formal Criteria and Formal Specifications

Compliance with the following formal criteria is a prerequisite for the passing of proposals to the experts:

- Short and extended proposals are to be drawn up in English as a result of the international assessment.
- Short and extended proposals including all appendices must be submitted in due time; late submission – even of parts of the proposal – is not possible after expiry of the respective submission period.
- In addition to the LBG, at least two partner organisations must be involved in the project.
- The proposal form must be signed by the coordinator.
- Letters of Intent (LoI) which are signed by the authorised representative(s) of the partner organisations are to be attached by all partner organisations (LoI). In extended proposals, the LoIs must contain specific amounts, which document the funding of the project at submission for the first four years.

In addition we request that you take into account the following formal specifications:

- The proposal is to be filled out in “Arial” font, font size “11” and with line spacing “multiple”, size “1.3”. This formatting is set in the form as standard and is not to be changed.
- The short proposal (excluding appendices) may not exceed 14 pages and the extended proposal (again excluding appendices) may not exceed 66 pages. The page specifications for appendices are to be followed. The specification of the maximum number of pages is not to be seen as a challenge to also reach this benchmark. Consider the situation of the experts and the jurors: the clearer and more concise the statements for the relevant areas are, the easier it is for them to get a clear picture of the planned activities and to evaluate the contents and benefit of the plan, both in a scientific and an implementation- or realisation-oriented sense.

2 An LoI is to be attached by every partner organisation. If it should not be possible to provide a LoI in time in justified cases, the Ludwig Boltzmann Society may extend the final deadline upon request.
9. Evaluation Criteria
For a better evaluation by the experts, you will find the evaluation forms for the short and extended proposals on the LBG homepage ("Evaluation Form Short Proposal" and "Evaluation Form Extended Proposal"). These are sent to the experts and act as the basis for their evaluation of the proposal. Please make sure therefore when preparing the proposal that the experts' questions can be answered on the basis of the information you provide.

10. Other Funding Organisations
This call for proposals relates to the setting up of new Ludwig Boltzmann institutes and not to project funding; but duplicate submissions are not to be excluded a priori. In order to avoid duplicate funding, the LBG checks to what extent specifically applied procedures have not already been submitted at other funding organisations or been funded through other organisations. It is intended in particular to carry out regular coordination of the LBG with other funding organisations with respect to funded projects or programmes. Should the projects applied to the LBG, or a part of them, receive a funding promise from another organisation, the proposers are obligated through their signature to notify LBG immediately. Breaches may lead to evaluation procedures being abandoned or to repayment obligations.

Should substantial parts of the proposal have already been submitted to another funding organisation and rejected, this fact must be declared in the proposal, indicating the reasons.

11. Legal Form of Ludwig Boltzmann Institutes
A newly founded Ludwig Boltzmann Institute operates within the already existing LBG GmbH as an independent organisational unit with separate responsibility and its own accounting group, irrespective of the management of the company by the management board of LBG GmbH. LBG GmbH is a 100% subsidiary of the LBG Association and is currently operated as a non-profit-making limited liability company (GmbH). The GmbH carries out the personnel, finance and controlling as well as management agendas of the Ludwig Boltzmann Institute in collaboration with the Ludwig Boltzmann Institute and assists it in dealing with intellectual property rights.

The cooperation of LBG GmbH and the partner organisations is regulated in a cooperation contract ("Contract for setting up a Ludwig Boltzmann Institute"). The implementation of the research activities in accordance with the proposal and the result of the evaluation (taking into account any requirements and recommendations) is agreed under this contract. Among other things, it regulates the setting up of a scientific advisory committee and the organisational structures for the involvement of partner organisations. The latter is ensured by the setting up of a so-called "Board", on which all contractual partners are represented, with a seat and a vote, and in which the fundamental decisions are made. It also governs intellectual property rights. Rights in research results belong a priori to LBG GmbH; this regulation is however not aimed at
personal implementation but should ensure that in principle all partner organisations involved can come to enjoy the respective rights or results. In the case of the transfer of rights to the partner organisations, there must be conformity with EU Subsidy Law 3. As a result, due to the amount of public funds which are made available by the LBG, a reasonable fee is to be paid for the transfer of rights, for the calculation of which, however, the contributions of a partner organisation to the LBI as a whole are to be taken into account. The results should be published according to the usual international standards, taking into account the requirements due to implementation, making reference to cooperation with the partner organisations. With this cooperation contract, a so-called undisclosed partnership is agreed, with the Ludwig Boltzmann Institute acting only as part of the LBG GmbH with respect to third parties and consequently the LBG GmbH is entitled and obligated as a legal entity with respect to third parties.

12. General Regulatory Framework
The proposers agree that all communication for applicants relating to the proposal be submitted to the coordinator. The latter acts as a contact person with respect to the LBG and is responsible for the corresponding forwarding of information to the partners.

Please make sure that the rules of good scientific practice are complied with and therefore that current references are also provided in the proposal.

The LBG is not obligated to set up the bidding institutes. An objection to the call for proposals is possible at any time.

We reserve the right to check funding structures in order to be able to ensure legitimacy in relation to Subsidy and Competition Law.

In the event of any contradictions, this Manual shall take precedence over the “Guidelines for Applying to Set Up Ludwig Boltzmann Institutes”.

The court with subject-matter jurisdiction for the first Vienna municipal district is agreed as the place of jurisdiction. Austrian law applies with the exception of reference norms.

3 Community framework for state aid for research, development and innovation (2006/C 323/01)
13. Information on the Electronic Submission of Short Proposals

This point relates only to the short proposal which is to be submitted electronically over the homepage of the LBG (www.lbg.ac.at). The documents necessary for the submission of an extended proposal are sent to the coordinator by e-mail.

- Registration for the call for proposals
  In the menu bar on the website www.lbg.ac.at, you will find the menu item “Call for Proposals 2008 – 2009” (“Ausschreibung 2008-2009”). In the submenu there you have the opportunity to register for the call for proposals by clicking on the menu item “Registration for electronic submission” („Registrierung zur elektronischen Einreichung“). The screenshot shown below (Fig.1) shows an example of the registration mask to which you are automatically directed.

Fig.1
Benutzerkonto

Anmelden   Neues Passwort anfordern  Registrieren

Nach der erfolgreichen Registrierung bekommen Sie eine Informationsnachricht mit Ihren Zugangsdaten an die angegebene E-Mail-Adresse geschickt.

Nach der Registrierung werden Sie auf die Startseite weitergeleitet.

Ihre eingegebenen Daten werden nur zur internen Verarbeitung verwendet und nicht an Dritte weitergegeben.

Kontoinformationen

Benutzername: *

Ihr Benutzername, Satzzeichen sind mit der Ausnahme von Punkten, Bindestrichen und Unterstrichen nicht erlaubt.

E-Mail-Adresse: *

Eine gültige E-Mail-Adresse. Alle E-Mails der Website werden an diese Adresse geschickt. Die Adresse wird nicht veröffentlicht und wird nur verwendet, wenn Sie ein neues Passwort anfordern oder wenn Sie anfordern, bestimmte Informationen oder Benachrichtigungen per E-Mail zu erhalten.

