Guide for Writing a Full Proposal

Digital Humanism Call 2020

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https://www.wwtf.at/digital_humanism

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1. General aspects

1.1. About WWTF

The Vienna Science and Technology Fund (WWTF) is the only larger Austrian private non-profit organization established to promote science and research. WWTF started its funding activities in 2003. According to its statutes, WWTF aims to fund excellent scientific research(ers) following the highest international standards in order to promote Vienna as a city of science and research.

WWTF provides substantial funding for larger multi-annual research projects at home institutions located in Vienna ("Project Funding"), as well as striving to attract excellent researchers from abroad to Vienna ("Vienna Research Groups for Young Investigators"). WWTF runs calls resulting in a strong competition for funding.

Currently, WWTF runs the following thematic programmes: "Life Sciences" (*2003), "Mathematics and ..." (*2004), "Information and Communication Technology" (*2008), "Cognitive Sciences" (*2011), and "Environmental Systems Research" (*2016). The financial resources of WWTF originate from the "*Privatstiftung zur Verwaltung von Anteilsrechten*" and from the City of Vienna.

While the thematic funding programmes are established in close coordination with Viennese RTD policy and initiatives, the review and selection processes lie strictly in the hands of international scientists not employed in Austria. For each call, an appropriate international expert jury is formed. Additionally, for each application entering the full proposal stage a number of written peer reviews are obtained.

1.2. Digital Humanism – a new topic

Based on many intense discussions and bottom-up activities of the Vienna research community over the last year, WWTF aims to introduce Digital Humanism with this call as a new subtheme in its "Information and Communication Technology" priority to trigger new interdisciplinary collaborations between the social sciences and humanities (and art-based research) and the technical-oriented ICT domain (computer sciences, data science, etc.).

For more information about the wider initiative of Digital Humanism in Vienna, please go to our website.¹

1.3. Relevant call links

• Call information and details: https://www.wwtf.at/programmes/information communication/#ICT20



¹ https://www.wwtf.at/digital_humanism/

- Online System for submitting a project proposal: https://fund-ing.wwtf.at/user/login/
- Information on the topic of Digital Humanism (in a wider sense): https://www.wwtf.at/digital humanism/

1.4. Supporting excellent science in Vienna and Lower Austria

Vienna as an innovation area does not end at the city limits, and a "Vienna Innovation Area" is important and useful in our efforts to be one of the most important European research and innovation centres. This includes the networking of research communities. WWTF has well developed tools for competitive research funding in Vienna. There is a strong desire from researchers in Vienna and Lower Austria for stronger cooperation. A new 2020 agreement enables this cooperation between research institutions in Vienna and Lower Austria in the WWTF competitions. It is a valuable gain for all involved parties.

In a framework initially limited to three years, the Province of Lower Austria dedicates a maximum total of \in 3 million in fiduciary support to WWTF, i.e. up to \in 1 million per year. This is also the maximum amount of project funding that can go to Lower Austrian project partners as part of cooperation projects per year.

Both sides can decide whether or not the opportunity for these cooperation projects should exist for a specific call. After three years, the continuation and its design will be decided.

1.5. Specifics of Joint Projects (JP) between Vienna and Lower Austria

WWTF now also accepts joint projects between Viennese and Lower Austrian universities and research institutions in its regular project calls. The aim is to receive applications in which the partners cooperate on equal terms.

Please note, that you have already decided in the short proposal phase if you want to use this opportunity or not. At this stage, opt in or opt out is not possible anymore.

The incentive for cooperation projects is a slightly higher total maximum funding amount which consortia applying for a Joint Project can request (+ € 50.000 compared to the regular maximum funding amount).

The Vienna share (at least 51% of the project sum) is paid by WWTF from its own resources, while the Lower Austrian share (49% maximum) is financed from the Province of Lower Austria.

In summary, a JP differs from a standard WWTF project in the following points:

• The maximum funding volume for a JP is € 50.000 more than the funding volume of a regular WWTF project, i.e. in total € 450.000.



