

# FWF

Der Wissenschaftsfonds.

## TU Vienna



**FUNDING  
THE WAY FORWARD**

## The FWF – compact

### Here for you today from the FWF office

- Sabine Haubenwallner (Department of Strategy - National Programmes / Programme Management)
- Simone Recchi (Department of Strategy – Career Development / Scientific Project Officer)
- Thomas Tallian (Department of Biology and Medicine / Operational Project Officer)
- Andrea Wald (Department of Humanities and Social Sciences / Programme Management)

# Content of the presentation

- What does the FWF stand for?  
Mission statement, positioning, principles
- How does it implement this?  
The FWF funding portfolio
- How does it 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

- Strengthen Austria's international research capabilities across all disciplines
- 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 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.**

## What constitutes the FWF (1)

- The FWF is independent and acts as an integrative force
- The FWF is open to all topics and promotes fundamental research in all academic disciplines
- The FWF carries out rigorous evaluations based on the highest international standards
- The FWF is a role model and pioneer for quality standards in Austria
- The FWF supports researchers at all stages of their careers

## What constitutes the FWF (2)

- The FWF shapes the *Open Access* and *Open Science* process
- The FWF promotes the internationalisation of the Austrian research system
- The FWF actively participates in organising the national and European research area
- The FWF promotes equality and equal opportunities in research



## 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

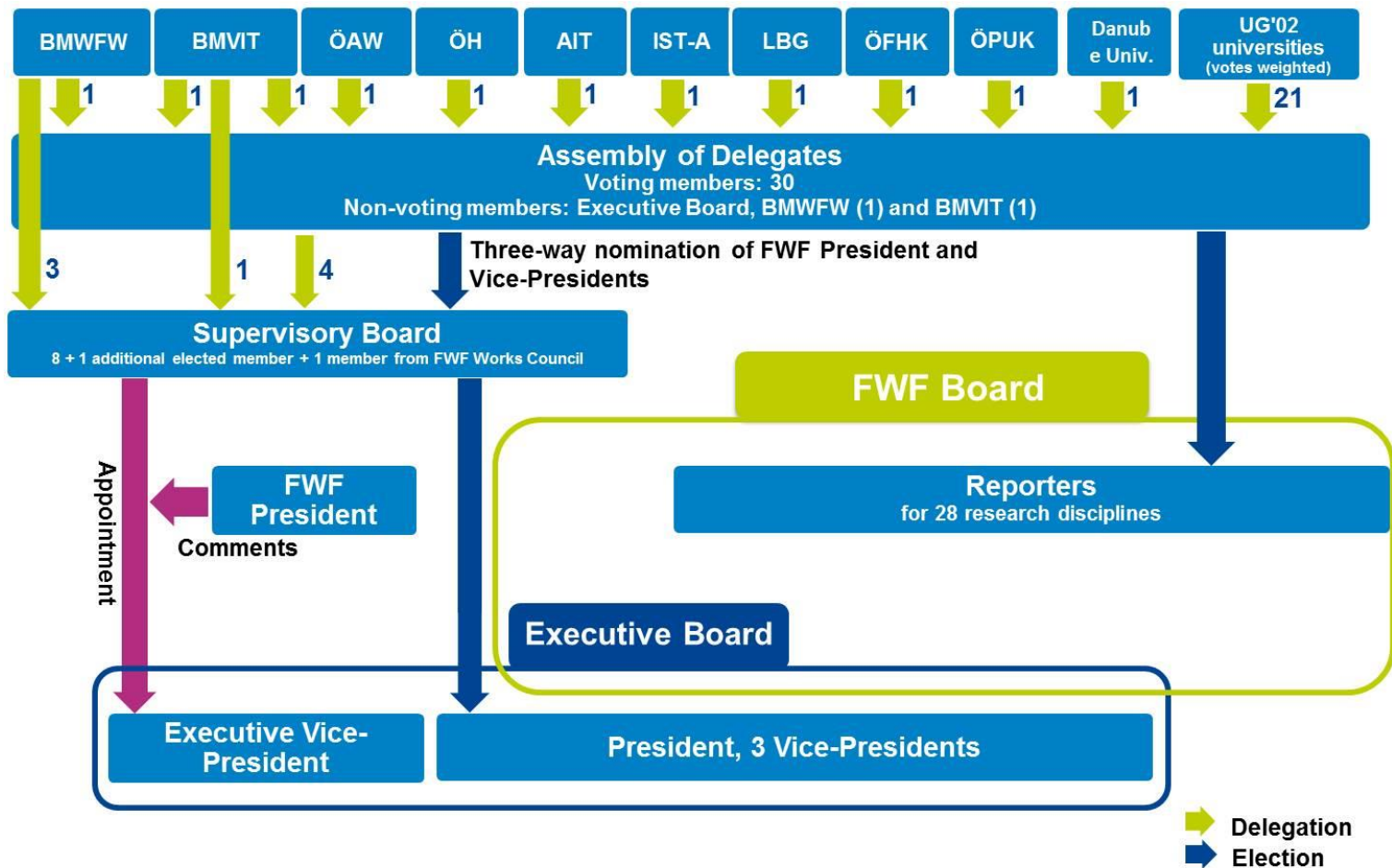
### Governance:

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

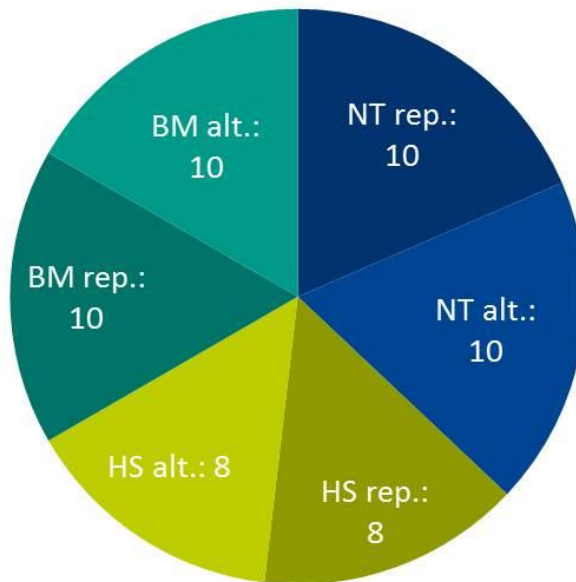
# Decision-making bodies under the FTFG



# The "heart" of the FWF funding machine

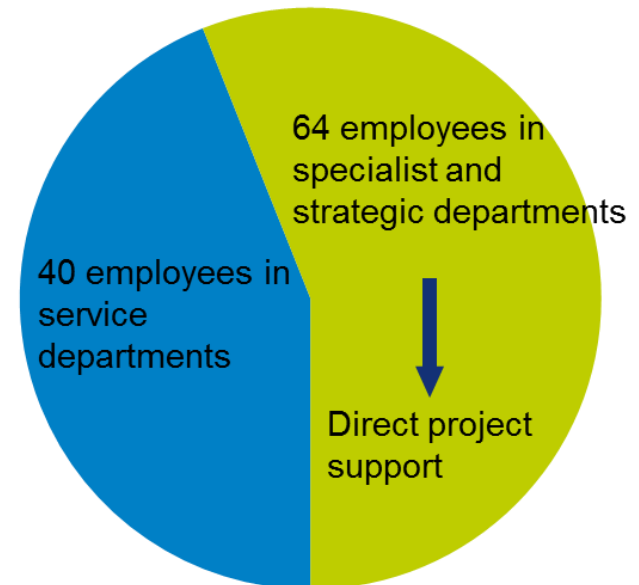
- **FWF Board**

28 reporters,  
28 alternates  
(all university professors)



