



LUDWIG
BOLTZMANN
GESELLSCHAFT

APPLICATION GUIDELINES

for Ludwig Boltzmann Institutes

Call 2024

The present Guidelines are a translation of "Antragsrichtlinien – Zur Bewerbung um die Einrichtung von Ludwig Boltzmann Instituten. Ausschreibung 2024". Please note that the original version of the Guidelines published in German constitutes the legal basis for the new Ludwig Boltzmann Institutes.

TABLE OF CONTENTS

1.	GLOSSARY	3
2.	INTRODUCTION	5
3.	THE LUDWIG BOLTZMANN INSTITUTE MODEL	6
3.1	THEMATIC FOCUS.....	6
3.2	SCIENTIFIC EXCELLENCE AND TRANSLATIONAL RESEARCH	6
3.3	PEOPLE	8
3.3.1	Institute Director.....	9
3.3.2	Research Group Leader.....	10
3.3.3	Adjunct Principal Investigator (optional).....	10
3.3.4	Junior researchers.....	11
3.3.5	Administrative personnel and specialist personnel	11
3.4	PARTNERSHIPS.....	12
3.4.1	Host Institution	12
3.4.2	Partner Organisations	14
3.4.3	Network Partners.....	15
3.5	RESEARCH CULTURE	15
3.5.1	Inter disciplinary and transdisciplinary research.....	15
3.5.2	Open Innovation in Science/Citizen Science/Outreach.....	15
3.5.3	Open Science.....	16
3.6	FINANCING; DURATION; SIZE	16
4.	ESTABLISHMENT PROCESS	17
4.1	SUBMITTING A PROPOSAL.....	17
4.1.1	Application criteria for the Institute Director.....	18
4.1.2	Selection criteria	19
4.1.3	Costs and cost plan	20
4.1.4	Proposal documents	21
4.2	SELECTION PROCEDURE	21
4.2.1	Pre-selection by expert jury	21
4.2.2	International Peer Review.....	22
4.2.3	Hearing.....	22
4.3	CONTRACT PREPARATION PHASE.....	23
4.3.1	Finalising the research plan and concluding the Institute Contract.....	23
4.3.2	Governance of the Institute and involvement of the Partner Organisations.....	23
5.	CALL 2024	25
5.1	FORMAL REQUIREMENTS.....	25
5.2	SCHEDULE.....	26

1. Glossary

Table 1: Glossary

Term	Meaning
Ludwig Boltzmann Institute	The Ludwig Boltzmann Institute is headed by an excellent Institute Director and staffed by around 15 persons (full-time equivalents) to carry out a coherent research programme consisting of around three programme lines in interface topic areas of the entire spectrum of Medical and Health Sciences, which must include a strong basic research core including transdisciplinary and societal links (see specifically under 3.1). The Ludwig Boltzmann Institute will be established at a Host Institution and managed by Ludwig Boltzmann Gesellschaft as the operating organisation.
Ludwig Boltzmann Institute Budget	The annual Ludwig Boltzmann Institute Budget generally amounts to EUR 1.5 million, of which a maximum of EUR 1.2 million (80% of EUR 1.5 million) is funded by Ludwig Boltzmann Gesellschaft and at least EUR 0.3 million (20% of EUR 1.5 million) by the Partner Organisations (in exceptional cases jointly with the Host Institution). The Partner Organisations may contribute a co-funding amount that is higher than the annual share of EUR 0.3 million, which must be raised in any case, which, however, does not change the maximum budget share of Ludwig Boltzmann Gesellschaft. The Institute can grow further by soliciting competitive third-party funded projects.
Institute Director	The Institute Director heads the Ludwig Boltzmann Institute, the staff size of which should be around 15 persons (full-time equivalents), including third-party funded persons. The Institute Director is capable of addressing and handling new research issues and of carrying out their research at a permanently high level of quality. The criteria listed in 4.1.1. must be met to be eligible to apply for the position of Institute Director. For the duration of the Institute the Institute Director will be employed by Ludwig Boltzmann Gesellschaft for 75% of a full-time position and will retain their employment relationship with the Host Institution for the residual 25%.
Research Group Leader	The Research Group Leader heads 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 solicit projects and external funding in line with the overall research programme. Postdocs are obvious candidates for this position.
Adjunct Principal Investigator (PI)	Adjunct PIs remain at their organisation (i.e., they are no employees of the Ludwig Boltzmann Institute), and may run their own programme line sections integrated into the Institute's operations alongside the internal

	<p>Research Group Leaders. By means of their scientific expertise Adjunct PIs complement the competencies of the Institute Director and the Research Group Leader team.</p>
<p>Host Institution</p>	<p>The Host Institution is defined as the eligible institution that employs or will employ the Institute Director. The Host Institution is the organisation hosting a Ludwig Boltzmann Institute. This includes all Austrian universities under the Universities Act BGBl. I No. 120/2002 as amended, and private universities under the Private Universities Act BGBl. I No. 77/2020 as amended.</p>
<p>Partner Organisation</p>	<p>The Partner Organisations are research-performing institutions other than the Host Institution, as well as research-applying organisations e.g. from the public sector, the private sector/economy, or other private institutions (associations, NGOs, etc.) that jointly contribute to the co-funding requirement of the research plan of a total of at least EUR 0.3 million.</p>
<p>Network Partners</p>	<p>Network Partners are all those who contribute know-how, implement findings or pass on knowledge in their environment, but do not contribute to funding the Ludwig Boltzmann Institute. Classic Network Partners in the field of Medical and Health Sciences are, for example, self-help organisations of patients, patient advocates, etc.</p>

2. Introduction

Ludwig Boltzmann Gesellschaft (LBG) is a non-university research institution focusing on Medical and Health Sciences. It operates the Ludwig Boltzmann Institutes together with academic and research-applying partners. LBG is noted for the strength of its interdisciplinary and transdisciplinary focus, for generating and conducting important and recent research topics and for the translational character of its research institutions. Its goal is to intensively forge links between research and application of the same. In addition, LBG focuses on introducing socially relevant research issues by applying, e.g., open innovation in science (OIS)/citizen science/outreach methods.

