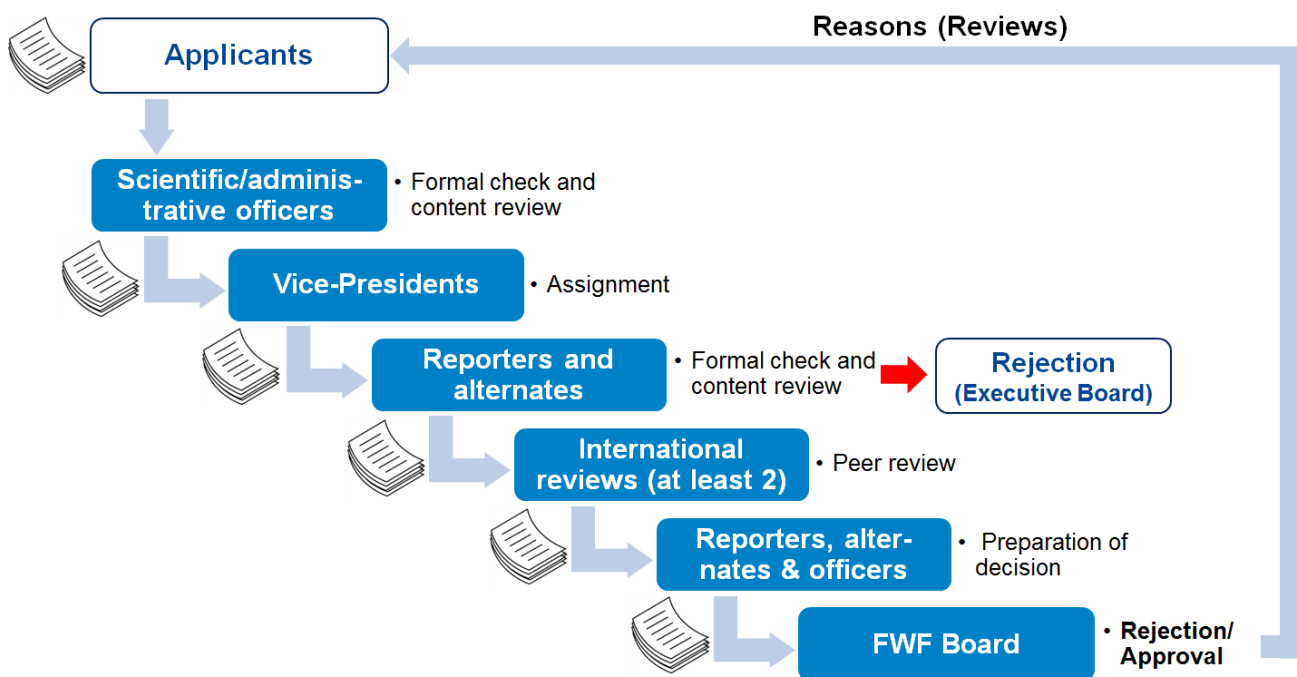


General Principles of the Decision-Making Procedure

All applications submitted to the FWF are subjected to a **peer review procedure** in which only researchers working outside Austria are asked to review proposals. These reviews form the basis for all funding decisions, thus ensuring the quality of research funded is on par with international standards.

The FWF treats **all** scientific disciplines equally and has **no quota system** regulating the distribution of funds among the various disciplines.

Decision process flow chart¹



¹ In specific programmes (especially commissioned programmes, priority research programmes and doctoral programmes), the review procedure may differ from these general principles in certain respects (e.g. use of a multi-stage procedure, an international jury and the like). Differences are noted on the web pages relating to the individual programmes. Especially in the case of international programmes, all submission, review and decision-making procedures are in line with the specific structures and procedures of those programmes and may differ from the general principles outlined in this document.

