

APPLICATION GUIDELINES

for Ludwig Boltzmann Institutes

Call 2023

The present guideline is a translation of “Antragsrichtlinien – Zur Bewerbung um die Einrichtung von Ludwig Boltzmann Instituten. Ausschreibung 2023”. Please note that the original version of the Guideline published in German forms the legal basis for the new Ludwig Boltzmann Institutes.

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1. Glossary

Ludwig Boltzmann Institute	<p>The Ludwig Boltzmann Institute is headed by an excellent Institute Director and staffed by about 15 persons (full-time equivalents) to research a coherent research programme consisting of about three programme lines in interface topic areas such as (bio)medicine, health sciences and public health, with a strong basic science core with transdisciplinary and societal links.</p> <p>The Ludwig Boltzmann Institute is established at a host institution and administered by the Ludwig Boltzmann Gesellschaft as the operating organisation.</p>
Ludwig Boltzmann Institute-Budget	<p>The Ludwig Boltzmann Institute budget amounts to a maximum of 1.5 million euros and is financed 80% by the Ludwig Boltzmann Gesellschaft and 20% by the partner organisations (in exceptional cases jointly with the host institution).</p>
Institute Director	<p>The Institute Director leads the Ludwig Boltzmann Institute, which should encompass about 15 persons (full-time equivalents) including third-party funded persons. This person is able to generate new questions and carry out research permanently on a high quality level. The criteria under 4.1.1. must be met to be eligible to apply as Institute Director.</p>
Research Group Leader	<p>The Research Group Leader manages a programme line within the overall research programme. This person supervises several projects and younger scientists, and has the capacity to build up an external network and to acquire projects and external funding in line with the overall research programme. Postdocs are obvious candidates for this position.</p>
Adjunct Principal Investigator (PI)	<p>Adjunct PIs remain at their organisation (i.e., they are not employees of the Ludwig Boltzmann Institute), and may run their own programme line sections integrated into the</p>

	Institute's operations alongside the internal Research Group Leaders. With their scientific expertise, Adjunct PIs complement the competencies of the Institute Director and the Research Group Leader team.
Consortium	The Ludwig Boltzmann Institute works in close cooperation with the consortium, which consists of the units host institution, partner organisations and network partners.
Host Institution	The Host Institution is defined as the eligible institution that employs the Institute Director. The host institution is the organisation hosting a Ludwig Boltzmann Institute. This includes all Austrian universities according to the Universities Act BGBl. I No. 120/2002 as amended, and private universities according to the Private Universities Act BGBl. I No. 77/2020 as amended.
Partner Organisation	The partner organisations are research performing institutions other than the host institution, as well as research applying organisations e.g. from business, the public sector or private institutions (associations, NGOs etc.) that jointly contribute to the 20% co-financing requirement of the research plan.
Network partners	Network partners are all those who contribute know-how, implement results and pass on knowledge in their environment, but do not contribute to financing the Ludwig Boltzmann Institute. Classical network partners in the field of health sciences are self-help organisations of patients, patient advocates, etc.

2. Introduction

The Ludwig Boltzmann Gesellschaft (LBG) is a non-university research institution with a thematic focus on Medicine and Life Sciences. It operates the Ludwig Boltzmann Institutes together with academic and research applying partners. The LBG is noted for the strength of its interdisciplinary and transdisciplinary focus, for the translational character of its research and for generation and conduction of relevant and timely research topics. Its goal is to actively support the practical application of its research findings. The Ludwig Boltzmann Gesellschaft focuses on applying open innovation in science (OIS)/citizen science /outreach methods to create scientific solutions to societal issues.

The LBG plans to establish Ludwig Boltzmann Institutes which will conduct research in the field of Health Sciences. These Ludwig Boltzmann Institutes are to be founded according to the principle of “people, not projects”, and will offer outstanding scientists the financial support and organisational framework needed to produce output of the highest level. The Ludwig Boltzmann Institutes will work closely with the respective Host Institution.

A Ludwig Boltzmann Institute is established at a host institution and administered by the LBG as the operating organisation of the institute. The institute is financed on one hand by the LBG (80%) through funds from the Federal Ministry of Education, Science and Research (BMBWF) and on the other hand by the partner organisations (in exceptional cases with the host institution) (jointly 20%).

3. The Ludwig Boltzmann Institute model

3.1 Thematic focus

As the general strategic focus of the Ludwig Boltzmann Gesellschaft is Health Sciences, this field will be the focus of this Call. Health Sciences is an overarching description of all disciplines dealing with health and is interpreted widely by the Ludwig Boltzmann Gesellschaft. Health Sciences include all aspects from (bio-)medical to healthcare systems research, from basic science to the practical application of research findings. The focus lies on human health as it is impacted by real factors, such as the predisposition, environmental and social factors, communication, health care system, etc. Building on classical areas such as biomedicine, immunology, infectiology, epidemiology, biostatistics, metabolism, pharmacology, nutritional and behavioural sciences, etc., cross-cutting topics such as prevention, rehabilitation, environmental medicine or public health are also to be addressed. Purely basic scientific projects with a focus on molecular, molecular biological, or genetic studies of diseases are thus not the goal of the Ludwig Boltzmann Institutes.

Especially when it comes to questions about the best health care for a population, also in view of demographic change, a number of inter- and transdisciplinary as well as translational questions arise.

