

DER WISSENSCHAFTSRAT BERÄT DIE BUNDESREGIERUNG
UND DIE REGIERUNGEN DER LÄNDER IN FRAGEN
DER INHALTLICHEN UND STRUKTURELLEN ENTWICKLUNG DER
HOCHSCHULEN, DER WISSENSCHAFT UND DER FORSCHUNG.

COLOGNE | OCTOBER 2010

Information on the Excellence Initiative

Objectives of the Program

The Excellence Initiative is based on an agreement of the German federal government and the 16 state governments and conducted by the German Research Foundation (DFG) and the German Council of Science and Humanities (WR). The program aims to

- _ promote top-level university research
- _ create excellent conditions for young researchers
- _ motivate cooperation across disciplines and institutions
- _ enhance internationalization
- _ promote equal opportunities for men and women at universities

The Excellence Initiative wants to improve

- the general standard of university research in Germany
- the international competitiveness and visibility of German universities.

Basic Data

Duration: 2 x 5 years (2006-2011/2007-2012 + 2012-2017)

Financing:

- _ 1st Phase: € 1.9 bn (€ 380 mn/year)
- _ 2nd Phase: € 2.7 bn (€ 540 mn/year)

→ thereof 75 % by the federal government, 25 % by the state governments

Structure

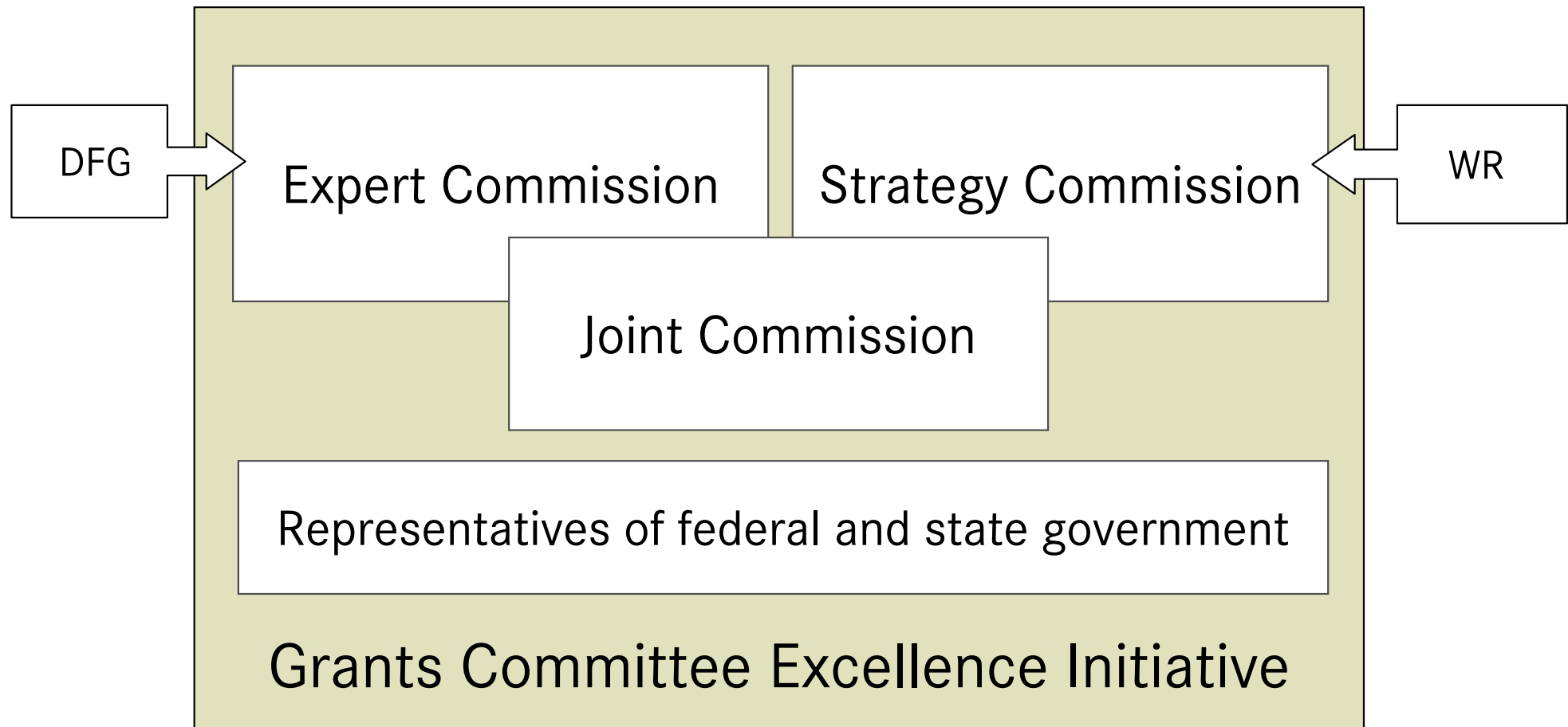
3 Funding Lines:

- _ **Graduate Schools** to promote young researchers
- _ **Clusters of Excellence** to promote top level research
- _ **Institutional Strategies** to promote top level research

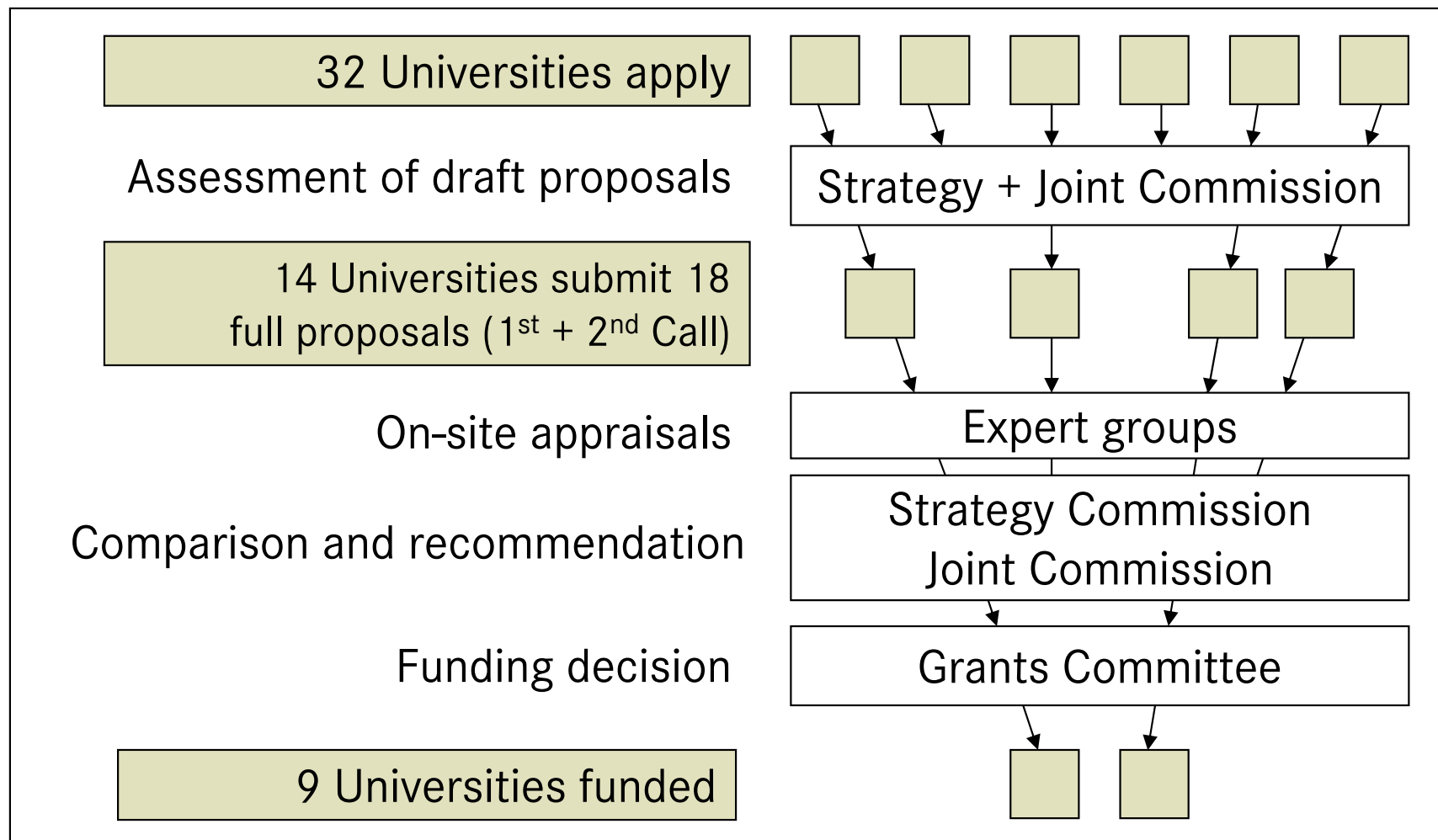
2nd Program Phase 2012-2017 – what's new?

