

# **ESF Member Forum**

**Evaluation of Funding Schemes and Research Programmes  
Expectations, Practices and Experiences  
Berlin, October 22<sup>nd</sup> to 23<sup>rd</sup> , 2007**

**Collecting and using project output data  
in the Austrian Science Fund (FWF)**

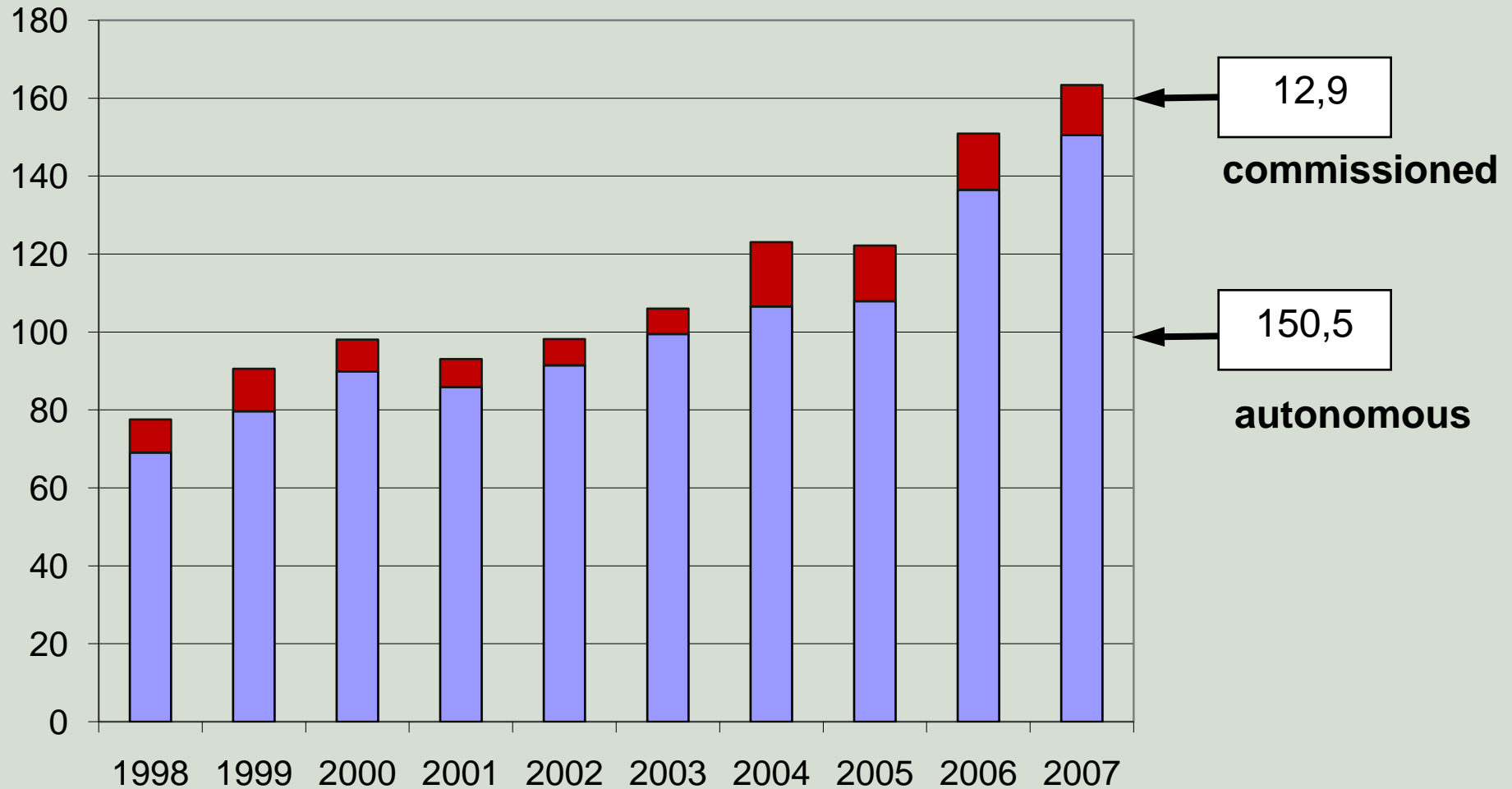
**Dr. Rudolf Novak**  
Head of Department for  
**Development & Strategy,**  
**National Programmes**

The FWF is Austria's **central body for the promotion of basic research.**

We invest in new ideas that contribute to an **advance in knowledge** and thereby to further developments. We are equally committed to **all branches of science and the humanities** and are guided in our operations solely by the **standards of the international scientific community.**

## The FWF

- covers all fields of science and the humanities  
(unlike e.g. the British Research Councils)
- is focussed on basic science  
(unlike e.g. RCN)
- does not run research institutes  
(unlike e.g. NWO)
- does not act as a strategic advisory council for the government (unlike e.g. RCN)
- uses *exclusively* reviewers from abroad  
(virtually unique in international funding scene)
- has a single budget for all disciplines  
(virtually unique in international funding scene)



## 3 instruments:

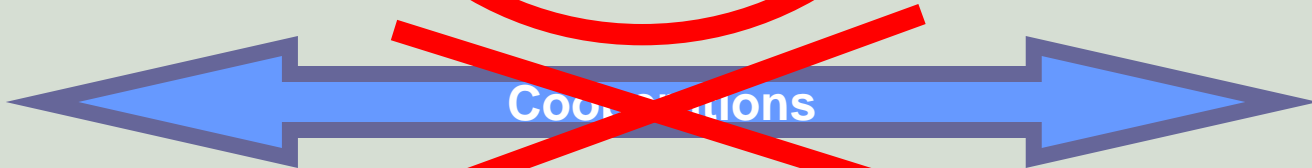
- funding of **research projects**,  
up to 3 years, one PI , volume 230k€/ project
- funding of research networks
- provision of fellowships for excellent investigators