Cluster 1 (“Health”) in Pillar 2 of the EU’s Horizon Europe framework programme is also dedicated to the topic of health, demographic change, and well-being on a broader scale. The goal is to discover new pathways to maintaining human health, preventing disease, developing better diagnostics and more effective therapies, applying personalised medicine to improve the provision of healthcare and promote well-being, and using innovative (digital) health technologies.

For this call, Ludwig Boltzmann Institutes are to be established in interface topic areas such as (bio)medicine, health sciences, and public health, with a strong basic science core with transdisciplinary and societal points of reference.

3.2 Scientific excellence and translational research

The Howard Hughes Medical Institute (HHMI) serves as a model for the new LBIs: the HHMI model has been extremely successful for many decades and is now being adapted to Austria’s health sciences research landscape. The present call is designed as a pilot phase, and the model will be continuously further developed and adapted in the future. A Ludwig Boltzmann Institute offers excellent scientists of a Host Institution the necessary freedom for outstanding research. A guiding principle is the focus on “People, not projects”. In the foreground are outstanding scientists (Institute Directors) who are able to introduce new areas of research and conduct research permanently of a high quality.

Scientific excellence should be demonstrated not only by the Institute Director, but also by the research proposal presented by the Ludwig Boltzmann Institute, through its combination of topic, personnel, ambition, and scientific approach. The proposed research should address important challenges, have ambitious goals, and extend beyond the current state-of-the-art (e.g., novel ideas and approaches or developments between and/or across the disciplines).

Research work undertaken at all Ludwig Boltzmann Institutes takes a scientific approach to solving societal problems and issues. Consequently, translational research, typified by strong interaction between basic science and its subsequent application, plays an important role within the Ludwig Boltzmann Gesellschaft.

Excellent basic science with strong aspects or potential for research application should be the leading driving force. Depending on the research area, the potential applications may be self-developed or the application must be jointly driven in true partnership and collaboration between academic institutions and applying organisations - both scenarios are welcome. Latest by the end of a Ludwig Boltzmann Institute's lifetime, the results of excellent research should reach an application or implementation in society.

The following figure shows the synergy model of the Ludwig Boltzmann Institute. Terms that are used are explained in more detail below.