1. Persönliche Information

Anrede:*  
Herr  
Bitte auswählen

Titel:  
Bitte auswählen

Vorname:*  

Nachname:*  

Organisation:  

Adresse:*
2. Prozess der Ausschreibung

Geplante Anzahl der Partner:

Inhalt des geplanten Antrages (3 Zeilen):

3. Wissenschaftlicher Bereich

☐ Humanmedizin mit angrenzenden Themenfeldern

☐ Geistes-, Sozial- und Kulturwissenschaften

(Registrieren)

After filling in the form and clicking on the “Register” (“Registrieren”) button, you are automatically directed to the homepage of the Ludwig Boltzmann Gesellschaft. The login data (password) for your user account is simultaneously sent to your e-mail address which you supplied on registration. You will also find in this e-mail a link which will take you directly to the registration mask of your user account. In future you will then be taken directly via the menu item “Log In” in the left-hand menu bar on www.lbg.ac.at to the registration mask of your user account.

By registering with your user account, you have access to those documents which are available to download in the protected area within the download centre (menu item “Download centre”). These documents are essentially for the preparation and submission of a short proposal.
Fig. 2 shows the registration mask of your user account:

If you no longer know your password, you can get a new one sent to you by the system via the file tab "Request new password" („Neues Passwort anfordern“).

Independent changing of your password is possible when logged in under the file tab "Edit" („Bearbeiten“) (see Fig.3).
Fig. 3 also shows that, after you have registered on your user account, the menu item "Registration for Electronic Submission" ("Registrierung zur elektronischen Einreichung") disappears and the menu item "Log In" is redefined in "My Account" ("Mein Konto"). Thus, you can see that you are logged in and therefore entitled to access the documents in the protected area of the download centre.

Protected Area – documents for submission of short proposals
This area contains all the required documents for downloading which you will need to participate in the call for proposals. Downloading of the call for proposals documents in the protected area is only possible for you as the registered and declared user (see Fig. 1 and 2). By clicking on the menu item "Download centre" in the protected area, you will be directed to the website of the Ludwig Boltzmann Gesellschaft (www.lbg.ac.at) – see Fig. 4. The documents (Word, Excel) are to be stored locally on your PC, to enable you to edit them independently of the internet (offline).
Uploading files
When you have prepared all files to your satisfaction, you can upload these files via your user account. For this purpose, please register with your login data under the menu item “Log In” (or, if you are already logged in, go to the item “My Account” (“Mein Konto”)) and then click on the file tab “Files” (“Dateien”) in your user account (see Fig.5). All the documents for the proposal can then be uploaded by just one person from the proposal team.
Click on "Browse" ("Durchsuchen") to select the individual files and then go to "Upload File". Please only upload the documents cited below:

- Short proposal:
  Short Proposal_Christian name of the coordinator. Surname of the coordinator

- Costs calculation sheet:
  Costs_Christian name of the coordinator. Surname of the coordinator

- Letter of Intent (LoI):
  LoI Short Proposal_Name of the partner organisation
  The legally signed LoIs must be scanned in with the original signatures. The LoIs are to be scanned in and uploaded by each partner organisation separately.

- Curricula Vitae (CV):
  CV_Christian name of the key person. Surname of the key person

- Exclusion of experts (optional):
  Exclusion_Christian name of the coordinator. Surname of the coordinator
- Completion of submission
The documents are automatically stored on the file server of the Ludwig Boltzmann Gesellschaft as soon as they are uploaded.

After you have uploaded the documents, please log off as user from your user account (right-hand menu bar; menu item “Log Off” („Abmelden“)). Check the uploaded documents again before logging off. You will have the opportunity at this point to delete or replace uploaded files. Once you have logged off from your user account, your account is deleted, so that the data cannot be changed retrospectively. It is not possible to log in again. **Note:** Only upload the documents when all documents are available in their final version! Do not load some of the documents if others are still outstanding. Otherwise you may log off and the account will be deleted.

The files are now only available locally to you on your personal PC and can only be printed from here. The coordinator is responsible for ensuring that the electronically transmitted version is consistent with the hard copy and that no more changes are made after the documents have been electronically uploaded.
14. Financial Support for Preparing Extended Proposals
The Ludwig Boltzmann Gesellschaft supports the proposer in preparing and submitting an extended proposal for the maximum amount of 10,000 euros. This amount is a contribution to costs within the context of the proposal preparation, but not a full reimbursement of costs.

Only costs can be reimbursed which are directly connected with the proposal and which are substantiated by receipts or confirmations:

- Travel costs and accommodation expenses of the scientists involved or of the partners involved in the proposal
- Additional personnel expenditure for making the proposal
- Costs of the procedure documentation

Costs for infrastructure and equipment are not reimbursed.

Consideration should be given to:
- Travel and accommodation costs:
  The cheapest flight should be selected and reasonable hotel costs quoted.
- Additional personnel expenditure:
  In the case of additional personnel expenditure on the part of the coordinator or staff of the partners involved, the personnel standard rates of the FWF (Austrian Science Fund) are to be taken into consideration. The coordinator or the partners involved shall document the number of working hours and the level of reimbursement of costs in a written confirmation and provide evidence that these working hours are not accounted for anywhere else.
  If external consultants are called on as subcontractors to prepare the proposal, care should be taken to ensure that costs remain reasonable.

The coordinator is responsible for the application for and the allocation of the costs reimbursement between the individual partner organisations. The application shall be made by means of a statement of costs and original receipts. The invoice recipient must be either the coordinator or, if partner organisations advance costs, a request for reimbursement of costs must be addressed to the coordinator.

Costs incurred while the extended proposal is being prepared, that is between 4th May 2009 and 31st July 2009, and/or in connection with the attendance at the hearing are reimbursed. The application for a refund of costs is to be made within 6 months of submission of the extended proposal.
15. Contact Persons
The LBG team will be happy to answer any questions connected with the call for proposals:

Claudia Lingner
T +43 / 1 / 513 27 50 / 19
M claudia.lingner@lbg.ac.at

Marisa Radatz
T +43 / 1 / 513 27 50 / 20
M marisa.radatz@lbg.ac.at

Larissa Gruber
T +43 / 1 / 513 27 50 / 12
M larissa.gruber@lbg.ac.at

Daniel Schwarz
T +43 / 1 / 513 27 50 / 15
M daniel.schwarz@lbg.ac.at

We wish you every success in preparing your proposals and look forward to working with you!
II. Short Proposal – Notes on Preparing Short Proposals

Use this document together with the "Guidelines for applying to set up Ludwig Boltzmann Institutes" as you prepare the proposal, using the questions and notes given here when describing your project. The short proposal shall be a compact and clear account of the research programme and of the cooperation with partner organisations; use therefore between 6 and a maximum of 10 pages for the description of the research programme. Additional and detailed information is also required in the extended proposal; we recommend that you familiarise yourself with the requirements for the extended proposal as you prepare the short proposal. The following structure follows that of the proposal form which is why the headings have been kept in English:

1. Cover Sheet
   1.1. Name of the Planned Institute
   1.2. Coordinator and Applicants
       - Coordinator, Address, Telephone, Email
       - Name of Partner Organisations, Contact Persons, Department

The coordinator can be an “independent researcher” or an employee with one of the partner organisations. He cannot become the proposer or contractual partner, only organisations can assume this role. The coordinator should however take on an active roll in the new Ludwig Boltzmann Institute – preferably a management role; at all events his role in the new Ludwig Boltzmann Institute is to be set out clearly in the proposal.

The coordinator is responsible for involving and keeping all partner organisations informed during the call for proposals process. He should develop the research programme and the profile of the institute jointly with the partners. The contact persons of the partner organisations who are listed in the short proposal must not be authorised representatives of their organisation; they should generally make a professional contribution to the research programme. The coordinator must sign the short proposal.