International scientific community

National scientific community

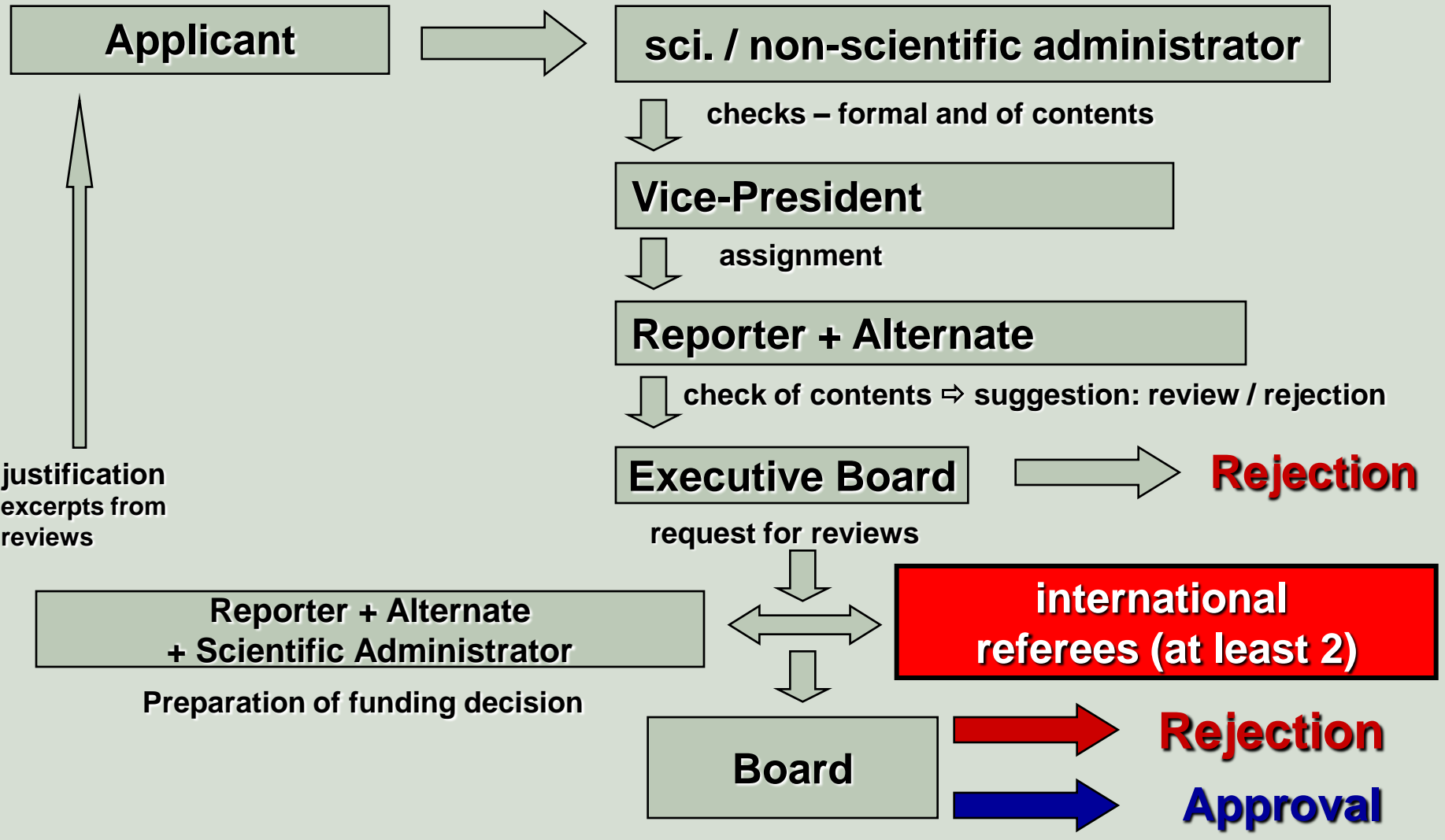
### FWF



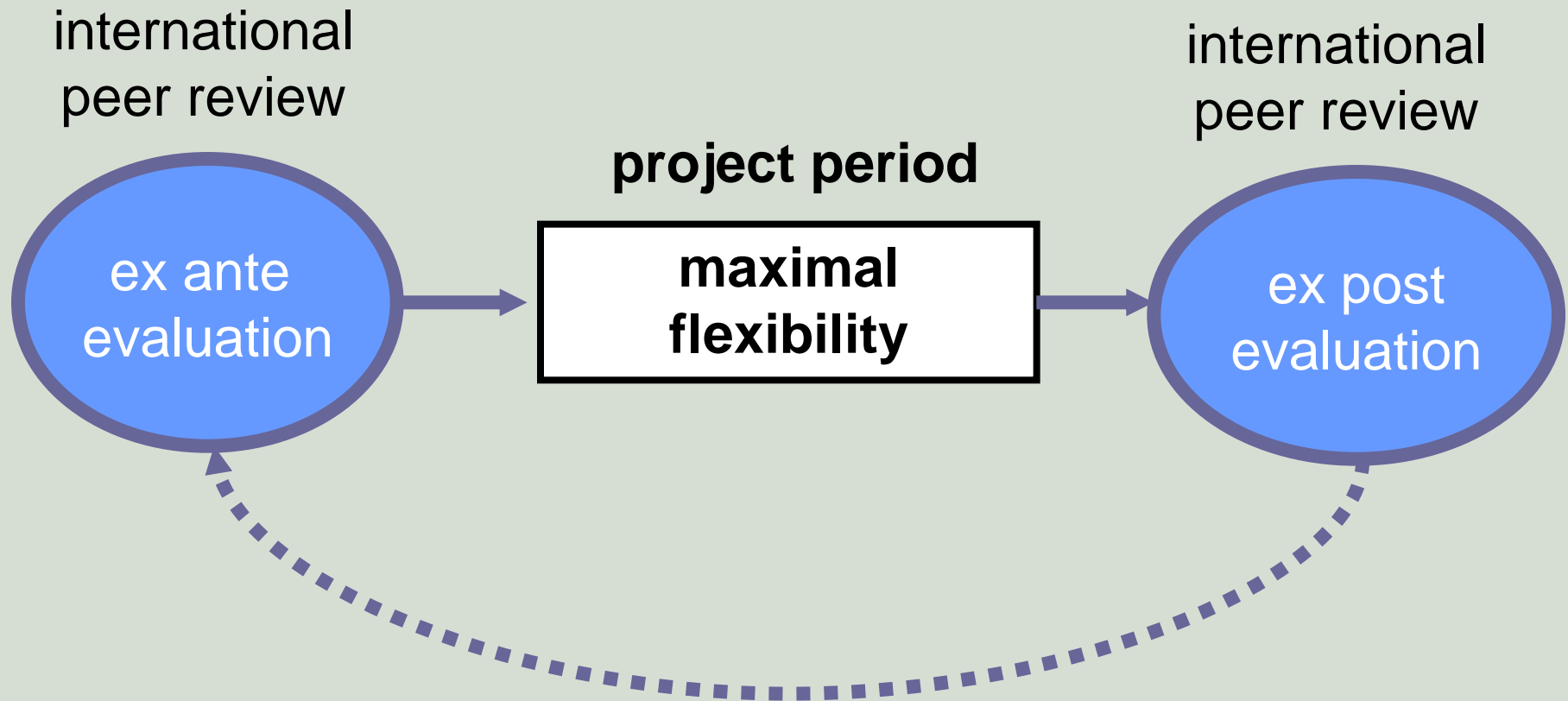
**Conflict of interest**

<b>Quality standard</b>	⇒	<b>international scientific community</b>
<b>Peer review</b>	⇒	<b>exclusively outside Austria</b>
<b>FWF Reporters</b>	⇒	<b>nomination of referees</b>
<b>FWF Executive Board</b>	⇒	<b>request for reviews</b>
<b>Number of reviews</b>	⇒	<b>at least 2 (according to requested funding)</b>
<b>Funding Decisions</b>	⇒	<b>ca. every 2 months</b>
<b>Decisions</b>	⇒	<b>entire FWF Board based on the reviews</b>
<b>Justification</b>	⇒	<b>reviews made available to applicants</b>
<b>ex post evaluation</b>	⇒	<b>peer review of the final reports</b>

## The FWF funding machine







- **One Overall budget + 5% “general project costs”**
- **no requirement for annual reports  
(only accounting)**
- **One comprehensive final report at the end of the  
project**

- annual accounts and brief (one page) progress report
- comprehensive report at the conclusion of the project, consisting of 5 parts (a total of ca. 2,400 words or 4 pages):
  - **subjected to peer review (1 ex-ante reviewer)**
- 1. **summary for PR work (German and English)**
- 2. **brief project report**
  - 2.1. report on the scientific work
  - 2.2. personnel development – importance of the project for the scientific careers of those involved (including the project leader)
  - 2.3. effects of the project outside the scientific field
- 3. **Information on project participants**

## 3. Information on project participants

not funded by the FWF			funded by the FWF (project)		
co-workers	number	man months	co-workers	number	man months
non-scientific co-workers			non-scientific co-workers		
diploma students			diploma students		
PhD students			PhD students		
post-doctoral co-workers			post-doctoral co-workers		