- The PI and Coordinator has to be affiliated to a university or non-university research institution in Vienna. At least one Co-PI has to be affiliated to research institutions in Lower Austria.
- The budget allocated to partners in Vienna has to be at least 51% of the total budget; the share of budget going to partners in Lower Austria has to be higher than 20% and can be 49% at most (collaborations with partners in Lower Austria up to 20% are not considered JPs but can be submitted as regular WWTF projects). Partners outside Vienna or Lower Austria are optional and may request up to 20% of the total budget.
- Regional branches of Viennese Institutions (e.g. BOKU, VetMed, AIT) located in Lower Austria are considered as Vienna-based for the purpose of our funding activities.

The Lower Austrian project partner has to comply with the Lower Austrian Culture Promotion Act 1996 and the directives issued on the basis thereof (<u>Richtlinien für Förderung nach dem NÖ Kulturförderungsgesetz 1996</u>).²

Please note that WWTF needs to share your application documents with the Government of Lower Austrian in case that you applied for a Joint Project.

2. Relevant call facts

2.1. Principal investigator and institutional eligibility

The **Call Fiche** including contact information of the WWTF call managers is available at https://www.wwtf.at/programmes/information_communication/#ICT20

For the overall framework of WWTF funding, you may consult the respective <u>quidelines</u> (please note that the relevant points for submitting a project are also listed here).³

The **Principal Investigator and Coordinator (PI)** of a WWTF project must have a Viennese home institution to which the project is affiliated to. This includes researchers moving to Vienna who will have a Viennese affiliation and workplace in case of funding. Project **partners** outside of Vienna may receive up to 20% of the total funding applied for. Partners outside Vienna are optional. For partner in Lower Austria, see 4.1. above.

For **universities**, WWTF projects are treated according to §27 of the Universities Act 2002. Therefore, authorizing signatures from the university / scientific institution acting as hosting institution are required for the submission. In case of funding, the host institution will be the formal contract partner for WWTF while the PI has the scientific and financial authority and responsibility for the project. Please note, that Core Team members share equal managing and scientific roles in the projects, however for legal and administrative reasons, WWTF needs a main PI to be defined in the online system and later on, in the contract in case of funding.



² http://www.noe.gv.at/noe/Kunst-Kultur/Richtlinien_zum_Noe_Kulturfoerderungsgesetz_1996_3.pdf

³ https://www.wwtf.at/upload/Anlage4_WWTF_Richtlinien_ab_01_01_2011.pdf

2.2. Eligible costs

Please note that the full proposal requires a detailed project budgeting.

WWTF funding may be used for all project-related costs; however, the main focus should be on funding scientific personnel. Everybody employed through a WWTF-funded project should receive a fair contract with at least a minimum wage according to the "Kollektivvertrag" (collective agreement) of the Austrian Universities or – for staff employed at non-university institutions – according to the standards of the Austrian Science Fund (FWF, available online at fwf.ac.at). The maximum employment is set to 100%. When planning the budget, use full-time equivalent (FTE) salaries and be aware that the PhD salary listed by FWF is for a 75% position.

Personnel costs cannot be claimed for permanent senior staff that is fully financed by the institution. Exceptions are made for institutions whose basic institutional block funding is less than 40% of the overall budget of the organisation. In these cases, permanently employed senior staff may claim up to 20% of their annual salary from WWTF.

The personnel categories are:

- Senior Personnel: highly qualified scientists, usually already permanently employed
- Post Doc: or equivalent qualification, including Senior Postdocs
- · PhD Student: or equivalent qualification
- · Diploma Student: Bachelor or Master students
- Office/Technician: office staff or technical staff (proportional funding only)

The funding by WWTF under this scheme is not intended to cover investment in general infrastructure, however *pro rata* depreciation rates for the project duration are fundable for **equipment** necessary for the project. WWTF funding also covers **materials**, consumables and software (as well as small devices up to 1,500 € each), **travelling costs** (incurred for attending project related scientific events and meetings), **publication costs** (including costs for patent filing and open access publication), **workshops/conferences** and **other project related costs**. However, non-personnel costs must be balanced, as WWTF focuses on funding people, and should not exceed the limit stated on the call fiche for non-personnel costs.

WWTF pays a **maximum of 20% overhead**. Overhead ("indirect costs") is calculated as 20% of the direct costs of the project. The total funding volume is calculated as direct + indirect costs. Applicants are required to comply with the overhead regulations of the involved institutions.