The agreement of the partner organisations to the proposal takes place by legally binding signature of the Lols. If the coordinator is not an independent researcher and the organisation, in which the coordinator is employed, is also designated as a partner organisation, then this organisation is also to be cited as a partner organisation. All communications relating to the proposal are to be sent exclusively to the coordinator, who is responsible for forwarding the information to the partner organisations.
With their signature, the proposers accept the regulatory framework published in the “Guidelines for applying to set up Ludwig Boltzmann Institutes” and in the manual. They also accept that they are responsible for complying with all relevant statutory provisions.

2. Table of Contents
The page numbers in the table of contents do not adjust automatically. The table of contents should be updated as follows after completion of the proposal:
- Click with the left “mouse button” to the left of the table of contents
- Press the “F 9” key
- Select the option “Only update page numbers”

3. Short Summary (no more than 6 lines)
Summary of the project over a maximum of 6 lines in German; this text is used for any necessary publications, e.g. on the homepage.

4. Executive Summary (no more than 1 page)
Summarise the project here on 1 page maximum.
IMPORTANT: The international experts are selected for the proposals on the basis of your statements in the Executive Summary.

5. Research Programme (no more than 10 pages)
The research programme is the central and most important part of the short proposal. Here you set out the general idea. Explain briefly and succinctly what makes “your LBI” stand out from already existing structures and worthy of funding. In order to give you maximum flexibility, this point is freely configurable, but we strongly recommend that you deal with the following points; the structuring, sequence and/or other points relevant to your LBI are to be handled as you see fit. The focus should lie in the description of the research activities, which are closely connected however with the goals, partners, methods and persons involved; therefore, when you write the proposal, take into consideration the perspective of an expert, who has to professionally assess this project.

Objectives and Concept
Set out the goals and the mission of the institute. What goal are you pursuing with this institute, what do you want to achieve, with whom and in what form? What innovations should come from this institute which make it stand out as a new kind of research institute?
The quality of the planned research activities is of crucial importance for the assessment of the proposal. The research programme should present the central questions clearly and precisely and provide a summary of the project for the first four years and the expected results (milestones); in addition, the experts should be able to recognise the potential that a further three years of research could be dedicated to the subject. Present the new and innovative character of the project and indicate where particular scientific progress is to be expected.

**Partner organisations**

In addition to the LBG, at least two partner organisations, namely both research-undertaking and research-applying organisations, are involved in the institute (for the letters of intent, see point II.6.2). Describe what the individual partner organisations are interested in and why they are taking part in the project and how the cooperation is organised. You should outline how this institute suits the strategic direction of the partner and show how the scientific connection is guaranteed. Partner organisations must however adopt an active role and comprehensibly help to shape the programme; they should not be mere financiers, but should bring great commitment based understandably on substantial self-interest and develop the research programme into a coherent, distinctive and unique project. Demonstrate why the planned partnership makes sense and how this creates added value for the planned project, the benefit of which exceeds the total of the individual projects.

Describe how an international connection is guaranteed. The participation of one or more foreign partners in the consortium is generally looked upon favourably if the added value from the international partnership is set out clearly and comprehensibly.

**Methodological Approach and Theoretical Background**

Describe the essential theoretical background and methodological approaches and justify why they have been chosen, and in particular wherein their effectiveness lies.

**State of Research**

Provide a summary of the current state of research and its significance for the planned research programme. Describe in addition how the research programme has unique features over the current state of research. You have the opportunity here to cite sources or references.

**Type of Research**

Briefly explain in which of the following categories⁴ the research project falls and why:
-  *Basic research*

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Basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundation of phenomena and observable facts, without any particular application or use in view.

- Applied research
Applied research is also original investigation undertaken in order to acquire new knowledge. It is, however, directed primarily towards a specific practical aim or objective.

- Experimental development
Experimental development is systematic work, drawing on existing knowledge gained from research and/or practical experience, which is directed to producing new materials, products or devices, to installing new processes, systems and services, or to improving substantially those already produced or installed. R&D covers both formal R&D in R&D units and informal or occasional R&D in other units.

Human Resources
Describe how many employees you wish to employ for the planned project and what qualifications and job specification will be required for the scientific staff. For the Curricula Vitae, see point II.6.3.

Size / Location(s) of the Institute
Outline the planned infrastructure (laboratory, office) of the institute and state at which location(s) the work of the institute will be performed.

6. Appendix
6.1. Costs
Please do not copy the Excel table "Costs" into the proposal form (Word document); the proposal form should only offer you the opportunity to make possible further comments in the text field provided for the purpose. Use the Excel table "Costs" provided to illustrate the costs. Fill out the yellow highlighted fields in the spreadsheet; all other fields are calculated automatically.

In the short proposal, an overview of the total costs of the project is to be provided for the first 4 years, but not yet its funding (this is only required in the extended proposal). Please note that, for the calculation of total costs, costs which are planned as a contribution of a partner organisation in the form of provision of goods or personnel (benefit in kind) are also to be accounted for (Example: a partner organisation will make premises available: the notional rent is to be accounted for in costs). The costs are to be itemised in the short proposal in the categories: Personnel, Material, Assets and Overheads.
**Personnel**

The personnel costs for the first four years are to be shown in the table. Since personnel costs include additional costs as well as the gross salary (special payments, employer contributions, etc.), you can multiply the monthly gross salary by 18 or the annual gross salary by 1.5 when calculating average personnel costs. Example: in a monthly gross salary of 1,500 EUR, annual personnel costs (incl. additional costs) are incurred for the sum of 27,000 EUR.

The LBG does not specify any personnel cost rates for the individual categories – applicants should however consider the reasonableness of their planning.

**Material**

Under Material quote the planned annual expenditure both for research material and for fees from any subcontracts.

**Assets**

Purchases which individually cost more than 10,000 EUR are to be quoted as a total sum.

**Overheads**

Overhead costs relate to the Ludwig Boltzmann Institute as a whole and for example to rent, EDP/computer, telephone, electricity, insurance, travel, buying in of expertise (e.g. legal advice), further training, etc.

**6.2. Letters of Intent (Lol)**

Please do not copy the Lol into the proposal form but attach a legally signed Lol for each partner. Only the "Lol Short Proposal" form, which is to be printed on the partner organisation's stationery, is to be used for this purpose. In a Letter of Intent, each partner organisation has to provide on a maximum of one page a short description of the organisation and its motivation to take part in this project. The grey highlighted areas are only provided as a guide and are to be deleted after appropriate completion.

Take into consideration that e.g. two departments of a university are to be regarded as just one partner organisation (individual legal entity). The two departments are therefore to be named in one Letter of Intent and this is to be signed by authorised signatories from the vice-chancellor's office. Also any controlling relationships between the two organisations are checked by the LBG. There are no specifications in relation to a maximum number of partners, however high transaction costs are to be factored in when there are a number of partners. Each partner is to make an essential contribution to the institute.
6.3. CV and Track Record of the Key Personnel

Please do not copy these documents into the proposal form but attach a Curriculum Vitae for the key personnel in the 1st and 2nd management levels (institute director and key researcher) who are already known. This can comprise a maximum of one page per person and should above all demonstrate their competence in implementing the research programme planned at the institute. Bear in mind that the specification of known and qualified personnel strengthens the proposal. Remember that the director has to carry out this role as a full-time employee of the LBG.
III. Proposal - Extended Version – Notes on preparing an extended proposal

Use this document together with the “Guidelines on applying to set up Ludwig Boltzmann institutes” as you prepare the proposal, using the questions and notes given here when describing your project, with a maximum of 66 pages for the extended proposal (excluding appendices). The following structure follows that of the proposal form which is why the headings have been kept in English:

1. Cover Sheet
   1.1. Name of the Planned Institute

   1.2. Coordinator and Applicants
       - Coordinator, Address, Telephone, Email
       - Name of Partner Organisations, Contact Persons, Department

   The coordinator can be an “independent researcher” or an employee with one of the partner organisations. He cannot be the proposer or the contractual partner; only organisations can assume this role. The coordinator should however take on an active role in the new Ludwig Boltzmann Institute – preferably a management role; at all events his role in the new Ludwig Boltzmann Institute is to be set out clearly in the proposal.

