FUNDING
THE WAY FORWARD
Content of the presentation

- What does the FWF stand for?
  - Mission statement, positioning, principles
- What are the instruments?
  - The FWF funding portfolio
- How does the FWF implement this?
  - The FWF procedures
- What has been achieved, what remains to be done?
  - Current developments and plans
What does the FWF stand for?

Mission Statement – Positioning – Principles
The FWF's corporate policy

Objectives

- Strengthening basic research in Austria across all disciplines at an international level
- Develop Austria’s human resources for research based on the principle of research-driven education
- Promote interaction between scientists/scholars and all other areas of culture, the economy and society
The FWF supports basic research *…

The FWF understands this as “experimental or theoretical work that primarily leads to new knowledge about the fundamentals of phenomena and observable facts without aiming at a specific application or implementation.”

… but is open for your application-oriented aspects:

Support for knowledge transfer and science/scholarly communication are an integral part of FWF’s work.

The FWF stands for

- More **basic research** in Austria
- More **competition** in the research system
- More **quality** in the research system
- More **internationality** in the research system
- More excellent **junior researchers** in the research system

The FWF supports the expansion of the research potential in Austria towards **innovation leadership** and is thus a major location factor for the research and economic system.
Approvals by scientific discipline
FWF Gender Mainstreaming Strategy in Research Funding

→ Equal opportunities for female and male researchers
→ Integration of gender dimension into the research programme

Mainstreaming:
Gender equality standards for all decision-making processes

Special Programmes:
Two-tier career development programme for women

Governance:
FWF monitors gender-disaggregated data (participation, success rates, etc.)

FWF Organisation:
Gender training for FWF employees and researchers, FWF intranet page providing information, national cooperation within the genderAG, European cooperation D-A-CH
**Decision-making bodies under the FTFG**

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<th>BMBWF</th>
<th>BMVIT</th>
<th>ÖAW</th>
<th>ÖH</th>
<th>AIT</th>
<th>IST-A</th>
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**Assembly of Delegates**
- 30 members plus Executive Board (4), BMBWF (1) and BMVIT (1)

**Supervisory Board**
- 8 + 1 additionally elected member & 1 member FWF Works Council

**FWF Board**
- Reporters for 28 research disciplines

**Executive Board**
- President, 3 scientific Vice-presidents

**Delegation**
- 3-way nomination of FWF president and Vice-Presidents

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06.11.2019

FWF Information Event
The "heart" of the FWF funding machine

- **FWF Board**
  28 reporters, 28 alternates (all university professors)

- **FWF Office**
  118 Employees – about 2/3 for direct project support

**Diagram:**
- NT rep.: 10
- NT alt.: 10
- BM rep.: 10
- BM alt.: 10
- HS rep.: 8
- HS alt.: 8
- 69 employees in specialist and strategic departments
- 39 employees in service departments
- 10 employees in management and staff units

**Legend:**
- **NT:** Natural sciences and engineering
- **HS:** Humanities and social sciences
- **BM:** Biology and medicine
The FWF Funding Portfolio
The FWF funding portfolio

Exploring new frontiers – Funding of top-quality research
- Stand-Alone Projects
- International Programmes
- Special Research Programmes (SFBs)
- Research Groups
- START Programme
- Wittgenstein Award

Cultivating talents – Development of human resources
- Doc.funds
- Schrödinger Programme
- Meitner Programme
- Finnberg Programme
- Richter Programme/Richter PEEK
- Young Independent Researcher Groups

Realising new ideas – Interactive effects between science and society
- KLIF
- PEEK
- Support for Scientific Publications
- Science Communication Programme
- Top Citizen Science
FWF funding categories by career stage

University students
- Student employees

Ph.D. candidates
- Ph.D. student positions
- Ph.D. students in DK programmes
- Ph.D. students in doc.funds

Post-doctoral work
- Post-docs
- Erwin Schrödinger Programme
- Hertha Firnberg Programme
- Lise-Meitner-Programme
- Independent applicants

Researchers with post-doc experience
- Independent applicants
- Elise Richter Programme (+Elise Richter PEEK)
- START Programme
- Lise-Meitner-Programme

Established researchers
- Wittgenstein Award

06.11.2019
Total funding by cost type (2018)

- Personnel costs: 81.7%
- Consumables: 7.1%
- Travel costs: 2.1%
- Equipment costs: 0.8%
- Contracts for work & services: 0.9%
- Other costs: 7.6%
Research Personnel funded by the FWF

Status: 31.12.2018

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<th>Year</th>
<th>Men</th>
<th>Women</th>
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<td>2016</td>
<td>1.803</td>
<td>2.186</td>
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<tr>
<td>2017</td>
<td>1.791</td>
<td>2.287</td>
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<tr>
<td>2018</td>
<td>1.894</td>
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The FWF Procedures
Key features of the FWF decision procedure

- Strictly bottom-up approach: no prescribed research topics, no quotas, no preference for specific researchers

- Multiple-party checks in all steps of procedure and decisions

- Close interaction with applicant to maximise transparency

- Independent, international peer review as the basis for quality assurance

- Text of reviews as most important basis for decisions (ratings treated as mere indicators)