2.3. Ethics and good scientific practice

Compliance with the rules for good scientific practice including the appreciation of ethical aspects in research is mandatory even at the proposal stage.



If the approval from the ethics committee/institutional review board is required for the planned project this has to be clearly stated at the short proposal stage and the approval ("Votum") has to be submitted online with the full proposal (PDF upload).

The approval by the ethics committee has to be specific for the planned WWTF project; therefore, the title of the project should be the same as on the approval (minor deviations are possible). If the title of the approved research differs significantly from the proposed project, the PI has to include a statement (in the online submission system) confirming that the approval covers the planned research.

Should it not be possible to have a final approval before the full proposal deadline due to reasons which are beyond the control of the applicant, such as constraints imposed by the local ethics committee, the applicant must explain the reasons in the provided textbox in the submission system and send the preliminary approval the call manager at the latest two months after the full proposal deadline.

If the main applicant for the ethical approval is not the PI or co-PI/Core-Team Member of the WWTF proposal, a clear statement has to be included in the online proposal whereby the PI or co-PI/Core-Team Member confirms that he/she is authorized to conduct the planned research within this ethical approval.

If the planned research is covered by an existing approval, the applicants have to submit the extension of the approval ("Verlängerung der Gültigkeit des Votums"). The above also applies for extensions.

Non-compliance will result in the rejection of the proposal on formal grounds and will therefore not be further processed or sent for evaluation.

2.4. Open access

Please also consider WWTF's open access policy available online.4

2.5. Evaluation process and funding criteria

Project calls follow a **two-stage evaluation process**: in the first stage, a short proposal is submitted is completed. Full proposals may be submitted at any time from the opening of the call until the deadline via the online submission system. WWTF does not accept submissions after the deadline.

Please consult for https://www.wwtf.at/programmes/information communication/#ICT20 upto-date timelines.

⁴ https://www.wwtf.at/about/policies/index.php?ID=7370#O7370





2.6. Formal eligibility check by WWTF

The proposals will be screened for formal eligibility by the WWTF office to check if the following criteria are met:

- a. Eligibility: the PI must be affiliated to a Viennese university or non-university research institution; the research institutions of the applicants must be eligible for this type of funding. For JPs, at least one co-PI must be affiliated to a Lower Austrian university or non-university research institution.
- b. Budget: requested funding within the defined range, limits per cost category and region not exceeded. Changes with regard to the budget in the short proposal reasonable and explained.
- c. All parts of the proposal completed, including the required uploads. Missing part may lead to an exclusion of the proposal from the evaluation process.
- d. All required signatures (and stamps) uploaded. Electronic signatures are accepted.

Proposals that do not meet the key formal requirements will not be sent for further evaluation to the core team of the jury (core jury). Applicants of proposals which are deemed ineligible will be informed shortly after the submission deadline.

2.7. Evaluation of full proposals

Each eligible proposal will be assessed based on the following criteria:

- a. **Quality:** scientific originality and excellence of the proposed research project (including methodological questions)
- b. Innovative character of the research
- c. **Relevance**: does the proposed research contribute to mid- to long-term concepts to rethink digitalisation processes to be better aligned with established human values? Does the proposal contribute to advance digital humanism.
- d. **Interdisciplinary collaboration:** teams should include an appropriate mix of expertise, bringing together researchers from ICT and SSH. The jury also assess the degree and quality of the proposals in regard to interdisciplinarity.
- e. **Potential of the applicants:** accomplishments and competencies of the applicants to conduct the proposed research.
- f. Consideration of gender aspects: The relevance of potential sex-specific and gender-related aspects of the proposed projects should be considered and explained within the different sections of the short proposal. Please also refer to the document "Including sex and gender considerations in WWTF proposals and research teams" available online.

First, applications will be reviewed by (at least) two reviewers (these are international experts other than the jury members). They will be selected according to their expertise with regard to the topic of the proposal.



Based on the reviews, the jury will discuss the proposal in a jury meeting in May 2021 to make a funding decision. At least **two jury members** are assigned to each proposal and act as rapporteurs for the proposals. The arguments brought forward in the review reports will be carefully balanced with the jury's own expertise. The result of this process is a recommendation for each project "to be funded" or "not to be funded".