- **FWF Office**

104 employees



# The FWF Funding Portfolio

# The FWF funding portfolio



## Exploring new frontiers – Funding top-quality research

Stand-alone Projects  
International Programmes  
Special Research  
Programmes (SFBs)  
START Programme  
Wittgenstein Award



## Cultivating talents – Development of human resources

*doc.funds* Programme  
Erwin Schrödinger  
Programme  
Lise Meitner Programme  
Hertha Firnberg Programme  
Elise Richter Programme



## Realising new ideas – Bridge between research & society

Clinical Research  
Programme (KLIF)  
Arts-Based Research  
Programme (PEEK)  
Academic Publications  
Science Communication  
Programme  
Top Citizen Science

# FWF funding categories by career stage

Established researchers

- Wittgenstein Award

Researchers with post-doc experience

- Independent applicants ("FWF fellows")
- Elise Richter Programme (+Elise Richter PEEK)
- START Programme
- Lise-Meitner-Programme

Post-doctoral work

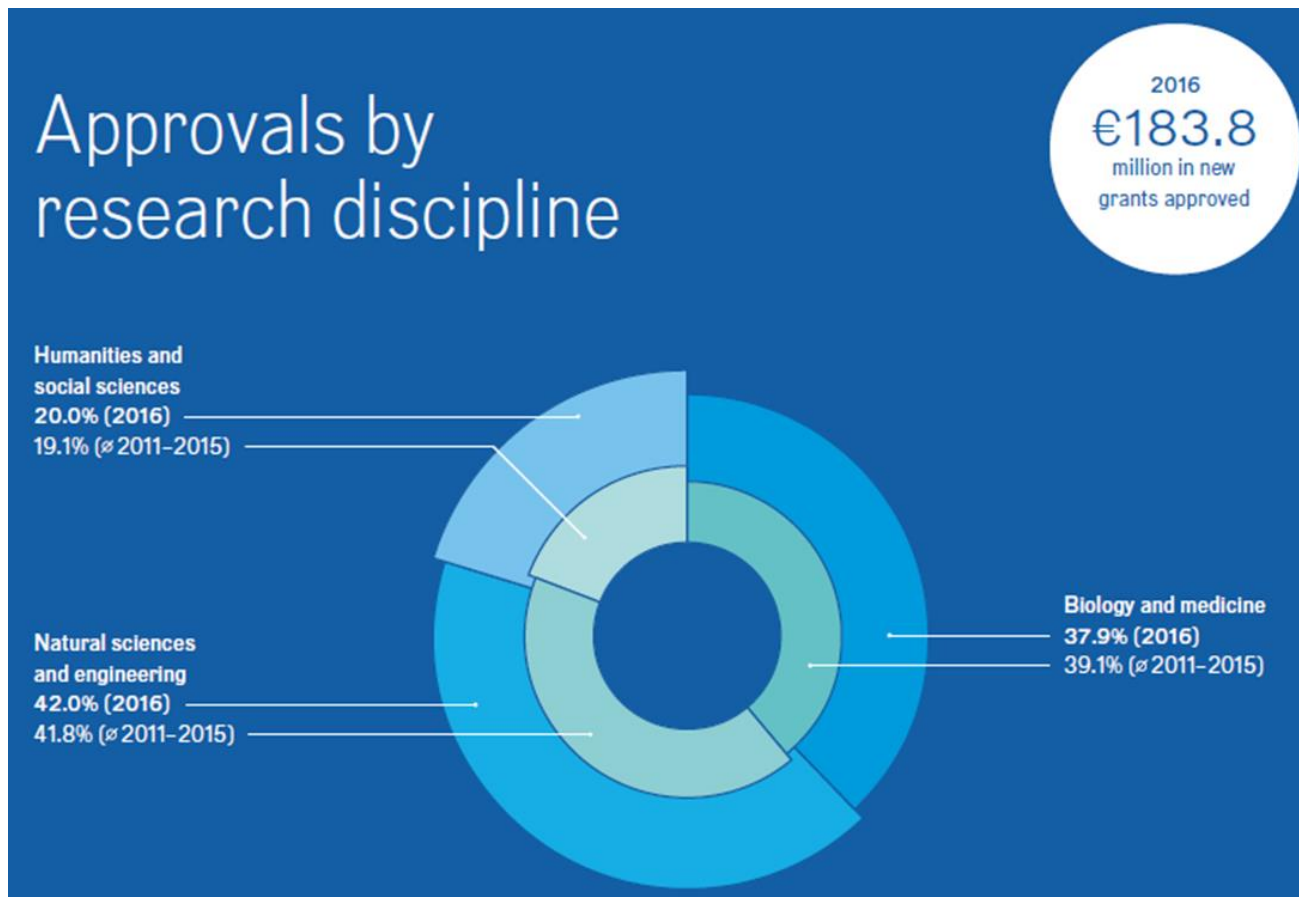
- Post-docs
- Erwin Schrödinger Programme
- Hertha Firnberg Programme
- Lise-Meitner-Programme
- Independent applicants (FWF fellows)

