

# **Guidelines for the Establishment of a Christian Doppler Laboratory**

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Every effort has been made to ensure the accuracy of this translation. Nevertheless, the Christian Doppler Research Association cannot assume responsibility for any errors that may inadvertently have occurred. In the event of any discrepancy, the German version is to be taken as valid. TRANSLATED 09.07.2024



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## Preface

The Christian Doppler Research Association (CDG) supports the establishment and operation of Christian Doppler Laboratories (CD Labs) at universities and non-university research institutions. The support is aimed at basic research undertaken with an application in mind: this is interpreted as research that creates the scientific background to address questions from the business partners. The researchers enjoy complete autonomy in their work. The collaboration with business partners should transfer fresh impulses to the research and promote the advance of knowledge in the relevant scientific fields, both quantitatively and qualitatively. Through the research it supports, the CDG helps strengthen the innovation capacity and the general competitiveness of Austrian science. This is precisely how society imagines an organization for transferring knowledge between science and industry. The CDG is able to enhance the quality of the research in scientific institutions and companies and to contribute to the long-term safeguarding of Austria's position as a location for research and industry.

The CD Laboratories are funded in equal proportions from the public purse (from the Ministry for Economic Affairs and from the National Foundation for Research, Technology and Development) and by contributions from the CDG company partners. A higher proportion of funding from the public purse is possible under certain circumstances, in particular when small or medium-sized enterprises are participating.

The key features of CD Laboratories are:

1. Application-oriented basic research at a high level
2. Incorporation in the scientific environment of universities and non-university research institutions
3. Maximal period of operation of seven years
4. Strict control of scientific quality
5. Bottom-up scheme
6. Compact research groups (ca. 3-20 persons)
7. Key position of the Head of the Laboratory
8. Guaranteed scientific freedom for the scientists
9. Joint funding from the public purse and the companies
10. Flexibility and relatively little time spent on organizational matters

## 1. Basic principles of the funding scheme and key features of Christian Doppler Laboratories

Christian Doppler Laboratories are research units established at Austrian universities, non-university research institutions or private universities. If a Laboratory is at a non-university research institution, the scientific environment should be comparable to that at a university. Under particular circumstances, CD Laboratories may also be established outside Austria (international CD Laboratories).

The research projects that are supported represent collaborations with company partners, who are closely involved. Company partners may be Austrian or (under certain conditions) foreign companies.

Tab. 1: Key information on the programme

Who may apply?	Highly qualified scientists working at universities/research institutions
Duration	7 years: 2 years: introductory phase 3 years: first phase of extension 2 years: second phase of extension
Min. annual budget <sup>1</sup>	EUR 140.000
Max. annual budget <sup>2</sup>	EUR 800.000 <sup>2</sup>
Type of research <sup>3</sup>	100% application-oriented basic research, of which 30 % with full scientific freedom
Support from the public purse	50 % of the eligible costs 60% if SMEs participate (in proportion to the extent of participation)
Private support (company partners)	50 % of the eligible costs 40 % if SMEs participate (in proportion to the extent of participation) <sup>4</sup> No contributions in-kind can be considered

In the standard case, a CD Laboratory is established at a university or a non-university research institution, under the leadership of a Head of Laboratory and consisting of a single module. This represents the CDG's core model for collaboration between science and industry but other arrangements are possible. In scientifically justified cases, two people may share the leadership of a CD Laboratory. If there are joint Heads of Laboratory, a module will be established for each of them. The two Heads do not necessarily have to be at the same university/non-university research institution.

<sup>1</sup> Based on purchase costs, not on depreciation costs.

<sup>2</sup> CD Pilot Laboratories have a max annual budget of EUR 700.000 (see point 6)

<sup>3</sup> In accordance with the use of the terms in the regulations governing state subsidy, this means:  $\geq 30\%$  basic research,  $\leq 70\%$  industrial research, 0 % experimental development (c.f. Framework for State aid for research and development and innovation, 2014/C 198/01 of 27.06.2014) in the currently valid version.

<sup>4</sup> Please note: There is no legal entitlement to SME support. A company may request support of this kind, which may be granted if the appropriate documentation is provided. The CDG will calculate the level of support to be offered.

In addition to this central form of collaboration, it is possible to undertake part of the research at another university/research institution (in an external module). If an external module is located at a university/research institution abroad, it is known as an international module. International CD Laboratories and international modules may only be established if the company partner has its headquarters in Austria.

### **1.1. Application-oriented basic research at a high level**

A CD Laboratory represents a small to medium-sized research group headed by a highly qualified scientist. It undertakes research at a university/research institution on a topic related to the interests of the collaborating company partner or partners. The nature of the research of a CD Laboratory is application-oriented basic research, which includes the creation of the scientific basis of the issues raised by companies.

The scientific work of CD Laboratories is broken down by topic, by approach, or for personnel or organizational reasons (e.g. by topic, area, workpackage etc.) The structure of the CD Laboratory is a flexible and variable form of organizing the work. Changes may be made during the operation of a CD Laboratory, such as expanding, amending or reducing the scope of the research, including new company partners or excluding existing partners, the establishment of new external or international modules or the discontinuation of existing external or international modules. Any changes of this kind represent amendments to the funding contract and require application to and approval of the responsible bodies in the CDG. The duration of a new external or international module is limited by the end of the CD Laboratory. The results of the basic research should be disseminated by the appropriate channels. The remaining results should be published with consideration of the company's commercial interests, e.g. with regard to patent protection.

### **1.2. Incorporation in the scientific environment of universities and non-university research institutions**

A CD Laboratory is incorporated in the organizational structure of the university/research institution and thus does not represent a separate legal entity. The contracts to establish a CD Laboratory are concluded between the CDG and the university/research institution. The university/research institution delegates to the Head of the Laboratory the right to represent it in regard to the CD Laboratory. Contracts of employment for the CD Laboratory staff are concluded exclusively with the university/research institution hosting the CD Laboratory.

### **1.3. Maximal period of operation of seven years**

The period of operation of a CD Laboratory is limited to seven years and may not be extended. Under exceptional circumstances it is possible to provide additional funding for up to twelve months to enable the completion of master's and diploma theses and dissertations that have already been started. The additional funding can only be granted with the consent and further financial support of the company partner(s) and with the approval of the CDG Executive Board.

#### **1.4. Strict control of scientific quality**

The scientific quality of an application and the qualifications of the person envisaged to head the Laboratory are checked by means of a scientific review procedure involving reviews from at least three external international experts (peer review). After the approval, the CDG closely follows the research work in the CD Laboratory. The Laboratory's scientific progress is checked during interim evaluations before the end of the second and fifth years of research. The evaluations are undertaken by the Scientific Board of the CDG with the support of an external referee. The CDG Scientific Board then makes a recommendation on the possible continuation of the CD Laboratory, which forms the basis for the decision by the CDG Executive Board.

#### **1.5. Bottom-up scheme**

CD Laboratories may address any topic.<sup>5</sup> The research programme is based on a question from a company and is undertaken jointly by science and industry. The projects that are funded are thus essentially collaborations with the company partners, who are tightly integrated in the programme. Without jeopardizing the 30% freedom for basic science, the Head of the Laboratory should work closely together with the companies, leading to a continuous and extensive exchange of ideas and knowledge between the CD Laboratory and the industry and ensuring that the legitimate interests of the company partner(s) are respected.

#### **1.6. Compact research groups**

A CD Laboratory is generally a small to medium-sized research group (ca. 3 to 20 persons), headed by the Head of the Laboratory. Particular attention is paid to the promotion of early-stage researchers, who should have the opportunity while undertaking their scientific work (Master's and diploma theses, dissertations) to gain early experience of collaborating with industry and who should learn something of the working methods and priorities that are specific to companies.

#### **1.7. Key position of the Head of the Laboratory**

The Head of the Laboratory has a key role in a CD Laboratory. S/he steers and directs the research for the entire duration of the Laboratory and combines the demands of basic research with the interests of the company partners. In doing so, s/he ensures that the results of the basic research are of high quality and are published in recognized journals in the field. The Head of the Laboratory represents the university/research institution in all matters relating to the CD Laboratory and forms the first point of contact for the company partners and for the CDG. A change in the Head of the Laboratory is not envisaged and therefore only possible under exceptional circumstances. It requires application to and approval of the responsible bodies in the CDG.

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<sup>5</sup> Military research and research into weapons or products that promote violence are not eligible for funding. Dual-use research must have a predominantly civilian benefit.

### **1.8. Guaranteed scientific freedom for the scientists**

The Head of the Laboratory enjoys scientific freedom in the allocation about 30% of the total resources devoted to a CD Laboratory. The scientific freedom serves to explore and develop the results of the basic research, especially with regard to the methods and procedures in the area under investigation. It should ensure that the potential of the CD Laboratory to generate applications continues to grow during its period of operation. The entire scientific freedom must be used in a manner that relates to the topics investigated in the CD Laboratory. How this freedom is used is the sole responsibility of the Head of the Laboratory. Its use may not be constrained by the management of the university/research institution or by the company partners, either in terms of its contents or in terms of the methods applied.

### **1.9. Joint funding from the public purse and the companies**

A CD Laboratory has a total annual budget of at least EUR 140.000; the maximum annual budget is EUR 800.000 (for CD Pilot Laboratories the maximum annual budget is EUR 700.000). CD Laboratories are financed in equal parts from the public purse (with money from the Ministry for Economic Affairs and from the National Foundation for Research, Technology and Development) and from companies that are members of the CDG. A higher proportion of funding from the public purse is possible under certain circumstances, especially if small and medium-sized enterprises are participating (→ see Point 8.4.).

The CDG collects the company contributions in the form of membership payments, combines them with the payments from the public purse and transfers the complete budget of a CD Laboratory (support from the public purse and company contribution) to the university/research institution. In-kind contributions may not be taken into account.

### **1.10. Flexibility and relatively little time spent on organizational matters**

The CDG strives for a high degree of flexibility in its funding scheme and tries to ensure that the organization is as straightforward as possible. Nevertheless, a certain amount of bureaucratic and organizational effort is necessary to integrate the CD Laboratory into the overall goals of the CDG. Doing so ensures that the financial support is used in the correct way and that the funding agencies are able to control that this is the case.

## **2. Application**

### **2.1. Recipients of funding and applicants**

Funding may be granted to universities, non-university research institutions and private universities within Austria or universities and non-university research institutions abroad, these are the recipients of funding. They are represented by the designated Head of Laboratory (i.e. applicant). The application is the responsibility of the designated Head of Laboratory, i.e. the applicant. She/he is the main source of

the scientific ideas of the application. Applicants are recommended to involve the management and/or the research support office of their university/research institution in the planning of a CD Laboratory from an early stage.

To ensure that the collaboration partners in a CD Laboratory are fully independent of one another, no interdependence between the company partners and the scientific partners are permitted. Heads of Laboratories may thus not be employed by the company partner, nor have any managerial functions or any financial stake in the company. An interdependence also exists if the host institution of the CD Laboratory has significant shares in the company partner or the head of the organisational unit in which the CD Laboratory is to be established has significant shares or a management position in the company partner. Advisory contracts and contracts for works and services between the Head of Laboratory and the company partner are permitted but must be reported to the CDG.

A CD Laboratory should be headed by a single person. The Head should ideally have already completed his or her professorial qualifications (*Habilitation*) or should soon do so. Should he or she not have professorial qualifications, the application should describe how the supervision of the PhD students will be organized until the "*Habilitation*" is completed. A CD Laboratory should enable scientists to build up their own research group and enhance their international standing in the scientific community. CD Laboratories therefore represent a mechanism to promote scientific careers. No scientist may head more than one CD Laboratory.

At the establishment of the CD Laboratory, the Head must have a valid contract of employment with the funding recipient. The preconditions for the Head of the Laboratory to have a contract of employment should be satisfied for the entire period of the Laboratory's operation, for example the period of operation should be completed before the legally stipulated age of retirement of the Head of the Laboratory.

It is generally not possible to change the Head of Laboratory; changes may only be made under exceptional circumstances and require application to and the agreement of the appropriate bodies of the CDG. If scientifically justified, it is possible for a Laboratory to be headed by two persons. The pre-condition for joint leadership of a CD Laboratory is either that the two people have complementary expertise that is absolutely necessary for the success of the planned research or that the CD Laboratory is to be established at two universities/research institutions. The two joint Heads of the Laboratory may not come from the same working group and there may be no interdependency between them. Separate heads of modules should be foreseen for external or international modules. The leadership of all modules and all other parts of a CD Laboratory located at the university/research institution at which the Laboratory is established is the responsibility of the Head of the Laboratory.

The Head of the Laboratory should be primarily concerned with the operation of the Laboratory, i.e. with research and knowledge transfer. S/he should therefore be involved with bureaucratic and organizational matters to the minimum extent possible.

## 2.2. Advice

In advance of the (formal) submission of an application, the CDG General Secretariat offers advice and information (→ see Point 12.). It is recommended to take advantage of the offer of an initial meeting as early as possible to discuss key points of the application and any particular special features of the CD Laboratory. It is also recommended to invite the intended company partners to a discussion in the CDG to enable them to hear at first hand about the principles of the funding scheme and the terms and conditions of membership in the CDG.

## 2.3. Submission

When an application is ready, it may be submitted at any time. It will take at least five months from submission of an application until the completion of the review procedure. To enable it to be discussed at the next meeting of the CDG's Scientific Board, an application must be received by the General Secretariat of the CDG, together with all necessary forms, by five weeks in advance of the meeting. It must be complete and in accordance with the CDG's guidelines. The dates of the meetings and deadlines for submission of applications are given on the CDG web site, [www.cdg.ac.at](http://www.cdg.ac.at). An application may be withdrawn at any point in the process.

## 2.4. Formal requirements

- The scientific application must be submitted electronically to the General Secretariat of the CDG ([office@cdg.ac.at](mailto:office@cdg.ac.at)).
- The application must be written in English.
- There are no guidelines on font size or line spacing. The length of the application should be in accordance with normal practices in the particular subject area; in all cases, applications should contain the necessary information in a brief and concise form. As a guideline, a length of ca. 25-30 pages for the scientific part (→ see Point 2.5.3.) is typical. The scientific part may not exceed 50 pages in length; the entire application may not exceed 100 pages.
- All forms with signatures must be duly signed by the company and submitted in the original. It is also possible to sign with a qualified electronic signature. The CDG will only accept electronic signatures, if signature and certificate can be successfully verified on the website of Rundfunk und Telekom Regulierungs-GmbH ([https://www.rtr.at/TKP/was\\_wir\\_tun/vertrauensdienste/Signatur/signaturpruefung/Pruefung.de.html](https://www.rtr.at/TKP/was_wir_tun/vertrauensdienste/Signatur/signaturpruefung/Pruefung.de.html)). The application form must also be submitted electronically as a pdf document (→ see Point 2.6.).