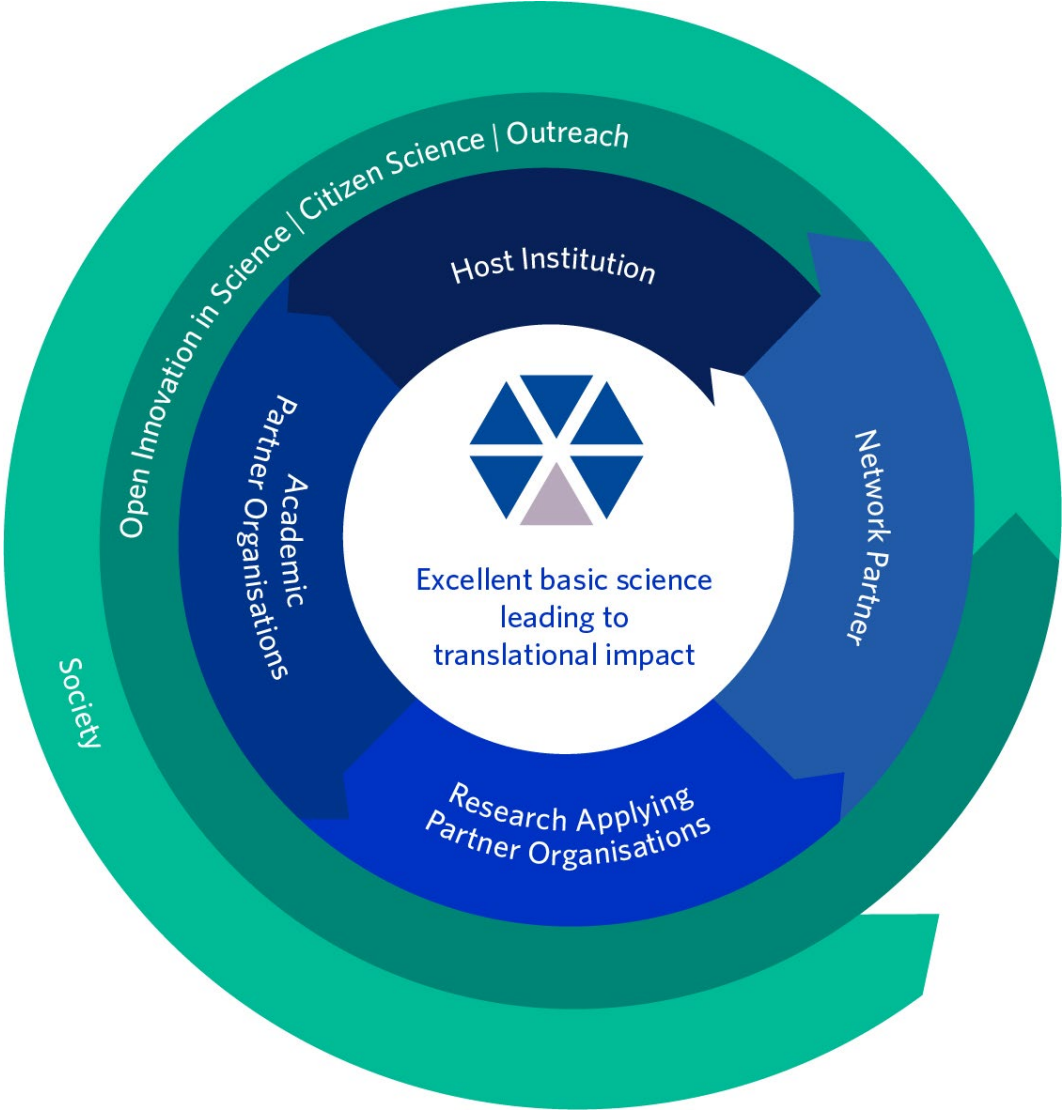


Figure 1. Synergy model of the Ludwig Boltzmann Institute

3.3 People

The essential requirements and responsibilities of the people as well as the organisation of a Ludwig Boltzmann Institute are outlined below. Overall, gender aspects should be taken into account and diversity of entities should be ensured.

The Ludwig Boltzmann Institute should follow a coherent research programme consisting of around 3 programme lines. The number of programme lines is to be determined according to the nature and content of the research plans. The figure below illustrates the structure of a Ludwig Boltzmann Institute. A corresponding organisational chart should be included in the proposal.

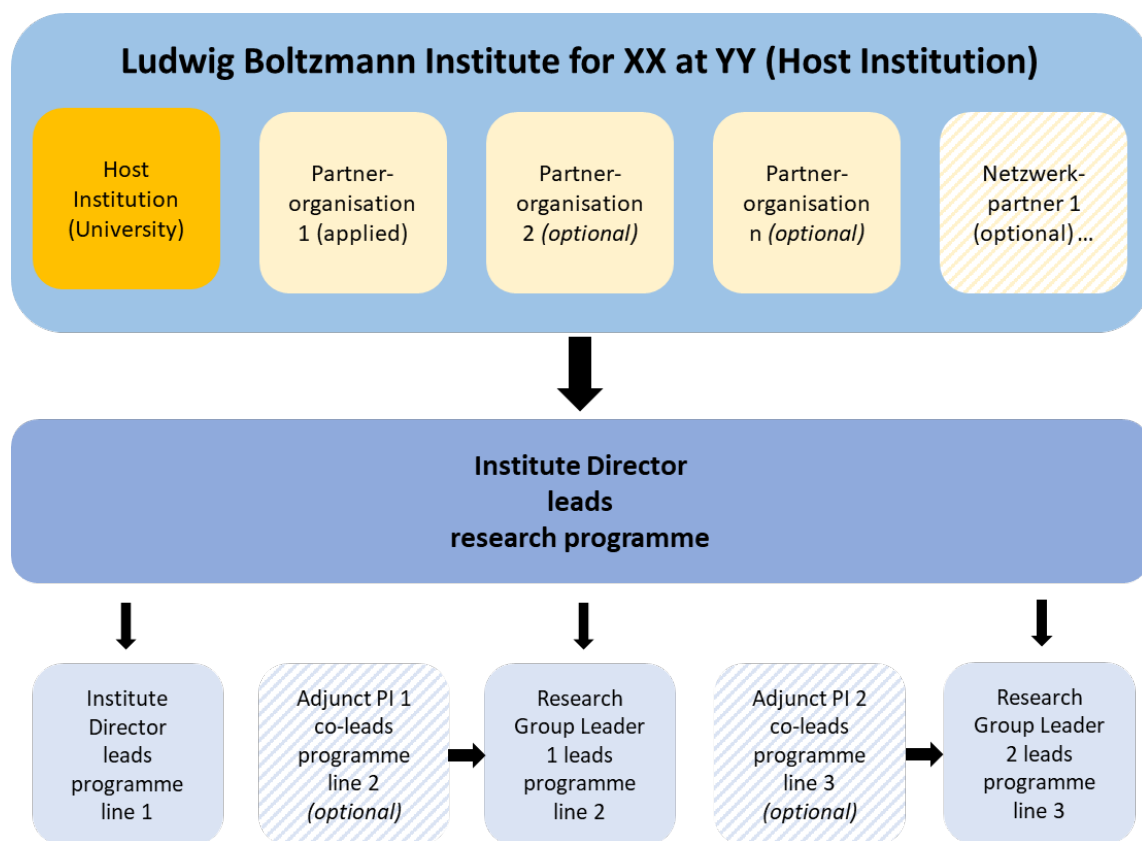


Figure 2. Organisational chart of a Ludwig Boltzmann Institute (example)

3.3.1 Institute Director

As noted under section 3.2, Institute Directors must be outstanding scientists who are able to introduce new areas of research, and to conduct research permanently of a high quality.

The Institute Director should lead a programme line within the research programme.

The Institute Director must be determined as a first step, because their evaluation plays a key role in the assessment of the proposal as a whole. The Institute Director has a double affiliation and remains based at the university; 75% of their capacity is reserved for research at the Ludwig Boltzmann

Institute, and 25% for their university obligations. See section 4.1.1 for more details on the application criteria regarding the Institute Director and the conditions of employment.

The expressed aim of the Ludwig Boltzmann Gesellschaft is to stimulate a “brain gain”, achieved by inviting scientists based outside Austria to apply to establish a new Ludwig Boltzmann Institute. Universities are encouraged to use this Call to attract and bring excellent international candidates to Austria.

The designated Institute director should be able to attract good scientists. It is important to involve stakeholders outside the science system, and to support the implementation and use of the research findings.