Ph.D. candidates

- Ph.D. student positions
- Ph.D. students in DK programmes

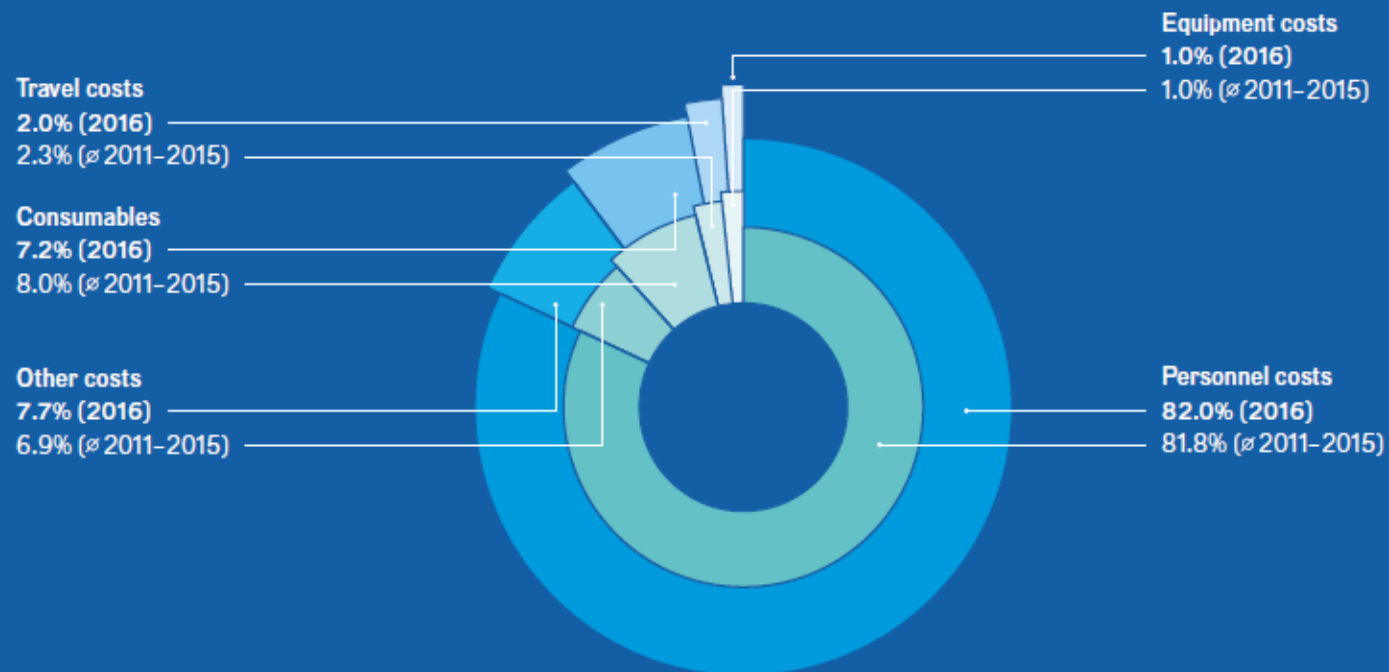
University students

- Student employees



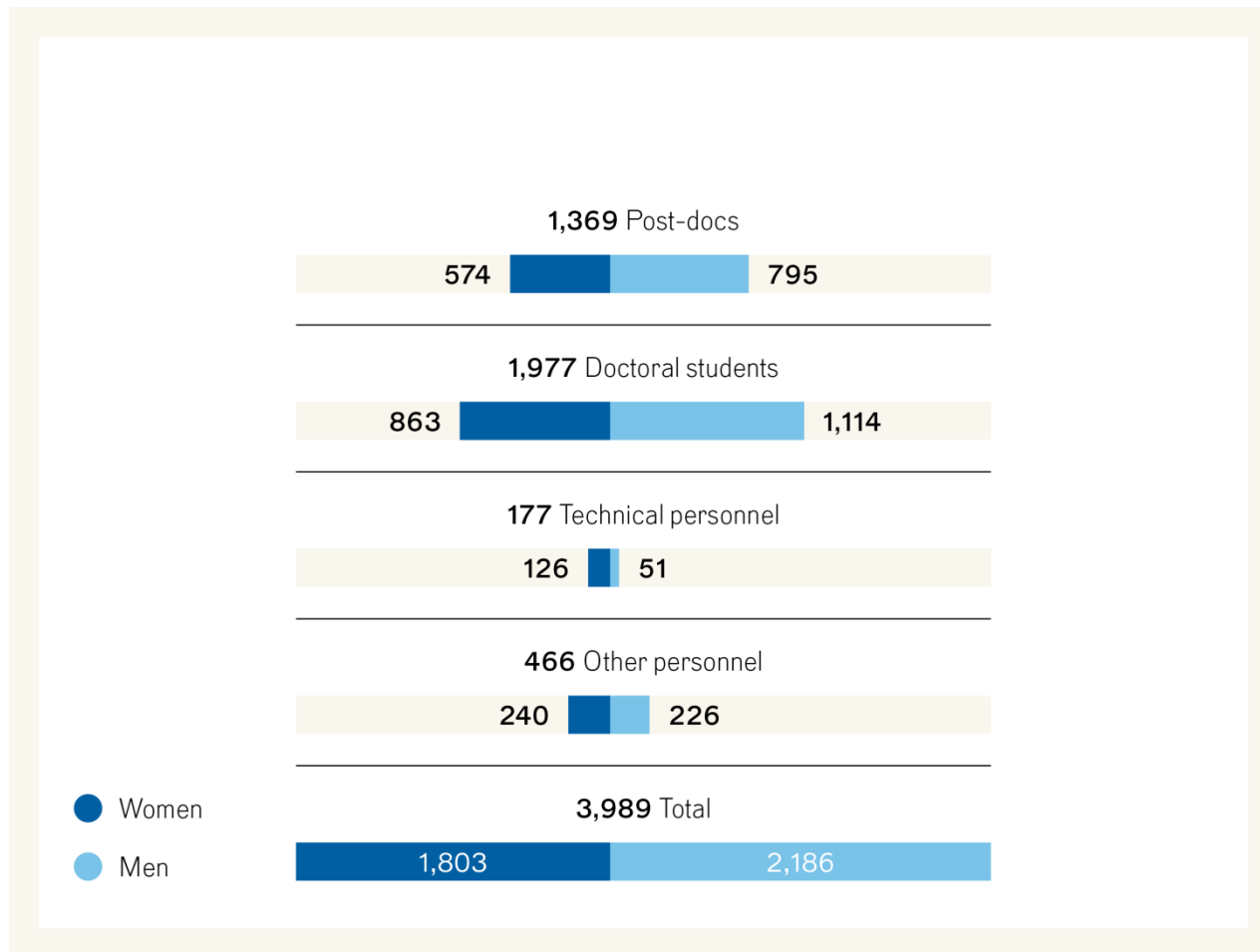
# FWF facts for 2016

## Total funding by cost type

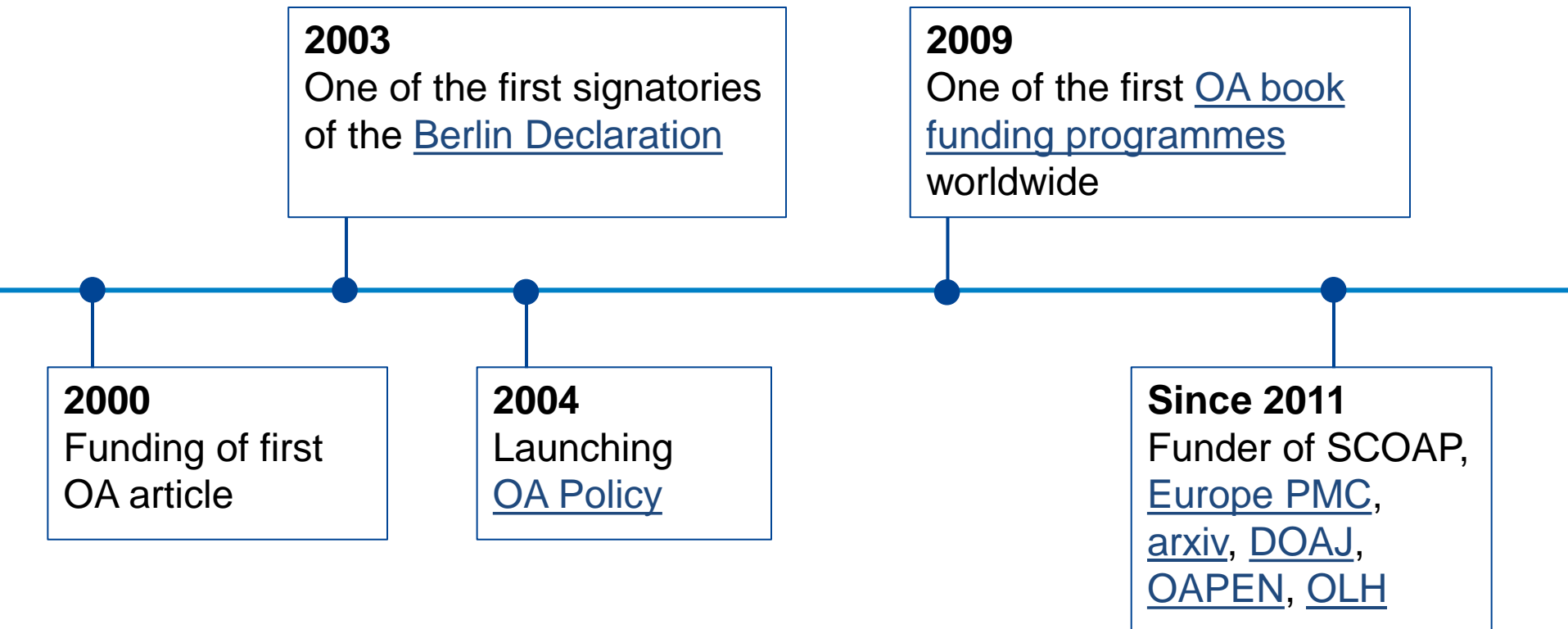




# Persons employed in FWF projects



## FWF activities: open science



# FWF activities: open science

## Since 2014

Open Access deals with  
[IOP Publishing](#), Sage,  
[Taylor & Francis](#), [Springer](#),  
RCS

## 2016

[PASTEUR4OA study](#):  
One of the 6 most  
effective OA funder  
policies worldwide

## 2013

Initiated the  
[Open Access  
Network Austria](#)  
(OANA)



## 2015

83% of all  
peer-reviewed  
