EXPLORING NEW FRONTIERS
CULTIVATING TALENTS
REALISING NEW IDEAS

FUNDING
THE WAY FORWARD
Today for you from the FWF office

- **Uwe von Ahsen** (Strategy Department – National Programmes / Head of Department)
- **Stefan Uttenthaler** (Specialist Department – Natural and Technical Sciences / Scientific Project Officer)
- **Eva Wysocki** (Strategy Department – Career Development / Programme Management, Scientific Project Officer)
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 2017

- Biology and medicine: 36.2%
- Humanities and social sciences: 22.8%
- Natural sciences and engineering: 41.0%
The FWF at the University of Vienna
2013–2017

- 2,296 applications
- 698 projects approved
- €207.3 million in total funding
- In average, 21% of the annual FWF approval amount
- 825 project staff, 355 of whom are doctoral students
- Selection of funded projects:
  - 334 Stand-alone projects
  - 58 Schrödinger fellowships
  - 52 Firnberg/Richter grants
  - 9 START-Prizes
  - 1 Wittgenstein-Award
    2015, Claudia Rapp, Dept. of Byzantine & Modern Greek Studies
University of Vienna
2013–2017

Universities (w/o Univ. of Vienna) 60%

Univ. of Vienna 20%

Austrian Academy of Sciences 10%

Others 10%
FWF Gender Mainstreaming

**FWF Gender Mainstreaming Strategy in Research Funding**

→ Equal opportunities for female and male researchers

→ Integration of gender dimension into the research programme
(Starting point: Priority research & Doctoral programmes)

**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

06.11.2018
Decision-making bodies under the FTFG

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

Executive Vice-president

3-way nomination of FWF president and Vice-Presidents

Delegation
Election

06.11.2018 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

**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
- Firnberg 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 (FWF fellows)

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

Established researchers
- Wittgenstein Award
Total funding by cost type (2017)

- Personnel costs: 83.5%
- Other costs: 6.9%
- Travel costs: 1.8%
- Contracts for work and services: 0.9%
- Consumables: 6.3%
- Equipment costs: 0.6%
- Other costs: 6.9%
Research Personnel funded by the FWF

<table>
<thead>
<tr>
<th>Year</th>
<th>Men</th>
<th>Women</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>1.539</td>
<td>0.564</td>
</tr>
<tr>
<td>2011</td>
<td>1.631</td>
<td>0.675</td>
</tr>
<tr>
<td>2012</td>
<td>1.669</td>
<td>0.675</td>
</tr>
<tr>
<td>2013</td>
<td>1.713</td>
<td>0.680</td>
</tr>
<tr>
<td>2014</td>
<td>1.750</td>
<td>0.675</td>
</tr>
<tr>
<td>2015</td>
<td>1.900</td>
<td>0.700</td>
</tr>
<tr>
<td>2016</td>
<td>2.186</td>
<td>0.786</td>
</tr>
<tr>
<td>2017</td>
<td>2.287</td>
<td>0.797</td>
</tr>
</tbody>
</table>
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)
- **Quotas:** None
- **Processing time:** ∅ 4.6 months (in programmes with no application deadlines)
The FWF Decision-Making Procedure

Applicants → Scientific/administrative officers
- Formal check and content review
  → Vice-Presidents
  - Assignment
  → Reporters and alternates
  → Executive Board
  - Preparation of decision
  → FWF Board
  - Reasons (Reviews)
  → Rejection
  - International reviews (at least 2)
  → Rejection
  - Approval
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 (2017)

- Australia: 147
- China: 49
- Denmark: 62
- Germany: 669
- France: 290
- United Kingdom: 570
- Italy: 196
- Japan: 60
- Canada: 183
- Netherlands: 166
- Sweden: 67
- Switzerland: 133
- Spain: 119
- USA: 1424
## 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

Ex-post evaluation

International Peer Review

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.)
Current developments and plans
A good start – more to come...

- 1st step has been taken: additional € 110 million for 2018-2021, additional funds from the National Foundation for RTD

- FWF new approval amount 2017: € 217.3 million
  - Plus of € 33.5 million (18 %)

- Requested amount 2017: € 879.4 million
  - Plus of € 89.4 million (11 %)

- Matching Funds strengthen partnership with the federal states
  - 2017: 30 projects / € 9,7 million
  - 2016: 17 projects / € 4.2 million
Increased demand for competitive FWF funds

- Amount of funding requested
- Amount of funding approved

2008: 446,0 Mio. €
2010: 676,7 Mio. €
2012: 790,0 Mio. €
2013: 874,9 Mio. €

2008: 168,8 Mio. €
2009: 171,7 Mio. €
2010: 190,1 Mio. €
2011: 203,7 Mio. €
2012: 183,8 Mio. €
2013: 217,3 Mio. €
Development of the budget (€ / inhabitant)
West/North European funding organizations

AUT 9 % (2017: 25 €)
CHE 35 % (2017: 101 €)
FIN 32 % (2017: 82 €)
NLD 30 % (2017: 55 €)
DEU 27 % (2017: 38 €)

Increase to DEU level: approx. € 70-80 million per year

Percentages: Growth since 2011; 2017 data expected for CHE, NLD and DEU (estimated)
Funding under Matching Funds / federal state agreements 2014-2017