The intended size of the new Ludwig Boltzmann Institute is around 15 persons (FTE), including those financed by third-party funding. Therefore, the Institute Director is expected to have appropriate leadership competence for the professional orientation of the Ludwig Boltzmann Institute and with regard to staff management.

3.3.2 Research Group Leader

Each additional programme line of a Ludwig Boltzmann Institute shall be headed by a Research Group Leader. The Research Group Leaders should be capable of covering a specific programme line within the overall programme; to establish a long-term external network; to simultaneously supervise several projects and several younger scientists; and to act independently, including in competing for projects and funding for the overall programme.

It will be assessed whether the programme lines and profile of the Research Group Leaders fit the overall concept of the proposal and, and their competence can fulfill the above-mentioned requirements. In terms of career position, two different types of Research Group Leaders can be considered: on the one hand, the junior researcher, for whom this position represents a career jump, and on the other hand, the established scientist, who would like to broaden and deepen his or her research base.

3.3.3 Adjunct Principal Investigator (optional)

There is also the option to include one or a maximum of 2 Adjunct Principal Investigators (PI), which are employed at other (also international) institutions. The Adjunct PI remains part of their organisation but may also run part of a programme line along with the Research Group Leader and will be provided with financing from the Ludwig Boltzmann Institute’s budget. The expertise brought by the Adjunct PI supplements that of the Institute Director and the Research Group Leader team. The Adjunct PIs are associated with a programme line (e.g., another scientific discipline, other types of experience at universities, companies, or working independently, etc.) and serve to strengthen the research plan and cross-institutional cooperation. Adjunct PIs may be provided with budgetary packages of up to 75,000 euro, for e.g. a predoc position or research material.

3.3.4 Junior researchers

In all institutes, the scientific directors support both predocs and postdocs in their scientific development. This includes the supervision of PhDs/doctoral studies, which is also carried out by LBG staff in the context of doctoral programmes at the university. Education through research is an important function of the LBG and the support of junior researchers is a focus in the institutes.

Postdocs should be able to reach a scientific level equivalent to a habilitation in the course of their work at the Ludwig Boltzmann Institute. They are obvious candidates for the role of Research Group Leaders. Postdocs are employed directly by the LBG.

PhD/Doctoral students should have the perspective of a PhD/Doctoral degree, but in a period of time such that the stay at the Ludwig Boltzmann Institute is not only used to acquire the PhD/Doctoral degree, but also and especially benefits the goals of the Institute to a substantial extent. PhD students are employed by the host institution (e.g. university). Their personnel costs are reimbursed to the host institution from the Ludwig Boltzmann Institute budget.

3.3.5 Administrative Personnel and Specialist Personnel

The LBI budget should cover a suitable level of administrative and specialist personnel (technicians, laboratory personnel, administrators, etc.) in order to ensure the Institute's scientific productivity. The Ludwig Boltzmann Institute should also employ one administrative manager to liaise between the Institute and the Ludwig Boltzmann Gesellschaft, thereby supporting the Institute Director with the professional management of administrative matters.

3.4 Partnerships

Research at the Ludwig Boltzmann Institutes is conducted in a partnership between organisations traditionally conducting research (universities, private universities, non-university research organizations, etc.) and organisations traditionally applying research ("application partners" such as companies, public administration, medical and social care institutions, insurance companies, interest groups and umbrella organisations, NGOs, charitable institutions, etc.).

The consortium of a Ludwig Boltzmann Institute is composed of the units Host Institution, Partner Organisations and Network Partners, and creates synergies also through close cooperation with the LBG.

The Ludwig Boltzmann Institute is located at the Host Institution, the Partner Organisations contribute know-how and the 20% co-financing share, and the Network Partners provide content-related contribution to the research conducted. These categories are further described below.

Each Ludwig Boltzmann Institute must include one Host Institution and at least one research-applying Partner Organisation in the consortium.

3.4.1 Host Institution

A Host Institution is defined as the institution eligible to apply, and which employs or will employ the Institute Director. It serves as “home” to the new Ludwig Boltzmann Institute. This includes all Austrian universities according to the Universities Act BGBl. I No. 120/2002 as amended and private universities according to the Private Universities Act BGBl. I No. 77/2020 as amended.

The Ludwig Boltzmann Institutes will have a close link with the Host Institution, which is characterised among other things by the following conditions:

- The Host Institution creates an attractive environment for outstanding scientists, and offers independence while still bound to their own organisation. The Institute Director has a double affiliation and remains based at the university; 75% of their capacity is reserved for research at the Ludwig Boltzmann Institute, and 25% for their university obligations. For this purpose, he/she is either employed 75% at the LBG or, in the case of tenure-track positions, 100% at the host institution. In the second case, 75% of respective labour costs are reimbursed through the LBI budget and 25% remain with the host institution, as this working time is not spent for the LBI.
- Staff members of the Ludwig Boltzmann Institute are employed at the LBG. This applies in particular to Research Group Leaders, Senior Researchers, Postdocs, administrative and specialist staff.
- In exceptional cases where employment at the host institution is necessary (e.g. staff members with tenure track positions, PhD students and clinical staff) these staff members are employed at the host institution against reimbursement of personnel costs from the budget of the Ludwig Boltzmann Institute.
- The host institution provides the infrastructure for the research. This is compensated by LBG with a flat rate of 40% of the personnel costs of the Ludwig Boltzmann Institute staff employed at LBG. This flat rate includes, among other things, the cost of using the infrastructure of current operations, the cost of access to internal university services, and compensation for the administrative expenses of the host institution. For details see Excel template “Cost/Financing Sheet” on website.

