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Der Wissenschaftsfonds.

Invitation to Tender

Evaluation

FWF Programme for Arts-based research (PEEK)

Vienna, January 30, 2020

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1. Client and Awarding Office

Austrian Science Fund (FWF)

Sensengasse 1, A-1090 Vienna, Austria

Phone: +43-1-5056740-0 Fax: +43-1-5056739

www.fwf.ac.at

Contact person: Thomas Völker, +43-1-5056740-8664, thomas.voelker@fwf.ac.at

This invitation to tender has been drawn up in accordance with the (i) [FWF Rules](#) on Quality and Transparency for Evaluations and (ii) the [Evaluation Standards](#) in Research and Technology Policy developed by the Austrian Platform for Research and Technology Policy Evaluation ([fteval](#)). These standards are to be observed by companies submitting tenders.

The FWF

The FWF (Austrian Science Fund) is Austria's central body for the funding of basic research. The task of the FWF is to stimulate and support the further development of science and basic research in Austria at an internationally highly competitive level. Thus, the FWF contributes fundamentally to the advancement of a knowledge-based society and to the creation of value and wealth in Austria. Further information on the FWF's responsibilities, and the values to which it is committed, can be found on the FWF's website at <http://www.fwf.ac.at/>.

2. Objectives of the Contract

The purpose of the contract to be awarded is to evaluate FWF's Programme for Arts-based Research ("*Programm zur Entwicklung und Erschließung der Künste*", PEEK). Specifically:

- to critically review FWF's present PEEK funding programme in order to identify strengths and weaknesses, to quantify and qualify outcome, output and impact;
- to provide evidence-based recommendations to the FWF and its supervisory bodies on if and how the PEEK programme should be continued, improved or restructured;
- to provide recommendations for the further development of its general funding strategy for arts-based research (year 2022 and beyond) to the FWF based on evidence and insight.

The final evaluation report is expected to be delivered by mid-2021 (see time frame below). It will be a basis for decision-making for PEEK from 2022 on.

3. Background

The FWF-program for Arts-based Research (PEEK) associates itself with approaches to research known variously as ‘artistic research’, ‘practice-based research’ or ‘practice-led research’. While it is expected that investigation into art itself will be central to the funded projects, the term ‘arts-based research’ has been adopted to indicate that the relationship to artistic practice can be of various kinds. These include models of collaboration in knowledge production as well as the cross-fertilization beyond institutional boundaries.

Arts-based research is legally enshrined in the explanatory comments on the 1982 Research and Technology Promotion Act (BGBl. Nr 434/1982, amended by BGBl. I Nr 36/2007), “Entwicklung und Erschließung der Künste” (arts-based research) and is set on the same plane as scientific research. The equivalence of scientific research and “Entwicklung und Erschließung der Künste” (arts-based research) is also a feature of §1 of the 2002 Universities Act (BGBl. I Nr 120/2002).

The focus of the FWF’s Program for Arts-based Research (PEEK) is on the production of knowledge through aesthetic and artistic processes. Artistic practices are thus envisioned to increase and advance societal knowledge. The program is aimed at supporting and promoting arts-based research that undertakes creative consideration of themes and issues in the light of the development and reception of new forms of art and of ways and methods of artistic expression, generally as a part of scientific research or its application. The program also includes capacity building arrangements as well as new strategies for the dissemination of artistic productions.

Arts-based research, however, differs fundamentally from disciplines such as literary criticism and history, art history and musicology. While these disciplines apply scientific methods to the study of art, arts-based research is understood as basic research aimed at the production of knowledge within and through artistic and/or aesthetic means. This also includes the development of methods by artistic and aesthetic means.

However, while typical artistic products such as concerts, performances, installations, exhibitions or compositions within a laboratory of aesthetics or as a demonstration of proof of concept may well form part of a PEEK-project, the program does not aim to support artistic production in itself, e.g. a concert, a work of fine art or a scenic realization.

Overall, the Program for Arts-based Research (PEEK) offers a generally applicable, flexible instrument for supporting arts-based research in a substantial and structured way and seeks to promote both increased internationalization and networking between different branches of the arts.

Mission

The aim of the PEEK program is to fund clearly defined research proposals (hereinafter referred to as “projects”) of high artistic and academic quality at an international level in the field of arts-based research. This is a type of basic research that aims at increasing the

existing knowledge base and developing new methods by means of aesthetic and artistic processes rather than those of pure science and scholarship. In general, one principal investigator is responsible for planning and carrying out projects; however, this person can collaborate with national and/or international research partners.

