

**Excellence Initiative by the German federal and state governments
to promote top-level research at German universities
- Second Programme Phase -**

Cologne, 2010-03-12

Notes

on preparing a draft proposal for an Institutional Strategy

A draft proposal for the third funding line (Institutional Strategies) should be submitted in **English and German** by **September 1, 2010** (strict deadline). The draft proposal may not exceed 25 pages (excluding cover sheet, table of contents and annexes; font: Arial 11pt; line spacing 1.5, margin 3 cm all round, layout A4). For contents and page numbers, the English version is definitive.

In addition to the printed version (25 copies), an electronic version (PDF file on CD-ROM) is requested.

Please combine the draft proposal and accompanying documents into one file (for example in Word format) and include a table of contents with bookmarks. This main file should be converted into a PDF document. When converting to PDF, please note the settings. The programme should automatically generate the table of contents in Word into bookmarks in PDF. The PDF document should not include password protection or access restrictions and should allow your documents to be read, copied and printed.

The draft proposal has to be structured as described below. Under each headline you will find information regarding the main aspects to be covered in the respective section, and the recommended length of the section.

Further information is available from the Office of the German Council of Science and Humanities (WR); contacts: Dr. Sabine Behrenbeck (behrenbeck@wissenschaftsrat.de, 0221-3776-234 or -263) and Dr. Hildegard Brauns (brauns@wissenschaftsrat.de, 0221-3776-255 or -263).

Institutional Strategy
to Promote Top-Level Research

Title

Draft Proposal

University

Second Programme Phase

**Draft Proposal
for the Establishment and Funding of an
Institutional Strategy to Promote
Top-Level Research**

"Title" <in German>

"Title" <in English>

Applying University:

Rector or President of the university:

Title First name Surname

Address:

Tel: Tel.

Fax: Fax

E-Mail: E-Mail

Location, date

Name and signature

Rector/President

Cooperation partners:

Table of contents (with recommended maximum length)

| | |
|--|------------|
| Overview | (2 pages) |
| 1. Status Quo | (9 pages) |
| 2. Institutional Strategy – project description | (10 pages) |
| 3. The Institutional Strategy in the context of the university's long-term planning | (4 pages) |
| Annexes ... | |

Overview

- recommended max. length: 2 pages -

Abstract

- length: ½ page max. -

The abstract should give an idea of the project at a glance.

It should include the aims of the project with reference to the Status Quo (see below) and the long-term planning of the university. Also, the abstract can contain a brief outline of the strategy and measures by which these aims are to be achieved.

List of measures

| Measure | Requested funding (for the entire funding period) |
|---------|---|
| | |
| | |
| | |
| | |
| Total | |

Total expenditures

| Staff expenses | Other direct expenses | Investments | Total (for the entire funding period) |
|----------------|-----------------------|-------------|---------------------------------------|
| | | | |

1. Status Quo

- recommended max. length: 9 pages -

This section serves to describe the competences and organizational structures that will support the Institutional Strategy. Please use this section to elucidate the university's capacity to act with regard to strategy development and profile building.

- Please describe your university's profile and its mission regarding research and the advancement of young researchers.
- Please provide evidence for the existing research quality according to international standard in the different research units, especially in the areas defining the university's profile, and for the quality and structure of the promotion of young researchers, such as: centers established in competitive procedures; established funding of collaborative research (incl. other than DFG funding); Graduate Schools and Clusters of Excellence approved for first programme phase of the Excellence Initiative (please also include Graduate Schools and Clusters of Excellence planned for the second phase); projects supported in the context of state initiatives; results of evaluations or comparative assessments; if available a bibliometric evaluation of the research performance, patents, awards and prizes (disciplinary as well as interdisciplinary). Please use Annex 3 for a complete overview table.
- Please explain how attractive for top researchers at every career level the conditions at your university already are, referring to, e.g.:
 - structures and processes of research organization (description of instruments, measures and structures to promote outstanding research, either existing or at the stage of implementation, independent of the proposed Institutional Strategy);
 - infrastructures promoting research;
 - advancement of young researchers;
 - recruitment procedures;
 - the intensity and quality of internationalization, and the international visibility of the university;
 - measures to promote gender equality;
 - the formats and quality of cooperation with external partner institutions (e.g. non-university research institutions, private enterprises, libraries, museums, schools, public authorities).