The costs will be calculated based on the annual personnel costs (including the employer’s ancillary wage costs) for the employees (directly) employed by the Ludwig Boltzmann Gesellschaft and paid through the Institute’s budget.

- This flat rate does not include the use of specific research infrastructures (core facilities). This is charged at internal cost rates.
- The Host Institution plays a key active role in exploiting the intellectual property rights (IPR) generated by the research and strives for appropriate utilisation. The Ludwig Boltzmann

Gesellschaft transfers the rights to the inventions to interested Host Institutions. This transfer shall be free of charge if this is legally permissible in view of the non-profit character of the LBG, in particular in the case of Austrian universities according to Universities Act BGBl. I No. 120/2002. In other cases, this transfer shall be made for a fee in line with market conditions. The application partners may also demand exclusive IPR from the Host Institution against payment of a fee. Areas of Interest must be agreed between the application partners as a priority rule. LBG can exploit results if no interest is reported by the host institution and/or application partner. This IP regulation applies to inventions eligible for protection.

- The name of the Host Institution will be incorporated in the name of the Ludwig Boltzmann Institute: LBI for xx at the yy (Host Institution).
- Third-party funds secured by LBG employees go to and are managed by the Ludwig Boltzmann Gesellschaft; the host institution will be involved as co-beneficiary in the acquisition and administration of the third-party funding, whenever technically possible and strategically advantageous.

In the course of the founding of the institute, an institute establishment agreement is to be drafted which encompasses all individual details and matters of the institute to be founded. This agreement is to be signed by all involved parties (including partner organisations).

3.4.2 Partner organisations

The partner organisations are research conducting institutions other than the Host Institution, as well as research applying organisations from industry, the public sector or private institutions (associations, NGOs, etc.) which contribute to co-financing of the research plan. They can be based either in Austria or abroad. Partner organisations can contribute to developing a new research topic, are involved in the research plan, and receive information about the development of new methods and processes. The partners have access to know-how, resources, and the opportunity to employ highly qualified personnel once the project phase has been completed or the Ludwig Boltzmann Institute comes to the end of its lifespan. They can pick up, utilise or implement results. As they are co-funding the programme, they are given priority in acquiring rights to results. The joint securing of third-party funding is also an asset for the partners involved.

Each partner organisation is required to make an annual cash contribution to the Ludwig Boltzmann Institute budget and is granted voting rights in the partner board meetings, the annual meetings of the partners for the further development of the Ludwig Boltzmann Institute.

If the Partner Organisation does not have sufficient financial means, in exceptional cases part of the 20% co-financing share can be borne by the Host Institution.

Furthermore, in exceptional cases, a research-applying partner organisation may join the consortium only within the first year after the establishment of the Ludwig Boltzmann Institute. The 20% co-financing requirement must be met in average over the duration of 4 years. A note to this effect must

be included in the Letter of Institutional Commitment. In this case, the proposed Partner Organisations must include a Letter of Intent with the application. If no research-applying Partner Organisation has joined the consortium at the beginning of the second year, the established Ludwig Boltzmann Institute will be closed.

3.4.3 Network Partners

Network Partners may also be included as members of the consortium. Network partners are all organisations who contribute know-how, implement results and disseminate the findings in their environment, but who do not provide financing for the Ludwig Boltzmann Institute. Traditionally, network partners in the Health Sciences sector are self-help organisations for patients, patient advocates, etc. The establishment of a suitable network will be supported by open innovation in science / citizen science/ outreach methods during and after the founding of the Ludwig Boltzmann Institute. This ecosystem should play a significant role in the research and its implementation. Network partners do not have the right to vote at the annual meetings of the partners.

3.5 Research Culture

3.5.1 Inter- and transdisciplinary research

Due to the complexity of societal problems, research questions often cannot be addressed from within a single discipline. The concept of the LBG enables that ways of thinking and methods from different disciplines can be used for to approach a scientific question.

The LBG's call guidelines encourage scientists and Partner Organisations to collaborate across disciplines in order to address topics that are not yet established or unconventional. This is taken into account in the selection of reviewers.

3.5.2 Open Innovation in Science/ Citizen Science/ Outreach

Ludwig Boltzmann Institutes support open innovation in science (OIS) approaches. OIS is defined as a process through which knowledge flows into and out of research as well as inter- and transdisciplinary collaborations along one or more phases of the scientific research process are enabled, initiated and implemented.

The governance structures of the Ludwig Boltzmann Institute (e.g. Advisory Board with experts from science, OIS and "Experts by Experience") as well as the criteria for the evaluation of the achievements (e.g. societal benefit of the research activities) reflect the OIS/ Citizen Science/ Outreach approaches.

3.5.3 Open Science

Systemic changes are currently taking place in the way the science and research system functions. Concepts such as "open science" call for a shift towards a more transparent, accessible, collaborative and networked way of doing research, among other things to improve reproducibility. Policy makers

and research funding organisations such as the European Commission and the FWF are also actively promoting open science, among other measures through inclusion of respective requirements in their research funding programmes.