publications OA

## 2016

Open Research Data Pilot  
  
Signed the [Max Planck  
Society](#) OA2020 Mission

# The FWF Procedures

## FWF method: Key points

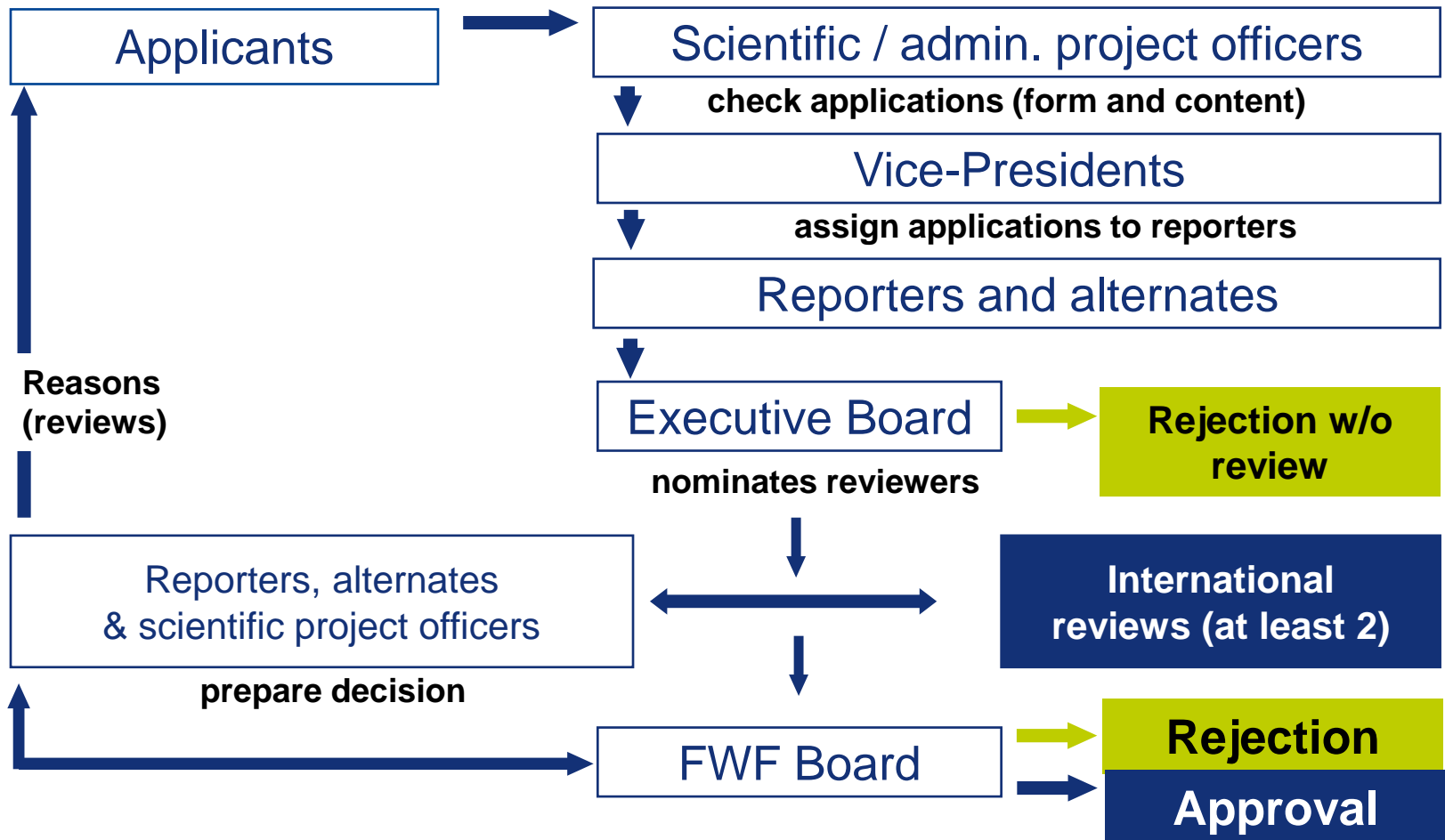
- Strict bottom-up principle: no subject specifications, no quotas, no preferences
- Multiple-assessor principle for all process stages and decisions
- Intensive interaction with the applicant for maximum transparency
- Independent international peer review as a basis for quality control
- Text of expert opinions as the most important basis for decision-making (ratings are only indicators)
- Discussion and decision-making on all projects in all disciplines in a board of trustees with representatives from all disciplines