## 2.5. Structure of the application

The application to establish a CD Laboratory comprises several sections (→see Points 2.5.1. to 2.5.9.) that should be submitted as a single file and not in the form of separate documents.

### 2.5.1. Cover sheet

- Name of the university/research institution submitting the application
- Name of the future Head of the Laboratory
- List of company partners
- Proposed name for the CD Laboratory (max. 80 characters) in English and German: CD Laboratory for ..... and CD-Labor für .....
- Place and date (in the form: Place, dd.mm.yyyy)

### 2.5.2. Table of contents

### 2.5.3. Description of the proposed research

The description of the proposed research should be structured in:

- State of the art and applicant's previous work on the topic
- Question, proposed approaches, hypotheses
- Work planned, including a brief but precise description of the methods (e.g. for modelling work both formal scientific aspects and procedures should be given in the form of equations)
- Scientific collaborations planned: the research teams of the collaboration partners that will work together with the planned CD Laboratory should be briefly described, along with the aim of the collaboration. If a collaboration is expected to make an important contribution to the work of the CD Laboratory and financial support is requested for it, this must be presented in appropriate detail.
- Planned collaborations with the company partners.

Please pay attention to the following points:

- The description of the proposed research represents the main part of the application. While it should be brief and succinct, it should contain sufficient detail to enable referees to assess the application's quality and whether the work can be undertaken.
- The scientific work should be structured by topic, approach, personnel or organizational reasons (e.g. by topic, area, workpackage etc.).
- The description may be supplemented by a graphic representation of the research concept.
- The application must make clear the basic nature of the research.
- The application must describe how the scientific freedom will be used; it represents 30% of the total resources.

- A description of the risks and the handling of the risks is recommended.
- If persons other than the applicant contribute to the application, they must be named. Attention is drawn to the special role of the Head of Laboratory (see Point 1.7. Key position of the Head of Laboratory and Point 2.1 Recipients of funding and applicants).
- The rules of good scientific practice must be observed.

#### **2.5.4. Research plan, time plan and cost plan**

The research plan, time plan and cost plan should be broken down by research year. The plans for the first two years of research should be presented in detail, those for the remaining years should be indicative.

The research plan and time plan should contain the following information:

- Company partner(s)
- Scientific contents
- Goals and milestones
- Time plan

The cost plans contain three types of cost (personnel, fixed assets/inventory and other costs). In preparing the cost plans, the guidelines relating to eligible costs (→ see Point 7.) are to be observed. It is recommended to include a valorisation of personnel costs (except for the honorarium for heading the Laboratory) in the multi-year cost plan. According to its economic forecast from December 2023, the Austrian National Bank expects inflation of 4.0%, 3.0% and 2.5% for the years 2024 to 2026 respectively. The cost plans should be prepared in accordance with the structure given in Tab. 2 (→ form on the CDG web site, [www.cdg.ac.at](http://www.cdg.ac.at)). Any unused lines in the table may be deleted. Costs should be rounded to Euros (with no figures after the decimal point). If there is more than one company partner, the costs should be broken down by company. The table must be completed for all seven years and inserted into the application. If the application includes costs for fixed assets, hire-purchase equipment or third-party services, descriptions of the relevant items should be provided.

Tab. 2: Cost planning

Cost Planning							
Input fields are grey							
Research year 1	Commercial partner	Personnel costs	Fixed assets (purchase price)	Other costs	Sum		
Module 1	Name				0		
	Name				0		
Module 2	Name				0		
	Name				0		
Module 3	Name				0		
	Name				0		
Module 4	Name				0		
	Name				0		
Module 5	Name				0		
	Name				0		
Sum		0	0	0	0		
The commercial partners of the CD Lab contribute 50% of the budget of the CD Lab in cash. In case of SMEs the contribution can be lower (40%).							
Details - Personnel costs							
Position	Research year 1	Research year 2	Research year 3	Research year 4	Research year 5	Research year 6	Research year 7
Head of Laboratory							
Name							
Sub-total 1	0	0	0	0	0	0	0
Senior postdoc							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Sub-total 2	0	0	0	0	0	0	0
Postdoc							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Sub-total 3	0	0	0	0	0	0	0
Doctoral students							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Sub-total 4	0	0	0	0	0	0	0
Diploma/Master students							
Name							
Name							
Name							
Sub-total 5	0	0	0	0	0	0	0
Technicians							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Sub-total 6	0	0	0	0	0	0	0
Assistants							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Sub-total 7	0	0	0	0	0	0	0
Others							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Name, weekly work hours							
Sub-total 8	0	0	0	0	0	0	0
Sum	0	0	0	0	0	0	0
Details - Fixed assets (purchase price)							
Fixed assets	Research year 1	Research year 2	Research year 3	Research year 4	Research year 5	Research year 6	Research year 7
IT Hardware							
IT Software							
Analysis and testing instruments							
Fittings							
Non-recurring licence fee							
Other equipment							
Sum	0	0	0	0	0	0	0
Explanatory note	Research year 1	Research year 2	Research year 3	Research year 4	Research year 5	Research year 6	Research year 7
Please specify "Other equipment"							
Details - Other costs							
Other costs	Research year 1	Research year 2	Research year 3	Research year 4	Research year 5	Research year 6	Research year 7
Costs for leased equipment							
Material costs that do not represent fixed assets							
Costs for third party services							
Travel costs							
Additional costs							
Sum	0	0	0	0	0	0	0

## 2.5.5. Infrastructure

The application should contain information on the available infrastructure (rooms, equipment) that the proposed CD Laboratory will use.

### **2.5.6. Description of the company partners**

The following information on the CD Laboratory's company partners should be provided (about half a page per company):

- The company's area of business
- The company's research activities
- Its relation to the topic of the CD Laboratory
- Brief description of how the collaboration will be organized
- Plans to apply the CD Laboratory's results in the company

### **2.5.7. Information on the Head of the Laboratory**

- Curriculum vitae
  - Education
  - Scientific career
  - Research projects undertaken (headed) etc.
- Publication list, broken down into
  - Publications in peer-reviewed journals
  - Invited presentations at conferences
  - Monographs
  - Other journal articles
  - Other publications
  - Conference reports
  - Patents, if any

In listing publications the regulations for citation are to be observed.

- Current academic collaborations  
Current academic collaboration partners of the applicant and of the applicant's group should be listed.

### **2.5.8. Description of the CD Laboratory staff**

The qualifications of any staff to be hired should be described. If the people to be hired are already known, their cvs should be included. Please note that all members of the CD Laboratory's staff must be employed by the university/research institution and not by the company partners. Promotion of young scientists is a key responsibility of a CD Laboratory, so the Laboratory should offer positions for PhD students. The application should present measures to attain or maintain a gender balance among the staff.

It is recommended to seek the support of someone with a commercial background for the CD Laboratory's administrative and financial management.

### 2.5.9. Specific aspects

- Additional points must be considered for external modules, international CD Laboratories, international modules and non-Austrian companies (→ see Point 2.7.).
- If genetic resources are used, the relevant information of the Federal Environmental Agency must be observed (→ see the CDG web site <https://www.cdg.ac.at/en/documents/cd-laboratory/funding-programme> [www.cdg.ac.at/](https://www.cdg.ac.at/)).
- If the work involves biological samples, we should like to note the offer of the Biobanking and Bio-Molecular resources Research Infrastructure Austria, <http://bbmri.at>.

## 2.6. Appendixes to the application

The following documents must be submitted with the application:

- Application form for the establishment of a Christian Doppler Laboratory (in original with signature and stamp and as pdf document) → form on the CDG web site, [www.cdg.ac.at](http://www.cdg.ac.at)
- Documents pertaining to the company partners → forms on the CDG web site, [www.cdg.ac.at](http://www.cdg.ac.at), within the document “Information on membership of the Christian Doppler Research Association”:
  - Letter of commitment from the company partner to participate in a Christian Doppler Laboratory (in original with signature and stamp)
  - Definition of the specific fields of business if the company, as agreed with the university/research institute (in original with signature and stamp)
  - Only for small and medium-sized enterprises with headquarters in the European Union, the European Economic Area or the EFTA:  
Application for a reduced fee for membership of the Christian Doppler Research Association as a precondition for the granting of SME support for the Christian Doppler Laboratory in question (in original with signature and stamp)
  - and for company partners that are not members of the CDG:  
Application for regular membership of the Christian Doppler Research Association (in original with signature and stamp) including the annual report of the last business year
- Only if the university/research institution at which the CD Laboratory is to be established is not yet a CDG partner and has not concluded a General agreement to host CD laboratories with the CDG (→ see Point 9.2.1):
  - Application for partnership with the Christian Doppler Research Association (in original with signature and stamp) → form on the CDG web site [www.cdg.ac.at](http://www.cdg.ac.at)

## 2.7. Specific points related to the application

### 2.7.1. External module

A CD Laboratory may establish a module at a different university/research institution/university of applied sciences in Austria, which is known as an external module. In external modules a small group of people carries out scientific work for the CD Laboratory. External modules are subject to the same provisions as CD Laboratories. A separate Head of Module should work in the module, with qualifications equivalent to those of a Head of Laboratory. The salary costs for a Head of Module are not eligible for support, although the Head of the Module receives an honorarium as recompense for the additional work.

Additional requirements for an external module are:

- Information on the Head of the Module (cv, description of the qualifications) and on the staff to be hired
- Inclusion of the honorarium for heading the module in the research plan, time plan and cost plan (it amounts to 25 % of the honorarium for heading a Laboratory, in addition to an employer contribution that, for budgetary purposes, can be assumed to be 25 %)
- Application form for the establishment of an external module or an international module of a Christian Doppler Laboratory (in original with signature and stamp and as pdf document)  
→ form on the CDG web site, [www.cdg.ac.at](http://www.cdg.ac.at).
- Only if the university/research institution/university of applied sciences at which the External Module is to be established is not yet a CDG partner and has not concluded a General agreement to host CD Laboratories with the CDG (→ see Point 9.2.1):
  - Application for partnership with the Christian Doppler Research Association (in original with signature and stamp) → form on the CDG web site [www.cdg.ac.at](http://www.cdg.ac.at)

### 2.7.2. International CD Laboratory

CD Laboratories may also be established at non-Austrian universities/research institutions.

Additional requirements for an International CD Laboratory are:

- Information on the necessity for the scientific expertise. The scientific expertise required to work on the company partner's chosen topic is not available in Austria, or its quality in Austria is insufficient.
- Information on the benefit for Austria as a location for industry and/or research. The topic to be treated must be the general interest of Austria, either economically, scientifically or otherwise. The application must show that the project in question has particular benefit for Austria as a business location (e.g. by presenting the expected gain of knowledge for the

Austrian economy) and for the national science system (e.g. by planned collaborations with Austria research institutions).

- Information on the company partner. The company's value creation and research expenditure in Austria must be appropriate.

As far as possible, the organizational structure of CD Laboratories abroad should be based on that of CD Laboratories within Austria. The provisions relating to duration, extent of research, evaluation and level of budget are the same as those that govern CD Laboratories in Austria.

### **2.7.3. International module**

CD Laboratories may operate one or more of their modules at a location outside Austria. In such cases, the know-how of the non-Austrian group must make an essential contribution to the work in the CD Laboratory. International modules are subject to the same provisions as CD Laboratories. A separate Head of Module should work in the module, with qualifications equivalent to those of a Head of Laboratory. The salary costs for a Head of Module are not eligible for support, although the Head of the Module receives an honorarium as recompense for the additional work.

Additional requirements for an international module are:

- Information on the necessity for the scientific expertise. The scientific expertise required to work on the company partner's chosen topic is not available in Austria, or its quality in Austria is insufficient.
- Information on the benefit for Austria as a location for industry and/or research. The topic to be treated must be the general interest of Austria, either economically, scientifically or otherwise. The application must show that the project in question has particular benefit for Austria as a business location (e.g. by presenting the expected gain of knowledge for the Austrian economy) and for the national science system (e.g. by planned collaborations with Austria research institutions).
- Information on the company partner. The company's value creation and research expenditure in Austria must be appropriate.
- Information on the Head of the Module (cv, description of the qualifications) and on the staff to be hired
- Inclusion of the honorarium for heading the module in the research plan, time plan and cost plan (it amounts to 25 % of the honorarium for heading a Laboratory, in addition to an employer contribution that, for budgetary purposes, can be assumed to be 25 %)
- Application form for the establishment of an external module or an international module of a Christian Doppler Laboratory (in original with signature and stamp and as pdf document)  
→ form on the CDG web site, [www.cdg.ac.at](http://www.cdg.ac.at).

- Only if the university/research institution at which the International module is to be established is not yet a CDG partner and has not concluded a General agreement to host CD Laboratories with the CDG (→ see Point 9.2.1):
  - Application for partnership with the Christian Doppler Research Association (in original with signature and stamp) → form on the CDG web site [www.cdg.ac.at](http://www.cdg.ac.at)

#### **2.7.4. Foreign company partners**

Foreign companies may participate in CD Laboratories located at an Austrian university/research institution, provided that the application presents a benefit from the project in question to Austria as a business location or to the Austrian science system. Research undertaken at non-Austrian universities/research institutions in collaboration with companies outside Austria cannot be supported.

There is the following additional requirement to include a foreign company:

- Information on the benefit for Austria as a location for industry and/or research. The topic to be treated must be the general interest of Austria, either economically or otherwise. The application must show that the project in question has particular benefit for Austria as a business location (e.g. by presenting the expected gain of knowledge for the Austrian economy) and for the national science system (e.g. by planned collaborations with Austria research institutions).

#### **2.7.5. Endowed Head of Laboratory**

In particular cases when there is no financing for a contract of employment for a female applicant with the funding recipient, a portion of her salary may be eligible for funding as a Head of Laboratory endowed by the CDG. The university/research institution must enable the Head of the Laboratory to be employed and remunerated during the lifetime of the Laboratory. A position of Head of Laboratory endowed by the CDG represents a funding measure restricted to female heads of laboratories and must be requested separately.

#### **2.7.6. The special case of clinical studies**

In general, clinical studies are not eligible for support. However, in special cases a CD Laboratory may undertake clinical studies if they are academic in nature. The criteria include the requirement that the work not have the nature of contract research or product development but instead be of high scientific value and relatively low cost. A scientific hypothesis must be clearly stated and it must be clear why this should be studied in humans. In any case it is necessary to apply to the CDG Executive Board before undertaking a clinical study.

### 3. Assessment of applications

#### 3.1. Assessment and decision-making criteria

Assessment of whether an application warrants funding is based on two fundamental criteria:

- the scientific quality of the application;
- the scientific qualifications of the applicant foreseen to lead the Laboratory and the applicant's suitability for heading a research group.