LBG establishes Ludwig Boltzmann Institutes that will conduct research in the fields of Medical and Health Sciences. These Ludwig Boltzmann Institutes will be established according to the principle of "people, not projects" and offer outstanding scientists the financial support and organisational framework needed to produce output of the highest quality. Ludwig Boltzmann Institutes will work closely with the respective Host Institution.

A Ludwig Boltzmann Institute will be established at a Host Institution and managed by LBG as the operating organisation of the Institute. The Institute is funded, on the one hand, by LBG (EUR 1.2 million) through funds from the Federal Ministry of Education, Science and Research (BMBWF) and, on the other hand, by the Partner Organisations (at least EUR 0.3 million; in exceptional cases jointly with the Host Institution).

3. The Ludwig Boltzmann Institute model

3.1 Thematic focus

As the general strategic focus of LBG is Medical and Health Sciences, the focus of this Call is on this field. Medical and Health Sciences is an overarching term covering all disciplines dealing with health and medicine and is interpreted widely by LBG. Medical and Health Sciences include all aspects from (bio-)medical to healthcare systems research, from basic research to the practical implementation and application of research findings. The focus lies on human health as it is impacted by real factors, such as predisposition, environmental and social factors, communication, the health care system, etc. Based on classic areas such as (bio)medicine, immunology, infectiology, epidemiology, biostatistics, metabolism, pharmacology, nutritional and behavioural sciences, etc., cross-cutting topics such as prevention, rehabilitation, environmental medicine or public health will also be addressed. Purely fundamental science 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 concerning the best health care for a population, including in view of demographic change, a number of interdisciplinary and transdisciplinary as well as translational questions arise.

Thus, LBG also takes up the EU's Horizon Europe funding programme, Pillar II, Cluster 1 ("Health") which is dedicated to the topics of health, demographic change and well-being on a broader scale. The goal is to discover new pathways to maintaining human health, preventing diseases, 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.

Therefore, the aim of this Call is to establish a Ludwig Boltzmann Institute in interface topic areas with a strong basic research core and transdisciplinary and societal points of reference being a prerequisite.

3.2 Scientific excellence and translational research

The Howard Hughes Medical Institute (HHMI) is used as a model for new LBIs: the HHMI model has been extremely successful for many decades and is now being adapted to Austria's Health Sciences research landscape. A Ludwig Boltzmann Institute offers excellent scientists the necessary freedom for outstanding research. A key guiding principle is the focus on "people, not projects". Outstanding scientists (Institute Directors) who are capable of introducing new research issues and who carry out their research at a permanently high level of quality are in the foreground.

However, scientific excellence should be demonstrated not only by the Institute Director but also by the research proposal presented by the Ludwig Boltzmann Institute through a combination of topic,

personnel, ambition, and scientific approach. The research proposal submitted for a new Institute 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 disciplines).

Research work undertaken at all Ludwig Boltzmann Institutes focuses on a scientific approach to solving societal problems and issues. Consequently, translational research, typified by strong interaction between basic research and its subsequent application, plays an important internal role at LBG.

Excellent basic research that includes strong points of reference or potential for research application should be the leading driving force. Depending on the research area, the potential applications may be developed by the Institute itself or the application must be driven in true partnership and collaboration between academic institutions and applying organisations; both scenarios are welcome. By the end of a Ludwig Boltzmann Institute's lifetime the findings of excellent research should enter into the stage of application and have an effect on society.