- _ € 2.7 bn: competition of new and renewal proposals
- _ inclusion of teaching in Institutional Strategies:
 - * proposal of a concept for research-oriented teaching is optional
 - * impact of research funding on teaching has to be considered
- _ introduction of “funding margins”:
 - Graduate Schools: € 1 – 2.5 mn/year
 - Excellence Cluster: € 3 – 8 mn/year
 - Institutional Strategies: € 142 mn/year

Committees involved in the *Excellence Initiative*

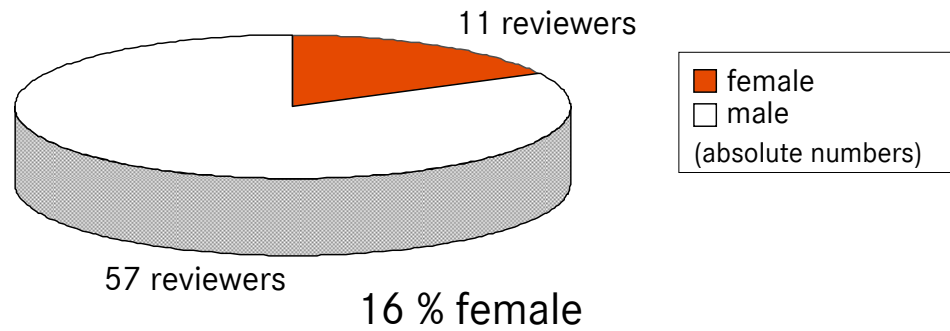


Selection Process *Institutional Strategies* (1st Program Phase)

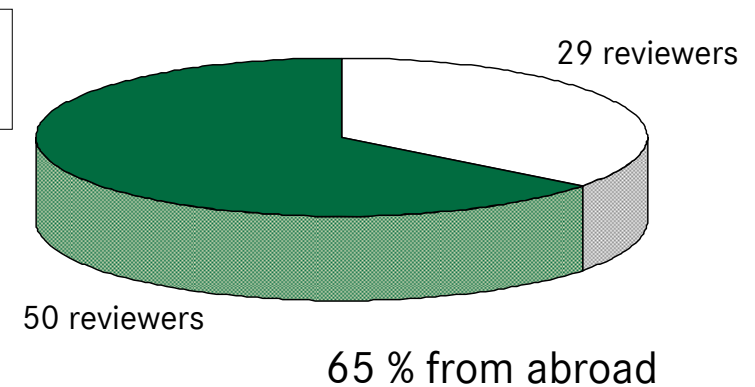
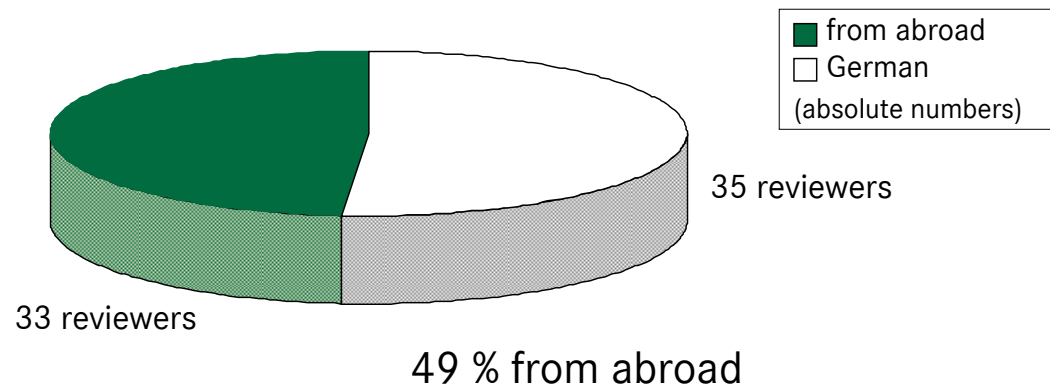
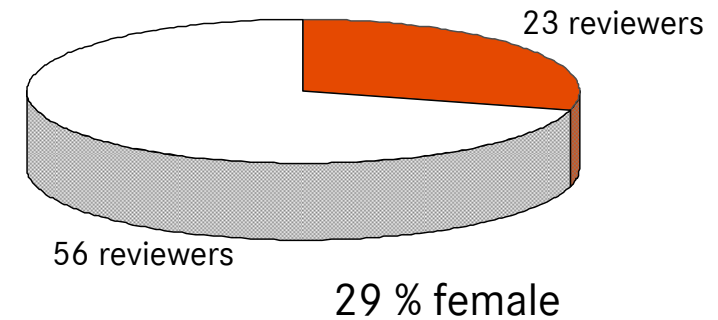