- Discussion of and decisions on all projects from all disciplines during an FWF Board meeting with representatives from all disciplines
# Application basics

- **Choice of topic:** Bottom-up (i.e. determined by applicants)
- **Type of research:** Scholarly research designed to generate new knowledge
- **Eligibility:** Based on residence (Austria); scientific qualification (publications)
- **Quotas:** None
- **Processing time:** \( \emptyset \) 4.8 months (in programmes with no application deadlines)
The FWF Decision-Making Procedure

1. **Applicants**

2. **Scientific/administrative officers**
   - Formal check and content review

3. **Vice-Presidents**
   - Assignment

4. **Reporters and alternates**
   - Formal check and content review

5. **International reviews (at least 2)**
   - Peer review

6. **Reporters, alternates & officers**
   - Preparation of decision

7. **FWF Board**
   - Rejection/Approval

8. **Rejection (Executive Board)**

**Reasons (Reviews):**

- Reviews (Scientific/administrative officers)
- Vice-Presidents
- Reporters and alternates
- International reviews (at least 2)
- Reporters, alternates & officers
- FWF Board

13.12.2018 FWF Coaching Workshop
Reviewer profile in the peer review procedure

- Reviewers must be experts based outside of Austria who are still active in the field and have attained at least the same scholarly/scientific level as the applicant.

- Specific for each application, no fixed pool of reviewers (90% of reviewers are new; never more than 2 reviews per year)

- Mix of reviewers: selection of reviewers based on the researchers' career status

- Regional distribution according to share of scholarly/scientific output

- Continuous increase of female reviewers

- In smaller disciplines, "generalists" may also be called upon
Basic principles for the selection of reviewers

- “Negative list” (i.e. applicants can exclude up to three reviewers)
- Responsibilities check: forwarding of the abstract
- Checking of conflicts of interest by FWF Secretariat
- Non-conflict-of-interest declaration by reviewers
Reviews received by country (2018)

- USA: 1401
- Germany: 630
- United Kingdom: 555
- Italy: 216
- France: 207
- Canada: 199
- Australia: 173
- Netherlands: 147
- Switzerland: 146
- Spain: 126
- Sweden: 91
- Belgium: 68
- Japan: 65
- Denmark: 60
**Principles of the decision**

- Quality benchmark → International research community
- Peer Review → All reviewers based outside Austria
- Number of reviews → At least 2
- Decisions → Issued by FWF Board on basis of reviews
- Reasoning → Communication of the complete review to applicants
- Checks and Balances → Comparative discussion of all projects of all disciplines
- Decision meetings → 5 per year
Controlling (quality control)

- **International Peer Review**
  - Ex-ante evaluation

- **Project duration**
  - Maximum flexibility

- **International Peer Review**
  - Ex-post evaluation

**Maximum transparency and fairness:** a decision-making body, strict multiple-assessor principle in all decisions.

**Global budget, additional 5% general project costs, no “interim reports” etc.**

**Peer review of the project report, EDP recording of output data (publications, “career leaps”, conference visits, etc.)**
New programmes for unconventional research ideas & approaches

In development

- **„1000 Ideen“** – first call for proposals in November 2019
  - Promotion of particularly high-risk or innovative research approaches at an early stage
  - In a time-limited explorative phase, indicators for the sustainability of the concept are to be gained
  - Estimated amount of funding per project: € 50,000-150,000
  - New selection procedure (including anonymous application)
  - Duration: 18-24 months

- **„Pionierlabore“** – first call for proposals in Q1/2020
  - Promotion of excellent collaborative research projects addressing real, complex problems with a strong societal positioning of the research idea (= transformative Forschung)
    - active contribution (solution-oriented approach) to social change processes
    - focus on societal utilization of scientific results
  - Integration of knowledge from outside the science system (e.g. stakeholders, "practitioners"), other approach in knowledge production (= transdisciplinary research)
  - Duration: 3 years + 2 years extension
PROFI

Project funding through research institutions

- Conversion from *ad personam* funding to PROFI: Grant agreement is concluded with the research institution of the project leader.
- Autonomy of the project leaders on research content and the use of the project funds is guaranteed.
- Project application and processing via PROFI will be introduced in stages:
  - Coordinated funding programs (*SFBs, Zukunftskollegs, research groups, doc.funds*) from 2018/19 via PROFI
  - Individual projects and related programmes as well as career programmes from 2020 on (with exceptions, e.g. Schroedinger outgoing phase)
Services of the FWF
Interactions

- **FWF Newsletter**
  Registration at: [www.fwf.ac.at/de/service/newsletter/](http://www.fwf.ac.at/de/service/newsletter/)

- **FWF Information Events**
  Information on dates and venues can be found in the calendar on the FWF website

- **FWF Coaching Workshops**
  The working methods and procedures of the FWF as well as critical points of application and project management are made transparent in a practice-oriented manner

Information and Registration: nina.thomann@fwf.ac.at
The FWF website
The information resource

- FWF-Website: www.fwf.ac.at
- Funding programmes overview
- Application documents
- Principles of the decision-making process
- Contact directory
EXPLORING NEW FRONTIERS
CULTIVATING TALENTS
REALISING NEW IDEAS

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