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

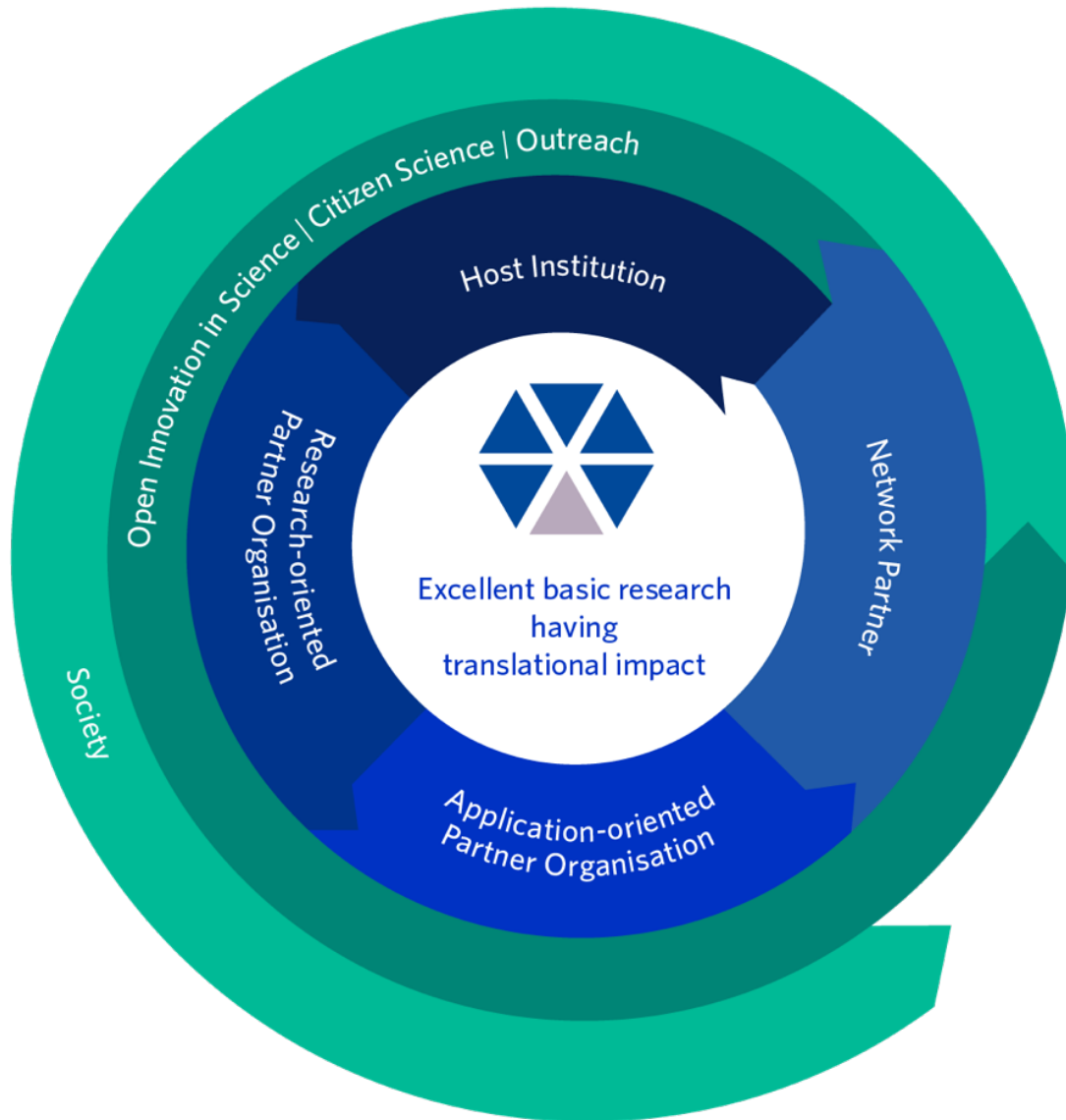


Figure 1: Synergy model of a Ludwig Boltzmann Institute.

3.3 People

The essential requirements and responsibilities of the people and 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.

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

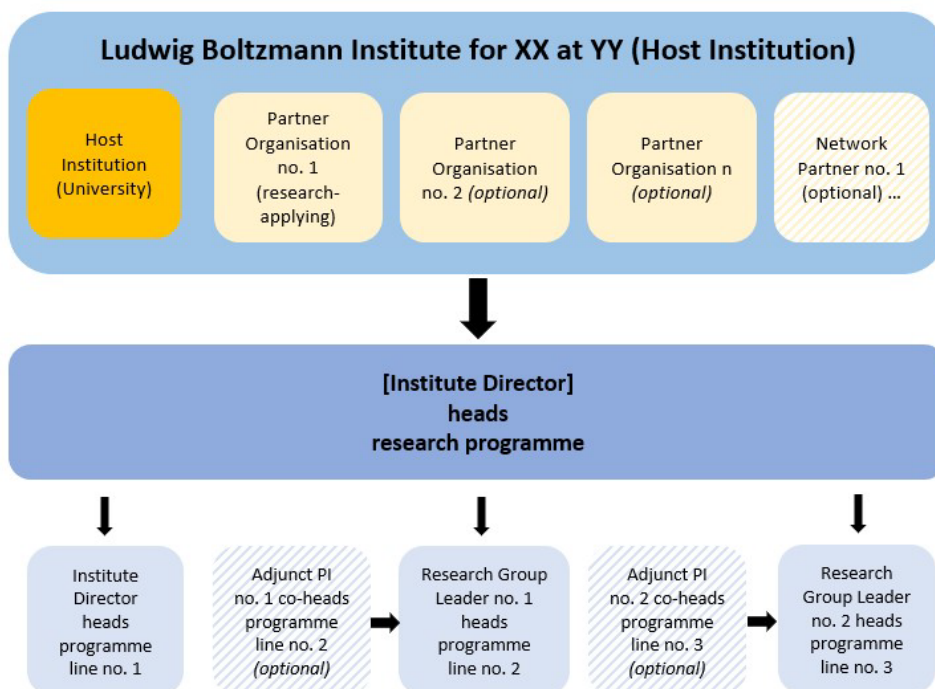


Figure 2: Organisational chart of a Ludwig Boltzmann Institute (example)

3.3.1 Institute Director

As noted under Chapter 3.2, Institute Directors must be outstanding scientists who are capable of introducing new issues and of carrying out their research at a permanently high level of quality.

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

The person of the Institute Director must be known right from the start, because assessment of the Institute Director plays a key role in the assessment of the proposal as a whole. The Institute Director will have a double affiliation and therefore continue to be based at the university. Because of their direct employment relationship with LBG the Institute Director will devote 75% of their working time to research at the Ludwig Boltzmann Institute and 25% to their university obligations. See Chapters 3.4.1 and 4.1.1 for more details about the conditions of employment and application criteria for Institute Directors.

The explicit aim of the terms of employment is to stimulate "brain gain" to be achieved by not restricting invitations to apply for the establishment of a new Ludwig Boltzmann Institute to Austrian scientists or the university sector. Rather, universities are encouraged to use this Call to attract and bring (back) excellent international candidates to Austria, or to the field of science from other sectors.

In addition, the Institute Director should be able to attract good scientists to join the institute team and to further their career development. Moreover, it is important to involve stakeholders from outside the science system and to support the implementation and application of findings.

The intended size of a new Ludwig Boltzmann Institute is around 15 persons (FTE), including those funded by third parties. Accordingly, the Institute Director is expected to have appropriate leadership skills in the professional orientation of the Ludwig Boltzmann Institute and with regard to personnel management.

