

Research and Transfer Pool Funding Policy of 20 December 2023

Preamble

The University of Passau has made it a goal to provide additional financial support for research projects and high-quality, third-party funding proposals in the area of research and knowledge/technology transfer. This particularly applies to funding applications in renowned funding programmes and research projects with a high scientific potential.

1. Principles

(1) The Research and Transfer Pool provides funding primarily in the three overarching themes of the University of Passau:

- Digitalisation
- Europe
- Sustainability

through three funding lines:

- Funding for the preparation and development of third-party funding proposals for basic research ("Proposal Funding")
- Coverage the University's own share of project costs ("Own Contribution")
- Project Funding

2. Procedure

(1) Applications under the funding lines "Proposal Funding" (see Section 5) and "Own Contribution" (see Section 6) can be submitted at any time. For applications under the "Project Funding" line (see Section 7), applications must be submitted by the deadlines set by the Vice President for Research, as announced on the University of Passau website.

(2) Applications must be submitted using the online application form made available on the University of Passau website.

(3) Within the framework of the funding lines "Proposal Funding" (see Section 5) and "Own Contribution" (see Section 6), the Vice President for Research decides on funding up to and including EUR 25,000; otherwise the decision rests with the University Executive. Within the framework of the "Project Funding" line (see Section 7), the decision always rests with the University Executive.

(4) The funding decision is communicated through the Research Services Division. The Finance Division issues the letter of approval.

(5) In the "Own Contribution" funding line (see Section 6), the approved funds are made available after the third-party funding provider has approved the third-party funded project and the University has declared acceptance of the approval. In the funding lines "Proposal Funding" (see Section 5) and "Project Funding" (see Section 7), the approved funds are made available as soon as possible.

- (6) When deciding on the amount of funding from the Research and Transfer Pool, the available budget, the alignment of the project content with the strategic aims of the University of Passau, and the financial means of the relevant professorships/chairs/institutes are all taken into consideration. Funding is prioritised for professorships/chairs/institutes that do not have sufficient funds of their own to finance the project.

3. Use of funds

- (1) Applications for funding from the Research and Transfer Pool can be made in the categories of personnel and material resources
- Personnel resources
 - for academic and professional support staff
 - for student assistants
 - Material resources
 - Travel expenses for business trips
 - Funds for translation work
 - Funds for equipment
 - Funds for events
 - Funds for licences
 - Publication subsidies
 - Miscellaneous material resources
- (2) Funds from the Research and Transfer Pool can be used for purposes in accordance with the rules for funding of research and teaching.
- (3) Virement within the respective categories "personnel resources" and "material resources" is permitted. The amounts either category may be exceeded by up to 20%, provided that the shortfall can be offset by corresponding savings in the other category and the intended use of the grant is not impaired as a result. Any further transfer of funds between the two categories requires the approval of the Finance Division. Otherwise, overruns are permitted if the applicant bears them from his or her own funds. Restrictions imposed by the third-party funding provider on the use of funds from of the funding line indicated in Section 6 apply.

4. Eligible applicants

- (1) Members of the University of Passau who belong to one of the following groups are eligible to apply for funding from the Research and Transfer Pool:
- Professors in primary occupation pursuant to Art. 19(2) sentence 1 No. 1 BayHIG and
 - academic and artistic staff with a doctoral degree, provided that a favourable decision has been made by the Dean in accordance with Art. 72(2) sentences 5 and 6 and (3) BayHIG. The favourable decision must be documented by a letter from the Dean to the Vice President for Research.
- (2) The members of the University of Passau named in Subsection 1 are hereinafter referred to as Authorised Persons.

- (3) As an additional prerequisite for submitting an application in the funding lines listed under Sections 5 and 6, the Authorised Persons must also be eligible to apply to the third-party funding provider.

5. Proposal Funding: Funding line for the preparation and development of third-party funding proposals for basic research

- (1) This funding line can provide financial support for the preparation and development of third-party funding proposals for basic research. In general, the amounts listed in Subsection 11 are maximum amounts and are only approved in full for the preparation and development of previously unsubmitted third-party-funding proposals if they are substantially aligned with the strategic goals of the University of Passau.
- (2) In the case of multi-stage third-party funding proposals, applicants must apply for the funds in such a way that the entire proposal can be successfully submitted. A new application by, or on behalf of, the same Authorised Person is possible for an essentially identical third-party-funded project if the maximum funding amount according to Subsection 11 was not exhausted when the application was first approved. In such cases, the applicant may apply for the remaining difference between the previously approved funds and the maximum funding amount.
- (3) The expenditure is only deemed to be in line with the intended use of the grant if:
- the expenditure of the funds is directly related to the preparation and development of the third-party funding proposal indicated in the application and/or that it substantially and perspicuously increases the chances of approval for said proposal.
 - the third-party-funding proposal is submitted at the very latest at the end of the grant period pursuant to Subsection 5.
- (4) By way of proof of conformity with the intended use, the final version of all documents pertaining to the the third-party-funding proposal submitted to the third-party-funding provider must be sent to the relevant section of the Research Services Division immediately following submission to the third-party-funding provider.
- (5) Under this funding line, the Research and Transfer Pool funds are generally provided for a grant period of 6 to 12 months, or up to 36 months in exceptional cases. This can extend to a time period after the submission of the third-party funding proposal. As part of the application, applicants should specify the grant period they deem necessary to ensure that their third-party-funding proposal is successful. Uncommitted or unspent funds will be recovered after the end of the grant period. An extension of the grant period is possible in exceptional cases upon written application to the Research Services Division.
- (6) Approvals for funding from the Research and Transfer Pool relate exclusively to the call for proposals or the funding programme of the third-party funding provider named in the application as well as the corresponding third-party-funding proposal.