2.8. Formal funding decision

Formal confirmation of the jury recommendation by the WWTF Board of Directors after WWTF Advisory Board recommended the projects to the Board of Directors. The WWTF Boards have always followed the recommendation of the jury. Applicants will be promptly informed about the decision.

Applicants that have submitted a full proposal will receive anonymized full text reviews and a summary of the jury discussion after the formal funding decision.

3. Online Submission System

3.1. Login

WWTF accepts one submission of proposal via its electronic submission system.

- 1. Go to https://funding.wwtf.at
- 2. Log in, choose the call ("Digital Humanism 2020"), and select your proposal.
- 3. **Full proposal**: Fill in requested information in *online forms* and *upload requested files* (in PDF format). You can save the current status of your proposal at any time and access the system multiple times and edit provided information!
- 4. Submit proposal: the submit button becomes active only after all requested information has been filled in and uploaded (signalled by a green check mark next to the chapter title). Be aware that after the submission no more changes are possible. Proposals that have not been submitted will be deleted shortly after the submission deadline. You can delete the proposals also at any time.

Note: The submission system closes at 2 pm (Vienna local time) on the day of the deadline. The short proposal has a size limit of maximum 5 MB. No diagrams or pictures are allowed in this stage, with exception of the Gantt chart.

3.2. General aspects of the full proposal

Applications to WWTF undergo an assessment by international scientists, thus all proposals must be written in **English**. Please write precisely and to the point but go into enough detail to allow an evaluation by international peers!

Important: Both jury and reviewers will consist of experts from the domain of ICT and SSH. Please write the proposal in a way that both communities can understand your



research project. Avoid too specific jargon! Make it as easy as possible for the jury and reviewers to follow what you have planned in the research project! Be concrete with the methods you will employ and state what you are actually going to do in the project.

The information for the full proposal consists of a part that is written "offline" with a word processor as well as information that need to be added directly in the online submission system.

3.3. Offline / word processing part of the proposal:

- Some parts of the full proposal must be written offline with a word processing programme to allow images, tables, etc. and then uploaded (as a PDF file) to the WWTF submission system.
- Use the template for download in the submission system. The template includes the required headings for each section.
- You may use the word-processing software of your choice, but we kindly ask you to
 use a common font type such as Arial and a font size of 11pt. Line spacing should
 be between 1.3 and 1.5. The layout should support the readability of the proposal.
- Please do not add any header or footer (such as page numbers, proposal number, title of proposal) in the word processing file since this information will be added automatically upon upload of the PDF generated by the word processing programme.
- You may include figures, tables, etc. to improve the scientific presentation. Please
 note that the size limit for the overall proposal is 5 MB, thus, think of the appropriate
 resolution/file size of the figures. Avoid colours as reviewers might print out the proposals on a b/w printer.
- The length of the offline part of the **full proposal must not exceed 15 pages** maximum. Please note that the system refuses upload if this number is exceeded.
- Keep in mind that the **full proposal is an extension of the short proposal** you have already submitted. Thus, substantial changes of in the project may impact the evaluation of the project by the jury.

3.4. Online part of the project

Note that the title of research project, scientific disciplines, keywords and the key applicants (PI, Co-PI, and core team members) must be identical to those on the short proposal. No substitution, deletions or additions of key applicants are allowed!

The online part has six sections:

- 1. Project Summary
- 2. Research Project



- 3. Project Team
- 4. Project Budget
- 5. Affirmations and Authorization

3.4.1. Project Summary

- · Add an acronym for your project!
- The duration can be changed.
- Scientific abstract in English will be the first information jury members and peer reviewers read. The abstract is taken over from the short proposal. You may change it as you see fit.
- General description in German language is mandatory and will be used by WWTF
 for public relations work (such as WWTF webpage) in case of funding but will not be
 visible in the final electronic proposal and print-out (for jury and peer reviewers). We
 ask you to use a public style abstract and not simply translate the scientific abstract
 into German.
- Suggested peers (for peer review): Applicants must suggest five international peers
 from a field of competence that enables them to review the proposal. No previous publication activity or research cooperation with the suggested reviewer should be evident.
 Please provide up to five keywords or phrases that describe the reviewers' fields of
 expertise to enable a balanced set of reviewers to be chosen. If the suggested peer
 reviewer are employed for the evaluation is up to WWTF. In any case, WWTF will send
 the proposals also to other reviewers selected by the jury.
- Excluded peers (for peer review) (optional, max. 3): Applicants may exclude up to three peers from reviewing your proposal without indicating any reasons. The names will be stored in the WWTF database only and will not be visible in the electronic proposal and print-out. Please note that we will review internationally only, thus, no reviewer with an Austrian affiliation or with very close links to Austrian research will receive the proposal.