3.3.2 Research Group Leader

Any additional programme line of a Ludwig Boltzmann Institute should be headed by a Research Group Leader. They are usually a 100% employee of the Institute via LBG (for more details see Chapter 3.4.1). Research Group Leaders should be capable of covering a specific programme line within the overall programme, establishing a long-term external network, simultaneously supervising several projects and several young scientists, and of acquiring projects and soliciting third-party funds in line with the overall program and for the complementary expansion of the team.

The programme lines and the profiles of the Research Group Leaders must fit the overall concept of the proposal and their competence must fulfil the above-mentioned requirements. In terms of career position two different types of Research Group Leaders are eligible: on the one hand, the junior researcher, for whom this position represents a career leap, and on the other hand, the established scientist who would like to broaden and deepen their research base.

3.3.3 Adjunct Principal Investigator (optional)

If complementary expertise is needed that nobody at the Host Institution, the Partner Organisations or the Network Partners possesses, a maximum of two Adjunct Principal Investigators (PIs) may be involved in the Ludwig Boltzmann Institute.

As Adjunct PIs are employed by and work at other (including international) organisations, they do not belong to the Host Institution, a Partner Organisation or a Network Partner.

They remain part of their organisation but may run their own parts of a programme line that are integrated into the Institute alongside the Research Group Leaders of the Institute and may participate in the coordination of the research content of a programme line. They will be provided with funding from the Ludwig Boltzmann Institute Budget and will be associated with a programme line. The expertise contributed by the Adjunct PIs supplements that of the Institute Director and the Research Group Leader team: e.g. another complementary scientific discipline, other previous experiences

made (at universities, business entities or as self-employed persons, etc.). In this way they strengthen the research programme and cross-institutional cooperation. If Adjunct PIs are integrated into the programme, uniform annual budget packages of up to EUR 75,000 must be provided for them, e.g. for a predoc position, for research material or other reasonable or necessary costs related to their participation in the Institute's research plan.

3.3.4 Junior researchers

At the Ludwig Boltzmann Institutes the scientific directors support both predocs and postdocs in their scientific development. Education through research is an important function of LBG and the support of junior researchers is a focus of the Institutes.

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

Doctoral students should be substantially integrated into the research activities of the institute beyond the perspective of a doctoral degree and thus contribute to its objectives. The period of time for obtaining the doctorate should be set accordingly. Doctoral students are employed by the host institution (university) (with the exception of doctoral positions financed by third-party funds) and should be integrated into structured doctoral programmes; accordingly, their personnel costs are reimbursed to the host institution from the Ludwig Boltzmann Institute budget.

Doctoral students should not only have the perspective of obtaining a doctoral degree but be substantially involved in the research activities of the Institute and in this way contribute to the achievement of its goals. The period for obtaining the doctoral degree should be fixed accordingly. Doctoral students are employed by the Host Institution (university) (except for doctoral positions that are funded by third parties) and should be integrated into structured doctoral programmes. The personnel costs for them will be reimbursed to the Host Institution out of the Ludwig Boltzmann Institute Budget.

3.3.5 Administrative personnel and specialist personnel

The Ludwig Boltzmann Institute Budget should cover an adequate number of suitable administrative and specialist staff (engineers, laboratory staff, 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 office of Ludwig Boltzmann Gesellschaft, thereby supporting

the Institute Director in administrative matters. Their responsibilities include human resources, finance, the organisational aspects of quality assurance (scientific advisory boards, institute evaluation), partner and network support, public relations, performance reporting and third-party funding management.

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 organisations, etc.) and organisations traditionally applying research ("Application Partners" such as business entities, public administration, medical and social care institutions, insurance companies, interest groups and umbrella organisations, NGOs, charity organisations, etc.). At this interface of research implementation and application universities of applied sciences are explicitly addressed as Partner Organisations or Network Partners.

The cooperation between LBG and the Host Institution, Partner Organisations or Network Partners creates the synergies necessary for the transdisciplinary purposes of a Ludwig Boltzmann Institute.

The Ludwig Boltzmann Institute is located at the Host Institution; the Partner Organisations contribute know-how and the co-funding share of at least 20%. Network Partners are organisations that contribute know-how and thus provide access to expertise, interested persons, data and materials, etc., implement findings, pass on knowledge in their environment and in this way are integrated into the research conducted at the Ludwig Boltzmann Institute. However, they do not contribute to the funding of the Ludwig Boltzmann Institute. The categories will be defined below.

Each Ludwig Boltzmann Institute must include one Host Institution and at least one co-funding research-applying Partner Organisation.

3.4.1 Host Institution

A Host Institution is defined as the eligible institution which employs or will employ the Institute Director when the Ludwig Boltzmann Institute is being established (75% Ludwig Boltzmann Institute, 25% Host Institution). The Host Institution serves as "home" to the new Ludwig Boltzmann Institute. Host Institutions include all Austrian universities under the Universities Act BGBl. I No. 120/2002 as amended and private universities under the Private Universities Act BGBl. I No. 77/2020 as amended.

Ludwig Boltzmann Institutes will work closely with the respective Host Institution:

- the Host Institution creates an attractive environment for outstanding scientists and offers independence while they are still bound to their own organisation. The Institute Director has a double affiliation and remains based at the university. They will devote 75% of their working time to research at the Ludwig Boltzmann Institute and 25% to their university obligations. For this purpose, they will either be employed by LBG to an extent of 75% or, in the case of tenure track positions, by the Host Institution to an extent of 100%. In the latter case, 75% of the labour costs will be reimbursed out of the LBI Budget and 25% will be borne by the Host Institution, as that time is not spent working for the Ludwig Boltzmann Institute.
- Personnel of the Ludwig Boltzmann Institute are employed by LBG. This applies, in particular, to Research Group Leaders, Senior Researchers, postdocs, administrative and specialist staff.
- In exceptional cases, where employment by the Host Institution is necessary (e.g. personnel holding tenure track positions, PhD students or clinical personnel), they are employed by the Host Institution. They will be given tasks at the Institute by the Host Institution. The personnel costs will be reimbursed to the Host Institution out of the Ludwig Boltzmann Institute Budget.
- The Host Institution provides the infrastructure for the research work. This is paid for out of the Institute Budget at a flat rate of 40% of the personnel costs for the Ludwig Boltzmann Institute personnel employed by 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 cost of the Host Institution. For more details see the Excel template "Costs/Financing Sheet" on the website.

