

## Guideline sheet

Funding applications to the  
University of Lucerne research  
committee (FoKo)

## **1. FoKo budget**

The FoKo has a budget for research funding that is set once a year, consisting of amounts for research project start-up funding and of research funds.

## **2. Submission address**

Funding applications should be emailed to the FoKo (foko@unilu.ch) for the attention of the FoKo president.

## **3. Submission deadlines, circulation procedure and notifications**

The FoKo will not process any retroactive applications.

### **a) Standard applications**

The FoKo sets submission deadlines for applications each year and both communicates them to those entitled to apply and publishes them on the research section of the University of Lucerne website.

### **b) Applications via a circulation procedure**

Applications for funding of up to CHF 8,000 may be submitted to the FoKo on an ongoing basis with a request for an urgent decision via a circulation procedure. Valid reasons must be given for the urgency. If the FoKo members do not reach a unanimous decision during the circulation procedure, the application is processed at the next standard FoKo meeting. The FoKo strives to reserve at least 20% of the annual budget for these smaller applications.

### **c) Notifying applicants**

The FoKo president informs applicants of decisions as soon as possible after meetings.

## **4. Funding areas and subsidiarity**

The FoKo generally funds research proposals under sections 2 and 7 of the research committee regulations that are closely connected to the University of Lucerne and the principle of subsidiarity.

Subsidiarity is deemed to have been achieved if a research proposal has access to adequate co-financing from third-party funds (at least half of the funding required) or if written proof of relevant (even unsuccessful) efforts to gain third-party funds is enclosed with the FoKo application. The FoKo can offer a deficit guarantee for open third-party funding applications. Resources from the University of Lucerne's overall budget cannot be used to meet the subsidiarity principle.

The FoKo funds the following:

#### **4.1 Research projects**

Research projects and subprojects (e.g. empirical data collection, searches) generally receive support from FoKo amounting to no more than CHF 20,000.

#### **4.2 Start-up and completion\***

##### **a) Project start-up funding for preparing applications for third-party funding**

Start-up funding enables the preparation of high-quality project applications to third-party funding sources. Applicants can generally expect two to three months of support up to a maximum of CHF 20,000. No funding can be provided for preparing applications for individual funding (e.g. to the SNSF, careers). Unless otherwise stated by a FoKo directive, start-up funding ends once the application is submitted.

##### **b) Start-up funding plus bridge to doctoral and postdoctoral level**

In addition to start-up funding (4.2 a), applications may also be submitted for start-up funding combined with bridge funding. Bridges are generally only available with start-up funding, and fund no more than a six-month continuation of project participation from the time of the application being received until a decision is issued by the third-party funding source. In exceptional, duly justified cases, bridges are available without start-up funding. The aim of bridge funding is to support young research talent up to doctoral and postdoctoral level. The main criteria for awarding this funding are a high chance of third-party funding being approved and the funding recipient's potential for a scientific career. Priority is given to SNSF submissions. Salaries are based on the university's rates for doctoral and postdoctoral students working 50% FTE. The funding recipient must work on their doctoral or postdoctoral thesis. There are generally no more than five sets of start-up funding with bridge awarded each year. Unless otherwise stated by a FoKo directive, support ends when the third-party funding source reaches a decision.

\*The subsidiarity principle does not apply here.

### **c) SpeedUp: sabbatical for young researchers (postdocs)**

The aim of SpeedUp is to support applicants as they continue their scientific qualification on postdoctoral level. This sabbatical provides young research talent with a break (temporary reduction in teaching and administration workload) of no more than six months whilst continuing in paid employment, enabling them to focus on their postdoctorate. CHF 20,000 per SpeedUp is made available to the department or institute for replacement staff. SpeedUp is open to senior teaching and research assistants and assistant professors without tenure track. The FoKo generally awards two sabbaticals per year.

## **4.3 Publication and communication of research**

### **a) Publication funding\***

The FoKo may award funding for publications (both print and open access) that are closely related to the University of Lucerne's research activities. It will cover no more than half of the costs incurred by the applicant, up to a maximum of CHF 5,000. Publications must be published in accordance with the University of Lucerne's open access guidelines. The support must be mentioned in the publication, and the research committee's logo included where possible.

Support for individual degree papers (dissertations, postdoctoral theses) is not available from the FoKo (see FoKo regulations section 2.4). Publication costs for exceptional dissertations will be covered by the University of Lucerne rectorate under the conditions they specify.

### **b) Proofreading foreign-language texts\***

The FoKo funds proofreading of foreign-language texts up to a maximum of CHF 5,000 under the following conditions:

- The text authors must be members of the University of Lucerne.
- Proofreading of German texts is available to members of the university who are not native German speakers.
- Translations will not be funded.
- Working papers and conference manuscripts are not included.
- The place of publication must be stated in the application.
- The FoKo's support must be mentioned in the publication, and the research committee's logo included where possible.
- The FoKo must be provided with a copy of the published text.