- (7) Where the third-party-funding proposal involves several Authorised Persons, who each make substantial contributions to the third-party-funded project independently as sub-project heads, the applicant submits the application on behalf of all Authorised Persons thus involved.
- (8) The funds will be allocated to the applicant even in cases where there are several Authorised Persons involved.
- (9) If the applicant ultimately decides not to submit the third-party-funding proposal, the Research Services Division must be informed of this decision at once. The Vice President for Research or the University Executive shall then decide in accordance with Section 2(3) whether the originally approved funds shall continue to be approved in full or in part or whether they are to be refunded or collected in full or in part.
- (10) If the applicant decides to submit the third-party-funding proposal with persons other than those named in the application, for a significantly different funding amount or in relation to a different call for proposals or in a different funding programme, the Research Services Division must be informed of this decision at once. If the decision results in substantial differences in content or if the maximum funding amount pursuant to Subsection 11 is below the approved grant, the Vice President for Research or the University Executive shall decide in accordance Section 2(3) whether the originally approved funds shall continue to be approved in full or in part or whether they are to be reimbursed or collected in full or in part.
- (11) Funding is provided for the preparation and development of third-party-funding proposals with a basic amount of up to EUR 10,000.
 - (11.1) For third-party funding proposals to be submitted to the DFG or as part of the EU Framework Programmes for Research and Innovation the basic amount increases by up to EUR 12,500.
 - (11.2) For third-party-funding proposals to be submitted in cooperation with at least two other academics holding a doctoral degree, the basic amount increases by up to EUR 2,500. This applies on condition that the academics thus involved make a substantial contribution to the third-party-funded project as sub-project heads. The involved researchers' roles within the externally funded project must be indicated in the application.
 - (11.3) If the amount of funding from the third-party-funding provider attributable to the University of Passau exceeds EUR 1.0 million, without taking into account a possible programme lump sum or similar, the basic amount is increased by up to EUR 20,000.
 - (11.4) When applying to the DFG for a Research Unit, Research Training Group or Collaborative Research Centre/Transregio under the auspices of the University of Passau, the basic amount is increased by up to EUR 50,000.
 - (11.5) The amounts stated in Subsections 11.1 to 11.4 are cumulative.
 - (11.6) As provided in Section 2(3), the Vice President for Research or the University Executive can stipulate conditions for the approval of funds or, in the case of multi-stage third-party-funding proposals, link such approval proportionally to the achievement of specific stages.

(12) Applications under this funding line can be submitted in parallel to applications under the “Own Contribution” funding line (see Section 6).

6. Funding line for covering the University’s own share of project costs (“Own Contribution”)

- (1) Under this funding line, any own shares of the University’s eligible project costs required by the third-party-funding organisation can be covered. This applies to research projects as well as third-party-funded projects with a focus on knowledge and technology transfer. The maximum funding amount under this funding line is 10% of the eligible project costs attributable to the University of Passau, without regard to any programme allowances or similar. The maximum funding amount may be exceeded in the case of structure-building projects of outstanding strategic importance to the University. Measures to minimise the University of Passau’s own share must be used as effectively as possible.
- (2) Funding under this funding line is granted from the start of the project until acceptance of the final report on expenditure of funds (“Schlussverwendungsnachweis”) by the third-party-funding provider. Uncommitted or unspent funds will be recovered after the end of the grant period referred to in sentence 1. Any regulations on the use of funds by the third-party funder apply, even if they deviate from the provisions of the present Policy.
- (3) If the own contribution is higher than assumed in the application when the third-party-funding proposal is approved, a new application can be submitted to cover the outstanding shortfall. If the actual own contribution is lower than assumed in the application upon approval of the third-party-funding proposal by the third-party funding provider, the funding from the Research and Transfer Pool will be reduced in accordance with sentence 3 of Subsection 1.
- (4) Applications under this funding line can be submitted in parallel to applications under the “Proposal Funding” funding line (see Section 5).

7. Funding line: Project Funding

- (1) This funding line can provide financial support for the implementation of research projects.
- (2) Funds provided under this funding line have a grant period of up to 12 months. Uncommitted or unspent funds will be recovered after the end of the grant period. An extension of the approval period is possible in exceptional cases following a decision by the Vice President for Research upon written application to the Research Services Division.
- (3) A repeat application by the same Authorised Person is excluded for an essentially identical research project. New applications for follow-up projects are permitted.

- (4) The expenditure is only deemed to be in line with the intended use of the grant if:
- the expenditure of the funds is directly related to the research project stated in the application.
 - a short report on the research project, listing the resulting published or planned articles, is submitted to the Research Services Division no later than the end of the grant period pursuant to Subsection 2.
- (5) A maximum of 7.5% of the funds budgeted for the Research and Transfer Pool in the financial year can be awarded annually under this funding line.

8. Effective date, expiration and transitional provision

This policy document comes into force on 1 January 2024. At the same time, the policy document for the research pool programme to increase third-party funding dated 19 March 2008, as amended on 1 December 2019, is repealed. By way of derogation from sentences 1 and 2, the procedures for all applications submitted before the date referred to in sentence 1 shall be continued in accordance with the guidelines referred to in sentence 2.

Decision tree for maximum funding amounts according to Section 5(11).