The founding and operation of the Ludwig Boltzmann Institutes are based on the following open science principles:

- peer-reviewed publications are to be made freely available on the Internet in accordance with [Plan S](#) (i.e. in line with the requirements of the FWF and the Horizon Europe programme).
- Research data shall be managed responsibly according to [FAIR principles](#) and data shall be provided "as open as possible and as closed as necessary". To this end, a Data Management Plan will be developed outlining the actions to be taken to ensure the FAIRness of the data. A data management plan must be submitted not later than at the end of the fourth month after the start of the institution. LBG will provide a template for a data management plan.

3.6 Financing, duration and scope

The new Ludwig Boltzmann Institutes receive financing amounting to a maximum of 1.5 million euro per annum (= Ludwig Boltzmann Institute's budget). 80% of this sum (max. 1.2 million euro per year) is provided by the Ludwig Boltzmann Gesellschaft and 20% (max. 300.000 euro) from the Partner Organisations in form of cash contributions. In exceptional cases, the partner contribution may be provided jointly with the Host Institution. The 20% co-financing requirement must be met on average over the first 4 years and in absolute for the remaining duration. It is not defined how the 20% contribution has to be split among partners. In-kind contributions may be provided but do not constitute a component of the Ludwig Boltzmann Institute's budget and do not form part in calculating the 20% co-financing requirements.

A Ludwig Boltzmann Institute has an initial lifespan of 7 years and, after positive evaluation, may be extended by a further 3 years. Over a period of 10 years, this financing model provides total financing of up to 15 million euro, allowing new and innovative fields of research to reach a critical mass of collaborating researchers. The start-up phase regarding personnel should be completed by the end of the first year.

A continuation of the Ludwig Boltzmann Institute beyond the 10-year duration is not possible. In case of a negative evaluation, a phasing out of max. one year takes place. For further details hereto see chapter 4.3.2.

4. Process of establishment

4.1 Submitting a proposal

The first step is to submit an application to establish a Ludwig Boltzmann Institute in the field of Health Sciences with special consideration on the information given in chapter 3.1.

The Institute Director submits the application together with the Host Institution.

An application to establish a Ludwig Boltzmann Institute must describe concisely the qualifications of the Institute Director; the research programme; the programme lines; the aims and methods; the budget plan; the qualifications of the Research Group Leaders and Adjunct PIs; the consortium as well as the research environment/ecosystem in which the Ludwig Boltzmann Institute will be embedded; and the intended impact of the research.

The application and all supporting documents must be written in English due to the international peer review process. All dates and deadlines for submitting applications, as well as required forms and templates, are available via the Ludwig Boltzmann Gesellschaft website. Submission is exclusively via the LBG submission platform (link is expected to be available via the website from mid-March 2023).

4.1.1 Application criteria for the Institute Director

Only one person may apply for the role of Institute Director. The Ludwig Boltzmann Gesellschaft regards the selection of the Institute Director as a decisive factor in the success of the Institute's proposed research ("People, not projects").

Applicants for the position of Institute Director must meet the following criteria:

1. The Institute Director has or will have a tenure or tenure-track position at a Host Institution (thereby anchoring the Institute Director at the Host Institution - "double affiliation").
2. At the time of submission, the Institute Director has a minimum of 4 and a maximum of 15 years of relevant professional experience since completion of PhD. Work experience may have been interrupted and extended accordingly for documented circumstances, such as parental leave, clinical training, long-term illness, or military service (to be duly documented).
3. The Institute Director is a Principal Investigator for at least one competitively-won, peer-reviewed project receiving third-party funding with a duration of at least three years. Mentored grants and training grants are excluded.
4. The Institute Director must have demonstrated scientific independence, e.g., as the first or last author of several significant publications without their PhD supervisor.
5. The Institute Director has leadership experience and potential and shows interest to continue their professional development.

6. The Institute Director must be able to demonstrate an impressive level of success in their field of research and for the stage of their career, including up to 5 significant publications (as first or last author) in international, peer-reviewed scientific journals. They may also submit a list of monographs, invited presentations at established international conferences, patents granted, awards, prizes, etc.
7. The Institute Director intends to remain employed at the Host Institution for the entire lifespan of the Ludwig Boltzmann Institute (7 + 3 years).
8. The Institute Director does not hold a higher-level position at the university (i.e. not rector, vice-rector, dean position).

4.1.2 Selection criteria

Our principles for our assessment criteria and processes follow international best practice, in particular the [“Agreement on Reforming Research Assessment”](#) developed by the Coalition for Advancing Research Assessment (CoARA).

The agreement includes the following two main principles:

- **Quality and Impact:** Focus of assessment criteria on quality: recognition is given to originality of ideas, professional research that goes beyond state-of-the-art, open science approaches, and impacts of a scientific, technological, economic, and/or societal nature.
- **Diversity, Inclusion, and Collaboration:** Recognizes diversity of research activities and research roles/careers. Consideration is given to tasks such as peer review, training, mentoring and supervision of graduate students, leadership roles, science communication and interaction with society, entrepreneurship, and industry-university collaboration. Gender equity, equal opportunity, and inclusion are also acknowledged.