\*The subsidiarity principle does not apply here.

### **c) Information projects**

The University of Lucerne seeks to present its research activities to the general public and communicate its research findings to a wider audience. The FoKo funds information projects in a variety of formats (e.g. events, exhibitions) with amounts of up to CHF 10,000.

### **4.4 Exchange and networking**

The FoKo funds scientific discourse within the university and on a national and international level.

#### **a) Organising scientific conferences (with or without conference proceedings)**

The FoKo funds the organisation of scientific conferences with contributions (fees, expenses, logistics etc.) of up to CHF 15,000. This also includes funding potential conference publications, which is generally covered by the same application.

#### **Estimates for organising scientific conferences at the University of Lucerne**

– Remuneration for individual presentations	max. CHF 500
– Accommodation costs, per person per night	max. CHF 180
– Food costs, per person per main meal	max. CHF 24
– Breakfast costs, per person	max. CHF 12
– Coffee break costs, per person	max. CHF 8
– Reimbursement of actual travel expenses, generally public transport (second-class train/economy flight)	

Deviations from the above and the use of cars (CHF 0.65/km) must be justified. Members of the University of Lucerne will not receive any fees.

#### **b) Attending scientific conferences**

Attendance at scientific conferences may be funded if the conference is closely connected to an ongoing or planned research project being undertaken by the applicant.

The FoKo will only process such applications if applicants have demonstrably and unsuccessfully tried in advance to:

- Charge the costs to the research project
- Obtain additional support from the SNSF or another funding organisation
- Submit an application to the relevant dean of the university

When estimating travel expenses and daily allowances including accommodation and breakfast, the University of Lucerne's expenses regulations and the guidelines for SNSF researchers apply. Any deviations from these must be justified.

### **c) Exchange within the university\***

The FoKo provides funding of up to CHF 5,000 for non-university retreats designed to review and develop the ideas and concepts of research projects, under the following conditions:

- Involvement of at least three professors from three subject areas or two faculties
- Signed letter of intent for a research collaboration by participants
- Detailed budget (as per the University of Lucerne's expenses regulations and the guidelines for SNSF researchers, with no fees)

### **d) International exchange\***

The FoKo provides funding of up to CHF 5,000 for the development and cultivation of international networks designed to review and develop the ideas and concepts of research projects. This should enable researchers to spend periods abroad or invite foreign guests, under the following conditions:

- Involvement of at least two foreign researchers
- Signed letter of intent for a research collaboration by participants
- Detailed budget (as per the University of Lucerne's expenses regulations and the guidelines for SNSF researchers, with no fees)

## **5. Content of the research application**

Applications must be submitted using the application forms available for download under the Research section of the University of Lucerne website. The forms contain a list of the application documents required. Applications (form and application documents) must be sent to the FoKo as a single PDF.

## **6. Review of applications**

Applications are reviewed in accordance with the criteria and priorities established in section 7 of the FoKo regulations.

\*The subsidiarity principle does not apply here.

## **7. Project completion**

### **a) Final reports**

For all approved projects, a final report must be emailed to the FoKo president (foko@unilu.ch) no later than three months after the end of the project. The FoKo final report form available on the website should be used for this purpose. In addition, all final reports must be accompanied by final accounts (including third-party funding where relevant) that have been checked by Financial Services. Any financial amendments must be declared and justified.

Projects receiving up to CHF 8,000 of funding are only required to submit a short letter to the FoKo president. Basic information (application, approval, implementation, people, and amount granted) must be used to briefly describe whether the objective was able to be achieved using the funds granted and whether there were any changes compared with the approved application. Supplementary information (e.g. symposium and research reports) should be enclosed.

A written final report (1-3 pages) must be prepared for projects receiving more than CHF 8,000 of funding. As well as basic information, this must also include a detailed overview of substantive and formal work steps, achievement of goals and publication of results. In particular, it must make reference to any changes in content compared with the project application.

Final reports are reviewed and approved by the FoKo. If there are any shortcomings, they will be sent back with revision requirements.

### **b) Deposit copies**

Where funding has been granted for publication, two deposit copies of the publication must be submitted. A cover letter to the FoKo president should also indicate any changes to the funding plan, and where relevant any repayment or fee claims by applicants.

The two deposit copies submitted will be given to the Central & University Library (to be added to the library's magazine and reference stock). Applicants shall inform the library of the impending arrival of deposit copies to avoid the library making any unnecessary acquisitions.

Lucerne, 1 August 2019

Prof. Alexander Trechsel, president of the research committee