Submission

The application and decision-making procedure is illustrated in the diagram on the previous page. Following receipt of an application via the FWF online portal (incl. the completed mandatory cover sheet), the application is checked for completeness and any formal errors and the applicant receives an acknowledgement of receipt. The application is assigned to a reporter and an alternate. The research area (or research areas for interdisciplinary projects) plays a major role in this assignment, but the FWF keeps a close watch for any possible conflicts of interest on the part of reporters, alternates and FWF employees.

The Austrian Research and Technology Promotion Act (FTFG) requires all FWF employees and board members to perform their duties conscientiously and in an impartial, unbiased manner. Where conflicts of interest arise, Art. 7 of the Austrian General Administrative Procedures Act (AVG) obliges those parties to refrain completely from participating in the procedure and in particular not to take part in any voting. In addition to the direct relationships mentioned in Art. 7 of the AVG, other important factors may exist that could give rise to doubts about complete impartiality, e.g. when a member of the FWF Board has a personal connection to the matter under discussion or to the applicant that might jeopardise his/her impartiality. This also applies in cases where uninvolved third parties might get the mere impression of a conflict of interest.

In discussions of applications received from persons, institutions or working groups to which a member of the FWF Board has a specific professional or personal relationship, that FWF Board member is not permitted to take part in the deliberations and is required to leave the meeting room for the duration of the relevant discussion. Specifically, the following rules apply to institutional biases/conflicts of interest; FWF Board members who belong to certain institutions (organisational units) are generally considered to have a conflict of interest with regard to all applications received from persons affiliated with that institution (organisational unit):

- a) Members of any organisational unit with fewer than 900 academic faculty members (including professors) are automatically subject to an institutional conflict of interest. Specifically, this rule applies to the following universities (each in their entirety):
 - University of Veterinary Medicine Vienna,
 - University of Leoben,
 - University of Applied Arts Vienna,
 - University of Music and Performing Arts Vienna,
 - Mozarteum University Salzburg,
 - University of Music and Performing Arts Graz,
 - University of Art and Industrial Design Linz,
 - Academy of Fine Arts Vienna.
- b) At present, there are only two organisational units at universities in Austria which have 900 or more academic faculty members (including professors) and are therefore not automatically subject to an institutional conflict of interest:

- Faculty of Philological and Cultural Studies, University of Vienna
- Faculty of Natural Sciences, University of Graz

In addition to institutional conflicts of interest, the same rules regarding conflicts of interest apply here as those for reviewers (see Appendix).

In cases where a FWF Board member submits an application, it is not handled by the scientific and administrative project officers who normally would be in charge of it. The member must leave the meeting room while the application is being considered by the FWF Board. All reviews received are generally made available to all FWF Board members (exceptions to this rule must be justified).

Initiation of international review

Applicants have the right to exclude up to three researchers or research groups from the review process. In close collaboration with the FWF Office, the reporters and alternates suggest appropriate expert reviewers from outside of Austria to the Executive Board according to the “many eyes” principle. In the selection of reviewers, due attention is paid to ensuring that there are neither real nor assumed negative or positive conflicts of interest.

The criteria for the selection of international reviewers as well as the rules regarding conflicts of interest and the composition of expert juries and boards are discussed in the Appendix.

The FWF Executive Board decides whether a review procedure is to be initiated and appoints reviewers on the basis of the recommendations of the reporters and/or alternates. This is an ongoing process, and it is not linked to specific meeting dates.

Funding applications which are outside the scope of the FWF’s funding activities or which involve applicants who obviously do not possess the professional qualifications or research experience necessary to carry out the project are returned without the initiation of a review procedure. The same applies for funding applications which cannot be reviewed in their current form because they contain major errors unless these errors are corrected within a reasonable period of time (generally no more than three weeks). This rule applies for programmes without specific submission deadlines; for programmes with specific submission deadlines, applicants must correct the errors in their applications within 10 days of being notified of the errors. Decisions to return applications without review are taken by the Executive Board and require the consent of the FWF Board in order to take effect.