Applications are evaluated based on the above mentioned principles and according to the following selection criteria and associated weighting:

- 50% for the qualifications and potential of the Institute Director, Research Group Leader(s) (if applicable), the Adjunct PIs and research hypothesis. This is assessed based on the following questions: : How well qualified is the Institute Director to conduct the proposed research programme (Institute Director profile)? How well qualified are the Research Group Leaders in combination with any Adjunct PIs to lead the programme lines? Does the proposed research question indicate scientific excellence and relevance for the society? Does the research culture (open science, diversity, equity, inclusion, training, and mentoring) meet the principles of the Agreement on Reforming Research Assessment?
- 30% for quality and feasibility of the research plan: This is assessed based on the following questions: Are the research questions, aims and methods excellent, innovative and well structured? Are the methods suitable and are they described in sufficient detail in the

proposal? Have OIS/ citizen science/ outreach methods methods been adequately considered in the research plan? Can the research programme be conducted with the intended budget?

- 20% for the quality of the research environment: This is assessed based on the following questions: How do the Host Institution and Partner Organisations contribute to the project's successful implementation? What scientific facilities can they offer?

The Evaluation Form template is published on the Call section of the LBG website and can be used to better understand the evaluation criteria. This form, together with the application guidelines, is used by the reviewers for assessing the proposals.

4.1.3 Costs

The costs of the institute's operation are to be presented in full. In the course of the assessment, these are subjected to an evaluation with regard to factual necessity and monetary appropriateness. In detail, the following costs for the operation of a Ludwig Boltzmann Institute are eligible:

- Personnel costs
- Material costs
- Research costs

The following costs may not be included:

- Costs of operating infrastructure. Instead a cost reimbursement amounting to 40% of the personnel costs will be automatically included in the budget.
- Costs that are not directly related to the research project.
- Costs incurred prior to start of the Ludwig Boltzmann Institute.
- Sales tax on respective eligible costs.

Investing parts of the Ludwig Boltzmann Institute budget in larger equipment is possible if necessary for the implementation of the research plan. In this case, the conditions of acquisition, payment and subsequent use are to be regulated separately with the host institution in every specific case.

This cost plan must be accompanied by a corresponding financing plan.

The Excel template provided (Costs / Financing Sheet) must be used to present the costs and financing and will be made available on the website. For further details see Cost /Financing Sheet Template.

4.1.4 Application documents

The application is submitted according to the full application principle via the submission platform and includes the documents listed in the following table, for which predefined templates can be found on the website. For some parts the information in the documents must be entered directly in the submission portal, in other parts uploaded as attachments in the submission portal. The table below provides information on the procedure for successfully submitting the application:

Documents to be submitted	Process
Eligibility Check form	Input in platform
Proposal form	Chapters 1-4: Input in platform; Chapters 5 and 6: Upload as attachment
Cost/Financing Sheet (Excel)	Upload as attachment
CVs of Institute Director, Research Group Leaders and Adjunct PI	Upload as attachment
Letter of Institutional Commitment (from Host Institution and Partner Organisations respectively) In exceptional cases: Letter of Intent (from Partner Organisations that become members of consortium after Institute's start)	Upload as attachment
Declaration (from Host Institution and Institute Director)	Upload as attachment
Exclusion of Reviewers (optional)	Input in platform

4.2 Selection process

4.2.1 Pre-selection by expert jury

After the application deadline, the Ludwig Boltzmann Gesellschaft will subject all received proposals to a formal check. Proposals which do not meet the formal requirements (see section 5.2), are not complete or fall outside the scope of the Call (i.e., do not address the thematic areas specified in section 3.1) will be rejected during this process.

Proposals that pass the formal review will undergo a pre-selection by an international external expert jury. The expert jury will make the pre-selection on the basis of chapters 3 and 4 (Institute Director and team and Research Program Abstract) in the Proposal Form.

4.2.2 International Peer Review

Proposals that have been pre-selected will be forwarded to international experts for scientific review. The reviewers are selected by LBG in cooperation with the expert jury. The applicants may request the exclusion of a maximum of three reviewers (via the submission portal).

The international external expert jury evaluates the applications on the basis of the expert reviews obtained and selects approximately six first-ranked applications for the hearing.

4.2.3 Hearing

In a second stage, the first-ranked applicants selected by the international expert jury will be invited to a Hearing. The designated Institute Director and - if designated - the Research Group Leaders will be invited to the Hearing. One representative of the Host Institution and one representative of the Partner Organisation may take part. At the Hearing, the Institute Director will present both their previous scientific achievements as well as their concepts for the Ludwig Boltzmann Institute to the international expert jury. The presentation will be followed by a feedback round by the international expert jury and an open discussion with the proposal team. At the hearing, international experts will also evaluate criteria for career advancement and OIS/Citizen Science/Outreach methods (see Figure 1 on page 7).

On the basis of the hearing, the international expert jury ranks the applications and makes a recommendation to the Executive Board of the Ludwig Boltzmann Gesellschaft on how to proceed. The formal decision on the final selection of the two applications for the foundation of Ludwig Boltzmann Institutes is made by the Executive Board of the Ludwig Boltzmann Gesellschaft.

4.3 Contract preparation phase

4.3.1 Finalising the research plan and concluding the institute establishment agreement

Together with the Host Institution and the Partner Organisations, the Institute Director incorporates the recommendations from the Hearing into the research plan, and the controlling department of the Ludwig Boltzmann Gesellschaft works with the Host Institutions to draw up a final budget.

The research plan and budget will be agreed upon by signing the Institute Establishment Agreement by the Host Institution, Partner Organisations and the LBG.