   The coordinator is responsible for involving and keeping all partner organisations informed during the call for proposals process. He should develop the research programme and the profile of the institute together with the partners. The contact persons of the partner organisations who are cited in the proposal must not be authorised representatives of their organisation; they should generally make a professional contribution to the research programme. The coordinator must sign the extended proposal.

   The agreement of the partner organisations to the proposal takes place by legally binding signature of the LoIs. If the coordinator is not an independent researcher and the organisation, in which the coordinator is employed, is also designated as a partner organisation, then this organisation is also to be quoted as a partner organisation. All communications relating to the proposal are to be sent exclusively to the coordinator, who is responsible for forwarding it to the partner organisations.

   With their signature, the proposers accept the regulatory framework published in the “Guidelines for applying to set up Ludwig Boltzmann Institutes” and the manual. They also accept that they are responsible for complying with all relevant statutory provisions.
2. Table of Contents
The page numbers in the table of contents do not adjust automatically. When the extended proposal has been completed, the table of contents should be updated as follows:
- Click with the left "mouse button" to the left of the table of contents
- Press the "F9" key
- Select the option "Update only page numbers"

3. Short Summary (no more than 6 lines)
The summary of the project over a maximum of 6 lines in German; this text is used for any necessary publications, e.g. on the homepage.

4. Executive Summary (no more than 1 page)
Summarise the project here on 1 page maximum.
IMPORTANT: The international experts are selected for the proposals on the basis of your statements in the Executive Summary.

5. Profile of the Institute (no more than 14 pages)
Give a general overview of the planned institute and the planned research activities using the following points. Explain the scientific motivation for such an institute. Outline what distinguishes the planned institute and how it achieves its distinctive profile.

The profile of the institute covers the following points:
- Objectives
- Partners
- Size / Location(s)

5.1. Objectives (no more than 5 pages)
Set out here the goals of the institute. What goal are you pursuing with this institute, what do you want to achieve and in what form? What innovations should come from this institute which set it apart as a new kind of research institute? Are there new approaches which are not found in other research bodies? It is important here to describe to what extent this project can establish itself as an independent, distinctive institute, with clear statements of goals with reference to output and results. Select a representation which takes into account and looks at in a balanced way the position of the scientist (or the scientific partners) and the proposer (and thus the
implementing partner). The new Ludwig Boltzmann institute should not be seen as an “add on” to already existing organisations.

5.2. Partner Organisations (no more than 6 pages)
In addition to the LBG, at least two partner organisations, namely both research-undertaking and research-applying organisations, must be involved in the institute (for the Letters of Intent, see point III.9.2.). The partner organisations may be:

- scientific institutions
  (universities, research bodies outside of universities, universities of applied sciences)
- non-profit organisations
- organisations from the public sector
- companies

Give an overview of the roles, competences and activities of the partners involved. Describe what the individual partners contribute in know-how, resources and financially and what contribution they make to the implementation.

Outline also from what interests and motives the partners participate in the project, what they expect from the cooperation and how this institute suits the strategic direction of the partner. Why were these particular partners selected to implement the conceived research programme; describe what is characteristic of the partners involved and how the scientific connection is ensured. Partners must however take on an active role and comprehensibly help to shape the programme; they should not be mere financiers, but should bring great commitment based on substantial self-interest and develop the research programme into a coherent, distinctive and unique project.

Indicate why the target objectives of this consortium can be achieved by this special form of cooperation. Show why a continued or a newly formed partnership makes sense and how added value for the planned project is created. Show how through cooperation and integration of the projects to create a coherent programme, additional advantage or benefit arises, which exceeds the sum of the individual projects.

In addition, demonstrate that the planned research activity does not lead to a duplication of existing activities. The Ludwig Boltzmann Institute is not permitted to cover already existing operating costs of partner organisations.

Show how an international connection is ensured. The participation of one or more foreign partners in the consortium is generally looked upon favourably if the added value from the international partnership is shown clearly and comprehensibly.
5.3. Size / Location(s) of the Institute (no more than 3 pages)
Show the planned size (office and/or laboratory area in m²), the particular facilities and infrastructure, etc.) of the institute and make sure in particular that this is also in a realistic relationship to the planned activities. Add if possible a plan or a sketch with sizes of the offices or laboratories. State how many workstations are envisaged for the respective rooms.

State at which locations the work of the institute is carried out, and make it clear where the central location or the strategic centre of this institute is located. However, there should be a central location and not one location for each partner organisation with separate staff. Ideally, all employees work at one physical location which is identifiable as their own institute.

6. Research Programme (no more than 38 pages)
The central object of the extended proposal is the presentation of the research programme which is mutually defined by all partners (see call for proposals manual point 2.2). Describe this in considerably more detail than you did in the short proposal and respond to the evaluation results of the short proposal.

6.1. State of Research (no more than 3 pages)
Here you must give an overview of the current state of research and its meaning for the planned research programme. Then show the unique features of the research programme compared to the current state of research. You have the opportunity to quote sources or references.

6.2. Research Programme (no more than 30 pages)
Describe the central questions clearly and precisely, focusing on the basics. The research programme should not be rambling and vague, but be directed at defined and measurable (contentwise and chronologically) objectives. It should describe the specific project for the first four years. In addition, the experts should be able to recognise the potential of a further three years' research into this subject.

Programme lines and projects are to be described within the research programme. A programme line represents a thematically and methodically defined unit in the research programme and consists of several closely cross-linked projects. In accordance with the overall perspective of the institute, a programme line is to be so created to take into account the medium term planning horizon of the institute, both as regards scientific results and also the respective implementation. A programme line must be specifically planned that the main approach of the work, the methods applied and the main aims are adequately defined, in order to be assessed by an expert. The position of the programme line in the overall concept is to be clearly defined (what does it contribute to the main goals of the institute, how and with which other programmes does it interact). Nonetheless as much flexibility as is appropriate for a
medium-term research programme can and must remain guaranteed; i.e. adaptations to current developments must be possible in the specific implementation. Several programme lines together should define a coherent research programme for the planned institute for the medium term, which represents more than the sum of its parts. Under no circumstances is a programme line permitted to form only a sum of individual, barely linked projects. The individual programme lines are each represented and managed by the responsible key researcher. The various programme lines within an institute should be coordinated and produce a greater whole.

Give a detailed summary of the contents of individual programme lines and describe them in detail in the context of the projects.

Projects in the respective programme lines are to be defined for the first four years of the institute. The project description should outline the goals to be pursued and the methods and paths to be taken. State which employees (or what standards as regards qualification) should contribute to which project and to what degree. State the specific timeframes of the projects and state when particular milestones are reached and distinguish them. Clarify to what extent projects will be implemented in parallel or building on from one another (see “Project Overview" in the Cost Financing sheet). Ensure that individual projects give rise to a coherent programme line. Describe the background of the respective partners, which affects the results, experiences and problems you associate with the planned project. Evaluate where the foreseeable risks lie and how you intend to deal with them.