Minimum number of reviews

The number of reviews required before a positive decision² can be taken depends primarily on the amount of funding requested and the type of funding programme in question:

- Stand-Alone projects / clinical research / arts-based research:
Up to a requested funding amount of EUR 400,000.00, at least 2 reviews are required. At least one additional review is required for each additional EUR 200,000.00 requested.
- Women's and mobility programmes: at least 2 reviews
- SFB: depending on the size and thematic composition, 3–4 reviews for outline proposals, 5–6 reviews for hearings and extensions
- *doc.funds*: at least 3 (for extensions of doctoral programmes 5–6 reviews)
- START and Wittgenstein: at least 3 reviews for START applications and at least 4 for Wittgenstein Award nominations
- Stand-alone publications: at least 1 review
- The number of reviews required for all other programmes, such as commissioned programmes or international programmes, depends on the particular agreements in force for the programme. In all cases, however, at least 2 reviews are required. For more detailed information, see the application guidelines for the respective programme.

The number of reviews required may be increased for applications that cover several fields of research.

Structure of reviews

A review must comprise a written statement in which the reviewers are asked to address specific questions in relation to the proposal. At the same time, reviewers are asked to provide an overall formal assessment (i.e. rating) for each specific question³ using the five-point scale shown below. Each review consists of two sections: the first section is transmitted to the applicant in its entirety and includes the overall ratings. In the second section, reviewers can provide confidential remarks to the FWF.

² Applications can be recommended for rejection on the basis of fewer reviews than would be required for approval within the respective funding programme if the review(s) received already clearly indicate(s) that the application cannot be approved. In such cases, the consent of the reporter, alterante and vice president in charge of handling the application is required.

³ (a) The questions for reviewers can vary according to the relevant funding programme and its objectives and are generally included in the appendix to the programme's application guidelines. (b) Wittgenstein Award nominations require only one written review, i.e. no overall ratings are required.

The FWF provides the reviewers with a brief explanation of the quality standards that should form the basis for the formal ratings:

<p>Excellent = funding with the highest priority</p> <p>The proposed research project is among the best 5% in its field worldwide. It is potentially ground-breaking and/or makes a significant contribution to the advancement of knowledge.</p> <p>The applicant and the researchers involved possess – relative to their academic age – exceptional qualifications by international standards.</p>
<p>Very good = funding with high priority</p> <p>The proposed research project is among the best 15% in its field worldwide. It is at the forefront of the research area internationally, but minor improvements could be made.</p> <p>The applicant and the researchers involved possess – relative to their academic age – very good qualifications by international standards.</p>
<p>Good = resubmission with some revisions</p> <p>The proposed research project is internationally competitive but has some weaknesses, and/or the applicant and the researchers involved possess – relative to their academic age – good qualifications by international standards.</p>
<p>Average = resubmission with major revisions</p> <p>The proposed research project will provide some new insights but has significant weaknesses, and/or the applicant and the researchers involved possess – relative to their academic age – fair qualifications by international standards.</p>
<p>Poor = rejection</p> <p>The proposed research project is weak, and/or the applicant and researchers involved lack sufficient qualifications by international standards.</p>

In cases where a review is not sufficiently well argued, it is not taken into account in the decision-making procedure. Reviewers are urged to declare any possible conflicts of interest. In cases where bias or a conflict of interest is identified at a later stage, the review is likewise disregarded.

Funding decisions

The reporters responsible for the application present it to the FWF Board, taking into consideration the comment(s) of the respective alternates, the respective proposals and the key points of the reviews received. This process is also subject to the rules regarding conflicts of interest specified above in the “Submission” section, even in cases where the mere impression of a conflict of interest could arise. In most cases, decisions are made unanimously and (where necessary) often after a detailed discussion and comparison of the proposals submit-

ted. In the course of this discussion, bonuses for early-stage applicants (up to 8 years after conferral of doctorate) and/or independent researchers (at least 50%) may be offered.

After the FWF Board meeting, the decision letters are prepared by the FWF Office and sent to the applicants. The letter will be accompanied by the first section from the reviews in anonymous form.