## On what principles can applications be made?

- Topic selection: up to the researchers!
- Type of research: fundamental research
- Eligibility: territorial principle (Austria)
- Quota regulations: none

Processing time: average four to six months  
(for programmes without a submission deadline)

# The FWF decision-making procedure



## Basic principles for selecting experts (1)

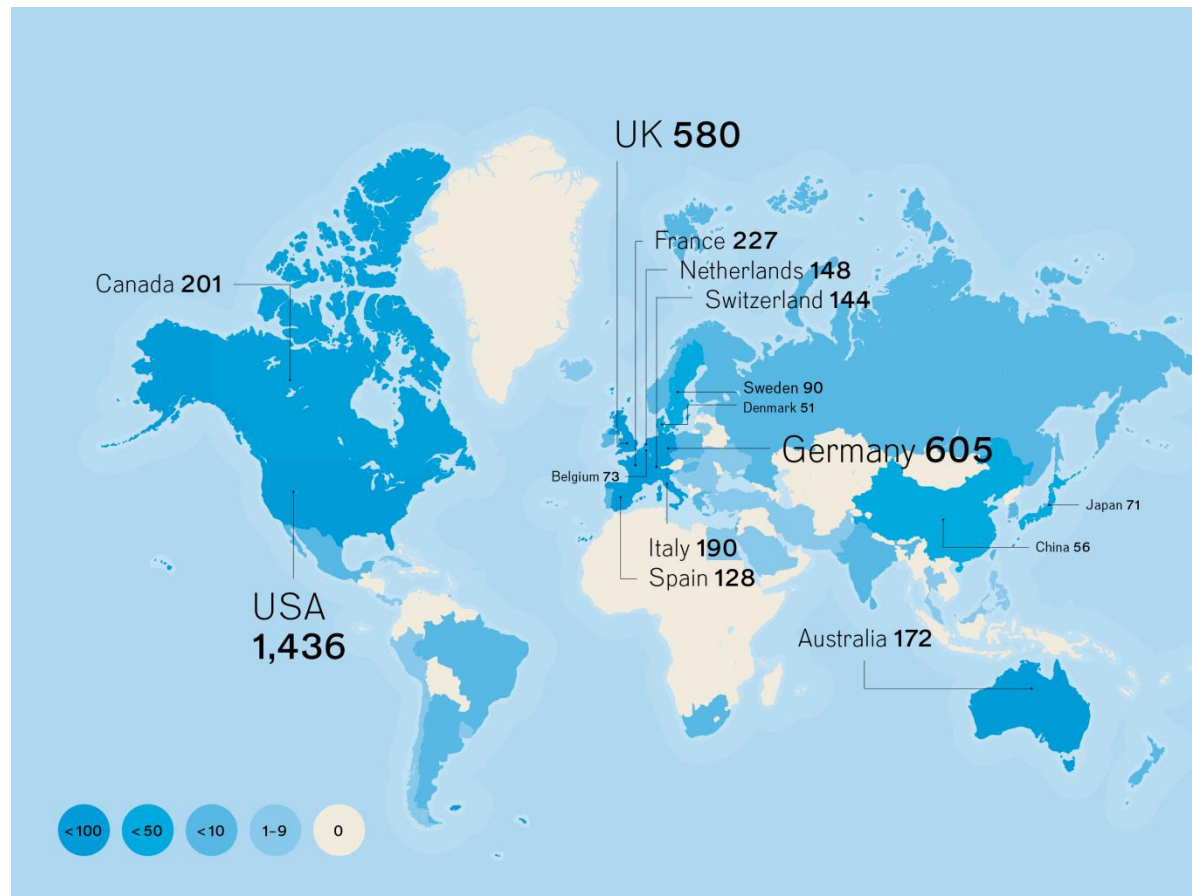
- Only active experts from abroad who have at least a knowledge of the subject matter at scientific “eye level” with the applicant
- Always application-specific; no fixed assessors (max. 2 expert opinions per year, 90% have never previously assessed for the FWF)
- Regional distribution of experts
- A continual increase in the proportion of women is aimed for
- For limited areas of expertise, consideration by “generalists” is also possible