Objectives

1. Support high quality and innovative arts-based research in which artistic practice is integral to the inquiry.
2. Increase research capacity, quality and international standing of arts-based researcher in Austria.
3. Increase both public awareness and awareness within the academic and the arts communities of arts-based research and its potential applications.

For the period 2009-2019, the PEEK programme encompassed a total of 89 arts-based research projects (out of 623 proposals) with a funding volume of € 29.4 million.¹

A specificity of the FWF's funding approach – in contrast to many funding organisations in other countries – is that it strictly adheres to a **bottom-up principle** in its funding decisions. The FWF views its financial and administrative support as an extension of the possibilities for scientific and scholarly ground-breaking research rather than as means to promote specific research topics, domains or geographical areas (as it would be the case in a top-down oriented approach). This bottom-up principle is consequently applied to the PEEK programme too, funding decisions are made by the [FWF Board](#) based on an international review process and the recommendations of the [PEEK Board](#); it provides research institutions with an opportunity to advance their specific research strategies. The formation of the teams, the choice of topics and the elaboration of PEEK proposals that are submitted to the FWF, lies solely in the responsibility of the involved artists/researchers and their respective institution(s).

Given the small size of the country, the Austrian research funding landscape appears rather fragmented and skewed, with the major share of funding resources being allocated to applied and industrial research. As for arts-based research, at the time of PEEK's inception there was no funding program for Austria directed specifically to arts-based research. Projects within this program thus aimed to open up new fields for established arts-based researchers and to provide enhanced training for young arts-based researchers.

4. Data Availability

The evaluators will be provided with all information and data available regarding the PEEK programme and the grantees. Information on the selection procedure (reviewing and decision-making) will be available too. For already finished projects (from 2009 until today),

¹ The evaluation will be able to include the results of the funding from 2020.

reviewers will have access to the final scientific reports and ex-post evaluation outcomes (see preliminary information listed in the Appendix).

- All FWF projects (1997 – 2019) can be found in the FWF project finder: <https://pf.fwf.ac.at/en/research-in-practice/project-finder>
- [FWF Funding Statistics](#)
Reimann R (2018): Austrian Science Fund (FWF) funding statistics 2009-2017.

Other sources

Links to other sources (e.g. FWF annual reports) are listed at the end of this document ('Suggestions for Further Reading').

5. Methods

Besides the requirement to use a suitable mix of methods, the contractor is additionally encouraged to propose particularly tailored methods that allow for evaluating the impact of the PEEK program and account for the specificities of arts-based research.

Given the special case of arts-based research it will be necessary to reflect on the relation of arts-based research to institutional changes (the transformation of Austria's higher art education institutions from art high schools to art universities). The broader debate on the different modes and meanings of arts-based practices of knowledge production also needs to be part of the analysis. Furthermore, the heterogeneity of the different PEEK funded projects needs to be reflected in terms of:

- the (implicit) models of arts-based research the project adheres to;
- personal identities and subject positions within the project;
- forms of collaboration in the projects;
- relations to international and local contexts;
- what it means to work in a PEEK project and to do research, and how this relates to different models of arts-based research;
- the relation between motivations to work in a PEEK project (in comparison to both artistic projects and FWF stand-alone projects), personal identities and models of arts-based research.

The contractor should propose methods to assess the added value of the PEEK funding and its effectiveness in terms of the resources used. For example, rejected PEEK applications and funded stand-alone projects could serve as means of contrasting successful PEEK project applications. Also, sustainable effects could be assessed by tracking projects whose funding has phased out several years ago.

Furthermore the rationale for applying for PEEK funding should be explored in cases where funding from other sources would also be possible (e.g. as stand-alone projects).

International Comparisons

Evaluations of other international research funding institutions comparable to the FWF should be taken into account, in particular, their experience with funding instruments similar to PEEK.

6. Evaluation Questions and Recommendations

The FWF would like the tender bids to include considerations regarding the following broad areas of questions and encourages prospective evaluators to suggest additional areas that might be important to consider. The FWF will work with the successful bidder to shape and prioritise these questions during a kick-off meeting.

The evaluators are requested to find answers to the following sets of questions, to identify critical strengths and weaknesses, and to provide distinct suggestions for improvements:

A: Were the objectives of the PEEK programme fulfilled, in terms of

- Support high quality and innovative arts-based research in Austria, e.g.:
 - greater dynamism and diversity in the approaches to artistic production;
 - novel and innovative theories or perspectives;
 - methods development in artistic research.
- Increase research capacity, quality and international standing of arts-based researchers, e.g.:
 - development of the arts-based research community;
 - international contextualization of Austrian arts-based research;
 - programs on the training and career development of young arts-based researchers in this area.
- Increase both public awareness and awareness within the academic and the arts communities, e.g.:
 - variety and impact of the research output
 - public awareness of arts-based research;
 - the standing of arts-based research changed within both arts and research communities;
 - cross-disciplinary connections.
- Achievement of broader effects on the Austrian arts-based research landscape, e.g.:
 - improving arts-based research profiles of universities and other research institutions in Austria;

- creation of centres for arts-based research in Austria.