For each rejection, the FWF Board or the responsible decision-making body specifies one of the following standardised reasons for rejection in order to ensure a maximum of transparency and comparability in all decisions.

Standardised reasons for rejection	
C 1	The reviews of your application were entirely positive with regard to the research project itself as well as your research qualifications. However, the reviewers expressed even greater support for other applications. For budgetary reasons, the FWF can currently only approve those applications which receive the most favourable reviews and ratings; this means that your application could not be approved. If you choose to resubmit your application, please place greater emphasis on the strengths of the project in order to improve your chances of approval.
C 2	The reviewers of your application were predominantly positive with regard to the research project itself as well as your research qualifications. However, there were several minor points of criticism in the reviews, and the reviewers expressed greater support for other applications. For budgetary reasons, the FWF can currently only approve those applications which receive the most favourable reviews and ratings; this means that your application could not be approved. If you choose to resubmit your application, please place greater emphasis on the strengths of the project and take the reviewers' suggestions into consideration in order to improve your chances of approval.
C 3	The reviews of your application were largely positive with regard to the research project itself and/or your research qualifications. However, there were a number of points of criticism in the reviews, meaning that your application could not be approved in its current form. If you choose to resubmit your application, please focus more on defining the strengths of the project and take the reviewers' comments and suggestions into consideration in a clear and visible way.
C 4	The reviews of your application were only partly positive with regard to the research project and/or your research qualifications. However, there were numerous points of criticism in the review, meaning that the application would have to be revised substantially and possibly refocused in order to be eligible for funding. If you choose to resubmit your application, please take the reviewers' suggestions and points of criticism into consideration in a clear and visible way.

C 5	The reviews of your application were predominantly very critical . As it cannot be assumed that the weaknesses in the application can be remedied within a short period of time, the FWF Board has decided that a resubmission to this funding programme will only be permitted after a period of 12 months starting from the decision date.
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The FWF Office provides administrative support for reporters, alternates and FWF vice presidents in the performance of their duties. In all project-related matters, the FWF Office serves as the direct point of contact for applicants.

Resubmissions and follow-up applications

In the case of previously rejected applications which are revised and resubmitted by the applicant as well as follow-up applications (grant applications to continue research related thematically to a previous project), the FWF makes every effort to call upon previous reviewers as well as new reviewers in order to ensure a balance of continuity and new perspectives. In such applications, it is therefore crucial to clearly mark any changes made in response to explicit suggestions from (previous) reviewers in order to make those changes visible to new reviewers as well.

Proposal bans

Applications that are rejected for reason C5 will be barred from resubmission for 12 months (from the date of the decision) and cannot be resubmitted during that period. Applications that have been revised and resubmitted twice (= third submission) and rejected each time will also be barred for 12 months (from the date of the decision), except for applications that are rejected on the third time for reason C1 or C2.

Appendix

Reviewer profile and bias, composition of juries

1. Reviewer profile

- Reviewers must be internationally established experts who are currently active in their respective research fields, and they should possess at least the same level of qualifications at an international level (in relation to their academic age) as the applicants.
- The FWF only contacts reviewers who are based outside of Austria. In cases where reviewers have worked in Austria in the past, they are not to be contacted for reviews until they have been based outside of the country for at least five years. Any exceptions to this rule must be approved by the relevant vice president.
- No reviewer should be asked to write more than two reviews per year. Exceptions to this rule may be made in the case of resubmissions.
- The reviewers of a given application must not be from the same institution.
- In the selection of reviewers, every effort should be made to ensure diversity in terms of age, regions and (where applicable) areas of expertise:
 - A suitable mix of younger and older reviewers is desirable.
 - On average, no more than 15% of reviewers should be from Germany/Switzerland each year (in the humanities: no more than 25%). Similarly, it is also important to avoid any excessive concentration of reviews from a certain region or country.
 - In disciplines with very small research communities, efforts should be made to contact at least one reviewer from a related field or one reviewer with more general expertise.
 - The share of women among reviewers should average at least 30% per year. In addition, efforts must be made to ensure that the panel at SFB and DK hearings includes at least two women as reviewers.