3.4.2. Research Project (max. 15 pages, PDF upload)

Page numbers are indications about the expected length of each section. However, we allow for some flexibility between sections if this allows for a more precise presentation of the project. Please note that the omission of particular sections may have negative impacts on the evaluation as it could mean that essential information is missing.

You will find the template in the online system for download.

Please note that this call has a particular focus on interdisciplinarity. Please include this aspect in the whole description (wherever you see fit in the text).

IV. Project description (about 4 pages)



- Subject of the research
- Relevance of the research topic: Please state for whom the research and its outcomes might be of relevance (within science but also beyond). To what discussion / problem does the research contribute?
- State-of-the-art, theoretical embedding of the research and key scientific challenges
- Research questions and/or hypotheses

Please include the *interdisciplinary aspects* arising from the collaboration between SSH & ICT where it is suitable in the text

II. Objectives and expected outcomes (about 1 page)

- Objectives of the project
- Expected results and outcomes
- Dissemination plan (academic and non-academic) and stakeholder engagement: please specify in more detail how you will you disseminate your research outcomes.

Please include the *interdisciplinary aspects* arising from the collaboration between SSH & ICT where it is suitable in the text

III. Innovativeness and relevance (about 2 pages)

- Innovative character and uniqueness of the proposal
- Contribution and relevance of the research to Digital Humanism. Description of the difference made due to the project

Please include the *interdisciplinary aspects* arising from the collaboration between SSH & ICT where it is suitable in the text

IV. Methodological approach (about 4 pages)

- Research methods (including considerations on interdisciplinary collaboration in the project): Specify and justify the methods used. Justify the empirical data used and how you are going to analyse them.
- Research and work plan (including Gantt or flow chart): Please avoid too generic figures here, but provide depictions that display your work plan and the interaction of the work packages helping the jury and reviewers to understand your work process in the project.



• Feasibility and risk management/mitigation: Provide a short assessment of the feasibility of your approach. What are potential risky aspects in your research and how do you deal with it, if results fail to realize?

V. Potential sex/gender considerations (about 1 page)

In this section, please reflect sex/gender aspects of the research/topic itself and how you deal with the aspect in the project as well as of gender aspects in the composition of the research team.

VI. Roles of personnel (about 1.5 pages)

- Organisation of the interdisciplinary collaboration
- Project management

Please note that the roles and competences of the involved researcher have to be specified in Section 3 in the online form.

VII. Key references (about 1.5 pages)

Please focus in the most relevant literature. Every citation must have a reference. Every reference must refer to a citation in the text. Use a common reference style. Highlight (e.g. in bold face) a maximum of ten key publications representing the state of the art in the respective research area(s).

Also use a font size of 11pt. Line spacing should be between 1.3 and 1.5.

Online:

Potential ethical aspects: this is of particular importance if your methods include working with people outside the research domain, i.e. experiments, interviews etc. in case that it the inclusion might harm their psychological and physical integrity (however, simply talking to people is not considered as an ethical issue). This section should also reflect on data protection in case that personal information of people is used.

In case that an ethical approval is necessary, please upload it.

3.4.3. Project team

The core team cannot be changed anymore at this stage. Information is taken over from the short proposal.

- Please specify the roles/responsibilities of the core team members as well as their competences with regard to the project.
- It is possible to update the CV.



Further persons with no "key role" (all but PI, Co-Pi, core team members) can be added.
 This is relevant to calculate the project budget. If they are at the further institution not involved so far, please first at a "Partner Institution"



- Project team composition & gender equality: Please describe how your project deals with gender equality issues during job announcements, recruitment of staff and working environment.
- Career development prospects: Please describe how your project contributes to human resources development of the team members (e.g., providing opportunities for research, staff exchange, teaching and mentoring).