When describing the individual programme lines and the projects, always consider that these should be read both from the perspective of the research questions and from the perspective of the use of the research results. The decisive criterion is the coherence of the research activity (its questions, methods, results) and its use and application.

6.3. Methodological Approach and Theoretical Background (no more than 4 pages)
Here the major theoretical methods and methodological approaches are to be described and justification given as to why they were chosen, in particular wherein their effectiveness lies.

6.4. Type of Research (no more than 1 page)
Briefly explain in which of the following categories⁵ the research project falls and why:
- Basic research

Basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundation of phenomena and observable facts, without any particular application or use in view.

- **Applied research**
  
  Applied research is also original investigation undertaken in order to acquire new knowledge. It is, however, directed primarily towards a specific practical aim or objective.

- **Experimental development**
  
  Experimental development is systematic work, drawing on existing knowledge gained from research and/or practical experience, which is directed to producing new materials, products or devices, to installing new processes, systems and services, or to improving substantially those already produced or installed. R&D covers both formal R&D in R&D units and informal or occasional R&D in other units.

7. Human Resources (no more than 5 pages)

The director and the key researcher must be determined. The full-time activity of the director is to be clarified as well as the activities of the key researcher. The future position of these persons in relation to employment relations until now is also to be clarified.

State which employees will be on the payroll of the LBG and which will make their contribution to the research programme within the framework of the partner organisation - and to what degree. Make sure that the employees of the partner organisations can also actually contribute the necessary time for their contribution to the research programme. Here it will be necessary to contractually record the allocation of working hours.

Provide the Curriculum Vitae (see point III.9.3) and the scientific track record of the persons already known as well as references relating to preparatory work and management work. The more the intended persons are already known by name in this phase of institute preparation and fulfil the respective job specifications, the more beneficial this is for the assessment.

Show clearly how many employees (both full-time equivalents and "heads") you intend to employ for the planned project and what qualifications and job specification is required of the employees - both in scientific and also in supporting areas.

Describe the planned personnel development for employees of the future institute and their ideas regarding the involvement primarily of scientific personnel from the participating organisations for the first few years. All scientifically employed individuals who are involved in the planned project must be taken into consideration in the personnel development plan.
8. Management and Organisation (no more than 5 pages)

8.1. Organisational Chart
Here depict graphically the structure of the planned institute. Describe in addition in words using this structure the specific tasks and responsibilities of the individual roles, the management structure, in particular the communications, coordination and decision-making processes. Show your ideas of how the institute will carry out its work within the structure selected by you.

8.2. IPR (Intellectual Property Rights)
Clarify how you will deal with intellectual property rights. Assume that LBG GmbH is a priori owner of the respective rights. This reservation of title is aimed not at personal implementation but should ensure that in principle all involved partners can come to enjoy the respective rights and results. At the same time we expect suggestions as to how you intend to organise the exploitation of the results/rights in detail, which do not prejudice the coherence of the research activities and the partners and at the same time ensure execution and implementation. Consider that the individual partners have different ideas about execution and implementation and conflicts can arise as a result (exclusive use / non-disclosure vs. publication, different areas of interest, etc.). Should there still be a need for negotiation regarding certain questions, specify these in the proposal.

The more explicit the description of the IPR policy, the better. Please consider that patents will be the exception, and that they will be confronted with "softer" forms of results. Assume in every case that questions of ownership and the application of results must certainly become a point of discussion – at the latest at the hearing and negotiations or at any resultant regulations and recommendations. The more realistic your assessments, the better. A hint: go through a handful of conflicts in your mind and consider to what extent you could have avoided or reduced these conflicts.

Proposals which state whether or to what extent the financial participation also corresponds with participation in implementation will receive a better assessment. This point is relevant in relation to EU Subsidy Law (see point I.11.), for this reason too intellectual property rights can become the subject of regulations.

9. Appendix

9.1. Costs / Financing

9.1.1. Basic Funds from the LBG
On the basis of the cooperative research concept, it is the goal of the LBG to contribute with a share of 60% to the funding of the total costs. Any higher quotas are only possible in justified
cases. Should you assume a higher quota, this is to be argued in the research focus (Basic research, Applied research, Experimental development) and the structure of the partner consortium.

9.1.2. Costs / Financing Sheets

Please do not copy the tables into the proposal form (Word document); the proposal form should only offer you opportunity to enter possible further notes in the text field designated for this purpose. Attach the printed Excel tables to the proposal, they are an integral part of the extended proposal.

Use the designated Excel tables (costs / funding) to show the costs or funding. Fill out the yellow highlighted fields in the spreadsheets; all other fields are calculated automatically.

Make realistic calculations! A realistic calculation is one of the criteria according to which the experts make their assessment.

It is recommended that you fill out the partner data table first (for each individual partner), then a table for each research programme line ("Programme Line"). After the "Programme Line Overhead" form has been filled in, the projects which will take place within the programme lines are still to be arranged in the Project Overview table. The two overview tables of income and costs ("Total Income & Costs of LBI" and "Total Income & Costs of LBI per Cost Category") are filled in automatically.

The contributions of all contractual partners must serve the research programme of the Ludwig Boltzmann Institute and are to be used for its implementation. The cash contributions should not flow back as "consideration" to the partners, as otherwise they are deemed to be benefits in kind. Example: a partner makes a cash contribution; for this the Ludwig Boltzmann Institute is to buy equipment from this partner. Take into consideration in this connection that the funding relationship specified in the guidelines permits benefits in kind of a maximum of half the partner contributions.

In principle, the budget will relate to two different levels, namely the level of the programme line and the level of the institute as a whole. Projects which are developed within the scope of the programme lines are not to be budgeted in detail, but described contentwise in the research programme (see point III.6.2.) and scheduled in the Excel table "Project Overview".

We point out that the following figures only act as sample calculations and so are not realistic amounts.
9.1.2.1. “Partner Data” Form

For each partner, described under point III.5.2., a data sheet is to be filled in with the key data of the partner. Fields marked with a star (*) are mandatory fields; the rest are also to be filled in, provided data is available. Please note that the partner data sheet refers to the LBI as a whole and not to the individual programme lines.

The goals of cooperation are to be summarised. As in the Letters of Intent, cash benefits and benefits in kind are to be listed on a value basis. Please cite with the benefits in kind, in each case in the adjacent column “Type of Costs”, whether it concerns the “provision” of personnel, material, assets or operating expenditure.

Form Partner Data (“Partnerdatenblatt”)
please complete for each Partner mentioned in 5.2

<table>
<thead>
<tr>
<th>Partner data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name*</td>
</tr>
<tr>
<td>Address*</td>
</tr>
<tr>
<td>Contact person*</td>
</tr>
</tbody>
</table>

* obligatory

Aims and objectives for cooperations

| Aims | xxxx |
| Contribution of know how | xxxx |
| "Return on cooperation" (in qualitative terms) | xxxx |

Contributions

<table>
<thead>
<tr>
<th>Contributions</th>
<th>year 1</th>
<th>year 2</th>
<th>year 3</th>
<th>year 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash</td>
<td>5'000</td>
<td>5'000</td>
<td>8'000</td>
<td>2'000</td>
</tr>
<tr>
<td>Personnel</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Material</td>
<td>1'000</td>
<td>1'000</td>
<td>1'000</td>
<td>1'000</td>
</tr>
<tr>
<td>(research expenditure)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assets</td>
<td>1'300</td>
<td>1'300</td>
<td>1'300</td>
<td>1'300</td>
</tr>
<tr>
<td>(research equipment)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operating Expenditure</td>
<td>7'300</td>
<td>7'300</td>
<td>10'300</td>
<td>4'300</td>
</tr>
</tbody>
</table>

9.1.2.2. “Programme Line” Form

• Title
Please give the programme line a short title (in the top yellow line).