The flat-rate contribution will be calculated on the basis of the annual personnel costs (including the employer's payroll-related costs) for the employees (directly) employed by LBG that are paid out of the Institute Budget.

- The flat rate does not include use of specific research infrastructure (core facilities). This will be charged at internal cost rates.
- The Host Institution plays a key role in exploiting intellectual property rights (IPRs). Ludwig Boltzmann Gesellschaft will transfer the rights to the inventions to the Host Institution if the latter is interested in a transfer. The transfer will be free of charge if this is permitted by law in view of the non-profit character of LBG, in particular in the case of Austrian universities under the Universities Act BGBl. I No. 120/2002 as amended. In other cases, the rights will be transferred for a fee that is in line with market conditions. The Host Institution may exploit the IPRs in coordination with the Institute's Partner Organisations and keep the proceeds. The application partners may demand exclusive IP rights from the Host Institution against payment of a fee if Areas of Interest are agreed between the application partners as a priority rule. LBG may exploit findings if no interest is expressed by the Host Institution and/or the application partners. This IP arrangement applies to inventions eligible for protection.

- The name of the Host Institution will be incorporated into the name of the Ludwig Boltzmann Institute: Ludwig Boltzmann Institute for XX at YY (Host Institution).
- Third-party funds raised by LBG employees will be attributed to and managed by LBG. If it is possible in terms of the funding and makes sense in terms of strategy in a specific case the Host Institution will be involved in the raising and management of third-party funding as a co-beneficiary.

In the course of establishment of the Institute an Institute Contract will be concluded, which will regulate the details relevant to establishment of the Institute to be established; the Partner Organisation will be a party to that contract as well.

3.4.2 Partner Organisations

The Partner Organisations are research-conducting institutions other than the Host Institution or research-applying organisations, e.g. from the public sector, the private sector/economy or other private institutions (associations, NGOs, etc.), which together contribute to the co-funding of the research plan. They may be based either in Austria or abroad.

Partner Organisations will be given an opportunity to contribute to developing a new research topic. They are involved in the research plan and will be given information about the development of new methods and processes. The partners will have access to know-how and resources and will have an 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 will also have the possibility of picking up, exploiting or implementing findings. As they co-fund the programme, they will be given priority in acquiring rights to findings.

The joint solicitation of third-party funding is also an asset for the partners involved.

Every Partner Organisation is required to make an annual cash contribution to the Ludwig Boltzmann Institute Budget and is granted a voting right at partner board meetings, the annual formal meetings of the partners held for organisational and strategic control and development of the Ludwig Boltzmann Institute.

If the Partner Organisation is not able to provide sufficient financial means, a part of the co-funding share amounting to at least EUR 0.3 million may be borne by the Host Institution in exceptional cases. When submitting the proposal the Partner Organisations and, where applicable, the Host Institution must confirm in the form of a Letter of Institutional Commitment that they will cover the co-funding share in terms of the specific proposal and the amount.

3.4.3 Network Partners

Network Partners may also get involved in the Ludwig Boltzmann Institute. The goal of involving them is the mutual exchange of know-how for joint research into a predefined part of a programme line of the Ludwig Boltzmann Institute or a research project, joint use of expertise, application of research findings, pooling competencies and/or common use of infrastructure. Traditionally, Network Partners in the Health Sciences sector are self-help organisations of 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 establishment of the Ludwig Boltzmann Institute. This ecosystem is intended to make a significant contribution to research and its implementation. However, Network Partners contribute no co-funding share, are not involved in organisational or strategic control of the Institute and are thus not entitled to vote at annual Board meetings of the partners.

3.5 Research culture

3.5.1 Inter disciplinary and transdisciplinary research

Due to the complexity of societal problems, research questions often cannot be addressed from within a single discipline. The concept of LBG allows that ways of thinking and methods from different disciplines, sectors and from knowledge providers from other areas (e.g. people affected, experts by experience) are used to approach a scientific question and the research process.

LBG's Call Guidelines encourage scientists and Partner Organisations to collaborate across disciplines and sectors in order to address topics that are not yet established or unconventional.

3.5.2 Open Innovation in Science/Citizen Science/Outreach

Ludwig Boltzmann Institutes also support open innovation in science (OIS) approaches. OIS is defined as a process through which knowledge flows into and out of research, and which allows interdisciplinary and transdisciplinary collaborations across disciplines and sectors along one or more phases of the scientific research process to be initiated and implemented. Opening up research processes is not an end in itself. Rather, the application of open participatory approaches in compliance with certain conditions and in coordination with the respective scientific challenge provides advantages both for science (e.g. novel findings, more efficient processes, higher impact) and for society (research into socially relevant topics, greater convergence of science and society).

The governance structures of the Ludwig Boltzmann Institutes (e.g. an Advisory Board consisting of experts from science, OIS and "Experts by Experience") as well as the criteria for assessing their future

achievements (e.g. societal benefit of the research activities) reflect the OIS/citizen science/outreach approaches.

3.5.3 Open Science

Dynamic systemic changes are currently taking place in the way the science and research system works. Concepts such as open science call for a shift towards a more transparent, more accessible, collaborative and networked way of doing research, among other things to improve reproducibility. Policy makers and research promotion organisations such as the European Commission and the Austrian Science Fund (FWF) are also actively promoting open science, *inter alia* by including relevant requirements in their research funding programmes.