Composition of Expert Groups for Institutional Strategies (1st Program Phase)

2006



2007



1st Selection Criterion for Funding:

Status Quo of the University

- _ Excellence in a number of academic fields (at least 1 Cluster of Excellence + 1 Graduate School...)
- _ Attractive framework conditions for top researchers at every career level
- _ Positive development over the last years, high potential to become international competitive as an institution

2nd Selection Criterion for Funding: *Institutional Strategy (Project)*

- _ Based on an analysis of strengths and weaknesses
- _ Promotion of top-level research
- _ Advancement of young researchers
- _ New governance models
- _ Interdisciplinarity and cooperation
- _ International network
- _ Sustainability

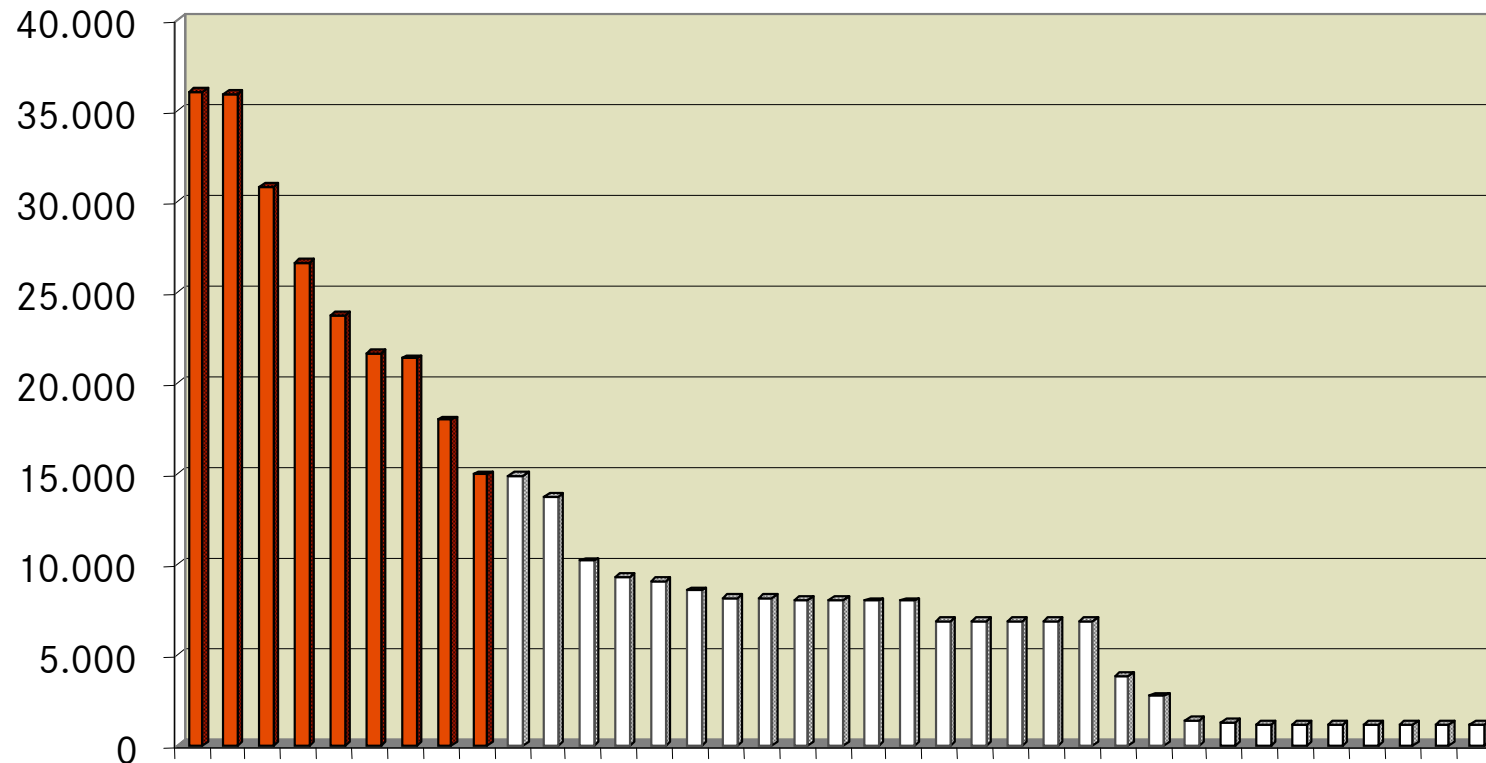
Results of the 1st Program Phase

Funded Projects:

- _ **39 Graduate Schools** (Ø € 1 mn per School/year)
= 10 % of total amount
- _ **37 Clusters of Excellence** (Ø € 6.5 mn per Cluster/year)
= 60 % of total amount
- _ **9 Institutional Strategies** (Ø € 12.5 mn per University/year)
= 30 % of total amount