B. Are programme implementation and management appropriate and efficient in terms of:

- Grant preparation (coaching, information event, advising services)
- Processes and resources (application, review, decision-making, monitoring and evaluation);
- Evaluation scheme (selection criteria, evaluation indicators);
- FWF regulations (guidelines, PEEK statutes, contracts);
- Assistance of FWF for applicants throughout the entire lifecycle of a PEEK project (from planning to termination).

C. Meta-analysis:

- In-depth analysis of how the PEEK programme fits into the funding portfolio of the FWF as well as into the Austrian research funding landscape in general.

7. Recommendations

As a summary of the evaluation questions and recommendations, provable statements should finally address the following questions

- How could/should the relevance of the PEEK programme for the Austrian Arts and Science System be improved, in terms of
 - changes in the strategic orientation (focus) of the PEEK programme (i.e. science policy);
 - future structure and objectives of the PEEK programme or a possible follow-up/ complementary programme
- What could/should the FWF improve regarding
 - change of programme design (e.g., volume, duration, coherence, etc. of both individual projects and of the entire programme, etc.)
 - changes in organisation and management of the programme
 - change in funding structure and volume
 - terminating the programme

8. Deliverables, Meetings and Presentations

All deliverables and reports must be provided in English, some of them additionally in German. The final reports will be published.

Reports:²

- 1) A final evaluation report (in English, 50 pages *max.*, plus appendix)
- 2) An executive summary (in English and German) no more than five pages in length
- 3) A one-page summary (in English and German)
- 4) A research publication in a peer-reviewed venue on a topic of choice (related to the evaluation) by the evaluators after the evaluation is finalised

Meetings and Presentations:

- 1) Kick-off workshop
- 2) Mid-term presentation
- 3) Discussion of final report (draft version)
- 4) Presentation of the final report plus public presentation

9. Schedule

Invitation to tender:	January 31, 2020
Deadline for tenders:	March 31, 2020, 2:00 PM CET
Invitation for hearings:	April 27, 2020
Hearings:	May 22, 2020, 10:00 AM – 4:30 PM CET
Decision:	End of May 20, 2020
Kick-off workshop:	June 17, 2020, 9:00 AM – 1:00 PM CET
Mid-term presentation:	January 2021
Final report (draft version):	August 2021
Discussion with PEEK Board:	November 2021
Public presentation of final report:	January 2022

10. Price and Payments

Prices must be fixed amounts, which are not subject to change and which include all charges including travel and subsistence expenses. The price must be presented as a lump sum; separately reimbursable expenses will not be accepted. The estimated travel and subsistence expenses considered necessary by the tenderer in order to carry out the study must be indicated separately (for information purposes only).

² All reports as well as the underlying materials coming out of the evaluations should be published by using the [CC BY license](#).

The price quoted in the tender must be in euros. Tenderers from countries outside the euro zone are also subject to this requirement. The price quoted may not be adjusted for exchange rate fluctuations at any time. It is up to the tenderer to select an exchange rate and to assume the potential risks or benefits arising from any variations.

The total price for the services offered (including travel and subsistence expenses) is expected to be no more than **€ 60,000** *excluding* VAT.

Payments: Three payments will be made under the contract. The first payment (corresponding to 20% of the contractually agreed price) will be effected after conclusion of the contract. The second (interim) payment (corresponding to 50% of the contractually agreed price) will be released after approval of the interim presentation and made within 30 days of the approval date. Should the interim presentation not be approved, the contractor shall have 20 days to respond to suggested changes and to submit a revised document. Once the FWF approves the final deliverables, the contractor may request the final balance due (30%).

11. Deadline for Tenders / Communication of Decisions

Tenders must be submitted in writing by 2:00 PM CET March 31, 2020 at the latest (hardcopy to the FWF, Dr. Thomas Völker, Sensengasse 1, A-1090 Vienna, Austria). A PDF version of the tender must also be sent to thomas.voelker@fwf.ac.at prior to the deadline above.