<table>
<thead>
<tr>
<th>Federal State</th>
<th>Mio. €</th>
<th>Requested</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tyrol</td>
<td>12,011,7</td>
<td>4,0</td>
<td>3,0</td>
</tr>
<tr>
<td>Styria</td>
<td>17,5</td>
<td>3,0</td>
<td>2,2</td>
</tr>
<tr>
<td>Upper Austria</td>
<td>3,0</td>
<td>0,6</td>
<td>0,0</td>
</tr>
<tr>
<td>Lower Austria</td>
<td>3,0</td>
<td>0,3</td>
<td>0,0</td>
</tr>
<tr>
<td>Carinthia</td>
<td>4,3</td>
<td>4,3</td>
<td>0,2</td>
</tr>
<tr>
<td>Salzburg</td>
<td>0,0</td>
<td>0,0</td>
<td>0,0</td>
</tr>
<tr>
<td>Vorarlberg</td>
<td>0,0</td>
<td>0,0</td>
<td>0,0</td>
</tr>
</tbody>
</table>

Legend:
- Blue bar: Amount of funding requested
- Yellow bar: Amount of funding approved
FWF programme outlook

- New START call in 2019 in existing format (further development not yet completed)

Newly established programmes:
- Zukunftskollegs - Decision of the 1st call in December 2018; further call in preparation
- Research Groups - Decision on 1st stage submission in May 2019
- Doc.funds - 2nd call ongoing, decision in March 2019
- CEUS: Central European Science Partnership - Building Bridges for Researchers in Central Europe

In development:
- Pilot programme for transdisciplinary research approaches
## Comparison of SFB & Pilot Programmes

<table>
<thead>
<tr>
<th></th>
<th>Special Research Programme (SFB)</th>
<th>Research Groups (FG)</th>
<th>Young Independent Researcher Groups (YIRG)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Research Approach</strong></td>
<td>inter-/multidisciplinary</td>
<td>inter-/multidisciplinary</td>
<td>interdisciplinary</td>
</tr>
<tr>
<td><strong>Researchers</strong></td>
<td>5 – 15</td>
<td>3 – 5</td>
<td>3 – 5</td>
</tr>
<tr>
<td><strong>Research Experience</strong></td>
<td>≥ 2 years of experience</td>
<td>≥ 2 years of experience</td>
<td>0-4 years of experience</td>
</tr>
<tr>
<td><strong>Programme Goals</strong></td>
<td>Building up of extremely productive, tightly interconnected research establishments through autonomous research concentration at a single university location; long-term research work should be done to in mixed teams</td>
<td>A medium-term research cooperation on a complex research topic between researchers (in mixed teams) at smaller locations or in certain scientific / scholarly disciplines</td>
<td>A medium-term research cooperation on a complex, current and interdisciplinary topic is to be deepened or newly consolidated by researchers in mixed teams</td>
</tr>
<tr>
<td><strong>Location of research</strong></td>
<td>50% at one single university location</td>
<td>throughout Austria</td>
<td>throughout Austria; 2 research organisations or at least 2 organisational units of one research org.</td>
</tr>
<tr>
<td><strong>Duration</strong></td>
<td>2x4 years</td>
<td>1x5 years</td>
<td>1x4 years</td>
</tr>
</tbody>
</table>

*All: bottom-up; PROFI*
New application guidelines (from 01.01.2019*)

Goal: Better comprehensibility and clarity of the application process

- Editorial and structural revision of the application guidelines. Harmonisation of the application guidelines for all funding programmes.
- Adaptation of application forms and templates for CVs, publication lists, project participants, forms, ...
- New criteria: explicit presentation of the degree of scientific innovation/novelty, also as a question to the reviewers
- Creation of PR abstracts and submission of a data management plan only upon conclusion of the grant agreement.
- Easier project reporting via research information system, connection to established publication databases

*: for all funding programmes w/o deadlines
Application submission from 01.01.2019

Goal: Reduction of requests for changes following the submission

- Detailed information in November 2018 (via FWF Newsletter)
- Publication of the new application guidelines in December 2018
- Creation of a glossary and FAQ on the FWF website
- Additional check boxes in Elane to check completeness
- after a transitional period, the completeness of the application submission is assumed (afterwards, requests for changes are only possible in exceptional cases)
- Tolerance period until end of February 2019: during that time applications could be submitted according to the old application guidelines
Goal: To improve the design of proposals for peer review procedures

- Structured abstracts according to template
- New specifications regarding the scope of the project description
- Separate list of scientific references and separate cost justification
- New guidelines for CVs in form and scope → ORCID
- Publication list of the applicant limited to the 10 most important
- Query of the degree of scientific innovation or novelty
- Important cooperation partners are to be confirmed by cooperation letters
- Written offers for devices only above 5000,- EUR
- No description of dissemination plan
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 (with exceptions, e.g. Schroedinger outgoing phase)
In conclusion:
Services of the FWF (excerpt)
Interactions

- FWF Newsletter
  Registration at: 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
  Further information: http://www.fwf.ac.at/en/research-funding/information-events/

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
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