The scientific quality of the application is assessed by means of the following criteria:

- Is the planned research project at a high level as judged by international standards?
- Are the goals clearly defined and attainable?
- Will the expected results contribute to advancing the state of basic research in the scientific discipline?
- Is the theoretical background adequately described?
- Is the proposed methodology likely to lead to success?
- Are the academic collaborations adequate?
- Are any aspects of diversity relevant to the proposed research and if so have they been taken into account appropriately?
- How effective is the collaboration with the company partners?
- Does the planned research contain or would it enable technical innovation?
- What effects could the results have for the companies or the non-academic sector?
- What is the level of economic or public interest in the proposed research?
- Are the planned resources sufficient and well focussed?

The entire research activities of the planned CD Laboratory are taken into account in assessing the application. They should represent application-oriented basic research.

The assessment of the scientific qualifications of the Head of the Laboratory is based on the following criteria:

- How high is the international scientific standing (based in particular on publication activity)?
- Does the future Head of the Laboratory have sufficient knowledge of the scientific discipline (in particular, does s/he have a *Habilitation* in a relevant discipline, is s/he working towards a *Habilitation*, or does s/he have comparable qualifications)?
- Does the Head of the Laboratory have experience leading scientific projects (e.g. projects funded by the FWF)?
- Is s/he suitable to head a group of scientists?
- Does s/he have an appropriate position in the organizational structure of the university/non-university research association and is s/he sufficiently well integrated in the university/non-university research association?

- Are there any personal or organizational factors that could hinder the operation of a CD Laboratory?

The Head of the Laboratory must have sufficient time available to be able to manage the Laboratory, in particular for the scientific consideration of the topic, for knowledge transfer and for supervising the CD Laboratory team.

The funding scheme is primarily addressed at young scientists who are still obtaining qualifications and who have completed their *Habilitation* (professorial qualifications) or anticipate doing so shortly. Their position should enable them to devote the large amount of time necessary to head a CD Laboratory. In individual cases Laboratories may be headed by people who are scientifically more established: in such cases, the criteria listed above will be applied even more strictly.

A scientist may not head more than one CD Laboratory (→ see Point 2.1).

### 3.2. Assessment procedure

In the CDG, decisions are taken by the CDG Executive Board. The proposals for the Executive Board's decisions come from a Scientific Board, which is appointed by the Executive board. The CD Scientific Board is made up of representatives from science and the economy: it has expertise in all relevant scientific disciplines and is able to take into account all aspects and goals of the CDG.

The assessment procedure starts with a formal check of the application, performed by the CDG General Secretariat. If the application satisfies the formal requirements it is considered by the CD Scientific Board. Fig. 1 provides a graphic representation of the assessment procedure. Further details on the individual points may be found in the Evaluation Handbook.

The CD Scientific Board processes applications in three steps:

- Initial assessment, in which the Scientific Board decides whether the application is of sufficient quality and the qualifications of the Head of the Laboratory are sufficiently high to warrant sending the application to external referees
- Initiation of an external peer-review procedure and subsequent critical consideration of the reviews
- A scientific hearing in front of the CD Scientific Board, in which the Head of the Laboratory has the opportunity to present the planned work

The CD Scientific Board ultimately decides what recommendation to make to the Executive Board, which then takes the decision on whether to establish the CD Laboratory.

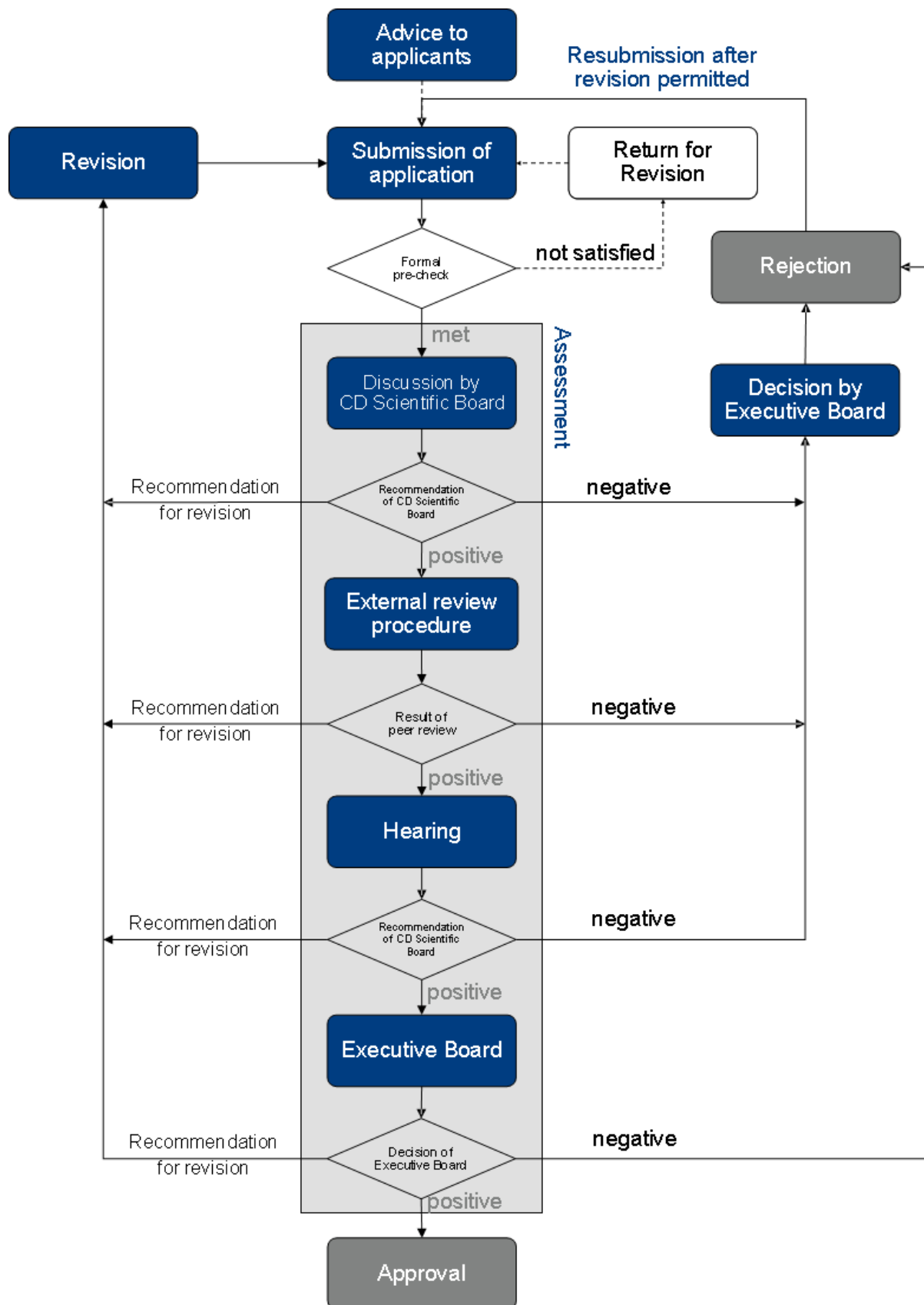


Fig. 1 Procedure to examine and evaluate applications to establish a CD Laboratory

### **3.3. Formal pre-check**

Applications are subjected to a formal pre-check by the CDG General Secretariat and if this is positive they are forwarded to the CD Scientific Board for a check of the contents. If corrections or additions to the application are made as a result of the pre-check, the company partners and in some cases also the university/research institution must give their consent. As part of the formal pre-check, the documents relating to the commercial partner(s) will also be checked for completeness.

Applications that are formally incomplete and those that do not correspond to the CDG's guidelines for application for a CD Laboratory will be returned to the applicants with a request for the missing information. If the required information is not provided within a reasonable period of time, processing of the application will be suspended and the application will not be subjected to review. A revised application that meets the formal criteria may be resubmitted. In case of doubt the CDG Executive Board will decide whether the formal criteria have been met.

### **3.4. Assessment of whether the application satisfies the minimum criteria for quality and whether the qualifications of the Head of the Laboratory are appropriate (initial assessment)**

The CD Scientific Board decides whether the application satisfies the minimum criteria for quality and whether the qualifications of the intended Head of the Laboratory are appropriate. If the two conditions are met, the CD Scientific Board initiates the external review.

### **3.5. External review**

The final assessment of the CD Scientific Board takes into account reviews obtained from at least three external international experts (peer review, external review procedure).

An applicant is free to include together with the application a list of persons s/he wishes to exclude from the review procedure because of competition or because of a fundamental difference of view. Justification must be provided for excluding certain persons and the list must be agreed with the commercial partner(s). The CDG undertakes not to contact any persons on the list. As a consequence of this procedure, it is not possible to submit objections to referees after their reports have been received.

Selection of referees is the responsibility of the Chair of the CD Scientific Board and of one of the deputies, who may if necessary consult individual members of the CD Scientific Board. For CD Laboratories to be established within Austria, only persons working outside Austria may be selected as referees. For CD Laboratories abroad, referees from within the same country will generally be avoided to ensure that the applications are treated equivalently. The referees who are ultimately selected are known only to the Chair of the CD Scientific Board and the deputies. Their identities are not revealed to any of the other members of the CD Scientific Board, unless identifying them to individual members of the CD Scientific Board is deemed helpful to enable these members to assess the relevance of the

reports. The referees' reports are thus made available to the CD Scientific Board without the names of the referees.

The procedure envisages transmission of the assessment criteria to the external referees in the form of a standard list of questions. Preparation of the list of questions is the responsibility of the Scientific Board and the list must be approved by the CD Scientific Board.

The General Secretariat generally forwards excerpts of reviews from the external referees to the applicant, without revealing the referees' identity, with a request to comment on them. In this way the CDG enables the applicant to respond to questions that may arise, to clarify points and to raise any concerns s/he or have. The applicant's responses to an excerpt are forwarded to the referee in question with the request for a final summary of the review.

To make the procedure transparent, the reviews are forwarded to the applicant essentially in full, although without revealing the referees' identity (the part of the reviews that the CDG has undertaken to treat confidentially will not be forwarded).

After a detailed discussion of the external reviews, the CD Scientific Board decides whether a scientific hearing should be organized. If the external experts' assessments are critical, the CD Scientific Board may decide that the criteria have not been met and that there should not be a hearing and recommends revision of the application or its rejection.

### **3.6. Hearing**

Hearings take place during quarterly meetings of the CD Scientific Board. Apart from the applicant, a representative of the company partner(s) may be present to provide any information that is required; the applicant informs that company partner(s) of the date of the hearing and invites them to participate. It is not envisioned to involve the entire team of the planned CD Laboratory in the hearing or for heads of external/international modules or additional representatives of the university/research institution to be present.

#### **3.6.1. Focus of the hearing**

Throughout the entire evaluation procedure, the focus is on the scientific activities of the CD Laboratory rather than on the collaboration with the company partners. The hearing does not represent an exception to this principle, although the applicant is expected to describe briefly how the company partner(s) will be involved. In preparing their presentations, applicants should note that the CD Scientific Board is a multidisciplinary committee, made up of experienced scientists from universities and from companies. They should ensure that there is a clear link between the creation of basic scientific knowledge and the applications in which the results can be exploited by the companies. They should emphasize the innovative nature of the planned research. A substantial part of the presentation should be devoted to the scientific details to show the members of the CD Scientific Board close to the field that the application and the applicant are state of the art and that the work will advance the basic understanding of the topic. Any models that will be applied or developed should be presented in such a manner that the members of the CD Scientific Board

working in similar fields can assess them or pose questions in the discussion. If it is planned to use existing procedures or algorithms, these should be specified by name. The members of the CD Scientific Board who are not familiar with the field should be able to understand the issues to be tackled by the CD Laboratory and its goals. The applicant should be prepared to discuss the application and the presentation.

The main emphasis of a hearing is on:

- describing of the scientific aim of the planned CD Laboratory, including presenting the current state of the art;
- presenting the research work planned and its scientific goals, including the methods, approaches and hypotheses and paying particular attention to progress expected in the underlying basic science;
- providing an overview of the structure of the planned CD Laboratory.

The hearing should also include:

- a presentation of the scientific curriculum of the applicant;
- a brief presentation of the applicant's previous work on the topic, including publications;
- a description of any collaboration partners;
- a description of the commercial partner(s), including their motivation for participating in the long term and their capacity for exploiting the results;
- information on the scientific environment of the Head of the Laboratory;
- an overview of the resources (especially personnel, investments, resources already available at the university or non-university research institution or at the commercial partners or to be supplied to them);
- a description of the research group's standing in an international context;
- indications of any interconnections with other projects, either already running or planned.

### **3.6.2. Guideline for the structure of the presentation**

The hearing may take place in German or in English. The presentation is expected to last about 15 minutes. Please ensure that the transparencies are easily readable, so the font size should be at least 20 pt. The presentation must be sent in advance as a ppt, pptx or pdf document in landscape format with an aspect ratio of 4:3 or 16:9. Representatives of the company partners are not expected to give presentations.

The following structure is recommended:

Tab. 3: Recommended structure of the presentation (the times for the individual points should be taken as guidelines)

Brief introduction of the company partners present	1 min
Brief introduction of the Head of the Laboratory <ul style="list-style-type: none"> <li>• Scientific career</li> <li>• Publications, scientific supervisory activity</li> <li>• If applicable, any interdependence or personal connections to the company partners</li> </ul>	2 min
Scientific background of the planned CD Laboratory <ul style="list-style-type: none"> <li>• Brief presentation of current knowledge and of the group's previous work in the area</li> <li>• Planned research and scientific goals (incl. methods, approaches and hypotheses)</li> </ul>	7 min
Structure of the planned CD Laboratory <ul style="list-style-type: none"> <li>• Overview of the structure of the CD Laboratory and, if applicable, of any external/international modules</li> <li>• Business partners (long-term motivation for participation in the CD Laboratory, possibilities to exploit the results)</li> <li>• Scientific environment of the CD Laboratory at the university/research institution</li> <li>• Scientific collaborations planned</li> <li>• Overview of resources (especially staff, as well as resources already present at the university/research institution or at the company partner, or to be financed additionally)</li> </ul>	3 min
Positioning of the research group in an international context	1 min
Other aspects <ul style="list-style-type: none"> <li>• Connection to other projects that are in progress or planned</li> </ul>	1 min

The presentation is followed by a detailed discussion with the applicant, during which questions may also be addressed to the commercial partner(s). There is then an extensive closed session of the CD Scientific Board, at which the applicant and the company partner(s) are not present. Based on the external review and its assessment of the hearing, the CD Scientific Board reaches a decision that forms its recommendation to the CDG Executive Board.