• Budget of the Ludwig Boltzmann Gesellschaft (share of the LBG)
The budget share of the LBG should be entered here in the yellow line under Ludwig Boltzmann Gesellschaft:
Programme Line: Ludwig Boltzmann Gesellschaft

<table>
<thead>
<tr>
<th>Year</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ludwig Boltzmann Gesellschaft</td>
<td>33.150</td>
<td>40.950</td>
<td>90.950</td>
<td>40.950</td>
</tr>
<tr>
<td>Partners cash</td>
<td>23.000</td>
<td>23.000</td>
<td>23.000</td>
<td>23.000</td>
</tr>
<tr>
<td>Income cash</td>
<td>56.150</td>
<td>63.950</td>
<td>113.950</td>
<td>63.950</td>
</tr>
<tr>
<td>Partners in-kind</td>
<td>4.000</td>
<td>24.000</td>
<td>4.000</td>
<td>34.000</td>
</tr>
<tr>
<td>TOTAL INCOME</td>
<td>60.150</td>
<td>87.950</td>
<td>117.950</td>
<td>97.950</td>
</tr>
<tr>
<td>Total Costs cash</td>
<td>56.150</td>
<td>63.950</td>
<td>113.950</td>
<td>63.950</td>
</tr>
<tr>
<td>Total Costs in-kind</td>
<td>4.000</td>
<td>24.000</td>
<td>4.000</td>
<td>34.000</td>
</tr>
<tr>
<td>TOTAL COSTS</td>
<td>60.150</td>
<td>87.950</td>
<td>117.950</td>
<td>97.950</td>
</tr>
</tbody>
</table>

The other fields in this area are filled in automatically.

Note that the benefits in kind are to be taken into account three times:

1. in the "Partner Data" with "Type of Costs" (personnel, material, assets, operating expenditure),
2. as income in the "Programme Line" or "Programme Line Overhead" datasheet under "Income Partner" in the in-kind column also with "Type of Costs" AND
3. as a cost in the "Programme Line" or "Programme Line Overhead" datasheet under personnel, material, assets or operating expenditure.

- Income Partner

Under "Income Partner", the income of the partners is to be divided according to the type of income (first cash, then in-kind); define in the case of benefits in kind in the 1st column the types of costs (personnel, material, assets, operating expenditure). Should you need additional lines, please add them (make sure that the totals are still correct).

<table>
<thead>
<tr>
<th>Year</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of costs (in-kind)</td>
<td>Partner cash</td>
<td>in-kind</td>
<td>Partner cash</td>
<td>in-kind</td>
</tr>
<tr>
<td>Partner 2</td>
<td>15.000</td>
<td>15.000</td>
<td>15.000</td>
<td>15.000</td>
</tr>
<tr>
<td>Partner 3</td>
<td>8.000</td>
<td>8.000</td>
<td>8.000</td>
<td>8.000</td>
</tr>
<tr>
<td>Assets</td>
<td>Partner 2</td>
<td>15.000</td>
<td>15.000</td>
<td>15.000</td>
</tr>
<tr>
<td>Personnel</td>
<td>Partner 3</td>
<td>8.000</td>
<td>8.000</td>
<td>8.000</td>
</tr>
<tr>
<td>TOTAL INCOME</td>
<td>23.000</td>
<td>4.000</td>
<td>23.000</td>
<td>4.000</td>
</tr>
</tbody>
</table>
The Programme line costs consist of scientific personnel, material, assets and operating expenditure:

- **Scientific personnel (cash and in-kind)**
  In relation to the institute director, you should record the level of his planned scientific input (the organisational/administrative part of the work of the institute director is to be indicated in the “Programme Line Overhead”).

The LBG does not provide personnel cost rates for the individual categories (director, key researcher, researcher, technician, etc.) — proposers should however consider the reasonableness of their planning, which represents an important criterion for assessment.

The qualification level Researcher includes both PostDocs and also younger scientists with the prospect of a dissertation. Technician is the umbrella term for all other non-scientific specialists (support staff) such as e.g. MTA, MTR, software specialist, etc.

Bear in mind that the figures given in this table must be consistent with the information in the extended proposal under the item Human Resources.

Furthermore, the average annual personnel costs (“salary per year incl. taxes, etc. in EUR”) are to be specified for each category. Since personnel costs also include additional costs (special payments, employer contributions, etc.), in addition to the gross salary, you can multiply the monthly gross salary by 18 or the annual gross salary by 1.5 to calculate the average personnel costs.

The following calculation is used as a basis:
1 full-time equivalent = 40 hours per week

**Example:** Institute director
Working hours: 40 hours per week (corresponds to 100% = 1 full-time equivalent (fte))
Breakdown of working hours: 70% in the scientific area in programme line 1 (corresponds to 0.70 fte), the other 30% (0.30 fte) is put in Organisation/Administration in the “Programme Line Overhead”.

The gross monthly salary for 40 hours per week: EUR 472 * 18 = EUR 8,500 = total annual costs (“salary per year incl. taxes etc. in EUR”)

**Example:** 2 researchers
Working hours: 20 hours per week each (corresponds to 50% of a fte)
Breakdown of working hours: both 100% employed in Programme line 1
Average gross monthly salary for 40 hours per week: EUR 222 * 18 = 4,000 = total annual costs (*"salary per year incl. taxes etc. in EUR") per fte (each employee would thus earn on average for 20 hours per week EUR 111 gross per month and cost EUR 2,000 per year)

I. SCIENTIFIC PERSONNEL

### SCIENTIFIC PERSONNEL CASH

<table>
<thead>
<tr>
<th>Category</th>
<th>Name</th>
<th>fte</th>
<th>fte</th>
<th>fte</th>
<th>fte</th>
<th>Salary per year incl. taxes etc.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director</td>
<td>Muster</td>
<td>0,70</td>
<td>0,70</td>
<td>0,70</td>
<td>0,70</td>
<td>8,500</td>
</tr>
<tr>
<td>Researcher</td>
<td>Fleissig</td>
<td>0,50</td>
<td>0,50</td>
<td>0,50</td>
<td>0,50</td>
<td>4,000</td>
</tr>
<tr>
<td>Researcher</td>
<td>Klein</td>
<td>0,50</td>
<td>0,50</td>
<td>0,50</td>
<td>0,50</td>
<td>4,000</td>
</tr>
<tr>
<td>Researcher</td>
<td>n.n.</td>
<td>0,00</td>
<td>2,00</td>
<td>2,00</td>
<td>2,00</td>
<td>4,000</td>
</tr>
<tr>
<td>Researcher</td>
<td>n.n.</td>
<td>0,00</td>
<td>2,00</td>
<td>2,00</td>
<td>2,00</td>
<td>5,000</td>
</tr>
<tr>
<td>Technician</td>
<td>Gross</td>
<td>1,00</td>
<td>1,00</td>
<td>1,00</td>
<td>1,00</td>
<td>4,500</td>
</tr>
<tr>
<td><strong>TOTAL SCIENTIFIC PERSONNEL CASH (fte)</strong></td>
<td></td>
<td>2,70</td>
<td>6,70</td>
<td>6,70</td>
<td>6,70</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL SCIENTIFIC PERSONNEL CASH (EUR)</strong></td>
<td></td>
<td>14,450</td>
<td>32,450</td>
<td>32,450</td>
<td>32,450</td>
<td></td>
</tr>
</tbody>
</table>

Employees who are quoted as benefits in kind are entered in the in-kind table according to the following scheme.