LBG as the operating organisation provides the Ludwig Boltzmann Institute with competencies in the areas of legal, human resources and financial management, public relations, open innovation in science and career development.

4.3.2 Governance of the Institute and involvement of the partner organisations

By involving institutional partners, the Ludwig Boltzmann Institute offers a joint research platform for conducting research into socially relevant issues and creates a bridge for implementing the results of this research and development; this purpose is reflected in the governance of the Institute.

The partner organisations each send one representative to the annual Board meeting at which the Institute Director reports on the implementation of the research plan, results, use of funds, third party-financed projects, and the use of OIS / citizen science / outreach methods. The Board decides whether to admit any further Partner Organisations, any changes to the institute establishment agreement, and adjustments to the research and budget plan.

Responsibility for the scientific activities of the Ludwig Boltzmann Institute, the administration and HR management lies with the Institute Director. The Institute Director reports the research activities to the Board during board meetings.

Network partner agreements are concluded separately with network partners.

The quality of the Ludwig Boltzmann Institute is guaranteed by external scientific evaluations of the Ludwig Boltzmann Institute that meet international standards. A first evaluation is scheduled during the third year, and a second during the sixth year. On the basis of international reports from the first and second evaluations, the Executive Board makes decisions regarding a) a possible continuation for a total of seven years after the first evaluation and b) a possible continuation of funding for a maximum of three additional years after the second evaluation.

In addition, a Scientific Advisory Board will be established for the purposes of quality assurance, which advises the Ludwig Boltzmann Institute on conducting its research and development activities. As a rule, the Advisory Board meets annually, and consists of five natural persons, including one expert in open innovation in science methodology (OIS expert) and one person with lived experience of the subject (expert by experience). The Advisory Board does not meet in years during which an evaluation is conducted.

Each Partner Organisation (excluding the Host Institution) has the right to terminate the institute establishment agreement subject to a six-month notice period.

Research and development results are published according to accepted international standards. The Host Institution and the Ludwig Boltzmann Gesellschaft must be specified as affiliations in all publications. The Host Institution will be specified as the first affiliation in publications by all Ludwig Boltzmann Institute’s employees as this is decisive for the output of scientific publications per capita and consequently the international ranking of a public or private university. In individual cases, the Host Institution may waive the right to be named first. The Ludwig Boltzmann Gesellschaft and other Partner Organisations will be listed after the Host Institution in the acknowledgements section of all Ludwig Boltzmann Institute publications.

5. Call 2023

5.1 Timeframe

1 February 2023	Call Start
15 February 2023	1st Webinar, 3pm
End of March 2023	2nd Webinar
02 May 2023	Application deadline
03 -09 May 2023	Formal check by LBG
Mid May –June	Pre-selection by international external expert jury based on Chapters 3 and 4 (Institute Director and team and Research Program Abstract) of the proposal form
June – mid July	Review by international, independent reviewers
Mid to late July 2023	Selection of candidates for the Hearing by the international independent expert jury based on the reviews
Early September 2023	Hearing (2 days; 1 st day expert jury with applicants, 2 nd day only expert jury) - after ranking of the applications the expert jury recommend two best applications for founding institutes.
September 2023	Finalising the research plan and concluding the institute establishment agreement with the Host Institution and Partner Organisations
October-December 2023	Launch of the Institute

5.2 Formal requirements and formal specifications

Proposals may only be forwarded to the reviewers where the following requirements have been met:

- The proposal and all supporting documentation must be submitted in English.
- The proposal, including all annexes, must be submitted before the deadline and using all the templates and forms supplied by the LBG using the submission portal (the link hereto will be published on the LBG website around mid March); proposals (or individual parts thereof) submitted after the deadline will not be accepted.
- The Institute Director meets the eligibility criteria specified in section 4.1.1.
- The Host Institution is an eligible institution according to section 3.4.1 and therefore an Austrian university according to the Universities Act BGBl. I No. 120/2002 as amended, or a private university according to the Private Universities Act BGBl. I No. 77/2020 as amended.
- Each Ludwig Boltzmann Institute must include one Host Institution and at least one research-applying partner organisation in the consortium. In exceptional cases, the research-applying Partner Organisation may join the consortium within the first year after the establishment of the Ludwig Boltzmann Institute. Accordingly, Letters of Institutional Commitment must include a note, and intended Partner Organisations must include a Letter of Intent.
- The Partner Organisations (in exceptional cases with the Host Institution) jointly fulfill the 20% co-financing requirement for the Ludwig Boltzmann Institute budget on average over the first 4 years. The 20% co-funding continues if the duration of the institute is extended.
- The research plan of a Ludwig Boltzmann Institute spans 7 years. The annual Ludwig Boltzmann Institute-budget amounts to a maximum of 1.5 million euro on average.
- The attachments of the proposal must include supporting letters (Letter of Institutional Commitment, LOIC) from all partner. These must demonstrate a commitment to fund the project for the first four years upon submission. All letters must be signed by the person authorised to represent the Partner Organisation. In case of public or private universities, these supporting documents must be signed by an authorised representative of the Rector's office.
- No changes may be made to the proposal form itself (titles, order of sections, etc.) The form must be completed using font type "Arial", font size "11", and line spacing "multiple" at "1.3". The margins and formatting of the proposal form are set as standard and must not be changed.
- The number of characters, words or pages must not exceed the indicated maximum in the respective forms/templates.