The FWF expressly welcomes submissions from international consortia. Hearings will take place in Vienna with at least one subgroup of tenderers. Decisions will be made by the FWF based on the suggestion of a panel. The members of this panel are: Klement Tockner (FWF), Gerlinde Mautner (FWF), Petra Grabner (FWF), Andrea Wald-Bruckner (FWF), Thomas Völker (FWF), Falk Reckling (FWF) and the independent international experts Janneke van Kersen (NWO) and Niclas Östlind (University of Gothenburg, Swedish Research Council).

Criteria are: (i) competences of the evaluation team: knowledge of the Austrian science system, experience and knowledge in research assessments; (ii) utility (to which extent will the evaluation outputs and recommendations help the FWF to meet its needs); (iii) feasibility and appropriateness of the approach with respect to the aims of the evaluation; and (iv) appropriateness of the costs.

Important note: The FWF requests bidders with recent international research/research management/research funding activities in Austria and/or bidders recently commissioned by Austrian national ministries or other stakeholders in supporting the shaping of Austria's Research, Technology and Innovation Policy to declare potential conflicts of interest.

Contact person

For details regarding the tender information about the PEEK programme:

Thomas Völker

T: +43 1 505 67 40 8864

thomas.voelker@fwf.ac.at

12. Transparency of the Tender

The tender is published on the FWF website and distributed via the FWF newsletter and fteval. Furthermore, an invitation has been sent to the following institutions:

<ul style="list-style-type: none"> • <u>AIT – Austrian Institute for Technology</u> <u>Michael Dinges</u> Tech Gate Vienna, Donau-City-Straße 1, A-1220 Vienna • <u>Austrian Institute for SME Research</u> <u>Sonja Sheikh</u> Gußhausstraße, 8, A-1040 Vienna • <u>TU Berlin</u> <u>Grit Laudel</u>, <u>Jochen Gläser</u> Institut für Soziologie/ FG Techniksoziologie Fraunhoferstr. 33-36, D-10587 Berlin • <u>Convelop Cooperative Knowledge Design GmbH</u> <u>Karin Grasenick</u>, <u>Markus Gruber</u> Bürgergasse 8-10/I, A-8010 Graz • <u>Fraunhofer ISI</u> <u>Susanne Bühner</u>, <u>Niclas Meyer</u> Breslauer Straße 48, D-76139 Karlsruhe • <u>DZHW – Deutsches Zentrum für Hochschul- und Wissenschaftsforschung</u> <u>Sabine Hinze</u> Goseriede 9, D-30159 Hannover • <u>IHS – Institute for Advanced Studies</u> <u>Sylvia Karl-Parzer</u> Josefstädter Straße 39, A-1080 Vienna • <u>Joanneum Research</u> <u>Wolfgang Polt</u> Haus der Forschung Sensengasse 1, A-1090 Vienna • <u>King's College London</u> Policy Institute <u>Saba Hinrichs</u> Virginia Woolf Building 22 Kingsway, London, WC2B 6LE, UK • <u>NIFU</u> <u>Liv Langfeldt</u> P. O. Box 2815 Tøyen, NOR - 0608 Oslo • <u>RAND Europe</u> <u>Steven Wooding</u> Westbrook Centre/Milton Rd, Cambridge CB4 1YG, UK • <u>SPRU - Science and Technology Policy Research</u> <u>Ben Martin</u> University of Sussex. Sussex House Jubilee Building Jub-363 Brighton, BN1 9RH, UK 	<ul style="list-style-type: none"> • <u>Technopolis Group</u> <u>Katharina Warta</u> Technopolis Group Limited 3 Pavilion Buildings, Brighton, BN1 1EE, UK • <u>The University of Manchester</u> <u>Jakob Edler</u>, <u>John Rigby</u> Harold Hankins Building-9.08 Manchester Business School Manchester, M13 9PL, UK • <u>University of Twente</u> Science, Technology, and Policy Studies (STePS) <u>Stefan Kuhlmann</u> MB- STePS PO Box 217, NL-7500 AE Enschede • <u>WIFO - Austrian Institute of Economic Research</u> <u>Jürgen Janger</u> Arsenal, Objekt 20, PF 91, A-1103 Vienna • <u>WU Wien</u> <u>André Martinuzzi</u> Welthandelsplatz 1, A-1020 Vienna • <u>ZSI – Centre for Social Innovation</u> <u>Klaus Schuch</u> Linke Wienzeile 246, A-1150 Vienna • <u>WPZ – Research GmbH</u> <u>Brigitte Ecker</u> Mariahilfer Strasse 115/16, A-1060 Wien • <u>VEN – Vienna Evaluation Network</u> <u>Rahel Kahlert</u> European Center for Social Welfare Policy and Research Berggasse 17, A-1090 Wien • <u>Inspire research</u> <u>Barbara Good</u> Lange Gasse 65/16, A-1080 Wien • <u>National Centre for Research Methods (NCRM)</u> <u>Gabriele Durrant</u> University of Southampton Southampton SO17 1BJ, United Kingdom
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13. Suggestions for further reading³

Austrian Research System

Bundesgesetz zur Förderung der Forschung und Technologieentwicklung (Forschungs- und Technologieförderungsgesetz - [FTFG](#))

Austrian Research and Technology Report [2019](#)

The Austrian Research and Technology Reports are status reports to the Austrian parliament on the nation's federally funded research, technology and innovation. The report draws on current data to present an overview of specific trends in research, technology and innovation (RTI) and show how Austria ranks internationally in selected categories.