- **Material (Research Expenditure – cash und in-kind)**

The planned expenditure per year both for consumables for research ("Research Effort") and also for fees from any subcontracts is to be quoted under Material ("Material (Research Expenditure)"). Purchases of plant and equipment for research purposes ("Assets"); though only insofar as it does not concern infrastructure, EDP, etc., since this belongs in the Overhead, for a value of less than EUR 10,000, are also to be specified here.

A distinction needs to be made between cash and in-kind payments; whereby with the in-kind expenditure the respective partners available are to be quoted in the lines provided in the table.

II. MATERIAL (RESEARCH EXPENDITURE)

<table>
<thead>
<tr>
<th>MATERIAL CASH (RESEARCH EXPENDITURE)</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
</tr>
<tr>
<td>Assets &lt; €10,000</td>
<td>8,000</td>
</tr>
<tr>
<td>Subcontracts</td>
<td>5,000</td>
</tr>
<tr>
<td>Research effort</td>
<td>3,000</td>
</tr>
<tr>
<td><strong>TOTAL MATERIAL CASH</strong></td>
<td>16,000</td>
</tr>
</tbody>
</table>

37
- **Assets (Research Equipment) > EUR 10,000 (cash and in-kind)**

Purchases of equipment for an amount greater than EUR 10,000 are to be quoted individually stating the planned service life (maximum seven years), the acquisition costs and the scheduled year of purchase. In addition, you should also state whether the equipment has been purchased from a third party or from a partner, in order to avoid the partner reclaiming the contributions over “Countertrades” (see point III.9.1.2.).

### III. ASSETS (RESEARCH EQUIPMENT)

#### ASSETS > €10,000 CASH

<table>
<thead>
<tr>
<th>Pos. Nr</th>
<th>Name/Description</th>
<th>bought from third party or which Partner</th>
<th>Useful Life (in years)</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Gerät x company n.n.</td>
<td></td>
<td>1</td>
<td>10.200</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>50.000</td>
</tr>
</tbody>
</table>

**TOTAL ASSETS (RESEARCH EQUIPMENT) > €10,000.00 CASH**

<table>
<thead>
<tr>
<th>Year</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>10.200</td>
<td>0</td>
<td>50.000</td>
<td>0</td>
</tr>
</tbody>
</table>

#### ASSETS > €10,000 IN-KIND

<table>
<thead>
<tr>
<th>Pos. Nr</th>
<th>Name/Description</th>
<th>from which Partner</th>
<th>Useful Life (in years)</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Gerät y Partner 2</td>
<td></td>
<td>1</td>
<td>20.000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>30.000</td>
</tr>
</tbody>
</table>

**TOTAL ASSETS (RESEARCH EQUIPMENT) > €10,000.00 IN-KIND**

<table>
<thead>
<tr>
<th>Year</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>20.000</td>
<td>0</td>
<td>30.000</td>
</tr>
</tbody>
</table>

**III. TOTAL ASSETS (RESEARCH EQUIPMENT) > €10,000**

<table>
<thead>
<tr>
<th>Year</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>10.200</td>
<td>20.000</td>
<td>50.000</td>
<td>30.000</td>
</tr>
</tbody>
</table>

- **Operating expenditure (cash and in-kind)**

Here you should quote the operating expenditure which can be DIRECTLY assigned to the programme line, e.g. laboratory rental for this programme line. You need to distinguish between cash and in-kind expenditure.
IV. OPERATING EXPENDITURE

OPERATING EXPENDITURE CASH

<table>
<thead>
<tr>
<th>Year</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>lab rent</td>
<td>8.000</td>
<td>8.000</td>
<td>8.000</td>
<td>8.000</td>
</tr>
<tr>
<td>publications</td>
<td>5.000</td>
<td>5.000</td>
<td>5.000</td>
<td>5.000</td>
</tr>
<tr>
<td>travel expenses</td>
<td>2.500</td>
<td>2.500</td>
<td>2.500</td>
<td>2.500</td>
</tr>
</tbody>
</table>

TOTAL OPERATING EXPENDITURE CASH | 15.500 | 15.500 | 15.500 | 15.500 |

OPERATING EXPENDITURE IN-KIND

<table>
<thead>
<tr>
<th>Year</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL OPERATING EXPENDITURE IN-KIND</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

IV. TOTAL OPERATING EXPENDITURE | 15.500 | 15.500 | 15.500 | 15.500 |

9.1.2.3. "Programme Line Overhead" Form

Overheads include all indirect costs, i.e. all pro rata expenditure which cannot be directly assigned to a programme line (or project). They include e.g. costs for infrastructure, salary calculation, telephone costs, office material, personnel costs for the administration, share of personnel costs of the institute director for organisational expenses, purchase of expertise (e.g. legal and consultancy costs, public relations, etc.), further training costs, etc.

- **Budget of the Ludwig Boltzmann Gesellschaft (share of the LBG)**

The budget share of the LBG is to be entered under Ludwig Boltzmann Gesellschaft:

<table>
<thead>
<tr>
<th>Programme Line:</th>
<th>Year</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partners cash</td>
<td></td>
<td>5.000</td>
<td>5.000</td>
<td>6.000</td>
<td>2.000</td>
</tr>
<tr>
<td>income</td>
<td></td>
<td>15.096</td>
<td>16.131</td>
<td>16.962</td>
<td>16.341</td>
</tr>
<tr>
<td>Partners in-kind</td>
<td></td>
<td>1.300</td>
<td>1.300</td>
<td>1.300</td>
<td>1.300</td>
</tr>
<tr>
<td>TOTAL INCOME</td>
<td></td>
<td>16.396</td>
<td>17.431</td>
<td>18.262</td>
<td>17.641</td>
</tr>
<tr>
<td>Total Costs cash</td>
<td></td>
<td>15.096</td>
<td>16.131</td>
<td>16.962</td>
<td>16.341</td>
</tr>
<tr>
<td>Total Costs in-kind</td>
<td></td>
<td>1.300</td>
<td>1.300</td>
<td>1.300</td>
<td>1.300</td>
</tr>
<tr>
<td>TOTAL COSTS</td>
<td></td>
<td>16.396</td>
<td>17.431</td>
<td>18.262</td>
<td>17.641</td>
</tr>
<tr>
<td>INCOME-COSTS</td>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
• Income Partner
The income of the partners according to type of income (first cash, then in-kind) is to be allocated to "Income Partner"; define in the benefits in-kind in the 1st column the types of cost ("Type of Costs": personnel, material, assets, operating expenditure). Should you require additional lines, please add them (please make sure that the totals are still correct).

The overhead costs consist of administrative personnel and operating expenditure:

• Administrative Personnel (cash or in-kind)
In relation to the institute director, the level of his planned organisational input is to be recorded (the scientific part of the work of the institute director is to be stated in the programme lines). The number of hours of the administration is to be stated in full as well as any division into cash and in-kind and, in the case of a benefit in kind, the partner organisation which makes this person available is to be specified.

The LBG does not provide any personnel cost rates for individual categories; proposers should however consider the reasonableness of their planning, which represents an important criterion for assessment.