### 3.7. Decisions of the CD Scientific Board and the CDG Executive Board

Based on its initial assessment, the CD Scientific Board may decide:

- To initiate the external review procedure
- To return the application for correction or revision
- To recommend against further handling of the application because it does not satisfy the minimum criteria (no external reviews are obtained)

During the review procedure, the CD Scientific Board may decide:

- To invite the applicant to a hearing
- To return the application for correction or revision
- To recommend rejecting the application

After the hearing, the CD Scientific Board may decide:

- To recommend the establishment of the CD Laboratory (possibly with certain terms, conditions or recommendations)
- To recommend the establishment of a CD Pilot Laboratory (→ see Point 6.) (possibly with certain terms, conditions or recommendations)
- To return the application to allow it to be improved or revised
- To recommend rejecting the application

The CDG Executive Board may decide:

- To establish the CD Laboratory (possibly with certain terms, conditions or recommendations)
- To establish a CD Pilot Laboratory (possibly with certain terms, conditions or recommendations)
- To return the application for further consideration by the CD Scientific Board
- To reject the application

### **3.8. Assessment of applications to establish international CD Laboratories**

The procedure is essentially the same as that used to assess CD Laboratories in Austria. However, in addition to the scientific aspects the evaluation also considers the special requirements of an international CD Laboratory:

- An explanation why the scientific expertise necessary to work on the topic of interest to the commercial partner is not available in Austria or is not available at the required level.
- A description why the topic to be investigated is in Austria's economic interest or otherwise in the interest of the Austrian public.
- A plausible explanation why the project in question will lead to a particular benefit to Austria as a business location (e.g. by presenting the knowledge that is expected to be made available to local industry) and/or to the national scientific community (e.g. by planned collaborations with Austrian research institutions).
- A declaration that the commercial partner will derive sufficient additional benefit and will devote sufficient support to research in Austria.
- A declaration that the university/non-university research institution is prepared to accept the legal provisions governing CD Laboratories and to grant access to the Austrian authorities entrusted with assessing the Laboratory's work or to persons who represent them.

Non-Austrian companies are not permitted to participate in an international CD Laboratory.

## **4. Resubmission of an application that has been returned for revision**

If an application is returned for revision, the revised version must be submitted within six months of the CD Scientific Board's decision. The business partners and where necessary the university/research institution must send a declaration of consent to the revised application. If the cost plan in the revised application differs from that in the original submission, the company partners must submit fresh letters of commitment to participate in the Christian Doppler Laboratory (→forms on the CDG web site, [www.cdg.ac.at](http://www.cdg.ac.at), within the document "Information on membership of the Christian Doppler Research Association"). In evaluating a resubmission of an application that has been returned to the applicant for revision, it is the general practice that the external referees include a mixture of new referees and referees who reviewed the rejected initial application. For this reason the applicant is required to provide an accompanying letter including a point by point summary of changes made or a version of the application with changes marked. If the application is submitted later than six months from the CD Scientific Board's decision it will be treated as a new application.

## **5. Establishment of the CD Laboratory**

The applicant will in all cases be informed in writing of the CDG Executive Board's decision to approve or reject the application. S/he is required to inform the company partners of whether the application has been approved or rejected.

To ensure that the reasons for the CDG's decisions may be understood, the reasons for rejecting an application will be given. To make the procedure transparent, the referees' reports will be transmitted to the applicant essentially in full, although the identity of the referees will not be revealed. (The CDG promises referees to treat certain portions of their reviews in confidence. These portions will not be made available to the applicant.)

Once the CDG Executive Board has approved the application to establish a CD Laboratory, the CD Laboratory may be established. The initial steps are described in the Handbook on the operation of a Christian Doppler Laboratory.

## **6. CD Pilot Laboratory**

If the main reason for not approving the establishment of a regular CD Laboratory is that the research topic is associated with a high risk and/or the suitability of the Head of the Laboratory cannot be determined for certain, although s/he may have the necessary attributes, a CD Pilot Laboratory may be established. There should be no reservations about the scientific value of the issues to be addressed, nor about the economic or societal interest in research in the area. A CD Pilot Laboratory represents a special type of introductory phase of a CD Laboratory and cannot be requested directly.

The CDG monitors CD Pilot Laboratories particularly closely. There is generally an earlier interim evaluation, in which attention is paid to the particular conditions (and requirements, if applicable) and that addresses whether conversion to a regular CD Laboratory is possible and advisable.

Tab. 4: Features of a CD Pilot Laboratory

Duration	2 years Followed if appropriate by conversion to a regular CD Laboratory (in the first phase of extension)
Min. annual budget <sup>6</sup>	EUR 140.000
Max. annual budget <sup>5</sup>	EUR 700.000
Type of research <sup>7</sup>	100% application-oriented basic research of which 30 % with full scientific freedom
Amount of experimental development	None
Support from the public purse	50 % of the eligible costs 60% if SMEs participate (in proportion to the extent of participation) <sup>8</sup>
Private support (company partners)	50 % of the eligible costs 40 % if SMEs participate (in proportion to the extent of participation) <sup>5</sup> : No contributions in-kind can be considered

## 7. Eligible costs

Eligible costs include all expenditure attributable to the research project and all costs/benefits resulting directly, actually and in addition to the normal operational costs from the project for the duration of the research activities supported. Costs may be recognized as eligible from the date given for the start of the CD Laboratory.

The following costs related to the CD Laboratory may be claimed from the CDG:

- Personnel costs and honorarium for heading the Laboratory
- Fixed assets (inventory)
- Other costs (hire-purchase equipment, material costs that do not represent assets, costs for third-party services and travel costs)

The rules relating to VAT and acquisition tax must be observed.

<sup>6</sup> Based on purchase costs, not on depreciation costs.

<sup>7</sup> In accordance with the use of the terms in the regulations governing state subsidy, this means:  $\geq 30\%$  basic research,  $\leq 70\%$  industrial research,  $0\%$  experimental development (c.f. Framework for State aid for research and development and innovation, 2014/C 198/01 of 27.06.2014) in the currently valid version.

<sup>8</sup> Please note: There is no legal entitlement to SME support. A company may request support of this kind, which may be granted if the appropriate documentation is provided. The CDG will calculate the level of support to be offered.

## **7.1. Personnel costs**

Costs for scientists, technicians and others (such as assistants) are eligible, provided they are directly working at the university/research institution and are assigned to the CD Laboratory. Personnel costs for work by the commercial partners are not eligible. Within the proportion of the time they are assigned to the CD Laboratory, CD Laboratory staff may not work at the company. They may naturally spend short periods of time there to undertake measurements but may not be seconded or relinquished to the commercial partners for longer periods.

Personnel costs that can be considered as representing a proportion of the funding recipient's administrative costs are not eligible for support. The costs for the administration of personnel costs by the university's bursary or the research institution's division of finance are eligible. The names of the staff members for whom such charges are made must be clearly indicated, as it is not permitted to claim lump sums. Any such costs must be covered by the CD Laboratory's budget.

Hiring and payment of the CD Laboratory's staff may be via a contract of employment, a (free) work contract or a contract for works and services, depending on the work to be undertaken. Irrespective of the type of contract, personnel costs are only eligible for support if they correspond to the collective contract for the universities (or any other collective contract, e.g. the collective contract for non-university research institutions) or to the CDG's scheme of personnel costs (→ see Table 5). The university/research institution is for the employer for all employments and the contractor for all additional agreements with the CD Laboratory's staff.

Staff members must keep a record of the hours they work, as these may be checked by external auditors.

### **7.1.1. The CDG's scheme of personnel costs**

The CDG's scheme of personnel costs is based on the FWF's scale, taking into account the provisions of the collective contract for Austrian universities. Table 5 presents the CDG's scheme of personnel costs.

Table 5: CDG's scheme of personnel costs for 2024

Staff	Max.costs/year	h/w	Notes
Head of Laboratory	EUR 12.500	-	The honorarium for heading the Laboratory amounts to EUR 10.000 in addition to an employer contribution, which for the budgetary calculations is assumed to be 25%.
Senior Postdoc	EUR 92.150	40	The senior postdoc salary may only be paid if three criteria are met (→ see Point 7.1.2).
Postdoc	EUR 84.030	40	Only persons who have completed their doctoral studies may be paid as postdocs. For graduates who studied medicine in accordance with the old curriculum (study completed by 2011), Dr. med. corresponds to a doctoral study. Staff who have graduated with this title may be paid as postdocs.
Graduate student (PhD student)	EUR 63.360	40	The salary increase after three years foreseen in the collective contract for Austrian universities is to be granted if the Head of the Laboratory evaluates the performance of the staff member in question as satisfactory and if the commercial partners agree. If the dissertation has not been completed after three years and the performance not positively evaluated, the salary should remain unchanged and the number of hours worked reduced.  For graduates who studied medicine in accordance with the new curriculum, Dr. med. corresponds to a diploma. Staff may not be paid as postdocs until they have completed a PhD course.
Diploma student, Master student, student helper <sup>9</sup>	EUR 23.060	20	Diploma students and Master students may not be employed for more than 20 h/w.
Technician		40	Technical assistants, whose time is charged for as required.
BMA <sup>10</sup>	EUR 56.420		
CTA <sup>11</sup>	EUR 47.400		
MTF <sup>12</sup>	EUR 52.540		
TF <sup>13</sup>	EUR 43.550		
Assistant	guideline EUR 20.000 to 25.000	-	Administrative support, which may only be invoiced to the extent required and at the normal salary level at the university/research institution.

<sup>9</sup> A research grant may only be paid under exceptional circumstances, in accordance with the internal guidelines of the university/research institution.

<sup>10</sup> Biomedical analyst

<sup>11</sup> Chemical technical assistant

<sup>12</sup> Medical technical assistant

<sup>13</sup> Technical assistant, mechanic, laboratory technician, programmer

Please note:

- The remuneration, including all incidental wage costs, taxes and other components, is paid by the university/research institution. The scale of personnel costs given in Table 13 includes both the employee and the employer portions.
- Personnel costs higher than those in the given scale are not eligible for support, unless the collective contract for Austrian universities gives a higher scale. In such cases, the Head of the Laboratory must provide documentary evidence in the written application (e.g. in the event of an expansion), when submitting the annual budget for the following year and in the event of any laboratory audits. In justified exceptional cases higher personnel cost rates may be approved by the CDG Executive Board following an application. The prerequisite for this is that the person in question has the special qualifications required for the position, which are higher than those attributed to the personnel cost rate according to the CDG personnel cost scheme or, if applicable, according to the collective agreement. In any case, higher personnel cost rates can only be granted after a separate application and the approval by the CDG Executive Board.
- Additional components of a salary that are voluntary and not foreseen or required by the terms of the collective contract for Austrian universities are not eligible for support.
- The pension provisions correspond to those in the collective contract for Austrian universities, which envisages a back-payment after two years. Savings built up to effect this back-payment qualify as eligible costs. However, the Laboratory may not build up any other reserves or savings.
- It is recommended to inform the commercial partners in good time of any plans for advance payments.
- It is recommended to include a valorisation of personnel costs (except for the honorarium for heading the Laboratory) in the multi-year cost plan. According to its economic forecast from December 2023, the Austrian National Bank expects inflation of 4.0%, 3.0% and 2.5% for the years 2024 to 2026 respectively.
- The salaries will be adjusted annually in accordance with the salary increases in the civil service. The CDG makes official announcements of the increases.
- If staff members work only part-time for the CD Laboratory, the personnel costs should be paid in proportion to the time worked.
- Study fees are not reimbursed. The salaries enable a level of payment that is sufficient to cover study fees.

Please note in addition:

- The CDG only reimburses costs and recognizes entitlements if they result from the period of operation of the CD Laboratory (such as Severance payment entitlements, payments for annual leave or termination indemnities ) but is not responsible for claims relating to previous periods of employment.

- If the CD Laboratory is terminated prematurely, the CDG will refund the personnel costs to the university/research institution from the date of the Laboratory's termination until the expiry of the legal notice period or the period of notice given in the collective contract (generally from the CD Laboratory's budget). The CDG will not be responsible for any other claims that may result from particular contractual agreements or previous periods of employment.
- Exceptions may be made with the agreement of the university/research institution and the CDG.

### **7.1.2. Senior Postdoc**

Within CD Laboratories the CDG is basically interested in providing support for young scientists. However, in special cases it may be necessary for a CD Laboratory to integrate scientists with particular expertise within the team, although their careers are already at a more advanced stage. To make this possible a salary for a senior postdoc is payable provided the following criteria are met:

- The scientist in question must have experience and expertise in a particular topic that the CD Laboratory requires.
- The scientist in question must already have spent at least three years performing research work at a university/research institution or in the private sector.
- A CD Laboratory may have only one senior postdoc position in accordance with these criteria, unless the CDG Executive Board grants an exception because of particular circumstances.

Checks are made to ensure the criteria are met as part of the monitoring of the Laboratory. The supporting documentation must be made available (doctoral certificate, note to file about expertise in a particular topic and proof that the staff member has spent at least three years as a postdoc).

### **7.1.3. Honorarium for heading a Laboratory**

The salary that the university/research institution normal pays to the Head of the Laboratory is not eligible for reimbursement by the CDG (with the exception of Heads of Laboratory endowed by the CDG → see Point 2.7.5). However, an honorarium is paid for heading a Laboratory.

The honorarium, together with a payment to cover the employer contribution, is covered by the CD Laboratory's budget. The honorarium for heading a Laboratory currently amounts to EUR 10.000 per year in addition to a proportion for the employer contribution, which for the purposes of budgetary planning should be taken to be 25%. Any additional, voluntary components of the salary that are not explicitly required by the collective contract for Austrian universities are not eligible for support by the CDG.

If the employer contribution is less than the percentage foreseen, the remaining money may be transferred to the Laboratory's budget; if the contribution exceeds this percentage the difference must be covered from the Laboratory's budget.

The honorarium for heading a Laboratory is administered by the university/research institution and both the employer contribution and the employee contribution are deducted.

## **7.2. Fixed assets (inventory)**

Fixed assets (inventory) are objects that are intended to serve the CD Laboratory's business or research permanently.

Fixed assets are purchased by the Head of the Laboratory and the university/research institute should charge them to the internal accounting number of the CD Laboratory and inventory them. Their depreciation takes place in accordance with the general legal provisions. The date when the equipment enters operation is to be taken as the date of purchase.

In purchasing equipment, the Federal provisions governing the award of contracts and the internal guidelines of the university/research institute must be observed. The corresponding documentation should be enclosed with the information relating to the purchase. All items of fixed assets must be marked with an inventory label from the university/research institute as well as with a label indicating the support from the CDG. Such labels will be provided by the CDG and must be attached so that they are easily visible.

The following costs associated with fixed assets are eligible for support:

- Costs of purchase of fixed assets as defined by the Business Enterprise Code (UGB), i.e. equipment and software licences with a purchase price of EUR 1000 or above, excl. VAT (including costs for transport, assembly and necessary adaptations)
- Costs for the purchase or adaptation of special infrastructure that is directly associated with the CD Laboratory (e.g. installation of air conditioning, remodelling of rooms to set up equipment)

### **Purchase of large items of equipment**

Equipment with a purchase price of EUR 10.000 and above, excl. VAT, may only be purchased with the prior written agreement of the company partners. If the purchase price is EUR 50.000 or more, excl. VAT, an application must be submitted to the CDG Executive Board, as part of the initial application, in an application for extension of funding (evaluation report) or separately. If a large item of equipment is purchased in the final 24 months of the normal duration of the CD Laboratory (excl. any phasing-out period that may be granted) the residual book value must be refunded at the end of the normal period of the Laboratory's operation.