co-workers with "Habilitation" (professorial qualifications)			co-workers with "Habilitation" (professorial qualifications)		
professors			professors		

## **4. Attachments → for peer review and data collection**

**List 1.a. scientific publications**

**List 1.b. publications for the general public and other publications**

**List 2 project-related participation in international scientific conferences**

**List 3 Development of collaborations (national, European, international)**

**List 4 “Habitations” (professorial qualifications) /  
PhD theses / diploma theses**

**List 5 Effects of the project outside the scientific field  
(where appropriate)**

**List 6 Applications for follow-up projects**

## **5. Feedback about Work with the FWF**

## 1.a scientific publications

with an indication of the status (published, in press, submitted, in preparation)

- Publications may only be listed if they relate directly to the project. Up to three of the most important publications should be indicated (e.g., printed in bold letters; for books, two originals should be supplied if the book has already been published, otherwise a brief description should be given together with the name of the publishing house).
- Please note that publication costs may be requested (under the original project number) for up to three years following completion of a project.
- A common format for citations should be followed.
  
- 1.a.1. Peer-reviewed publications (journals, contribution to anthologies, working papers, proceedings etc.).
- 1.a.2. Non peer-reviewed publications (journals, contribution to anthologies research reports, working papers, proceedings, etc.).
- 1.a.3. Stand-alone publications (monographies, anthologies).

The publication list must mention for each work: all authors; full title; series/journal title; year; volume; and page numbers.