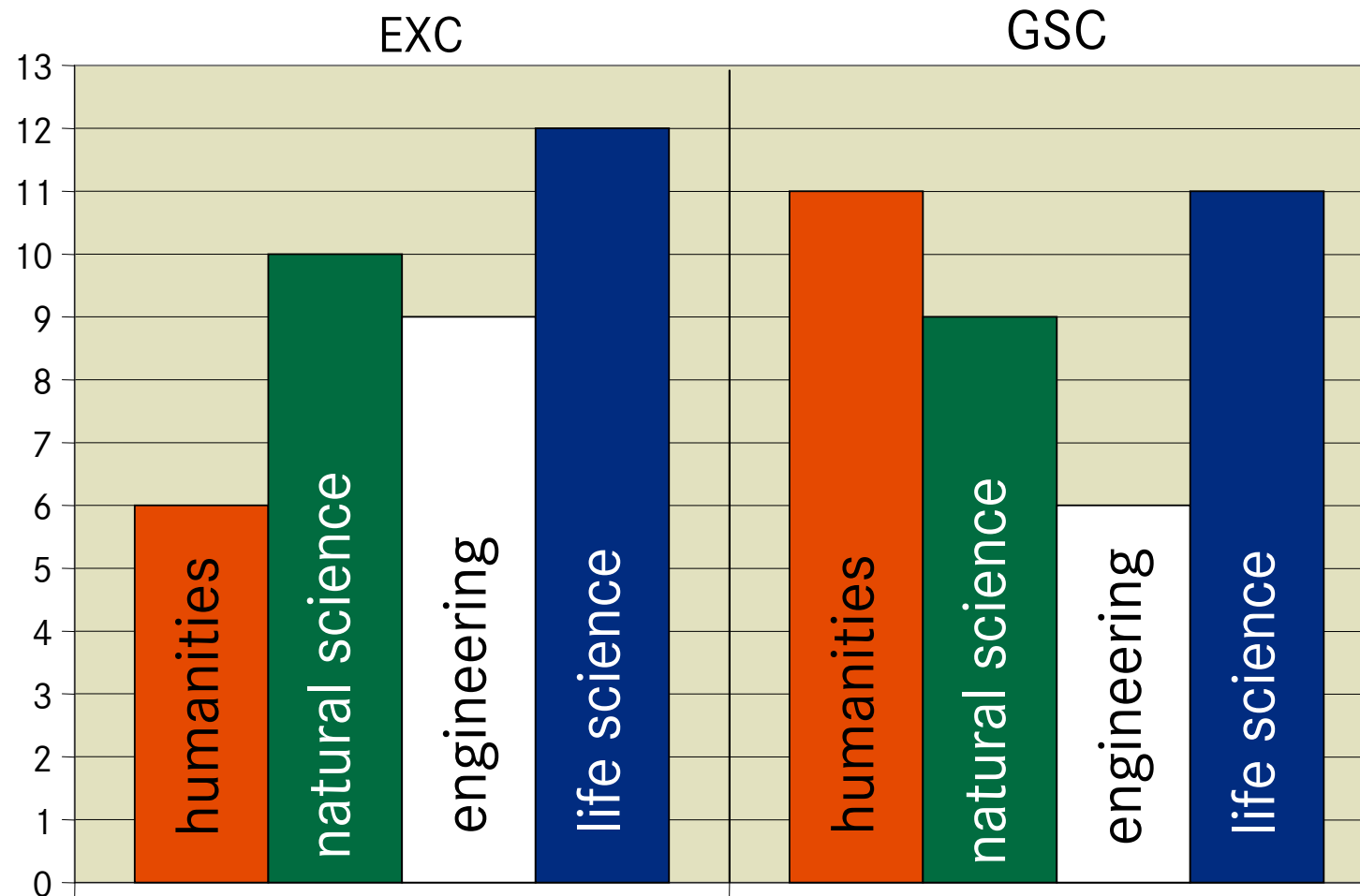
→ **85 funded projects at 37 public universities**
(out of 84 public + 22 private universities)

Results (1st Program Phase): Funding (in T€ per year and per university)



(Results 1st and 2nd Call, all Funding Lines)

Results (1st Program Phase): Distribution of funded proposals per disciplines



Impact of the program on the institutional setting for research

- _ overarching structures for cooperation across disciplines, institutions & with industry
- _ professional governance
- _ systematic quality assurance
- _ flexibility of budget
- _ tenure track options
- _ PhD-programs/schools
- _ dual career programs & child care services
- _ support for international researchers (welcome centers etc.)

Impact of the program on the German HE system

- _ additional money for university research
- _ about 4000 new research positions
- _ improved opportunities for female researchers
- _ internationalization & international attractiveness
- _ increased public awareness for the universities and their research
- _ autonomy and flexibility for the universities
- _ strategic capacity & institution building
- _ creativity boost: tailor-made proposals (“competition of ideas”!)
- _ competition & cooperation between universities and the research organizations
- _ driving force of differentiation between and within universities

Lessons learned

- _ Additional money is good for the system, but what about the balance between selected spots and the rest: how much stratification is good for the HE system?
- _ Finally money for big-scale projects, but are small and medium-sized universities at a disadvantage? What about the humanities and social sciences?
- _ All about research? Teaching matters!
- _ Boost, but request of sustainability is a big challenge!
- _ Internationalization, but restrictions remain: the salary has limits!
- _ The Excellence Initiative cannot solve all the problems!

Next Stages

- _ March 2010: **Call** for proposals
- _ March 2011: **Selection** of pre-proposals
- _ June 2012: **Comparison** of initial and renewal proposals, **recommendation** and **funding decision**
- _ June 2015: **Report** on the program by WR and DFG
(data based report)
- _ January 2016: **Evaluation** of the program by international experts
- _ End of 2016: **Political decision** on the future of the program