### **Refunding**

In the event of a refund, the CDG will calculate the residual book value taking two factors into account. The date for calculating the residual book value will be taken as the date of the normal or premature termination of the CD Laboratory or the end of the participation of a company partner in the CD Laboratory. Any phasing-out period that may be granted will not be taken into account. The depreciation time

will be that given in Table 6. In case of doubt, the CDG Executive Board will determine the date and depreciation time appropriate to the equipment in question.

Table 6: Depreciation times for fixed assets

Category	Depreciation time
Computer hardware	4 years
Computer software	4 years
Analysis and test equipment	5 years
Fitments (special equipment)	7 years
One-off license payment	4 years
Other equipment	5 years

#### Normal termination of the CD Laboratory

- If large items of equipment are purchased in the final 24 months of the normal period of operation (excl. any phasing-out period that may be granted), the university/research institution must refund their residual book value, determined on the date of the normal termination of the CD Laboratory (excl. any phasing-out period) to the CDG.
- During the normal termination procedure for the CD Laboratory, the company partners may be interested in acquiring some of the equipment purchased for the CD Laboratory's research. In such cases, the CDG encourages the university/research institution to relinquish the equipment to the company partners against payment of an appropriate consideration.

#### Premature termination of the CD Laboratory

- If the CD Laboratory is terminated prematurely as a consequence of a negative scientific evaluation, the university/research institution must refund the residual book value of the complete fixed assets (assets costing EUR 1000 or above, in accordance with the CDG guidelines) of the CD Laboratory to the CDG.
- If the CD Laboratory is terminated prematurely as a consequence of the withdrawal of the company partner(s), the CDG will ensure that the companies in question refund the proportion of the residual book value of the complete fixed assets (assets costing EUR 1000 or above, in accordance with the CDG guidelines) of the CD Laboratory that was covered by the public purse to the CDG. In such cases, the university/research institution will not be required to refund the proportion of the residual book value that was covered from other sources. There is no requirement for a refund if the CD Laboratory continues with other company partners.

## 7.3. Other costs

### 7.3.1. Hire-purchase equipment

The costs for hire-purchase equipment are eligible if the purchase price excl. VAT is at least EUR 100.000. Since 2019, interest payments and other charges have no longer been eligible for support. Please note that the hire-purchase contracts are concluded by the university/research institution. Before concluding a hire-purchase contract the university/research institution should reach an agreement with the CDG relating to the operative handling of the contract and any associated liabilities.

### 7.3.2. Material costs that do not represent fixed assets

The following costs are eligible as material costs that do not represent fixed assets:

- low-value assets (items with a purchase price of up to EUR 1000 excl. VAT) without limitation
- assets above EUR 1000 excl. VAT that are not intended to serve the CD Laboratory's business or research permanently
- material costs and consumables

### 7.3.3. Costs for third party services

Costs for third-party services necessary or advantageous for the research project are eligible, in particular:

- acquisition of research or advisory services
- sample preparation, external measurement and material tests
- special IT services
- maintenance, repair, installation and modification of facilities and equipment in the CD Laboratory
- pro rata costs for the use of special infrastructure, such as the (shared) use of central (large) items of equipment (e.g. measuring or testing facilities, electron microscopes, computing time on mainframe computers, use of cleanrooms etc.), or increased operating expenses resulting from measures connected with the purchase or adaption of special infrastructure. These costs can also be recognised as third-party services at the university/research institution where the CD Laboratory is to be established.
- costs for additional necessary space for the establishment and operation of the CD Laboratory, up to a maximum level of 3% of the actual personnel costs.

The costs should be taken into consideration in calculating the CD Laboratory's budget. The budgeting of the costs is based on the CD Laboratory's planned personnel costs (including the costs for heading the Laboratory). Accounting is based on the actual personnel costs of the CD Laboratory.

Support for the costs for additional space is granted to the university/research institution and not to the CD Laboratory. An internal service charge from the bursary/department of finance of the university/research institution and addressed to the CD Laboratory is sufficient to show that the university/research institution has received the sum in question. The institute should not submit an internal service charge to the CD Laboratory. Nevertheless, the university/research institution is free to forward the support it receives to the institute.

In awarding contracts, the legal provisions governing the award of federal contracts must be observed. Appropriate documentation should be enclosed with the information on the award of the contract.

Financial returns to the participating commercial partners are generally not permitted and the commercial partners may therefore not invoice the CD Laboratories for goods or services they provide. Costs of consignments or services from the commercial partner may be deemed eligible for support only under exceptional circumstances. In each case the Head of the Laboratory must submit an application for an exception in advance to the CDG and the CDG Executive Board will decide whether it is justified. It must be ensured that the goods or services could either not be obtained from another company or could only be obtained otherwise at considerably higher costs; and that the commercial partner does not make any profit from providing the goods or services. Costs for third-party services provided by staff of the university/research institution that is hosting the CD Laboratory must be approved in advance by the CDG Executive Board.

#### **7.3.4. Travel costs**

Travel costs for persons immediately involved with the CD Laboratory's research work are eligible, in accordance with the guidelines for reimbursement of travel costs specified in the CD Laboratory's contracts. The costs of participation by the Head of the Laboratory at conferences and other scientific events are only eligible if it can be shown that participation serves to present the CD Laboratory's research results (lecture, poster, publication in proceedings). Individual staff members of the CD Laboratory may also undertake duty travel if doing so helps them to acquire knowledge necessary or appropriate for the research project and builds up expertise within the CD Laboratory.

A boarding card must be submitted for each flight taken. Checking in by means of a smartphone is not permitted.

#### **7.3.5. Additional costs**

Other running costs of the CD Laboratory are eligible for support, in particular:

- scientific literature and journals, access to online media etc.
- workshops, lectures from visiting scientists, presentations

#### **7.4. VAT and acquisition tax**

VAT paid may be treated as an eligible cost only if the university/research institution is not entitled to VAT reimbursement.

Purchase invoices from within the EU may be marked with the VAT number of the university/research institution. If this is done, it must be ensured that acquisition tax is paid.

#### **7.5. Costs that are not eligible for support**

The following costs are not eligible for support:

- costs that arise before the date when the CD Laboratory started
- costs for the preparation of contracts or transfer costs levied against the university/research institution or its partners
- costs that are not immediately connected to the CD Laboratory
- fines, charges for late payments, reminder fees etc.
- costs for damages (claims for damages that arise as a result of the CD Laboratory's operation)
- costs for basic infrastructure, with the exception of costs for additional necessary space for the establishment and operation of the CD Laboratory, up to a limit of 3% of the actual personnel costs (→ see Points 7.3.3.)
- costs for general infrastructural measures
- costs for buildings and premises
- costs for the building up of reserves and savings
- financial returns to the commercial partners
- costs that arise after the end of the CD Laboratory's period of operation
- costs for services performed after the end of the CD Laboratory's period of operation
- costs that are deemed ineligible for support as a result of provisions in the EU's competition laws

#### **7.6. Recognizance of costs**

The costs approved when the CDG Executive Board decides to support the CD Laboratory do not represent recognized costs.

The final amount of the eligible costs and of the support will be only communicated after examination and approval of the statement of accounts by the CDG. The CDG will examine the eligibility of the various items of expenditure, will identify items ineligible for support and will claim repayment of the corresponding amount.

Claims for repayment may arise during the course of the continuous monitoring of the CD Laboratory's operation, especially during the checking of invoices as part of the system of random checks and external audits.

## 7.7. Complete overview of eligible and ineligible costs

The following summary should be taken as a guideline and is not comprehensive:

Table 7: Overview of eligible costs

Cost category	Eligible costs	Ineligible costs
<b>Personnel costs</b>		
General	✓ personnel costs as foreseen in the CDG's scheme of personnel costs	X components of the salary that exceed the CDG's scheme of personnel costs
	✓ termination indemnities and payments for annual leave on termination of the CD Laboratory, to the extent they arise during the period of employment at the CD Laboratory	X voluntary social payments, bonuses, extra payments for qualifications, gifts
		X study fees
	✓ Reserves for pension payments in accordance with the collective contract.	X the company partners' staff costs
		X personnel costs for staff members who work at the company partners
		X staff costs for consultancy services performed by staff of the university/research institution unless approved by the CDG Executive Board
		X other reserves and savings, e.g. to cover severance payments
		X reimbursements for inventions
		X payments in kind
Honorarium for heading a Laboratory	✓ honorarium for heading a Laboratory in addition to a percentage to cover the employer contribution, which for budgetary purposes should be taken to be 25%	X regular salary for the Head of the Laboratory (with the exception of Heads of Laboratory endowed by the CDG) and for heads of external/international modules
		X pension contributions relating to the honorarium for heading the Laboratory

Cost category	Eligible costs	Ineligible costs
<b>Fixed assets (inventory)</b>		
General	<ul style="list-style-type: none"> <li>✓ costs for the purchase of fixed assets/ inventory items, i.e. items of equipment and software licenses with a purchase price of EUR 1000 and above (excl. VAT) that are intended to be used continuously for research or service in the CD Laboratory (including the costs for transport, installation and necessary adaptation)</li> <li>✓ costs for the purchase or adaptation of particular items of infrastructure (e.g. installation of air conditioning, conversion of rooms to accommodate equipment supported by the CDG)</li> <li>✓ costs for the insurance of fixed assets</li> </ul> <p>Please note: The regulations relating to the awarding of contracts must be observed. [continued on the following page]</p>	<ul style="list-style-type: none"> <li>X costs for basic infrastructure, i.e. appropriate premises for the CD Laboratory or their renting, furniture, heating, telephone, internet connection, copying costs, administrative staff (with the exception of costs for additional space required, up to a level of 3% of the actual personnel costs)</li> <li>X costs for general infrastructural measures, such as equipment for seminar rooms or social rooms</li> <li>X costs for buildings and premises</li> <li>X any discounts that are not taken up</li> </ul>

Cost category	Eligible costs	Ineligible costs
<b>Other costs</b>		
Hire-purchase equipment	✓ Costs for hire-purchase equipment with a purchase price of at least EUR 100.000 excl. VAT	
Material costs that do not represent fixed assets	<ul style="list-style-type: none"> <li>✓ low-value assets, i.e. items with a purchase price up to EUR 1000 excl. VAT.</li> <li>✓ purchases exceeding EUR 1000 excl. VAT that are not intended to serve the CD Laboratory's business permanently</li> </ul>	
Costs for third-party services	<ul style="list-style-type: none"> <li>✓ acquisition of research and advisory services</li> <li>✓ sample preparation, external measurements and material tests</li> <li>✓ special IT services</li> <li>✓ maintenance, repair, installation and modification of facilities and equipment in the CD Laboratory</li> <li>✓ pro rata costs for the use of special facilities, such as the (shared) use of central (large) items of equipment (e.g. measuring or testing facilities, electron microscopes, computing time on mainframe computers, use of cleanrooms etc.)</li> <li>✓ pro rata costs for increased operating expenses resulting from measures connected with the purchase or adaptation of special infrastructure</li> <li>✓ costs for additional necessary space up to a limit of 3% of the actual personnel costs</li> <li>✓ costs for third-party services provided by staff of the university/research institution, provided these have been requested in advance and approved</li> </ul> <p>Please note: regulations relating to the awarding of contracts must be observed.</p>	<ul style="list-style-type: none"> <li>X financial returns to the commercial partners</li> <li>X management costs</li> <li>X costs for third-party services provided by staff of the university/research institution that have not been approved by the CDG Executive Board</li> </ul>

Cost category	Eligible costs	Ineligible costs
Travel costs	<ul style="list-style-type: none"> <li>✓ travel costs for persons immediately involved with the CD Laboratory's research work, in accordance with the guidelines for reimbursement of travel costs specified in the contracts</li> <li>✓ travel costs for the Head of the Laboratory to attend conferences only if results of the CD Lab's research are presented</li> <li>✓ travel costs for the employees of the Laboratory to attend conferences in order to gain knowledge (after approval of the application for the CD laboratory)</li> </ul>	<ul style="list-style-type: none"> <li>X the commercial partners' travel costs</li> <li>X removal costs</li> </ul>
	<ul style="list-style-type: none"> <li>✓ travel costs to commercial partners and to module partners to the extent necessary</li> <li>✓ travel costs for further education directly connected to the CD Laboratory</li> <li>✓ costs for rail passes (<i>Vorteilscard</i>), vaccinations (if required) etc.</li> <li>✓ mileage payments (if the use of a private car in a particular case is in accordance with the valid travel regulations and if a reason is given why public transport could not be used for the journey)</li> <li>✓ parking costs (unless mileage costs are claimed)</li> <li>✓ costs for taxis/hire cars (only if justified)</li> </ul> <p>Please note: The provisions of the travel regulations must be observed.</p>	

Cost category	Eligible costs	Ineligible costs
Additional costs	<ul style="list-style-type: none"> <li>✓ costs for materials and consumables, such as office materials or copying costs (to the extent they can be attributed to the CD Laboratory)</li> <li>✓ telephone costs, to the extent they can be attributed to the CD Laboratory (costs for mobile phones only following approval of a request to the CDG)</li> <li>✓ scientific literature and journals, access to online media etc.</li> <li>✓ workshops, lectures from visiting scientists, presentations</li> <li>✓ costs for PR work directly connected to the CD Laboratory, such as: <ul style="list-style-type: none"> <li>✓ additional door signs</li> <li>✓ business cards, if they refer to the CD Laboratory ("CD Laboratory for XX" and/or CDG logo)</li> <li>✓ publications and advertisements, if focused on the CD Laboratory</li> <li>✓ the CD Laboratory web site</li> </ul> </li> <li>✓ costs for further education directly connected to the CD Laboratory</li> <li>✓ charges for administration of staff costs by the bursary/department of finance</li> <li>✓ proof-reading and binding of theses</li> <li>✓ bank charges and losses due to currency fluctuations</li> </ul> <p>[continued on the following page]</p>	<ul style="list-style-type: none"> <li>X overhead costs, bench fees, workplace costs</li> <li>X reserves and savings</li> <li>X costs of patenting</li> <li>X costs for basic infrastructure, i.e. appropriate premises for the CD Laboratory or their renting, furniture, heating, telephone, internet connection, copying costs, administrative staff (with the exception of costs for additional space required, up to a level of 3% of the actual personnel costs)</li> <li>X flat-rate charges for materials and consumables, such as office materials or copies</li> <li>X charges for late payments and reminders</li> <li>X costs for damages</li> <li>X fines</li> <li>X costs for representation by a PR agency</li> </ul>

Cost category	Eligible costs	Ineligible costs
Additional costs	<ul style="list-style-type: none"> <li>✓ interest paid on overdrafts arising from late payment of financial support to which the Laboratory is entitled</li> <li>✓ The following costs in association with functions: <ul style="list-style-type: none"> <li>✓ costs for refreshments at events specifically related to the CD Laboratory, such as opening the Laboratory (to the extent the costs exceed the contribution from the CDG), presenting the CD Laboratory to the public (open day), invitation of guest speakers up to a certain number, evaluation meetings etc.</li> <li>✓ refreshments at meetings with external parties, such as company partners or partners from modules outside Austria (coffee, tea, mineral water, biscuits etc.)</li> </ul> </li> <li>✓ for all-day meetings with company partners or working meals with partners from modules outside Austria, (up to EUR 32 per person)</li> </ul>	<ul style="list-style-type: none"> <li>X The following costs in association with functions: <ul style="list-style-type: none"> <li>X costs for refreshments, food and drink at meetings or events attended only by staff of the CD Laboratory, such as Christmas parties</li> <li>X refreshments at discussions with partners of modules from within Austria</li> <li>X working meals at meetings with commercial partners that do not last for an entire day</li> <li>X tips</li> <li>X spirits, extravagant gourmet menus, wine tasting, cigarettes etc.</li> </ul> </li> <li>X invitations to the commercial partners for attendance at special events</li> </ul>

## 8. Commercial partners

### 8.1. Companies as members of the CDG

The CDG is a non-profit association that supports the establishment and operation of CD Laboratories and JR Centres. Membership of the CDG is open to all companies that are interested in mid- to long-term research collaborations with highly qualified scientists and that have the required capacity to take up and exploit the results of application-oriented basic research. A company's participation in a CD Laboratory is linked to its membership of the CDG.