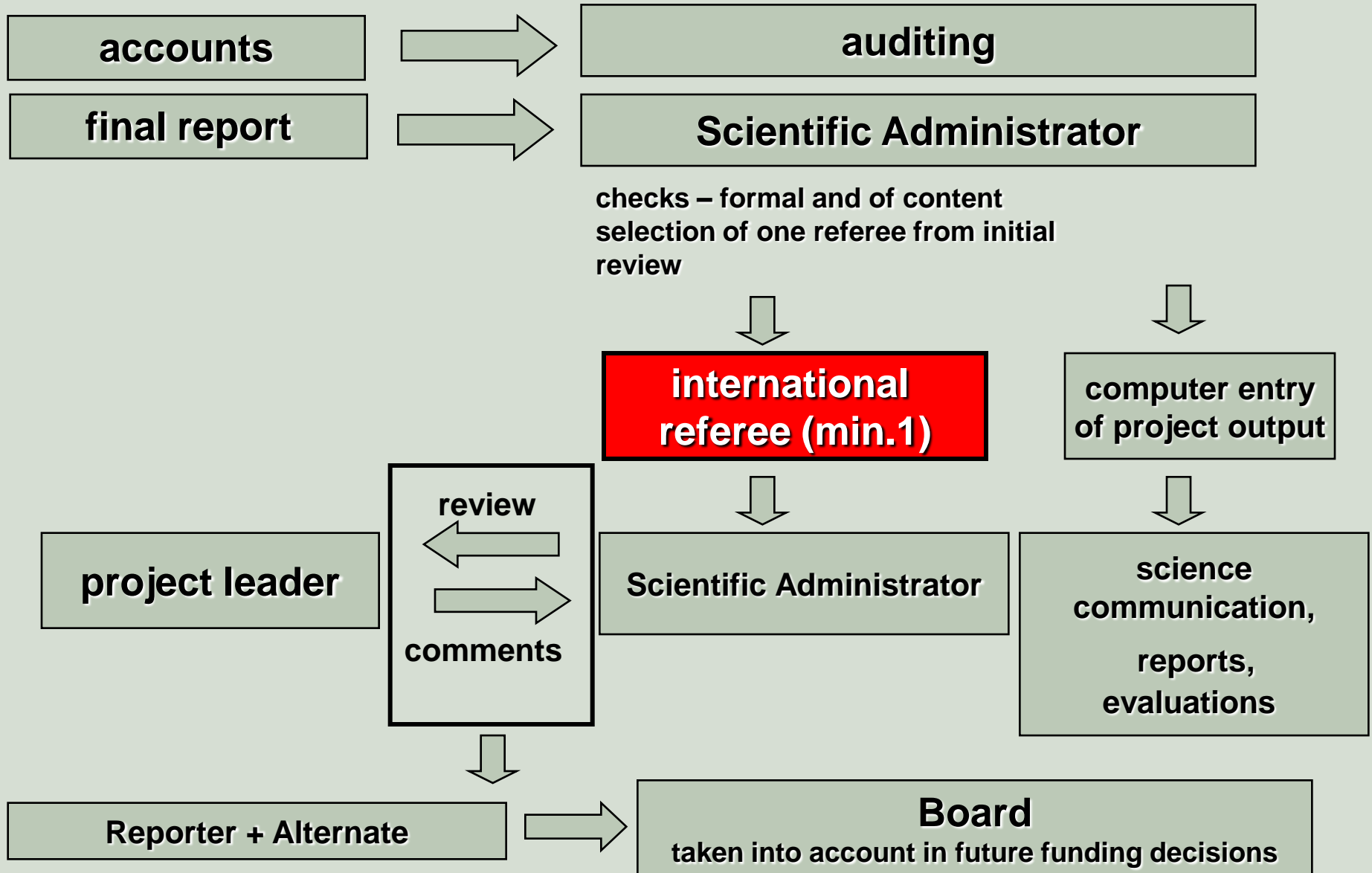
## Development of collaborations

Indication of the most important collaborations (maximum 5), that took place (initiated or continued) in collaboration please give the name of the collaboration partner (name, title, institution) and a few words about the scientific content.

Please also assign one of the following **categories** to each collaboration:

Nature	<b>N</b> (national); <b>E</b> (European); <b>I</b> (other international cooperation)
Extent	<b>E1 low</b> (e.g. no joint publications but mention in acknowledgements or similar); <b>E2 medium</b> (collaboration e.g. with occasional joint publications, exchange of materials or similar but no longer-term exchange of personnel); <b>E3 high</b> (extensive collaboration with mutual hosting of group members for research stays, regular joint publications etc.)
Discipline	<b>D</b> within the discipline <b>T</b> transdisciplinary

## Closing of the project





**Reviewers are asked to comment on:**

- 1. the scientific success of the project;**
- 2. the development of human resources in the course of the project;**
- 3. effects beyond the scientific field (in the sense of applications in or impacts on social, cultural, ecological, medical, economic and/or technological areas);**
- 4. the running of the project with regard to use of available resources; and**
- 5. the future perspectives of the research work.**

## Rating scale for ex-post evaluation

- **100 – 80: excellent, in the sense of exceptional results, excellent work, optimal development, exceptional use of available resources etc.;**
- **80 – 60: very good, in the sense of very good results, very good work, very good development, very good use of available resources etc.;**
- **60 –40: good, in the sense of acceptable, good results, good work, good development, appropriate use of available resources etc.;**
- **40 and below: problematic, in the sense of unclear scientific results or results of marginal importance, work difficult to understand; no discernible development, problematic use of available resources etc.**

**Important: The complete review will be made available to the PI**

<b>P xx xxA</b>	<b>Granted</b>	<b>Title</b>		
<b>Application:</b> Rev.1: 80, Rev.2: 90, Rev.3: 90				
<b>Ex-post Eval:</b>				
Success: 80	Hum.Res.: 80	Effects: 80	Running of project: 80	Future perspectives 80
<b>P xx xxB</b>	<b>Granted</b>	<b>Title</b>		
<b>Application:</b> Rev.1: 90, Rev.2: 90, Rev.3: 90, Rev.4: 90				
<b>Ex-post Eval:</b>				
Success: 75	Hum.Res.: 60	Effects: 80	Running of project: 50	Future perspectives 75

Evaluation der Förderung (P19004-N18 - 19.10.2007)

Evaluierung

**Zusammenarbeit mit dem FWF**

<b>Antragsrichtlinien</b>	<b>Verfahren</b>	<b>Projektbegleitung</b>	<b>Berichte/Prüfung/Verw.</b>
Umfang <input type="checkbox"/>	Beratung <input type="checkbox"/>	Verfügbarkeit <input type="checkbox"/>	Aufwand <input type="checkbox"/>
Übersichtlichkeit <input type="checkbox"/>	Verfahrensdauer <input type="checkbox"/>	Ausführlichkeit <input type="checkbox"/>	Transparenz <input type="checkbox"/>
Verständlichkeit <input type="checkbox"/>	Transparenz <input type="checkbox"/>	Verständlichkeit <input type="checkbox"/>	PR/Verwertung <input type="checkbox"/>
		Finanzverkehr <input type="checkbox"/>	

**Projektevaluierung**

<b>Humanressourcen (Liste 4)</b>		<b>weiterreichende Effekte (Liste 5)</b>	
	lfd.	abg.	
Berufungen	<input type="checkbox"/>	<input type="checkbox"/>	wiss. Veranstaltungen <input type="checkbox"/>
Habilitationen	<input type="checkbox"/>	<input type="checkbox"/>	Würdigungen/Preise <input type="checkbox"/>
Dissertationen	<input type="checkbox"/>	<input type="checkbox"/>	Patente/Lizenzen <input type="checkbox"/>
Diplomarbeiten	<input type="checkbox"/>	<input type="checkbox"/>	sonstige Resultate <input type="checkbox"/>
sonstige	<input type="checkbox"/>	<input type="checkbox"/>	Auswirkungen <input type="checkbox"/>
			Folgeaktivität/FWF <input type="checkbox"/>
			Folgeaktivität/national <input type="checkbox"/>
			Folgeaktivität/international <input type="checkbox"/>

<b>Fachtagungen (Liste 2)</b>	<b>wichtigste Kooperationen (Liste 3)</b>			
Invited Lectures <input type="checkbox"/>	Name	N	E	D
Lectures <input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
Posters <input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
Anderes <input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

Publikationen...