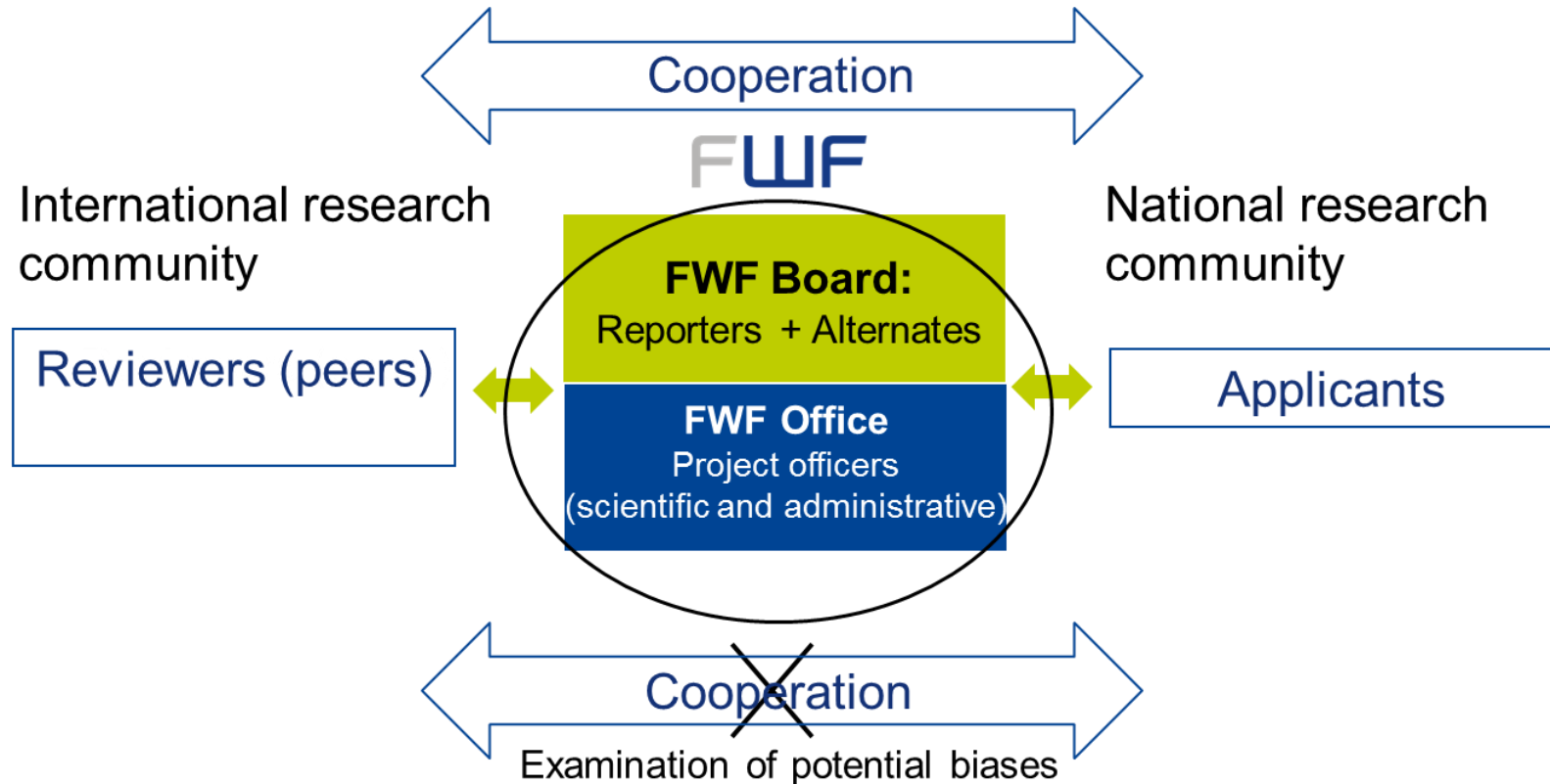
## Basic principles for selecting experts (2)

- “Negative list” (i.e. applicants can exclude up to three reviewers)
- Verification of competence: sending the abstract
- Conflict of interest check by the FWF office
- Non-bias declaration by experts

# Reviews 2016



# General principles of the FWF decision-making procedure

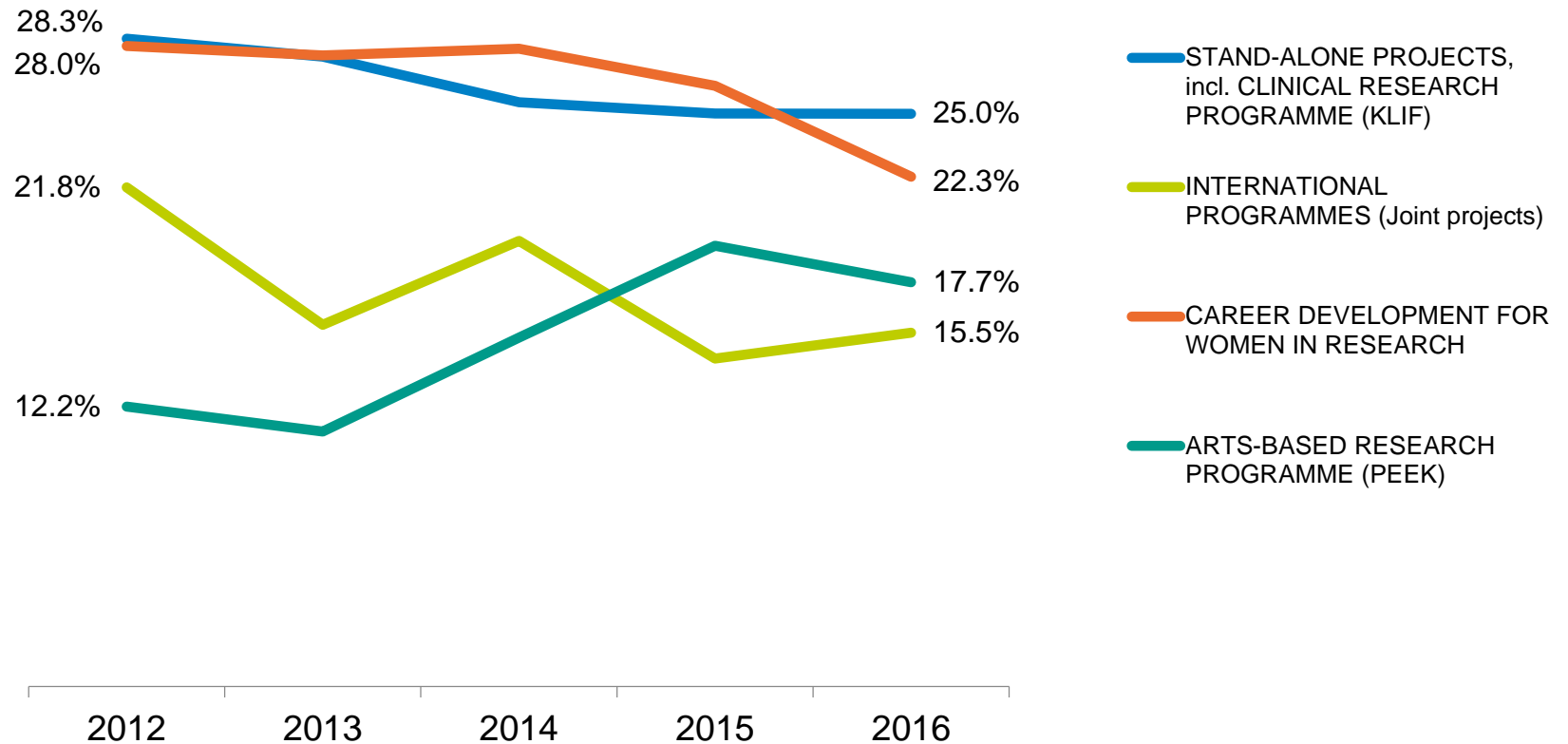


## Decision principles

- Quality → International research community
- Peer Review → International, i.e. only outside Austria
- Number of assessments → At least two per application
- Decision → Board of Trustees, exclusively on the basis of international expert opinions
- Grounds → Communication of the complete expert opinions to the applicant
- Checks and balances → Comparative discussion of all projects in all disciplines
- Decision meetings → Five per year