2. Reviewer bias

General rules

Reviewers should refrain from assessing an application if a conflict of interest exists or could be perceived to exist. Specifically, reviewers are considered to be biased in favour of or against an application if:

- they stand to gain professionally, financially or personally from the approval or rejection of the application (incl. direct competition);
- they have published, collaborated, served on professional boards or other bodies involving frequent or regular meetings, or worked at the same research institution with the applicants (including persons involved in the project) in the last five years (see also below);

- they have fundamental differences of scientific opinion with the applicants (including persons involved in the project);
- any other close professional or personal ties exist between the reviewers and the applicants (including persons involved in the project) which may give rise to the appearance of a conflict of interest in the eyes of uninvolved third parties.

Special cases

Reviewers will generally not be considered biased under the following conditions:

- Reviewers are generally not considered biased in cases of joint publications with more than 20 authors unless the applicants (including persons involved in the project) or reviewers are the first/lead or last author of the publication, except in cases where publications list authors in alphabetical order (= equivalent contributions of the authors).
- Reviewers are generally not considered biased in cases where they have published works in the same edited volumes or proceedings. This does not apply to scholarly tributes (Festschriften) in which the applicants (including persons involved in the project) or reviewers were editors or laureates.
- Reviewers are generally not considered biased in cases of joint publications with national or international cooperation partners of the applicants (including persons involved in the project).
- In cases where an application is revised and resubmitted, those reviewers from the previous round who provided substantial and constructive suggestions and criticism should generally be contacted again. In any case, however, new reviewers are also required for resubmissions.

Applicants are not asked to name reviewers for their applications. Should they do so, these suggestions are to be disregarded.

The annexes to the applications may contain a list of undesired reviewers (“negative list”). This means that applicants may name a maximum of three potential reviewers who are believed to have possible biases and should be excluded from the review process. The FWF Executive Board will generally fulfil such requests. In cases where an application is resubmitted, the negative list may include reviewers of the previous version of the application. (In exceptional cases, reporters may have the FWF Office request a list of desirable reviewers from the applicant. In cases where reviewers from this “positive list” assess an application, this must be noted in the meeting documents. In any case, only one review may be obtained from a reviewer on this list.)

The FWF assumes that, in the interest of good scientific practice, reviewers will also refrain from assessing applications and notify the FWF in cases which are not explicitly covered by the FWF’s rules regarding bias. Reviewers should always refrain from assessing an application in cases of doubt or borderline cases.

Institutions which handle the review process on behalf of the FWF (such as publishers in the Stand-Alone Publications programme) are to consult the FWF in cases of doubt or borderline cases.

3. Composition of juries and similar decision-making bodies (e.g. boards)

Juries are decision-making bodies which comprise outstanding international experts and are established for specific programmes (such as the START programme, Wittgenstein Award, PEEK and KLIF programmes). On the basis of external reviews, these experts submit recommendations to the FWF Board by ranking the competing applications. The following rules apply for these bodies:

- Jury members must be internationally recognised, leading scientists and researchers in their respective fields who also (a) have a broader perspective beyond the boundaries of their field and (b) possess appropriate experience with similar competitive selection procedures.
- Juries generally comprise scientists and researchers based at research institutions outside of Austria. Persons who have worked in Austria in the past may not become jury members until they have been based outside of Austria for at least five years.
- At least one third of the jury members should be women, and every effort should be made to ensure a maximum diversity in terms of regions and institutions.
- In handling applications, jury members are subject to the same rules regarding bias and conflicts of interest as FWF Board members and reviewers. In cases of bias, the relevant jury members do not participate in the discussion of the application in question; those members are required to leave the meeting room while the jury deliberates on the application.
- Jury members are generally appointed for a term of three years, after which their term may be extended twice (maximum total: 9 years). At the same time, it is necessary to ensure that the composition of a jury does not remain the same for more than six years.