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

- peer-reviewed publications are to be made freely available online in accordance with [Plan S](#) (i.e. in line with the requirements of the FWF and the Horizon Europe programme).
- Research data must be managed responsibly according to [FAIR Principles](#), and data must be provided as per the principle "as open as possible and as closed as necessary". To this end a Data Management Plan will be developed that outlines the actions to be taken to ensure the FAIRness of data. A data management plan must be drawn up by the end of the fourth month after the start date of the Institute. LBG will provide a template for a data management plan.

3.6 Financing; Duration; Size

Ludwig Boltzmann Institutes will be provided with funding amounting to EUR 1.5 million per year (= Ludwig Boltzmann Institute Budget). A maximum of EUR 1.2 million (80% of EUR 1.5 million) of this sum will be provided by Ludwig Boltzmann Gesellschaft, and at least EUR 0.3 million (20% of EUR 1.5 million) by the Partner Organisations in the form of a cash contribution. In exceptional cases the partner contribution may be provided jointly with the Host Institution. On average, the co-funding requirement must be met during the initial term of four years and absolutely over the remaining duration. In which way the amount of EUR 0.3 million will be shared by the Partner Organisations must be decided by the Partner Organisations themselves and will not be specified. In addition, contributions in kind may be provided but do not constitute a component of the Ludwig Boltzmann Institute Budget and will not be considered in connection with the co-funding requirement. A co-funding share that is higher than the annual share of EUR 0.3 million that must be contributed in any case, and thus a Ludwig Boltzmann Institute Budget increased beyond the regular budget of

EUR 1.5 million may be contributed by the Partner Organisations, but will not change LBG's maximum budget share.

A Ludwig Boltzmann Institute has an initial lifespan of 7 years, provided that the interim evaluation carried out in the 3rd year yields a positive result, which may be extended for another 3 years if the evaluation carried out in the 6th year yields a positive result as well. In the 10-year period during which a Ludwig Boltzmann Institute exists this financing model will usually result in total funding of up to EUR 15 million, of which a maximum of EUR 12 million will be provided by LBG, allowing new and innovative fields of research to reach a critical mass of collaborating researchers. The start-up phase in terms of personnel should be completed by the end of the first year.

Continuation of the Ludwig Boltzmann Institute beyond the 10-year term is not possible. In the case of a negative evaluation there will be a phasing-out phase of not more than one year. For more details see Chapter 4.3.2.

4. Establishment process

4.1 Submitting a proposal

The first step for the establishment of a Ludwig Boltzmann Institute is to submit a proposal for establishing a Ludwig Boltzmann Institute in the field of Health Sciences with special consideration of the information given in Chapter 3.1.

The Institute Director will submit the proposal together with the Host Institution.

The proposal must concisely describe 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, if any; depending on the specific situation, the Host Institution, the Partner Organisations and Network Partners, if any, as well as the research environment/ecosystem to which the Ludwig Boltzmann Institute will be embedded; and the intended impact of such research.

Due to the international peer review process the proposal and all supporting documents must be written in English. All dates and deadlines for submitting proposals and any required forms and templates will be available on the Ludwig Boltzmann Gesellschaft website at the start of the Call (the Ludwig Boltzmann Institute Call 2024 will open on 16 September 2024). Proposals must exclusively be submitted via the LBG submission platform (the link will be published on the website at the start of the Call).

4.1.1 Application criteria for the Institute Director

Only one person may apply for the position of Institute Director. LBG regards the selection of the Institute Director as the future manager a decisive factor for the success of the proposed research of a new Ludwig Boltzmann Institute ("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(-faculty) or tenure-track position at a Host Institution (thereby embedding the Institute Director in the Host Institution – "double affiliation").
2. At the time of submission, the Institute Director will have a minimum of 4 and a maximum of 15 years of relevant professional experience since their graduation as a PhD. Work experience may have been interrupted and may be extended accordingly for duly documented circumstances, such as parental leave, clinical training, long-term illness or military service.
3. The Institute Director is or was a Principal Investigator for at least one competitively-won, peer-reviewed project that is receiving or has received third-party funding and has or had 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 specifically without their PhD tutor.
5. The Institute Director possesses leadership experience or potential and shows willingness to undergo further training.
6. The Institute Director must be able to demonstrate a promising record of success in their field of research and at 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 with the Host Institution for the entire lifespan of the Ludwig Boltzmann Institute (7 + 3 years).
8. The Institute Director does not hold a superior position at the university (i.e. they are no rector, vice-rector, dean position and hold no equivalent position).

4.1.2 Selection criteria

The 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 research assessment criteria on quality: the originality of ideas, the professional research conduct and results beyond the state of the art, open science approaches and impacts of a scientific, technological, economic, and/or societal nature will be rewarded.
- Diversity, equity, inclusiveness and collaboration: diversity of research activities and research roles/careers will be recognised. Consideration is given to tasks like peer review, training, mentoring and supervision of PhD candidates, leadership roles, science communication and interaction with society, entrepreneurship and industry-academia collaboration. Gender equality, equal opportunities and inclusiveness must be ensured.