Publikationen zur Förderung/Neu

Typ	Name	Jrnl./Verl.

Erfasst am: 19.10.2007    Typ:

Autor:

Erschein.ort:     Jahr:     Seite(n):

Langtitel:

zus. Daten bei Journalen

Volume:

zus. Daten bei Monographien

ISBN:     Nr. Auflage:

**mehrfache Bearbeitung**       

Auswahl

Wählen Sie ein Journal aus

Name	Ort
ACTA BIOLOGICA CRACOVENSIA SERIES	
ACTA BIOLOGICA HUNGARICA	
ACTA BIOQUIMICA CLINICA LATINOAMERI	
ACTA BIOTECHNOLOGICA	
ACTA BIOTHEORETICA	
ACTA BOTANICA GALLICA	
ACTA BOTANICA SINICA	
ACTA CARDIOLOGICA	
ACTA CHIMICA SINICA	
ACTA CHIMICA SLOVENICA	
ACTA CHIROPTEROLOGICA	
ACTA CHIRURGICA BELGICA	
ACTA CHIRURGICA ITALICA	

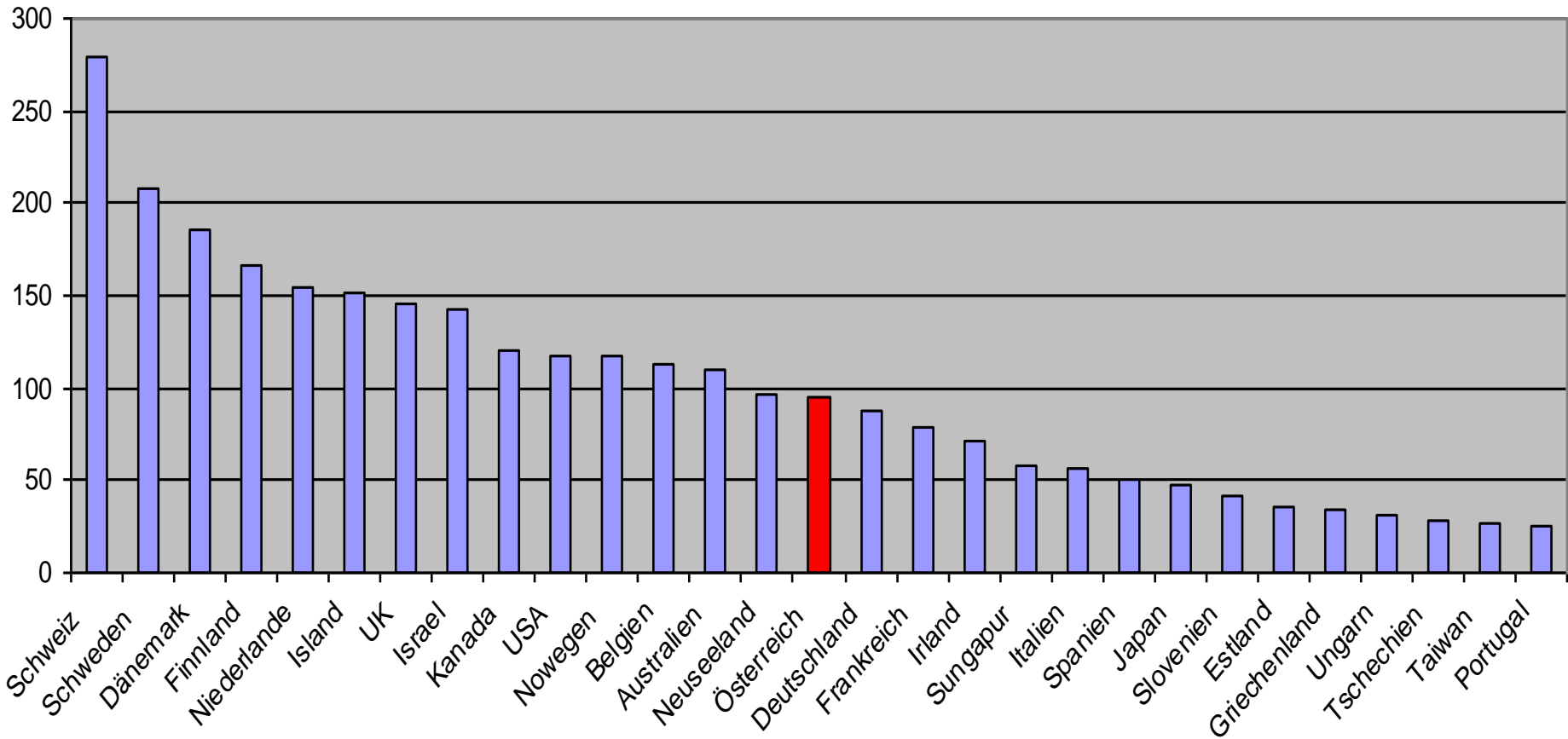
          

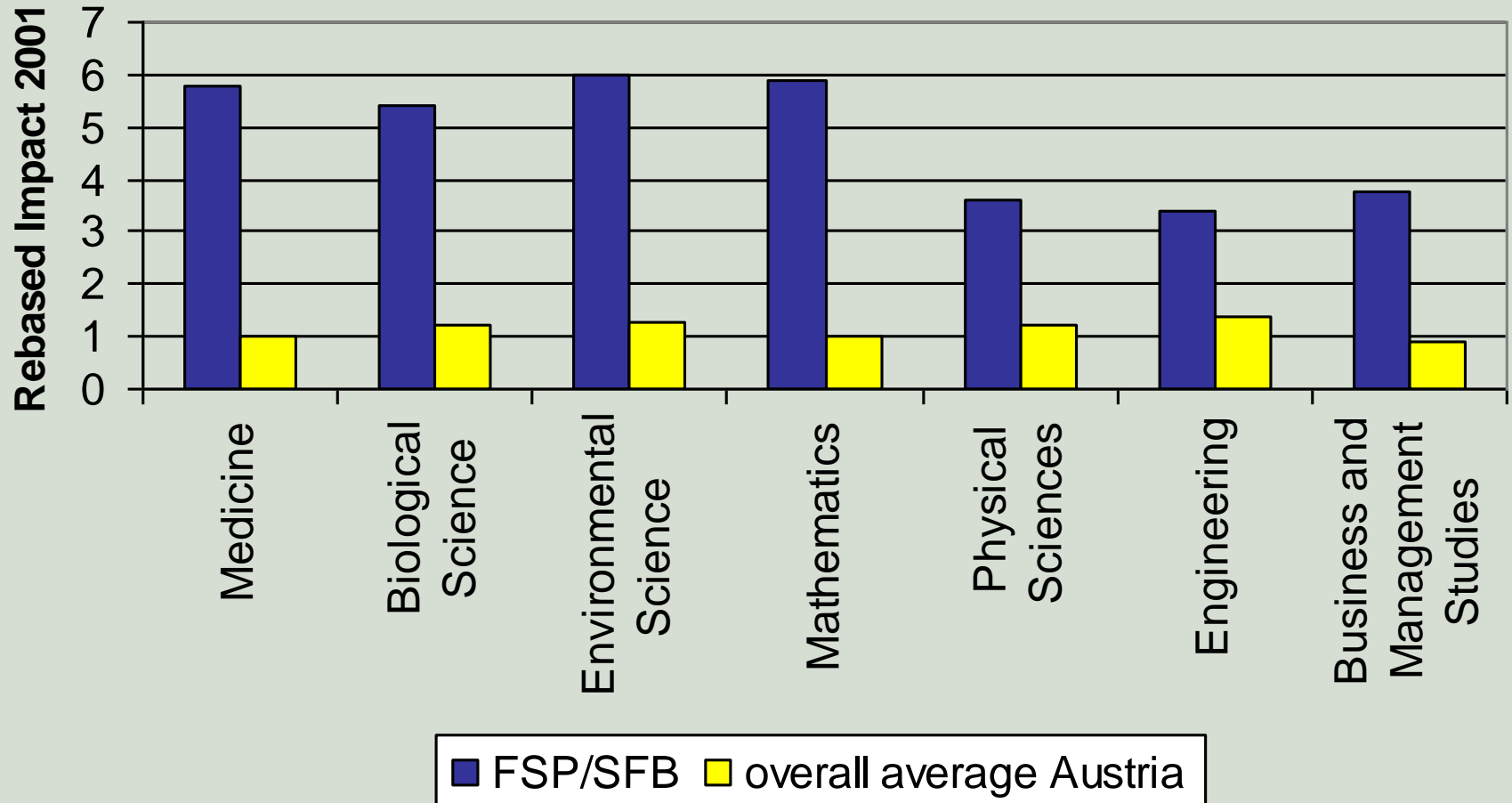
500 Datensätze gefunden, mehr Daten sind verfügbar.