### 8.2. Relevant Documents

If a company wishes to become involved in a CD Laboratory the following forms are required (→ forms on the CDG Web site [www.cdg.ac.at](http://www.cdg.ac.at) within the document "Information on membership of the Christian Doppler Research Association"):

- Application for regular membership of the Christian Doppler Research Association (including the annual report of the previous business year)
- Declaration of involvement in a Christian Doppler Laboratory
- Definition of the company's specific fields of business relevant to the research field (in agreement with the university/research institution)
- For an SME in accordance with the European Commission's definition: Application for a reduced fee for membership of the Christian Doppler Research Association as precondition for granting of support for SMEs in the CD Laboratory in question

### **8.3. Decision on membership**

Decisions on applications for Membership are taken by the CDG Executive Board, which pays particular attention to criteria such as whether there is mid- to long-term interest in research collaboration, the company's expected ability to make financial support available over a long period and the company's capacity for taking up and further developing the CD Laboratory's research results.

To ensure the mutual independence of the collaboration partners from one another in the work of the CD Laboratory, the company partners and the scientific partners may not have any form of corporate integration. The Heads of Laboratories may not be employed by a company partner, may not have any managerial function and may not hold shares in the company partner. An interdependence also exists if the host institution of the CD Laboratory has significant shares in the company partner or the head of the organisational unit in which the CD Laboratory is to be established has significant shares or a management position in the company partner. Contracts for consultancy or for the performance of works and services between the Head of Laboratory and the company partner are permitted but must be reported to the CDG.

### **8.4. Types of membership and level of membership fees**

#### **8.4.1. Option on membership**

As a result of its application for membership and the CDG Executive Board's decision to approve it, the company receives an option on membership of the CDG. The option on membership is tied to involvement in a CD Laboratory for which funding has been requested or in a CD Laboratory that already exists. It may be valid for a period of 24 months.

#### **Fee for the option**

A fee for the option is payable on application for membership of the CDG. It amounts to EUR 1.000.

#### **8.4.2. Regular membership**

The option on membership is automatically converted to a regular membership upon the start of a new CD Laboratory or upon the start of the company's involvement in an existing CD Laboratory.

##### **Membership fee payable by a Regular Member**

As a basic principle, the membership fee is related to the costs of the research work in the CD Laboratory. The budget of a CD Laboratory is agreed by the Head of the Laboratory and the company partners. A proportion of the budget is allocated to each company partner, with the amounts in turn broken down into a contribution payable by the partner and support from the public purse:

- The CDG applies fully transparent criteria in calculating the contribution payable by the company partner. Generally, 50% of the proportion of the budget allocated to a company partner is to be paid by the company in question. In the case of SMEs (that have submitted the appropriate confirmation of their status) the figure is 40%. In special cases (e.g. if the company receives a large level of basic funding from the public purse) it may exceed 50%. There is a lower limit to the amount of a company's contribution.
- The contribution from the public purse will be covered by public funding bodies (the Ministry for Economic Affairs or the National Foundation for Research, Technology and Development).

The CDG sets the membership fee as the amount of the company's contribution to the CD Laboratory's budget, calculated in accordance with the preceding paragraph and taking any support for SMEs into account, together with a contribution to the Association's overall costs. This latter contribution does not exceed 7% of the contribution to the research costs. The CDG Executive Board fixes the precise level of the contribution to the Association's overall costs for a particular year in the autumn of the preceding year.

##### **Details of support for SMEs**

Small and medium-size enterprises (SMEs) that satisfy the definition of the European Commission and that have their headquarters in the European Union, the European Economic Area or the EFTA may apply for support for SMEs, which amounts to 60% for the entire period of the CD Laboratory's operation. The CDG is responsible for calculating the level of the support payable.

Furthermore, an SME must be an "autonomous" concern. This is interpreted to mean a company that is neither a partner enterprise nor a linked enterprise: the company in question may not have more than 25% shares (capital or votes) in another company and no other company may have more than 25% shares in it.

The European Commission has established the following criteria for small and medium-sized enterprises (SMEs)<sup>14</sup>:

	Headcount	Annual turnover	Balance sheet total
Medium-sized enterprise	< 250	≤ 50 Mio. EUR	≤ 43 Mio. EUR
Small enterprise	< 50	≤ 10 Mio. EUR	≤ 10 Mio. EUR
Micro enterprise	< 10	≤ 2 Mio. EUR	≤ 2 Mio. EUR

#### **Details of the minimum level of company contribution**

The minimum level of company contribution is currently set at EUR 22.000 per year or EUR 10.000 per year for SMEs.

If the commercial partner would like to support the establishment of a new CD Laboratory without the cooperation of any other commercial partners, the minimum contribution is related to the lower limit for the annual budget of the CD Laboratory. The lower limit for the annual budget of a CD Laboratory is EUR 140.000, which corresponds to a contribution of EUR 70.000 per year from the company (correspondingly lower for SMEs).

#### **Details of the contribution to general costs**

In addition to the company's contribution to the research costs, a contribution is to be made to the CDG's general costs. This covers the CDG's organizational costs and serves to build up a reserve fund for the CDG. The reserve fund is intended to provide an appropriate level of financial stability in the event that the Association suffers unforeseen financial problems. It provides the Association with a buffer against risks and can also be seen as an expression of solidarity among the Association's Members. The amount of the contribution to general costs is de-fined by the CDG Executive Board and is limited to 7 % of the company contribution.

#### **8.4.3. Determination of membership fees**

An application to establish a new CD Laboratory or to extend an existing CD Laboratory must contain a research plan, a time plan and a cost plan (for several years). The commercial partners must indicate their consent to the research plan, time plan and cost plan by means of an official signature and company stamp. Consent is taken as a firm commitment for the first year and as indicative of a serious intent to participate for the following years.

With the start of the CD Laboratory or of the company's involvement in an existing CD Laboratory, the corresponding membership fee (based on the approved research plan, time plan and cost plan) automatically becomes due.

<sup>14</sup> The CDG assumes no liability for errors. In all cases the European Commission's current criteria are to be applied. The current document is the Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises, 2003/361/EG, Official Journal of the European Union, L 124 of 20.5.2003, pp. 36 ff.). Any subsequent provisions must be applied.

- In the first year of the CD Laboratory's operation, the proportion of the budget for the calendar year is calculated after discussions with the Head of the Laboratory and prescribed as the membership fee by the CDG.
- From the second year of the CD Laboratory's operation the Head of the Laboratory will prepare or update annual budgets, to be duly executed by the commercial partners. These serve as the basis for the calculation and determination of the corresponding membership fees for the commercial partners.

Payment of the membership fee to the CDG represents a significant contribution to enabling the operation of the CD Laboratories and thus the successful cooperation between science and the private sector. In the interest of the stability of the research activity, the membership fee is due immediately on receipt of the request for payment. In exceptional cases, the CDG Executive Board can also demand a bank guarantee or an advance payment of the membership fee for a certain period of time.

#### **8.4.4. Termination of membership**

The following provisions relate to termination of membership of the CDG:

##### **Normal termination of membership**

If the CD Laboratory in which the Member is involved concludes normally, a regular Member may decide whether it wishes to remain in the Association as a Patron or to terminate its membership. If a member is involved with several CD Laboratories or JR Centres it may take this decision following the termination of the last CD Laboratory or JR Centre with which it is involved. A Patron may at any time participate again in CD Laboratories or JR Centres without again having to apply for membership.

##### **Membership fee for Patrons**

The membership fee for Patrons is currently set at EUR 1.000 per year.

##### **Premature termination of membership**

Termination of membership by mutual consent is possible at any time with the agreement of the CDG Executive Board.

Notice of termination of membership must be submitted to the CDG Executive Board in writing, observing the period of notice and the dates of giving notice stipulated in the version of the Statutes valid at the time. The current provisions are that notice can be given at the end of a month and the period of notice is nine months. It is similarly possible to cease participation in a particular CD Laboratory prematurely by giving notice in writing to the CDG Executive Board, again observing the period of notice and the dates of giving notice given in the Statutes. Failure to sign a budget plan is not interpreted as termination of membership: a written notice of termination is required in all cases.

In the event of the premature termination of membership or the premature cessation of participation in a particular CD Laboratory, the proportion of the residual book value of the fixed assets purchased in the collaboration with the CD Laboratory that was covered by contributions from the public purse is to be refunded to the CDG.

### **8.5. Additional commercial partners in a CD Laboratory**

Before a new commercial partner may join an existing CD Laboratory, the Head of the Laboratory must obtain the consent of the companies already collaborating in the framework of the CD Laboratory.

### **8.6. Rights and responsibilities of corporate members**

There are rights and responsibilities associated with CDG membership. These result primarily from the currently valid versions of the CDG Statutes and of the rules of the funding programme. The corresponding documents are available from the CDG on request.

## **9. Legal Framework**

### **9.1. Legal basis**

The establishment of CD Laboratories at Austrian universities represents financial support in the sense of § 27 para. 1 no. 2 of the Universities Act (UG 2002). The establishment of a CD Laboratory at a non-university research institution in Austria and the establishment of an International CD Laboratory represent financial support.

The fundamental principles of the funding model are set out in the Directive “Programme to Support the Establishment and Operation of Christian Doppler Laboratories”<sup>15</sup> The general guidelines for evaluating CD Laboratories are set out in the “Evaluation Handbook on Support for the Establishment and Operation of Christian Doppler Laboratories”.

A CD Laboratory is based on additional legal documents that are listed in the corresponding contracts, such as the Union Framework for State Aid for Research and Development and Innovation<sup>16</sup>, the Research and Technology Promotion Act (FTFG), the Research Financing Act (FoFinaG) and the RTD National Foundation Act, in each case in the currently valid version.

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<sup>15</sup> Directive in accordance with § 15 and §12a of the 2024 FTFG for the Programme to Support the Establishment and Operation of Christian Doppler Laboratories (2024) Richtlinie für das Programm zur Förderung der Einrichtung und des Betriebs von Christian Doppler Labors (GZ.: 2024-0.243.359) vom 05.05.2024

<sup>16</sup> European Commission, Union Framework for State Aid for Research, Development and Innovation, 2014/C198/01, Official Journal of the European Union, ABl. C 198 of 27.6.2014

## 9.2. Contractual framework

### 9.2.1. Contractual framework for the CD Laboratory

Contracts to establish a CD Laboratory at an Austrian university are concluded between the CDG and the university in question. The General Agreement with the host institution sets out general regulations for the establishment and operation of CD Laboratories at this particular university. The Concrete Agreement with the host institution includes all regulations governing the establishment and operation of a particular CD Laboratory.

In place of these contracts, CD Laboratories at non-university research institutions and private universities in Austria and CD Laboratories at universities/research institutions outside Austria receive a single contract, the Concrete Agreement with the host institution. This includes all the regulations that are set out for CD Laboratories hosted at Austrian universities in the General Agreement with the host institution. The contents of the contracts of all CD Laboratories are thus identical.

The CDG's corporate members are tied to the CDG directly as a result of the Association's Statutes. No separate contracts are involved.

The structure of the contractual framework for CD Laboratories at Austrian universities and for CD Laboratories at non-university research institutions, private universities in Austria or at universities/research institutions outside Austria is schematically represented in the following diagrams:

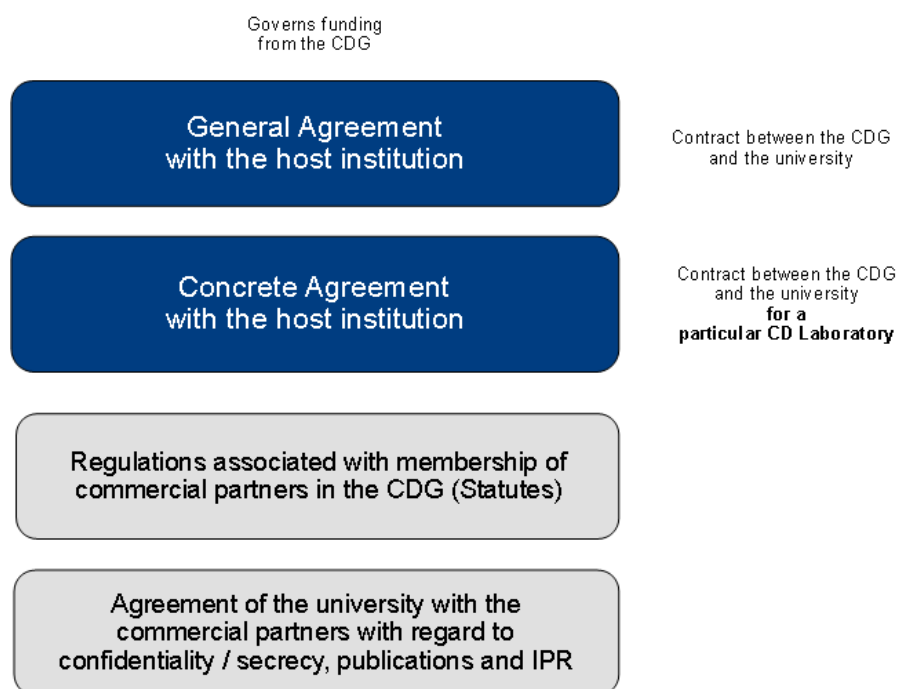


Figure. 2: Contracts regulating CD Laboratories at Austrian universities

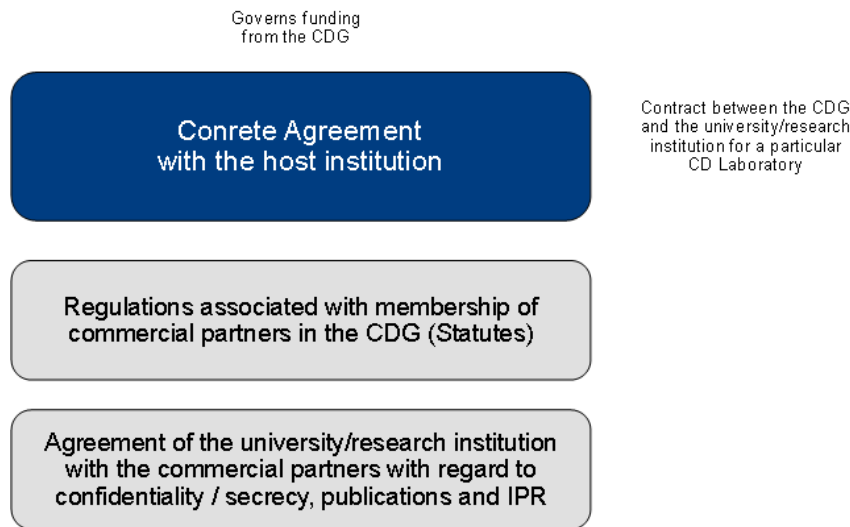


Figure 3: Contracts regulating CD Laboratories at non-university research institutions, private universities in Austria and at universities/research institutions outside Austria

### 9.2.2. Contracts of employment with the CD Laboratory's staff

The CD Laboratory's staff is employed by the university/research institution. Contracts of employment are to be concluded between the university/research institution and the individual staff members. These must include specific points.