Applications are assessed during the evaluation/peer review and hearing phases based on the above principles and according to the following selection criteria and associated weighting:

- fifty per cent (50%) for the qualifications and potential of the Institute Director, the Research Group Leaders and the Adjunct PIs, if any, and of the research hypothesis. This will be assessed based on the following questions: How qualified is the Institute Director to conduct the proposed research programme and discharge the related institute management responsibilities (Institute Director profile)? How qualified are the Research Group Leaders in combination with the Adjunct PIs, if any, to lead the programme lines? Does the proposed research question indicate scientific excellence and social relevance? Does the research culture (open science, diversity, equity, inclusiveness, training and mentoring) meet the principles of the Agreement on Reforming Research Assessment? The leadership competence potential of the Institute Director and corresponding career development prospects for themselves and, above all, for the junior researchers on the team account for 10%. If the stage of the final selection hearing is reached, this criterion will be assessed specifically to the relevant extent.
- thirty per cent (30%) for quality and feasibility of the research plan. This will be assessed based on the following questions: Are the research questions, goals and methods excellent, innovative and well structured? Are the methods well suited to implement the research plan and reach its goals; are they described in sufficient detail and clearly? Can the research

programme be conducted with the planned budget? Have OIS/citizen science/outreach potentials of the project and methods been adequately considered in the research plan? The latter accounts for 5%. If the stage of the final selection hearing is reached, this OIS/citizen science/outreach criterion will be specifically assessed to the relevant extent.

- twenty per cent (20%) for the quality of the research environment. This will be assessed based on the following questions: How do the Host Institution and Partner Organisations contribute to the project's successful implementation? What research and research-applying institutions can they offer and to what extent does the (Network) Partner constellation promote the OIS/citizen science/outreach potentials of the project? The latter accounts for 5%. If the stage of the final selection hearing is reached, this OIS/citizen science/outreach criterion will be specifically assessed to the relevant extent.

The Evaluation Form for peer review of the proposal will be available on the website of LBG at the time the Call is opened in September 2024 and can be used to better understand the evaluation criteria. This Form, together with the Application Guidelines, is used by the reviewers as the basis for assessing the proposals.

4.1.3 Costs and cost plan

The costs of the Institute's operation must be presented in full. In the course of the assessment, they will be subjected to an evaluation with regard to factual necessity and monetary reasonableness. In detail, the following costs for operation of a Ludwig Boltzmann Institute may be included:

- personnel costs
- costs of material
- research costs

The following costs may not be included:

- costs of the infrastructure of current operations. Instead, reimbursement of 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 the establishment of the Institute.

The Ludwig Boltzmann Institute Budget may be used to invest in large equipment if such equipment is necessary for implementation of the research plan. In this case the terms of acquisition, compensation and subsequent use must be agreed separately with the Host Institution on a case-by-case basis.

The cost plan must be supported by a corresponding financing plan. The Excel template which will be made available on the website (Costs / Financing Sheet) must be used to present the costs and financing, as well as additional details.

4.1.4 Proposal documents

The proposal must be submitted according to the full proposal principle via the submission platform after the Call will have been opened in September 2024 and includes the documents listed in the following table, for which predefined templates can be found on the website. Some information to be provided in the documents must be entered directly into the submission portal or uploaded as an attachment in the submission portal. The table below provides information on the procedure to be followed for successfully submitting the proposal:

Table 2: Documents and submission procedure

Documents to be submitted	Submission procedure
Eligibility Check form	To be entered into the submission platform
Proposal form	Chapters 1-4: to be entered into the submission platform; Chapters 5 and 6: to be uploaded as an attachment
Cost/Financing Sheet (Excel)	To be uploaded as an attachment
CVs of Institute Director, Research Group Leaders and Adjunct PI	To be uploaded as an attachment
Letter of Institutional Commitment (both from the Host Institution and co-funding Partner Organisations)	To be uploaded as an attachment
Declaration (from the Institute Director and the Host Institution)	To be uploaded as an attachment

4.2 Selection procedure

4.2.1 Pre-selection by expert jury

After the submission deadline the office of LBG will review the proposals as to whether they meet the formal requirements. Proposals which do not meet the formal requirements (see Chapter 5.1) or clearly fail to address the topics outlined in Chapter 3.1 will be rejected as early as at this stage.

Proposals that pass the formal review will undergo a pre-selection procedure by an independent 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 Programme Abstract) of the Proposal Form and only accept those proposals for the next stage of the selection procedure that it considers to be sufficiently competitive for a peer review. Proposal teams that are not selected will be excluded from the subsequent selection process and informed by LBG about the decision and the relevant reasons for the same.

4.2.2 International Peer Review

Pe-selected proposals will be reviewed by three international external reviewers that are independent of the expert jury as well. They are selected by the expert jury. When submitting their proposal the proposal teams may request on the proposal form that up to three reviewers be excluded.

The expert jury will rank the proposals on the basis of the reviews of the external jury and select the highest-rated proposals for the final hearing (approximately three times as many proposals as the number of Institutes to be established in the course of the Call). Proposal teams that are not selected for the final hearing will be excluded from the selection process and informed by LBG about the decision and the relevant reasons for the same.

4.2.3 Hearing

The proposal teams selected by the international expert jury will then be invited to a hearing. The designated Institute Director and, where 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 attend the hearing as well. At the hearing the Institute Director will, on the basis of their previous scientific achievements, present the concept for the Ludwig Boltzmann Institute to the international expert jury, which will be followed by a feedback round of the international expert jury and an open discussion with the proposal team. In addition to the presentation to and the exchange with the expert jury, the international experts advising the expert jury will assess the criteria of leadership competence and career advancement as well as OIS/citizen science/Outreach methods. These supporting assessments will form part of the final evaluation by the expert jury in the form of the percentages described in Chapter 4.1.2.

On the basis of the hearing the international expert jury will finally rank the proposals presented and make a recommendation to the Executive Board of Ludwig Boltzmann Gesellschaft as to which proposals to select for the establishment of a Ludwig Boltzmann Institute. The formal decision on the final selection will be made by the Executive Board of Ludwig Boltzmann Gesellschaft on the basis of that recommendation. The Executive Board reserves the right to establish no LBI if the proposals do

not qualify sufficiently or if funding by the federal government is changed. Proposal teams that are not selected will be informed by LBG about the decision and the relevant reasons for the same.