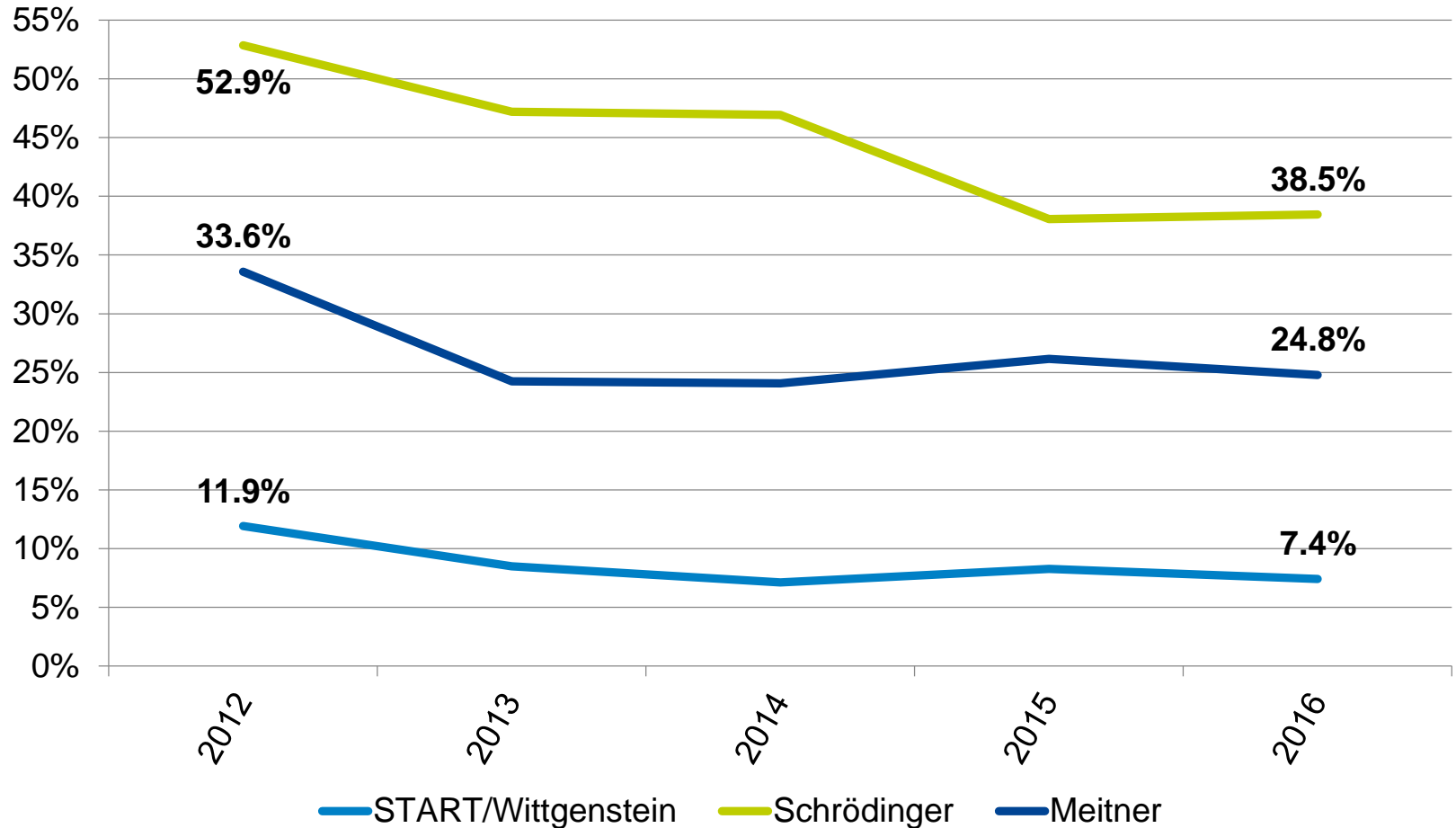
# Facts 2016 – main data

## approval rates (total)



# Facts 2016 – main data

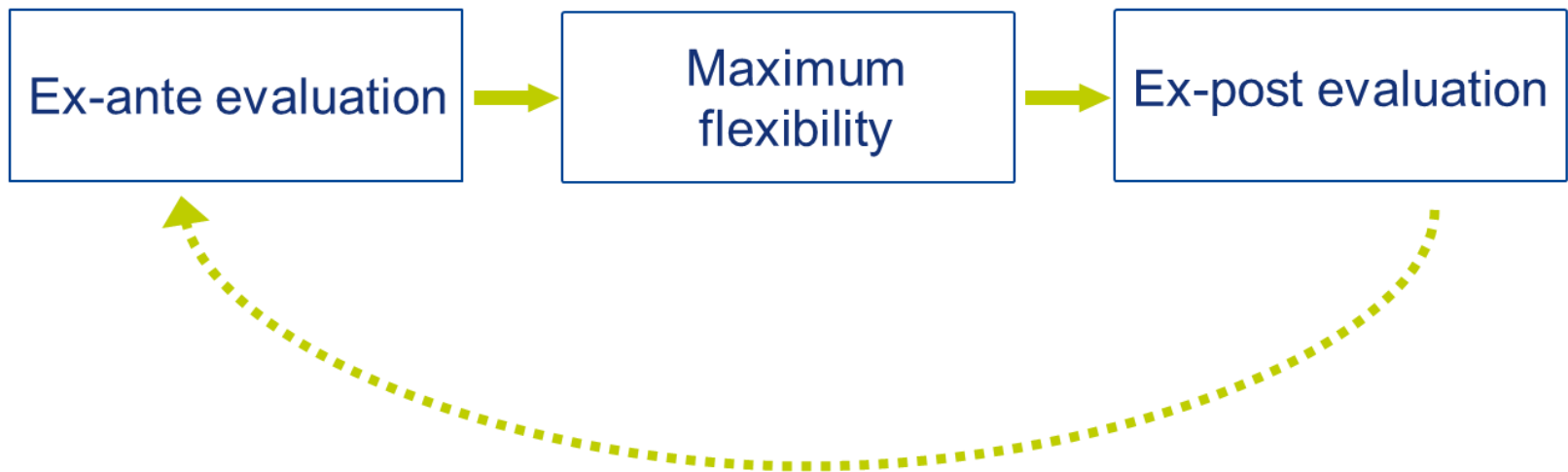
approval rates (total)



# Controlling (quality control)

International peer  
review

Project duration



## FWF quality-control principles

- **Strict ex-ante evaluation**

International peer-review process, maximum transparency and fairness: a decision-making body, strict multiple-assessor principle in all decisions