The contracts between the university/research institution and the CD Laboratory's staff may also take the form of appendixes to existing contracts. The CDG will make an appropriate sample contract available.

## 9.3. Agreement between university/research institution or Head of Laboratory and business partners

The specific fields of business of a business partner that are relevant to the CD Laboratory are to be defined by agreement between the company partner and the university/research institution. Agreement must be reached before the application for the company's participation in the CD Laboratory is submitted.

At the start of a CD Laboratory's operation (or when an additional company partner joins an existing CD Laboratory), or within six months thereafter, there must be an agreement between the university/research institution and the commercial partner with regard to mutual requirements for confidentiality/non-disclosure, publications and intellectual property rights, including any provisions to offer recompense for inventions.

The CDG recommends involving the research support services of the university/research institution in discussions on the agreement for exploitation of the research results before submitting an application for a company partner to participate in a CD Laboratory. The CDG can provide a sample agreement on request.

If there is no agreement with the company partners on the above points within six months of the start of a CD Laboratory's operation, or within six months of the start of a new company partner's participation in a CD Laboratory, the provisions of the General agreement with the host institution will be deemed to have been accepted.

### **9.3.1. Ensuring the character of the research that is funded**

If necessary the provisions in the General agreement with the host institution may be specified more precisely. In doing so, the following points should be taken into consideration:

- The General agreement with the host institution or the Concrete agreement with the host institution in the case of a CD Laboratory at non-university research institution, private university or of an international CD Laboratory, remains valid and its provisions override those of the agreement between the university/research institution and the company partners. As an example, the provisions of the General agreement with the host institution with regard to the termination of CD Laboratories and the provisions in the Statutes regarding termination of membership must be observed.
- Any additional agreements between the company and the university/research institution or the Head of the Laboratory that relate to the CD Laboratory, such as precision of the regulations governing confidentiality/non-disclosure, publications or intellectual property rights or additional agreements, must be in accordance with the legal framework of the funding model and must be consistent with the programme's nature, as the research work would otherwise no longer be eligible for support.
- The work in a CD Laboratories represents a research collaboration supported by the public purse. It is not contracted research. CD Laboratories do not directly exchange services for rewards (payments) but represent facilities in which the participants contribute jointly to a research project. This point must be reflected in the agreement.
- Provisions taken from standard contracts for contract work are often not suitable for CD Laboratories. As an example, a CD Laboratory does not perform services or offer services in exchange for a payment or a consideration. The companies support the CD Laboratories by means of their payments. The CD Laboratories are financed by the CDG (the support for the research work in which a company agrees to participate is administered by the CDG in accordance with the provisions of the General agreement with the host institution). The company partners are not clients but collaboration partners. No development work is undertaken in a CD Laboratory and no products or marketable prototypes are produced. In accordance with the funding model, the results of the CD Laboratory's research lie in the field of application-oriented basic research, which contributes to the development of new products and processes by the company partners.
- Agreements that have the nature of contract research are not permitted.
- The provisions of Austrian substantive law are applicable.

### **9.3.2. Submission of the agreements to the CDG**

The CDG must be informed of the agreements without having to ask and copies must be submitted to the CDG. The CDG guarantees that all such agreements will be treated in strict confidence. It is recommended to send the CDG drafts of the agreements for checking before they are signed by the university/research institution and the company partners.

## **9.4. Specific regulations in the legal framework**

### **9.4.1. Confidentiality/non-disclosure**

Both the university/research institution and the commercial partners are required to treat all information related to the CD Laboratory in strict confidence. Information of any kind that the commercial partners communicate to the CD Laboratory in the course of collaboration in the framework of the CD Laboratory, as well as all information relating to the operation and results of the CD Laboratory, must be treated in confidence. This provision does not apply to information and results that are covered by an explicit agreement to the contrary with the commercial partners involved. It also does not apply if it can be shown that the information or results were previously known to the CD Laboratory or if they represent general state of the art or are widely known. This requirement for confidentiality/non-disclosure applies in particular to the publication and/or patenting of the results of the CD Laboratory's research. It extends to all persons involved in the CD Laboratory's work and continues for six years beyond the period of the contract for the CD Laboratory.

### **9.4.2. Publications**

The term "publication" is used to mean any mechanism to enable public access to the results of research and development work, in particular via printed media, in electronic media, by means of presentations in word and/or image or by other means.

Results of basic research should be published in an appropriate form, ideally in refereed journals or in respected forums for publication in the relevant field. Publication of other results should take into account the economic interests of the commercial partners (e.g. in patenting). A written agreement between the Head of the Laboratory and the commercial partners should be obtained in advance. If within three weeks of sending a manuscript to be published to the commercial partners the Head of the Laboratory receives no justified objections to publication or requests for changes, this is to be interpreted as consent to publication. On no account may the performance and conclusion of Master theses, diploma projects and PhD theses or the handling of these according to study laws be obstructed or delayed.

#### **9.4.3. Intellectual property rights**

All inventions that arise from the CD Laboratory's research activities must be reported immediately to the university/research institution and to the commercial partners. The decision whether inventions or protectable results fall within the scope of the agreed research activities of the CD Laboratory is to be taken jointly by the Head of the Laboratory and the commercial partners.

With regard to the further regulations for the use of inventions and protectable results, a distinction is made between those that lie within the companies' specific fields of business and those that lie outside them. Within the companies' specific fields of business the university/research institution transfers the IPR to the commercial partners on request (provided this is made by the agreed deadline). The commercial partners cover the inventor's bonuses and the patenting costs. Additional payments to the benefit of the university/research institution may be agreed in accordance with Point 9.3. Outside the companies' specific fields of business, the university/research institution grants the commercial partners the right of first refusal on rights to the invention or protectable results, to be acquired for an appropriate payment.

During the preparation of the application for a company to participate in a CD Laboratory, the company and the university/research institution must agree on the fields that are to be treated as the company's specific fields of business, as applied to the CD Laboratory in question.

#### **9.4.4. Overheads**

The funding scheme is based on a collaboration between science and companies, with both partners having equal rights and both contributing to the work of the CD Laboratory. The university/research institution provides a stimulating scientific environment and the know-how required to ensure that the research work is fruitful. The university/research institution also contributes in kind by making its basic infrastructure available for the establishment and operation of the CD Laboratory, by financing the salary of the Head of the Laboratory and by supporting the personnel administration. The scientific partner is thus providing services that the companies could not obtain elsewhere in the same form. On the other hand, the company partners do not only pay their membership fees but also make a substantial contribution to the success of the collaborative endeavour, as revealed by their making available internal infrastructure as well as offering their knowledge and possibilities for further education to diploma students. In addition, the company members of the CDG show their solidarity and support for the (further) development and administration of the funding scheme by contributing to the overall costs of the Association. Their contributions also represent the guarantee of financial security for CD Laboratories that are in financial difficulties. For these reasons, the CDG assumes that the in-kind contributions of the scientific and company partners are equivalent.

Nevertheless, costs for the space necessary to establish and operate the CD Laboratory are eligible for support, up to 3% of the actual staff costs. In addition, it is possible to claim reimbursement for the (pro rata) costs for the use of particular items of infrastructure, such as the (shared)

used of central (large) items of equipment (e.g. measuring or testing facilities, electron microscopes, computing time on mainframe computers, use of cleanrooms etc.). If the operation of the CD Laboratory requires unusual resources (e.g. installation of air conditioning, exceptionally high energy costs), these are also eligible for support. The costs may be covered from the CD Laboratory's budget once the application has been approved.

## 10. Termination of the CD Laboratory

Funding ceases on reaching the seven-year maximum period of support or in the absence of a positive decision to extend funding as a result of a scientific evaluation of the CD Laboratory. In addition, failure to reach the lower level for the budget of EUR 140.000 (because of the cessation of collaboration with one or more companies), the expiry of a necessary component of the contractual framework (Concrete Agreement with the host institution or Individual funding contract) or exceptional circumstances may lead to termination of the CD Laboratory.

The research work must be planned so that all activities as well as all Masters and diploma projects and dissertations are completed within the Laboratory's lifetime. A phasing-out period will be granted to enable the completion of Masters or diploma projects or dissertations that despite careful planning could not be finalized within the normal seven-year period of support for particular scientific reasons or as a result of other unforeseeable circumstances. In such cases the CDG Executive Board may permit the use of any unspent money by the CD Laboratory or may grant additional support for a period of up to twelve months, although the CDG Executive Board is generally reluctant to approve phasing-out periods. If work on a dissertation starts less than 2½ years before the end of the normal period of support of a CD Laboratory, a phasing-out period will be only granted under exceptional circumstances.

## 11. Link to documents

We ask you to download the following documents relating to the application to establish a CD Laboratory from the CDG web site, [www.cdg.ac.at](http://www.cdg.ac.at):

- Application form for the establishment of a Christian Doppler Laboratory
- Cost planning (Excel document, to be integrated in the application)
- Information on membership of the Christian Doppler Research Association: This document contains the following forms:
  - Application for regular membership of the Christian Doppler Research Association
  - Letter of commitment to participate in a Christian Doppler Laboratory
  - Definition of the specific fields of business
  - Only for small and medium-sized enterprises:  
Application for a reduced fee for membership of the Christian Doppler Research Association as a precondition for the receipt of SME support for the CD Laboratory in question

## 12. Information

If you have any questions, the CDG General Secretariat would be pleased to help you:

Christian Doppler Research Association

Boltzmannngasse 20/1/3, 1090 Vienna, Austria

tel.: +43 1 5042205

fax: +43 1 5042205-20

e-mail: [office@cdg.ac.at](mailto:office@cdg.ac.at)

web: [www.cdg.ac.at](http://www.cdg.ac.at)

## 13. FAQ

### How long should an application be?

The length should be in accordance with normal practices in the particular subject area. Applications should be brief and concise, while containing sufficient detail to enable them to be assessed. The scientific part may not exceed 50 pages in length; the entire application may not exceed 100 pages.

### What is meant by “scientific freedom”?

The Head of the Laboratory has complete freedom in allocating about 30% of the total resources available to the CD Laboratory. The scientific freedom should be used for further development of the basic science in the relevant field, in particular the underlying methods and procedures. It should ensure that the Laboratory's potential to generate applicable results continues to grow during its period of operation. The scientific freedom must be dedicated to basic research related to the topic that the CD Laboratory is addressing. The scientific freedom and its use are the responsibility of the Head of the Laboratory. Its use may not be restricted by the management of the university/research institution or by the company partners, either in terms of its scope or in terms of its methods.

The scientific freedom also extends to external/international modules.

### Are the CD Laboratories allocated to the various universities/research institutions according to a particular formula?

No. All universities/research institutions are entitled to submit applications and all applications are treated equally.

### Are there restrictions relating to particular scientific disciplines or topics of research?

No. The CDG supports innovative scientific research, especially in the areas of natural sciences, engineering, medicine and economics and relating to their effects on society. The CDG is open to applications from all areas of science in which a company needs basic knowledge. The CDG thus operates in a strictly bottom-up manner.

**Is there any time of the year when an application stands a lower chance of success (e.g. at the end of the year)?**

No. Applications are treated the same in every meeting. The CD Scientific Board and the CDG Executive Board meet for times per year.

**Is it essential that the Head of the Laboratory has completed a “*Habilitation*” (professorial qualifications)?**

A potential Head of a Laboratory should ideally have his or her *Habilitation* (preoessorial qualifications) or anticipate receiving it soon. If he or she has not finalized his or her *Habilitation*, the application should describe how the supervision of students will be organized until the *Habilitation* has been completed.

In assessing an application, the CDG considers both the international scientific standing of the Head of the Laboratory (especially as reflected by publications) and whether s/he has sufficient knowledge of the subject (in particular whether s/he has completed professorial qualifications in a relevant subject or is working towards these qualifications, or whether s/he has comparable qualifications.)

In individual cases laboratories may be headed by people who are scientifically more established: in such cases, the criteria listed above will be applied even more strictly

At the establishment of the CD Laboratory, the Head must have a valid contract of employment with the funding recipient. The preconditions for the Head of the Laboratory to have a contract of employment should be satisfied for the entire period of the Laboratory’s operation, for example the period of operation should be completed before the legally stipulated age of retirement of the Head of the Laboratory.

**How long does the review take?**

The CDG endeavours to keep the review time as short as possible. The minimum possible time from submission of an application to the decision to establish a CD Laboratory is about five months.

**Who decides which referees to contact?**

Selection of referees is the task of the Chair of the CD Scientific Board and the Deputies, who may consult members of the CD Scientific Board working in related subjects if necessary.

**Does the CDG use referees from Austria?**

The CDG relies exclusively on referees from abroad. Nevertheless, applications to establish an international CD Laboratory may be reviewed by referees from Austria.

**Can more than one company be involved in a single CD Laboratory?**

The CDG welcomes the involvement of more than one company in a single CD Laboratory.

**Is it a disadvantage when only one company is involved in a CD Laboratory?**

The CDG recommends involving several companies in a CD Laboratory. Collaborating with only one company partner does not give any disadvantage when the application is assessed. Nevertheless,

Heads of Laboratories are encouraged to recruit additional company partners during the running time of CD Laboratories.