4.3 Contract preparation phase

4.3.1 Finalising the research plan and concluding the Institute Contract

Together with the Host Institution and the Partner Organisations the Institute Director will incorporate any recommendations resulting from the hearing into the research plan, and the LBG controlling department will prepare a final budget with the Host Institutions accordingly.

The research plan and the budget will be agreed by the Host Institution, Partner Organisations and LBG by way of signing the Institute Contract. A Framework Agreement will be concluded with the Host Institution as well, unless such an agreement was concluded before in the course of establishment of a Ludwig Boltzmann Institute. The relevant templates, including for Network Partner Contracts and Adjunct PI Contracts, if applicable, will be available as part of the call information for orientation when the Call is opened.

LBG as the operating organisation will provide the Ludwig Boltzmann Institute with competencies in the areas of legal, human resources and finance, public relations, open innovation in science, career development and research management (quality assurance and research services).

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 findings of such research and development. This purpose is reflected in the Institute's governance.

Each Partner Organisations will delegate one representative to the annual Board meetings, where the Institute Director reports on the implementation of the research plan, findings, use of funds, third party-funded projects and the use of OIS/citizen science/outreach methods, among other things. In the subsequent course of the Institute's activities the Board will decide whether to admit other Partner Organisations, make changes to the Institute Contract or adapt the research and budget plan.

The Institute Director, who reports to the Board about the research activities and the development of the Institute, is responsible for the scientific activities, HR and administration of the Ludwig Boltzmann Institute.

Network Partner Contracts will be concluded with Network Partners separately.

The high quality of the Ludwig Boltzmann Institute is guaranteed by external scientific evaluations of the Ludwig Boltzmann Institute that meet international standards. The first evaluation is scheduled for the third year, and a second one for the sixth year. On the basis of international reports from the first and second evaluations the Executive Board will make decisions regarding (i) a potential continuation for a total of seven years after the first evaluation and (ii) a potential continuation of funding for a maximum of three more years after the second evaluation.

In addition, a Scientific Advisory Board will be established for the purpose of quality assurance, which will advise the Ludwig Boltzmann Institute on the orientation of its research and development activities. The Advisory Board usually meets every other year and is composed of five natural persons, including at least three scientific peers and at least one expert in open innovation in science/citizen science/outreach and/or one person affected by the problem (Expert by Experience).

Any Partner Organisation (excluding the Host Institution) may terminate the Institute Contract by giving six months' notice.

Research findings and development results are published according to accepted international standards with special consideration given to open science requirements. In accordance with the Guidelines of Good Scientific Practice and the affiliation policy, if any, the Host Institution and LBG must be named in publications as affiliations. In publications of the Institute Director and of all personnel of the Ludwig Boltzmann Institute seconded by the Host Institution the Host Institution shall be named as the first affiliation. In specific cases the Host Institution may waive its right to be named first. LBG, the Host Institution and the Partner Organisations must be mentioned in the acknowledgements of all publications of the Ludwig Boltzmann Institute.

5. Call 2024

5.1 Formal requirements

Proposals will be forwarded to the expert jury and the reviewers if the following formal requirements have been met:

- The proposal and all supporting documents are written in English.
- The proposal, including all annexes, must be complete and submitted via the submission portal (the link will be published on the LBG website when the Call starts on 16 September 2024) by the deadline using the templates and forms provided by LBG; proposals (or parts thereof) submitted after the deadline will not be accepted.
- The Institute Director meets the eligibility criteria specified in Chapter 4.1.1.
- The Host Institution is an eligible institution as defined in Chapter 3.4.1 and therefore either an Austrian university under the Universities Act BGBl. I No. 120/2002 as amended or a private university under the Private Universities Act BGBl. I No. 77/2020 as amended.
- Each Ludwig Boltzmann Institute must include one Host Institution and at least one co-funding research-applying Partner Organisation.
- The envisaged annual Ludwig Boltzmann Institute Budget amounts to EUR 1.5 million on average. The Partner Organisations (in exceptional cases together with the Host Institution) jointly fulfil the annual co-funding requirement of EUR 0.3 million for the Ludwig Boltzmann Institute Budget over the first 4 years on average. The co-funding requirement continues to apply if the duration of the Institute is extended. Letters of Institutional Commitment (LOIC) from all Partner Organisations (and from the Host Institution, if applicable) to be attached serve as evidence thereof. All Letters must be signed by the person(s) authorised to represent the Partner Organisation (and the Host Institution, if applicable). In the case of (private) universities the Letters of Institutional Commitment must be signed by an authorised signatory of the Rector's office.
- The research plan of the Ludwig Boltzmann Institute provides for an initial lifespan of 7 years (with a focus on the first 4 years).
- No changes whatsoever may be made to the proposal form (headings, order of chapters, 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 default settings.
- The number of characters, words and pages must not exceed the maximum indicated on the respective forms/templates.

5.2 Schedule

Table 3: Timeline of the Call 2024 (if necessary, adjustments may be made to some details; they will be communicated in due time)

Date/Period	Step
16 September 2024	Call start/publication
October and December 2024	Information webinars and workshop for proposal teams
17 January 2025	Submission deadline
20 to 31 January 2025	Formal review by LBG
March 2025	Pre-selection by an international external expert jury based on Chapters 3 and 4 (Institute Director and team and Research Programme Abstract) of the proposal form
April to May 2025	Review by independent international reviewers
June 2025	Selection of candidates for the hearing by the international expert jury based on the reviews
July 2025	Hearing (2 days; 1 st day: expert jury together with the proposal teams; 2 nd day: only expert jury) - after ranking the proposals the expert jury will recommend the best proposals for establishing an Institute
By September 2025	Selection by the LBG Executive Board and notification of the proposal teams
September to December 2025	After the recommendations made during the hearing have been incorporated into the research plan, the Institute Contract will be concluded with the Host Institution and the Partner Organisations
By 1 January 2026	Launch of the Institute