ca. 10.000 Scientific Journals

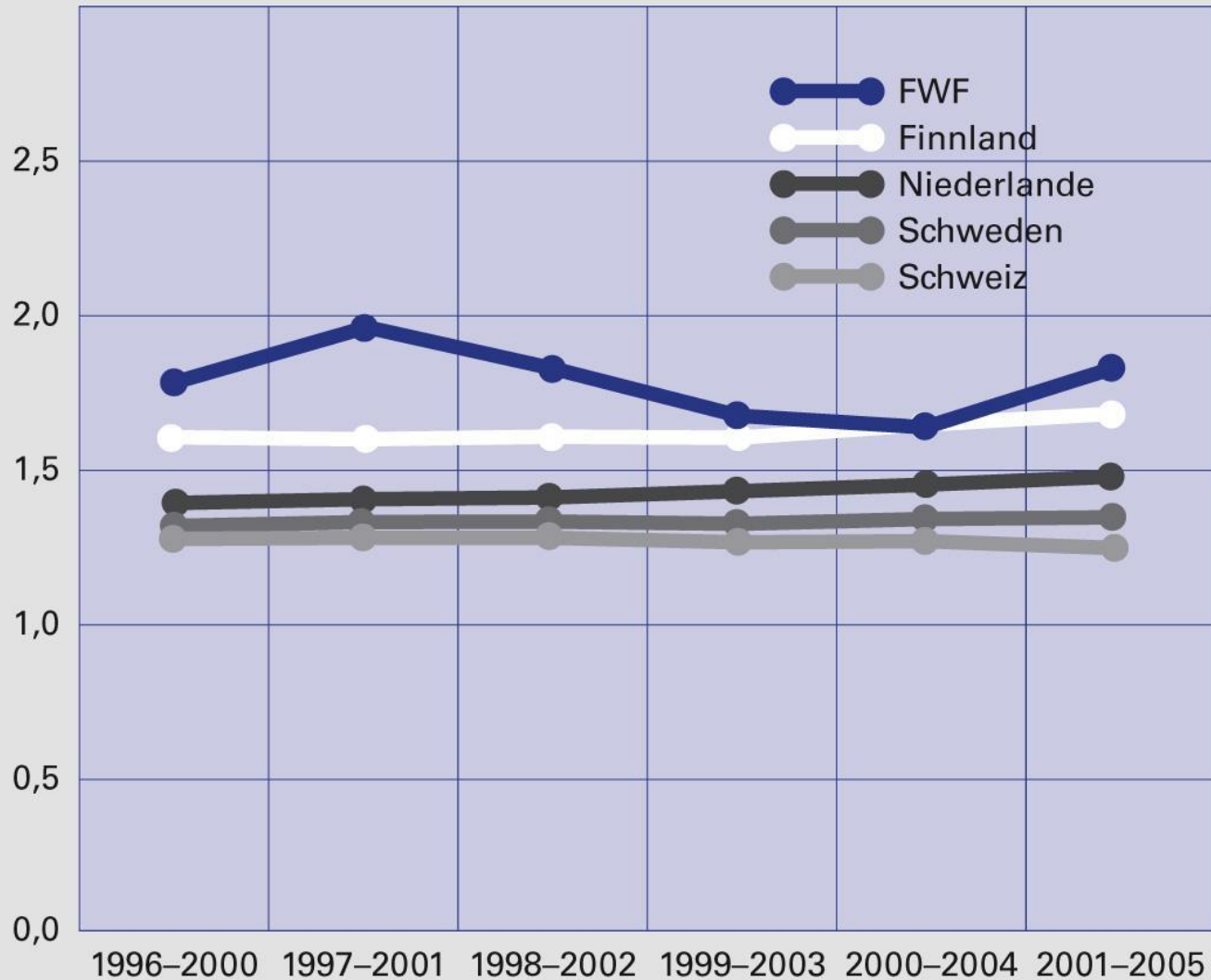
## Citations per 1000 inhabitants



## Publications Austria and FWF-Priority Research Projects



## Bibliometrics of Stand Alone Projects





# THE AUSTRIAN SCIENCE FUND: EX POST EVALUATION AND PERFORMANCE OF FWF FUNDED RESEARCH PROJECTS

FINAL VERSION 15-07-2005

STUDY COMMISSIONED BY THE AUSTRIAN SCIENCE FUND

RTW.2004.AF-020-01

by

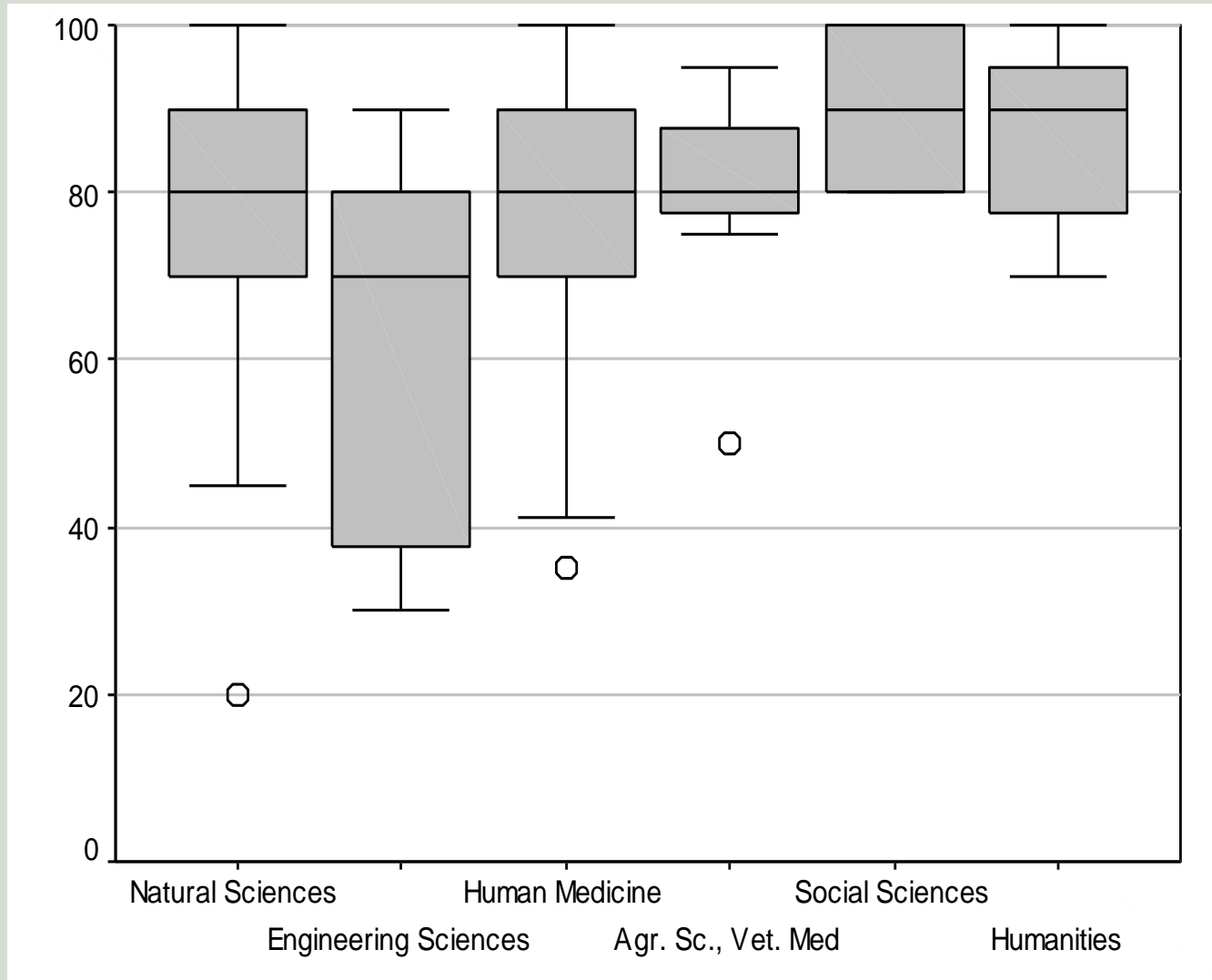
**M.Dinges (Joanneum Research)**

<http://www.fwf.ac.at/de/downloads/pdf/InTeReg%20RR%20Nr%2042.pdf>

# Average Ratings of ex-ante evaluations

	<i>N</i>	<i>ASSES- MENTS (MEAN)</i>	<i>MEAN</i>	<i>MEDIAN</i>	<i>VAR.</i>	<i>STD. DE.</i>
NATURAL SCIENCES	252	2.92	88.06	88.33	19.08	4.37
ENGINEERING SCIENCES	23	2.82	87.10	86.67	13.01	3.61
HUMAN MEDICINE	95	2.89	86.48	86.67	26.43	5.14
AGRIC. SC.& VET. MED	7	3.14	89.10	89.33	14.29	3.78
SOCIAL SCIENCES	19	2.58	90.61	90.00	15.71	3.96
HUMANITIES	78	2.59	91.69	92.50	31.07	5.57