### **Under what conditions can a new business partner participate in a CD Laboratory?**

If a new company partner wants to participate in an existing CD Laboratory, the Head of the Laboratory must obtain the consent of all the companies with which the CD Laboratory is already collaborating. The new company partner must provide a letter of commitment to participate in a Christian Doppler Laboratory and – unless it is already a member of the CDG – submit an application for membership of the CDG.

### **What are a business's responsibilities to a CD Laboratory?**

When applying for membership of the CDG and requesting participation in a CD Laboratory, a company accepts the CDG's Statutes and agrees to be bound by the contracts that govern the CD Laboratory. When the letter of commitment to participate in a Christian Doppler Laboratory is signed and duly executed, the company confirms its interest in collaborating with the CD Laboratory over a long term (for the remaining duration of the Laboratory), agrees with the application and the research plan, time plan and cost plan contained therein and commits itself to pay the corresponding proportion of the CD Laboratory's costs for the first year of research, along with the contribution to the CDG's overall costs as specified by the CDG.

The company may terminate its membership or cease to participate in a CD Laboratory but must give written notice to the CDG Executive Board of its intention to do so, observing the dates and periods of notice specified in the currently valid version of the Statutes.

### **How much money must a business contribute?**

The minimum contribution to participate in a new or an existing CD Laboratory currently amounts to EUR 22.000 per year (EUR 10.000 per year for an SME).

If the company partner would like to support the establishment of a new CD Laboratory without the participation of another company, the minimum contribution results directly from the lower limit for the Laboratory's annual budget, which is currently EUR 140.000. The company would thus have to contribute an annual amount of EUR 70.000 (correspondingly less if it is an SME).

### **What contracts govern a CD Laboratory at an Austrian university?**

There are two contracts between the CDG and the university that relate to a CD Laboratory. The General host agreement sets out general rules for the establishment and operation of CD Laboratories at the university in question. The Concrete host agreement contains all provisions relating to the establishment and operation of a particular CD Laboratory.

### **What contracts govern a CD Laboratory at a non-university research institution and private university in Austria?**

A single contract between the CDG and the non-university research institution or private university in Austria relates to a CD Laboratory. The Concrete host agreement contains all provisions relating to the establishment and operation of the CD Laboratory. It contains all the provisions included in the General host agreement and the General funding contract for CD Laboratories at Austrian universities, so all CD Laboratories are subject to contracts that are identical in content.

### **What contracts govern a CD Laboratory at a non-Austrian university or research institution, i.e. an international CD Laboratory?**

An international CD Laboratory is governed by a single contract between the CDG and the foreign university or research institution. The Concrete host agreement contains all provisions relating to the establishment and operation of the CD Laboratory.

These two contracts contain all the provisions that are included in the General host agreement for CD Laboratories at Austrian universities, so all CD Laboratories are subject to contracts that are identical in content.

### **What contracts are concluded with the company partners?**

The company partners of a CD Laboratory are members of the CDG. If a potential company partner is not yet a member, a corresponding application must be submitted to and approved by the CDG Executive Board. As a result of their membership, companies are bound by the CDG's Statutes. The CDG's contracts relating to the establishment and operation of a CD Laboratory contain general provisions relating to the collaboration between universities/research institutions and companies.

The company partner's specific fields of business that are relevant to the CD Laboratory in question must be specified in agreement with the university/research institution in the course of preparing the company's application to participate in the CD Laboratory.

The company partner and the university/research institution must also agree on mutual requirements for confidentiality/non-disclosure, publications and intellectual property rights, including any provision for paying recompense for invention). A written agreement should be concluded by the start of the CD Laboratory's operation or of the company's participation in it, or at the latest within six months of this date.

The CDG recommends involving the research support unit of the university/research institution in advance of the application for the company's participation to help draft the agreement relating to the exploitation of the research results. A sample contract is available from the CDG on request.

If there is no agreement with the company partner within six months of the start of the CD Laboratory's or of a new company partner's participation in it, the provisions of the General agreement with the host institution will be taken as accepted.

### **How are the staff of a CD Laboratory employed?**

The staff members of a CD Laboratory are employees of the university/research institution in question, which is responsible for concluding contracts of employment and payment of salaries.

### **How high is the budget of a CD Laboratory?**

The annual budget of a CD Laboratory lies between EUR 140.000 and EUR 800.000 (calculated by purchase costs, not by depreciation costs). CD Laboratories are financed in equal measure from the public purse (funding from the Ministry for Economic Affairs and from the National Foundation for Research, Technology and Development) and from the contributions of the CDG member companies. A higher proportion of funding from the public purse (60%) is possible when small and medium-sized enterprises are involved.

### **How is the support paid?**

The CDG collects the contributions from the CD Laboratory's company partners in the form of membership payments and pools them with the money from the public purse. The CDG transfers the total budget for the CD Laboratory in question (i.e. the contributions from the public purse and the companies) to an account held by the university/research institution in the name of the Head of the Laboratory. Payments are made quarterly. The Head of the Laboratory is thus not responsible for obtaining the contributions from the company partners.

### **Does the CDG pay overhead costs?**

No, because the funding scheme is based on a collaboration between science and companies, with both partners making in-kind contributions to the CD Laboratory. The CDG assumes that the in-kind contributions of the scientific and company partners are equivalent.

Nevertheless, costs for the space necessary to establish and operate the CD Laboratory are eligible for support, up to 3% of the actual staff costs. In addition, it is possible to claim reimbursement for the (pro rata) costs for the use of particular items of infrastructure, such as the (shared) use of central (large) items of equipment (e.g. measuring or testing facilities, electron microscopes, computing time on main-frame computers, use of cleanrooms etc.). If the operation of the CD Laboratory requires unusual resources (e.g. installation of air conditioning, exceptionally high energy costs), these are also eligible for support. The costs may be covered from the CD Laboratory's budget once the application has been approved.

### **Is the budget of a CD Laboratory a global budget?**

No. Unlike, for example, the budget of an FWF-project, the budget of a CD Laboratory does not represent a global budget. Nevertheless, there is flexibility in two important aspects. Costs may be transferred from one category to another up to a limit of 30% of the budget and it is possible to carry money over to the following year.

### **How are the intellectual property rights in a CD Laboratory regulated?**

It is important to distinguish between inventions and protectable results that lie within the companies' specific fields of business and those that lie outside them. Within the companies' specific fields of business the university/research institution transfers the IPR to the company partners on request (provided this is made by the agreed deadline). The commercial partners cover the inventor's bonuses and the patenting costs. Outside the companies' specific fields of business the university/research institution grants the company partners the right of first refusal on rights to the invention or protectable results, to be acquired for an appropriate payment.

### **Can CD Laboratories be extended?**

The operation of CD Laboratories is limited to seven years and cannot be extended. In principle, the research work must be planned such that all activities as well as all Master's and diploma theses and all dissertations are completed within this period. A phasing-out period will only be granted to enable the completion of Master's or diploma theses or dissertations that could not be completed during the normal seven-year lifetime of the CD Laboratory as a result of unforeseeable reasons, either scientific or otherwise. In such cases the CDG Executive Board may grant additional support for period of up to twelve months, although it should be noted that funding for such phasing-out periods is granted restrictively. On no account should the phasing-out period be seen as a normal eighth year of research: it represents a genuine exception and should not be taken into account in the planning of the CD Laboratory's research work.

### **Can the Head of a Laboratory apply for support to establish an additional CD Laboratory?**

A scientist may not head more than a single CD Laboratory.

## 14. Checklist for applicants

<b>Application form for the establishment of a Christian Doppler Laboratory</b> (in original with signature and stamp and as pdf ddocument)	
<b>Scientific application In English</b> (sent electronically as a single document)	
<b>Cover sheet</b>	
Name of the university/research institution submitting the application	
Name of the future Head of the Laboratory	
List of company partners	
Proposed name for the CD Laboratory(max. 80 characters) in English and German: CD Laboratory for ... and CD-Labor für....	
<b>Table of contents</b>	
<b>Description of proposed research</b>	
State of the art and applicant's previous work on the topic	
Question and proposed approaches	
Work planned	
Description of how the scientific freedom is used	
Scientific collaborations planned	
Planned collaborations with the company partners	
Description of the risks and how to deal with them (recommended)	
If applicable: Information on contributions by other persons	
<b>Research plan and time plan (2 years in detail, 3 indicative)</b>	
Presentation of contents, aims, milestones. Plan broken down by company partners involved	
<b>Cost plan using the template</b>	
Cost plans per year, broken down by year and individual company partner	
Breakdown of staff costs	
Breakdown of fixed assets	
Breakdown of other costs	
<b>Have the following points been taken into account in the cost plan?</b>	
Rules relating to eligible costs	
Annual budgets: Lower limit of EUR 140.000, upper limit EUR 800.000	
The CDG's scheme of personnel costs	
Information on the extent to which the staff will be working in the Laboratory	
For a Senior Postdoc: are the CDG's three criteria satisfied?	
If necessary: explanation of fixed assets, hire-purchase equipment or costs for third-party services	
The lower limit for contribution from a company partner	
<b>Available infrastructure</b>	
<b>Information on the Head of the Laboratory</b>	
Curriculum vitae	
Publication list	
Current academic collaborations	
<b>Description of the staff</b>	
<b>Description of the company partners</b>	
Area of business	
Research activities	
Relation to the topic of the CD Laboratory	
Brief description of how the collaboration will be organised	
Plans to apply the CD Laboratory's results in the company	
For a foreign company: Information on the benefit to Austria as a location for business and research	

<b>Additional requirements for External/International modules</b>	
<b>External module</b>	
Application form for the establishment of an External module or International module of a Christian Doppler Laboratory (in original with signature and stamp and as pdf-document)	
Information on the Head of the module: cv, publication list, current academic collaborations	
Has the honorarium for heading the module been taken into account?	
<b>International module</b>	
Application form for the establishment of an External module or International module of a Christian Doppler Laboratory (in original with signature and stamp and as pdf-document)	
Information on the necessity for the scientific expertise	
Information on the benefit to Austria as a location for business and research	
Company partner must be from Austria	
Information on the Head of the module: cv, publication list, current academic collaborations	
Has the honorarium for heading the module been taken into account?	
<b>Documents from the companies</b> (In original with signature and stamp)	
<b>For companies that are new to the CDG</b>	
Application for membership (incl. information on R&D)	
Business report for the preceding financial year	
Letter of commitment to participate (first year's budget must agree with the cost plan)	
Definition of the specific fields of business	
If applicable: SME application	
<b>For companies that are already members of the CDG</b>	
Letter of commitment to participate (first year's budget must agree with the cost plan)	
Definition of the specific fields of business	
If applicable: SME application	

## 15. Annex I: List of General Secretariat staff

If you require further information, the staff of the CDG General Secretariat would be happy to help:

General questions about the funding scheme	Jürgen Pripfli	+43 1 5042205-10 <a href="mailto:juergen.pripfli@cdg.ac.at">juergen.pripfli@cdg.ac.at</a>
	Brigitte Müller	+43 1 5042205-18 <a href="mailto:brigitte.mueller@cdg.ac.at">brigitte.mueller@cdg.ac.at</a>
	Kludia Klackl	+43 1 5042205-19 <a href="mailto:kludia.klackl@cdg.ac.at">kludia.klackl@cdg.ac.at</a>
Evaluation	Nina Dobart	+43 1 5042205-25 <a href="mailto:Nina.dobart@cdg.ac.at">Nina.dobart@cdg.ac.at</a>
	Angelika Hanley	+43 1 5042205-22 <a href="mailto:angelika.hanley@cdg.ac.at">angelika.hanley@cdg.ac.at</a>
	Jörg Schneckner	+43 1 5042205-30 <a href="mailto:joerg.schneckner@cdg.ac.at">joerg.schneckner@cdg.ac.at</a>
	Lisa Wögerbauer	+43 1 5042205-21 <a href="mailto:lisa.woegerbauer@cdg.ac.at">lisa.woegerbauer@cdg.ac.at</a>
	Manuela Unger	+43 1 5042205-16 <a href="mailto:manuela.unger@cdg.ac.at">manuela.unger@cdg.ac.at</a>
	Nina Obendorf	+43 1 5042205-27 <a href="mailto:nina.obendorf@cdg.ac.at">nina.obendorf@cdg.ac.at</a>
Finance	Sandra Gabriel	+43 1 5042205-13 <a href="mailto:sandra.gabriel@cdg.ac.at">sandra.gabriel@cdg.ac.at</a>
	Alexander Grunner	+43 1 5042205-23 <a href="mailto:alexander.grunner@cdg.ac.at">alexander.grunner@cdg.ac.at</a>
	Claudia Habersack	+43 1 5042205-12 <a href="mailto:Claudia.Habersack@cdg.ac.at">Claudia.Habersack@cdg.ac.at</a>
	Laura Seidl	+43 1 5042205-14 <a href="mailto:laura.seidl@cdg.ac.at">laura.seidl@cdg.ac.at</a>

CDG staff assigned to advise universities/research institutions:

Region	University / research institution	Finance	Evaluation
Kärnten	Universität Klagenfurt	Alexander Grunner	Jörg Schneckner
Niederösterreich	Universität für Weiterbildung Krems	Sandra Gabriel	Jörg Schneckner
	Universität für Bodenkultur Tulln	Sandra Gabriel	Jörg Schneckner
Oberösterreich	Universität Linz	Claudia Habersack	Lisa Wögerbauer
Salzburg	Universität Salzburg	Claudia Habersack	Jörg Schneckner
Steiermark	Medizinische Universität Graz	Alexander Grunner	Jörg Schneckner
	Montanuniversität Leoben	Alexander Grunner	Nina Dobart
	Technische Universität Graz	Alexander Grunner	Lisa Wögerbauer
	Universität Graz	Alexander Grunner	Jörg Schneckner
Tirol	Medizinische Universität Innsbruck	Alexander Grunner	Jörg Schneckner
	Universität Innsbruck	Alexander Grunner	Jörg Schneckner
Wien	Medizinische Universität Wien	Claudia Habersack	Nina Dobart
	Österreichische Akademie der Wissenschaften	Claudia Habersack	Jörg Schneckner
	St. Anna Kinderkrebsforschung	Sandra Gabriel	Angelika Hanley
	Technische Universität Wien	Sandra Gabriel	Nina Dobart, Jörg Schneckner
	Universität für Bodenkultur Wien	Alexander Grunner	Jörg Schneckner
	Universität Wien	Alexander Grunner	Angelika Hanley
	Veterinärmedizinische Universität Wien	Alexander Grunner	Jörg Schneckner
	Wirtschaftsuniversität Wien	Alexander Grunner	Angelika Hanley
International	All institutions	Alexander Grunner	Lisa Wögerbauer

### Responsible for the contents

DI Mag. Brigitte Müller

Deputy Secretary General

Christian Doppler Forschungsgesellschaft

Boltzmanngasse 20/1/3, 1090 Vienna, Austria