Furthermore, the annual average personnel costs are to be specified for each category ("salary per year incl. taxes etc. in EUR"). Since personnel costs include additional costs (special payments, employer contributions, etc.) as well as the gross salary, you can multiply the monthly gross salary by 18 or the annual salary by 1.5 to calculate the average personnel costs.

The following calculation is used as the basis:
1 full time equivalent = 40 hours per week

Example: Institute director
Working hours: 40 hours per week (corresponds to 100% = 1 full time equivalent (fte))
Breakdown of working hours: 30% in the organisational sector (corresponds to 0.30 fte), the rest 70% (0.70 fte) is put into research in one or more programme lines.
Gross monthly salary for 40 hours per week: EUR 472 * 18 = EUR 8,500 = total annual costs ("salary per year incl. taxes etc. in EUR")

Example: Administration
Working hours: 40 hours per week (corresponds to 100% of a fte)
Breakdown of working hours: employed 100% in the programme line overhead
Gross monthly salary for 40 hours per week: EUR 195 * 18 = 3,500 = total annual costs ("salary per year incl. taxes etc. in EUR")

**I. ADMINISTRATIVE PERSONNEL**

**ADMINISTRATIVE PERSONNEL CASH**

<table>
<thead>
<tr>
<th>Category</th>
<th>Name</th>
<th>full time equivalent (fte) for this PL</th>
<th>Salary per year incl. taxes etc.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Y1</td>
<td>Y2</td>
</tr>
<tr>
<td>Director</td>
<td>Muster</td>
<td>0.30</td>
<td>0.30</td>
</tr>
<tr>
<td>Assistant</td>
<td>Emsig</td>
<td>1.00</td>
<td>1.00</td>
</tr>
</tbody>
</table>

**TOTAL ADMINISTRATIVE PERSONNEL CASH (fte)  1.30  1.30  1.30  1.30**

**TOTAL ADMINISTRATIVE PERSONNEL CASH (EUR)  6.050  6.050  6.050  6.050**

Employees who are quoted as benefits in kind are entered in the in-kind table following the same scheme.

**Example: Administration**

Working hours: 20 hours per week (corresponds to 50% = 0.50 of a fte)

Breakdown of working hours: employed 100% in the programme line overhead

Gross monthly salary for 40 hours per week: EUR 83 * 18 = 1,500 = total annual costs ("salary per year incl. taxes etc. in EUR")

**I. ADMINISTRATIVE PERSONNEL**

**ADMINISTRATIVE PERSONNEL IN-KIND**

<table>
<thead>
<tr>
<th>Category</th>
<th>Name</th>
<th>full time equivalent (fte) for this PL</th>
<th>Salary per year incl. taxes etc.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Y1</td>
<td>Y2</td>
</tr>
<tr>
<td>Assistance</td>
<td>n.n.</td>
<td>0.50</td>
<td>0.50</td>
</tr>
</tbody>
</table>

**TOTAL ADMINISTRATIVE PERSONNEL IN-KIND (fte)  0.50  0.50  0.50  0.50**

**TOTAL ADMINISTRATIVE PERSONNEL IN-KIND (EUR)  750  750  750  750**

- **Operating Expenditure (cash or in-kind)**

The planned indirect operating expenditure for the whole institute is to be shown in the yellow field in the individual lines as a total for each year, e.g. rent, telephone, electricity, insurance, travel, purchase of expertise (e.g. legal advice), further training, possible salary increases for employees or inflation adjustments over the years.

3% of the total expenditure is designated for payments which are authorised by LBG but benefit the institute directly and are therefore also directly charged. This amount is calculated automatically (shaded lines).
II. OPERATING EXPENDITURE

OPERATING EXPENDITURE CASH

<table>
<thead>
<tr>
<th>Year</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>3% of Total LBI costs (cash and in-kind)</td>
<td>4.046</td>
<td>5.081</td>
<td>5.912</td>
<td>5.291</td>
</tr>
<tr>
<td>salary increase</td>
<td>2.000</td>
<td>2.000</td>
<td>2.000</td>
<td>2.000</td>
</tr>
<tr>
<td>office rent</td>
<td>1.500</td>
<td>1.500</td>
<td>1.500</td>
<td>1.500</td>
</tr>
<tr>
<td>office infrastructure</td>
<td>1.000</td>
<td>1.000</td>
<td>1.000</td>
<td>1.000</td>
</tr>
<tr>
<td>phone</td>
<td>500</td>
<td>500</td>
<td>500</td>
<td>500</td>
</tr>
</tbody>
</table>


Operating expenditure, which is provided by the partner in kind, is to be entered in the "Operating Expenditure in-kind" table, e.g. a partner makes offices available (100 m² incl. operating costs = pro m² p.a. EUR 2.5 * 100 = EUR 250. In addition, office material p.a. for the value of EUR 100 and telephone installation use and EDP maintenance p.a. for the value of EUR 200.).

II. OPERATING EXPENDITURE

OPERATING EXPENDITURE IN-KIND

<table>
<thead>
<tr>
<th>Year</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>office material</td>
<td>100</td>
<td>100</td>
<td>100</td>
<td>100</td>
</tr>
<tr>
<td>phone &amp; IT</td>
<td>200</td>
<td>200</td>
<td>200</td>
<td>200</td>
</tr>
<tr>
<td>office rent</td>
<td>250</td>
<td>250</td>
<td>250</td>
<td>250</td>
</tr>
</tbody>
</table>

TOTAL OPERATING EXPENDITURE IN-KIND | 550 | 550 | 550 | 550

9.1.2.4. "Total Income & Costs of LBI" Form

This table is automatically produced from the summaries of the individual programme lines and relates to the institute as a whole.

The amount of funding must correspond to the costs; therefore the "Income – Costs" line must total zero over the period of 4 years. The last line of the "Summary of Income and Costs" table is used to check whether appropriate expenditure has been compared with the in-kind income; this must total zero.
9.1.2.5. "Total Income & Costs of LBI per Cost Category" Form

This table is also produced automatically and shows the individual expenditure categories in total (divided into cash and in-kind) for the LBI as a whole.

9.1.2.6. "Project Overview" Form

This chart gives a good overview of the time workload of the project as a whole. Show the starting times and terms of the projects within the programme lines. Specify the programme lines and the projects in the columns and colour the quarter fields in grey. The subject of the individual projects is explained in the research programme (see point III.6.2.)

<table>
<thead>
<tr>
<th>Project Overview</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

9.2. Letters of Intent (LoI)

Please do not copy the LoI into the application form but attach a legally signed LoI for each partner. Only use the designated form "LoI Extended Proposal" which is to be printed on the partner's stationery. For the requirements, see the formal criteria under point 1.8.

Take into consideration that e.g. two departments of a university are to be regarded as just one partner organisation (individual legal entity). The two departments are therefore to be named in one Letter of Intent and this is to be signed by authorised signatories of the vice-chancellor's office. Also any controlling relationships between the two organisations are checked by the LBI. There are no specifications in relation to a maximum number of partners, though high transaction costs are to be factored in when there are a number of partners. Each partner is to make an essential contribution to the institute; otherwise it should not act as a partner but as a sponsor or external capital provider.

9.3. CV and Track Record of the Key Personnel (no more than 3 pages per person)

Please do not copy these documents into the proposal form but attach the Curriculum Vitae and the track record of the key personnel (institute director and key researcher) who are already known, identifying the most important publications or projects. Bear in mind that indicating the track record strengthens the application. No more than three pages should be used per person.