- **Maximum flexibility in project implementation**

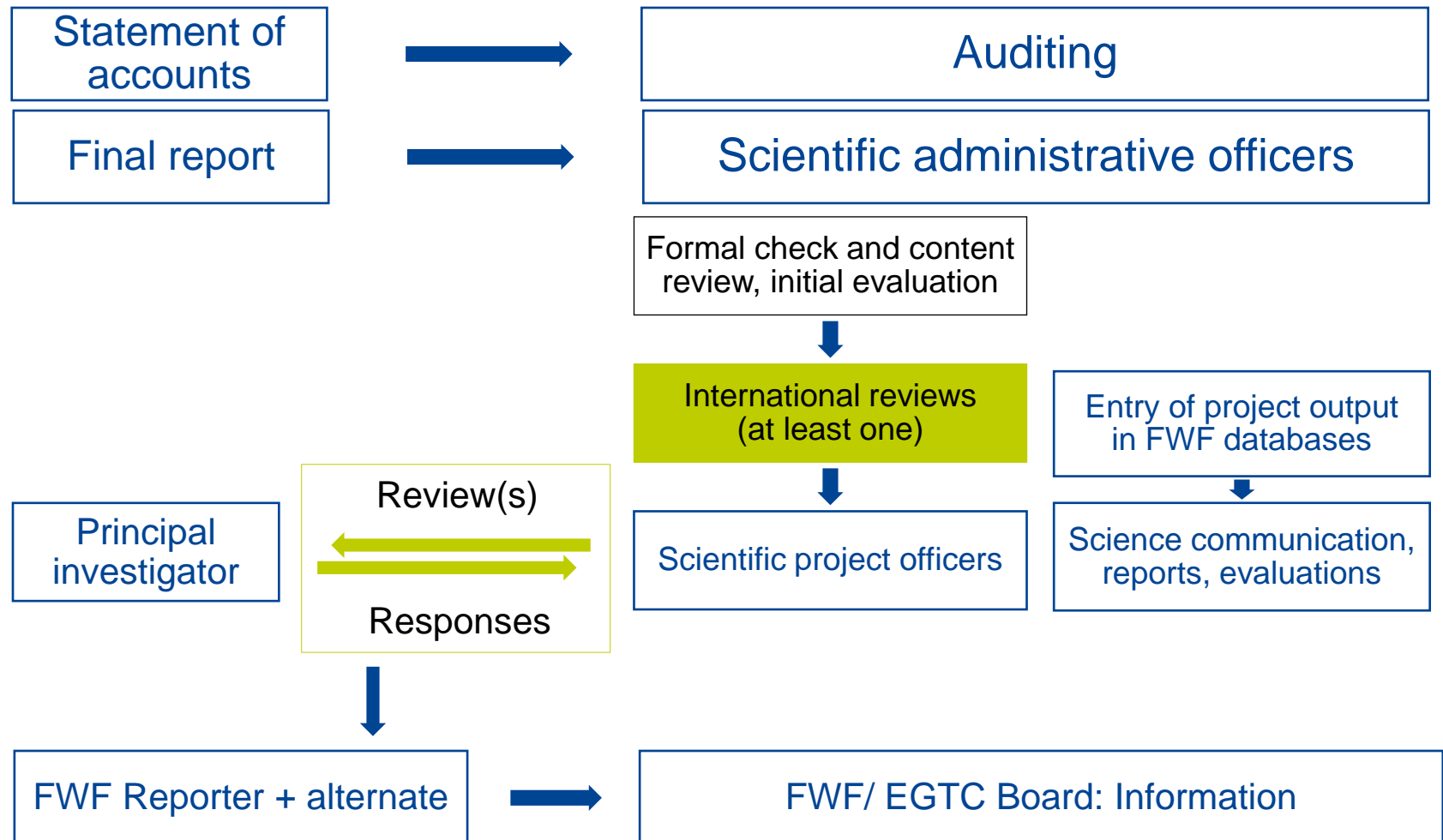
Global budget, additional 5% general project costs, no “interim reports” etc.

- **Result-oriented controlling**

Peer review of the project report, EDP recording of output data (publications, “career leaps”, conference visits, etc.)



# Conclusion of project



# Current developments and plans

## Changes in framework conditions (especially relevant to FWF)

- €106 million: FWF budget increase to a total of €290 million p. a. by 2021  
(speech at the Council of Ministers, 8 Nov. 2016)
- €100 million p. a. Financing of the National Foundation for Research and Technology Funding  
(Government Working Programme for 2017-18)
- €50 million: setting up of an Innovation Foundation for Education  
(act in force since 1 Jan. 2017)
- €33 million: Quantum Research Programme  
(of which € 23 million to be awarded by the FFG in cooperation with the FWF; speech at the Council of Ministers 8 Nov. 2016)
- €33 million: Budget Austria Fund for 2017

## Planning 2017 ff. (1)

- Increase in the approval rate
- Establishment of innovative funding formats
- Overhead costs of 25%:  
to be discussed in addition to the budget increase of the FWF

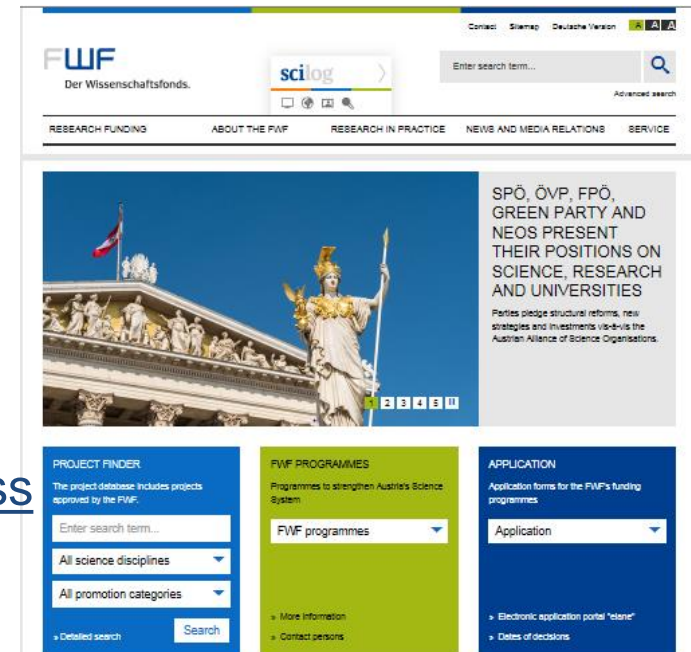
# **In conclusion: The FWF's range of services (excerpt)**

# Interactions

- FWF Newsletter  
Registration at  
<https://www.fwf.ac.at/en/service/newsletter/>
- 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.  
<http://www.fwf.ac.at/en/research-funding/information-events/>  
Auskünfte und Anmeldung: [gerit.oberraufner@fwf.ac.at](mailto:gerit.oberraufner@fwf.ac.at)

# The FWF website: The information resource

- FWF website <https://www.fwf.ac.at/en/>
- [Funding programmes overview](#)
- [Application documents](#)
- [Principles of the decision-making process](#)
- [Contact directory](#)



# FWF

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## Thank you for your attention!



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