# Scientific Success of the projects



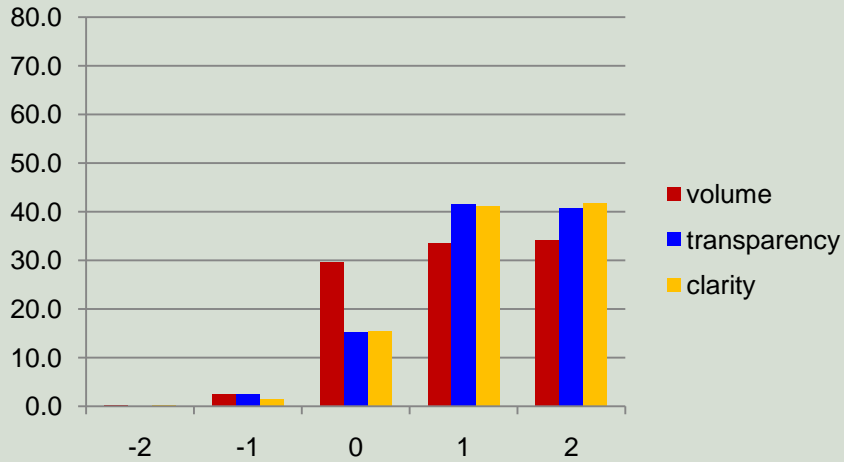
**Table 6: Average rating of the ex post evaluation criteria**

	<i>N</i>	<i>MEAN</i>	<i>MEDIA N</i>	<i>VAR.</i>	<i>STD. DE.</i>
<i>SCIENTIFIC SUCCESS</i>	190	79.48	80.00	250.93	15.84
<i>EFFECTS ON HUMAN RESOURCES</i>	187	80.62	80.00	196.26	14.01
<i>EFFECTS THAT REACH BEYOND THE SCIENTIFIC FIELD</i>	165	73.20	77.50	422.22	20.55
<i>PROJECT PERFORMANCE (FINANCIAL ASPECTS)</i>	164	79.22	80.00	280.86	16.76
<i>FUTURE PERSPECTIVES OF RESEARCH WORK</i>	158	80.40	85.00	296.90	17.23

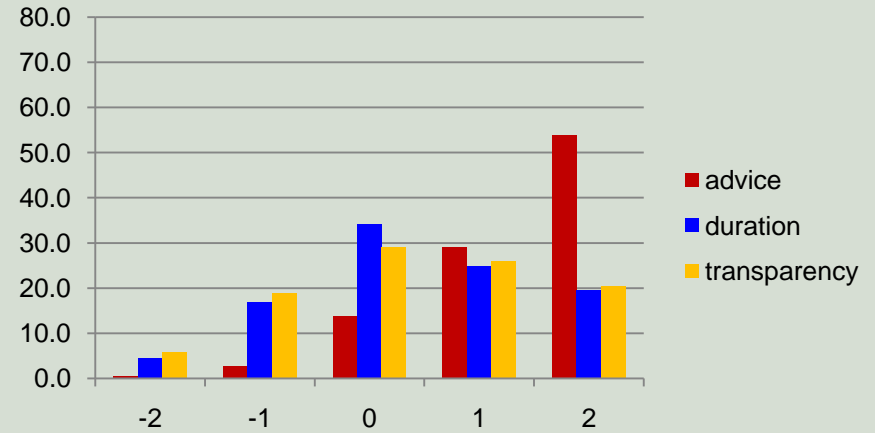
# Scientific Output of FWF-funded project, mean values (ca. 500 projects)

	<i>NAT. Sc. N~263</i>	<i>ENG. SCI N~26</i>	<i>HUM. MED. N~100</i>	<i>AGR.SCI N~8</i>	<i>Soc.Sci N~22</i>	<i>HUMAN- ITIES N~84</i>	<i>TOTAL N~503</i>
JOURNAL ARTICLES (PEER REVIEWED)	6.80	1.81	6.36	4.25	1.77	1.17	5.25
JOURNAL ARTICLES (NON REVIEWED)	0.21	0.19	0.15	0.00	0.36	0.08	0.18
COMMUNICATIONS	0.21	0.00	0.00	0.00	0.09	0.01	0.11
MONOGRAPHS	0.18	0.15	0.04	0.00	0.41	0.37	0.19
PUBL. IN ANTHOLOGIES	0.55	0.35	0.29	0.50	1.45	2.75	0.89
PUB. IN MASS MEDIA	0.33	0.04	0.19	0.63	0.36	0.13	0.26
PHD-THESES	0.85	0.54	0.77	0.25	0.64	0.18	0.69
MA-THESES	1.03	0.38	0.37	0.38	0.73	0.05	0.68
TENURE (HABILITATION)	0.27	0.08	0.27	0.25	0.09	0.06	0.22

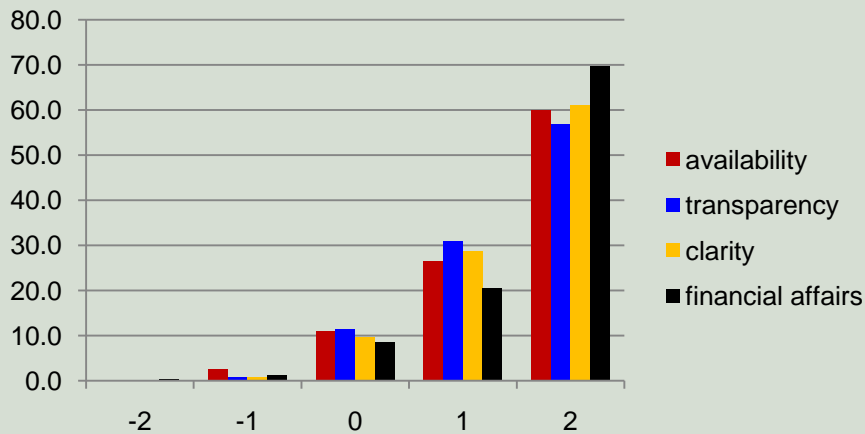
### application guidelines



### review and decision procedure



### guidance by FWF



**about 1.400 reports evaluated**