Arts-based research / Art-Science

Bast, G. (2011): Can Artists Be Researchers? A Necessary Discussion of the Obvious. In: Ritterman, J.; Bast, G.; Mittelstraß, J. [eds.]: Art and research. Can artists be researchers? New York; Wien: Springer/edition Angewandte. pp. 183– 195

Böhm, B. (2014): Arts-based ...What? Tracing Practitioners' Narratives on Knowing and Living in an Arts-based Research Project. Master Thesis at the University of Vienna.

Biggs, M. and Karlsson, H. [eds.] (2012 [2010]): The Routledge Companion to Research in the Arts. London; New York.

Borgdorff, H. (2006): The debate on Research in the Arts. In: Dutch Journal of Music Theory. Vol. 12. [Available online](#).

Borgdorff, H. (2012 [2010]): The Production of Knowledge in Artistic Research. In: Biggs, M. and Karlsson, H. [eds.]: The Routledge Companion to Research in the Arts. London; New York: Routledge. pp. 44 - 63

Born, G. and Barry, A. (2010): Art-Science. From public understanding to public experiment. In: Journal of Cultural Economy. Vol. 3/1. pp. 103 – 119

Halpern, M., K. (2012): Across the great divide: Boundaries and Boundary Objects in art and science. In: Public Understanding of Science. Vol. 21/8. pp. 922 – 937

Lesage, D. (2009): Who's Afraid of Artistic Research? On Measuring Artistic Research Output. In: Art & Research. Vol. 2/2. pp. 1-10.

³ FWF does NOT expect the evaluators to consider all of these suggestions in their report.

Manila, R. (2006): Welcoming Uncertainty: The Strong Case of Coupling Art to Science and Technology. In: Scott, Jill [ed.]: Artists – In – Labs. Process of Inquiry. Wien; New York: Springer. pp. 15 – 23

Mittelstraß, J. (2011): Art and Research: An Introduction. In: Ritterman, J.; Bast, G.; Mittelstraß, J. [eds.]: Art and research. Can artists be researchers? New York; Wien: Springer/edition Angewandte. pp. 17 – 20

Nowotny, H. (2012 [2010]): Foreword. In: Biggs, M. and Karlsson, H. [eds.]: The Routledge Companion to Research in the Arts. London; New York. pp. xvii - xxvi

Ritterman, J.; Bast, G.; Mittelstraß, J. [eds.]: Art and research. Can artists be researchers? New York; Wien: Springer/edition Angewandte.

Scott, J. [ed.] (2006): Artists – In – Labs. Process of Inquiry. Wien; New York: Springer.

Scott, J. (2006): Suggested Discourses for more Art_Sci Collaborations. In: Scott, Jill [ed.]: Artists – In – Labs. Process of Inquiry. Wien; New York: Springer. pp. 24 – 35

FWF Annual Reports

Including mission statement, overview of grants, numbers of applications and approvals, funding requested/approved; [German](#) or [English](#) from 2010 onwards.

Principles of the FWF Decision-Making Procedure

The document [General principles of the FWF decision-making procedure](#) provides a brief overview of the application process, from the submission of proposals to the peer review process and the final funding decision. The process described in the document forms the basis for all FWF programmes. In certain programmes, exceptions to the general decision-making principles are possible; these exceptions are described in separate documents.

Guidelines, Application Forms: <https://www.fwf.ac.at/en/research-funding/fwf-programmes/peek/>

Final Reports of PEEK projects: Will be provided by the FWF.

Evaluation Reports <https://www.fwf.ac.at/en/about-the-fwf/publications/>

Program Evaluations / Studies on FWF ex ante peer review / Studies on outcomes of FWF projects / Survey on FWF 2014 /

Studies, Other Publications

- Van Wijk, E. & Costas-Comesaña, R. (CWTS 2012): [Bibliometric Study of FWF Austrian Science Fund 2001-2010/11](#)
- [OECD Country Report on Austria](#)