3.4.4. Project budget

Table 1: Planning of personnel costs

- Fill out the table for all persons involved. includes the names and staff category of all persons listed in part "3. Project Team" are automatically filled. Please first choose the funding source (WWTF, in-kind, WWTF & in-kind) and then add the average yearly time commitment for each project year. Finally, for those persons where WWTF funding is requested, fill in the salary corresponding to a 100% employment in the first project year. The total funding applied for each person will then automatically be calculated including a 3% annual salary increase. At the end of Table 1 you will see the total personnel costs applied for from WWTF.
- Please note that salaries are in k Euro = 1.000 Euro.

Table 2: Planning of project related costs for equipment, materials, travelling, publications, organization of workshops/ conferences/ ..., and other costs

- All costs directly attributed to the project can be listed here, however no basic infrastructure are rent, telephone costs etc.
- WWTF encourages open access publications. Costs for Article Process Charges (APCs) can be listed in table 2.
- The overall share of these costs shall not exceed 25% as WWTF aims to fund researchers.

Table 3: Total funding applied for per institution

Provides an overview of costs / institution



- Insert the overhead percentage here. Up to 20% are allowed. Add the overhead percentage (i.e., indirect costs) per involved institution as a numeric value between 0.0 (no overheads claimed) and 20 (20% overheads claimed). Please stick to the guidelines for overhead costs of your institution.
- There should not be any significant changes in the budget in comparison to the short proposal. Exceptions are ok but need an explanation.

Table 4: Budget per region

- This table provides an overview of the budget per region.
 - Up to 20% of the budget can go outside Vienna, except for "Joint Projects" with Lower Austria (see above).

Explanation of Cost Planning (max. 3.000 characters)

Thus WWTF requires an explanation of your cost planning principles and a detailed planning of personnel costs (which should comprise the major part of the project related costs) as well as planning of project related costs for equipment, materials, travelling, publications, organization of work-shops/ conferences/ ... and other project related costs.

Disclosure of other applications for funding

• Is the project (or parts of it) already subject to ongoing requests for funding? In case that you applied at other research funding organization, please indicate this here. It will not impact the evaluation, but in case of funding, you will be asked by whom institution you want to receive the funding.

3.4.5. Affirmations and Authorization

Affirmations are the signatures of the core project team members. Additionally, WWTF requires collecting the signatures of the authorized person(s) of all participating institutions to which the persons signing the "Affirmations" are affiliated to in case of funding.

Multiple copies may be used for signing. Scanned pages are accepted. Please upload one PDF containing all the required signatures. Up nine pages in a single PDF are possible.

Hard-copies of the proposal or the signatures are not required and shall not be send to WWTF.

The names of the person(s) signing the authorization for each hosting institution have to be inserted into the provided textboxes in the system.

Then download the forms ("Download Part II/5 as PDF document") and have these **signed**, together with the **date** and a **legible stamp**. If multiple signatures are required from one institution you can use the same form multiple times or add the additional signatures below the provided boxes. Multiple copies of the forms may be used for signing. A maximum of 6 pages may be uploaded in this section.



Additional institutions also have to sign the section "Authorizations" for the submission of the full proposal.

4. In case of funding

The **formal funding contract** will be signed between WWTF and the hosting institution of the Principal Investigator and Coordinator (for universities according to §27 of the Universities Act 2002), the PI has full scientific and financial responsibility. Projects may start immediately but should **not start later than 6 months** after the formal funding decision has been made. During the project duration WWTF pays funding rates once a year in advance to the PI's hosting institution. The PI is then responsible for the distribution to the partner institutions (if applicable).

WWTF monitoring during the runtime of the projects includes annual online reports delivered by the PI to WWTF with an overview on the scientific results achieved, personnel employment and funding spent as well as project outputs. WWTF office also makes site-visits to learn about the project progress and working environment of the personnel employed. WWTF offers the possibility to adapt the work plan according to project needs.

After the project has ended a comprehensive final report must be submitted online. WWTF may organize an **ex-post evaluation** by international peers ("Evaluation Day") for all projects funded within a specific call.

Please consider the Reporting Guidelines at https://www.wwtf.at/about/guidlines/.