- If the Institutional Strategy comprises a concept for research-oriented teaching, please outline the status of such teaching at your university. If this is the case, please provide selected performance evidence, e.g. awards, success in competitions, third-party funding for teaching, evaluation by external peers.
- Briefly summarize the strengths, weaknesses, opportunities and threats faced by the university, using the 4-field matrix below (SWOT analysis):

SWOT analysis

| | |
|-----------------------|--------------------|
| Strengths: | Weaknesses: |
| Opportunities: | Threats: |

2. Institutional Strategy – project description

- recommended max. length: 10 pages -

The Institutional Strategy (project) should embrace the university as a whole. Its implementation should visibly strengthen the university's international standing and competitiveness. If successful, the project would initiate a process creating clear advantages in the international competition (verifiable development progress). The proposed measures to promote top-level research and advance young researchers should take into account the university-specific starting situation and result in sustainable strengthening and expansion of competitive areas. Please ensure that your Institutional Strategy will pursue specific objectives, whose achievability within the funding period is plausible and reasonable. Describe the effects intended to

be achieved by the Institutional Strategy within the funding period. Please explain how the project progress will be monitored through the funding period and what milestones are set for this purpose.

The project description must provide information about:

- the project goals and their coherence with the goals of the Excellence Initiative;
- the planned or current structural changes, the institutional strategic approach, which should be plausible in terms of the SWOT analysis and with regard to the high-profile areas of the university (also covering the question of how posteriorities will be dealt with, especially those areas of the university with lower research performance);
- the proposed measures, the resources provided for them from other sources, and the proposed funding sums;
- the expected development progress and intended effects of the measures, regarding target groups/personnel and structures. This should elucidate how the Institutional Strategy would make the university more attractive to top researchers at every career level;
- the anticipated positive effects of the proposed measures for the expansion of top-level research with regard to teaching. Here, it should also be explained how any unintended side effects on teaching would be handled. If a concept for research-oriented teaching is included, its aims and ways of implementation should be outlined, as well.
- the connection, where applicable, between measures under the Institutional Strategy and Clusters of Excellence or Graduate Schools, either newly proposed or candidates for renewal;
- the project organization and project management at executive and operational levels. This should cover: decision-making structures (who decides, who controls, who evaluates success?), mechanisms of internal resource allocation and, if applicable, mechanisms of internal competition; also briefly describe the quality management of the project, preferably quoting references (benchmarks) by which the results can be compared to appropriate external standards;
- the planned development of the proposed measures beyond the end of the funding period, explaining which measures would be sustainable and by what provisions and to what extent. For professors initially financed from project funds, the planning beyond the end of Excellence Initiative funding must be outlined;

- the financial planning, reasonably explained regarding total volume as well as specific measures (see tables below):

Financial planning:

| Measure | Staff expenses | Other direct ex- penses | Investments | Total |
|--------------|----------------|----------------------------|-------------|-------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Total | | | | |

Total annual spending for measures:

| Measure | 2012 (Nov/Dec) | 2013 | 2014 | 2015 | 2016 | 2017 (Jan-Oct) | Total |
|--------------|-------------------|------|------|------|------|-------------------|-------|
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Total | | | | | | | |

Staff to be financed through individual funded measures:

| Salary scale ("Full Time Equivalent") | W3 | W2 | W1 | BAT I, Ia, Ib E 15Ü, 15, 14 | BAT IIa E 13Ü, 13 | other |
|--|----|----|----|--------------------------------|----------------------|-------|
| Measure 1 | | | | | | |
| ... | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| Total | | | | | | |

3. The Institutional Strategy in the context of the university’s long-term planning

- recommended max. length: 4 pages -

Please describe the coherence between the Status Quo, the Institutional Strategy and the university’s long-term planning. Explain, against this backdrop, in what respect the funding of the Institutional Strategy would enable critical progress beyond the Status Quo. Please also expound how the proposed Institutional Strategy would complement or sharpen the profile of the university, how it could build on earlier successes, and how it accounts for current issues and challenges. Specifically, the following should be outlined in this section:

- the university’s long-term goals regarding research and the advancement of young researchers;
- the strategic approach for achieving the long-term goals and developing the areas defining the university profile; please explain how the Institutional Strategy is integrated in the university’s long-term planning – also in connection with other draft proposals and intended renewal proposals through the Excellence Initiative (first and second funding lines);
- the foreseeable effects of the Institutional Strategy within the university (including on teaching) and beyond, for the sustained expansion of top-level research; please also include a statement about the university’s position among the ranks of national and international research competitors, and name international benchmark institutions.

At this point, please declare that all legal requirements for implementing the Institutional Strategy are in place or (as agreed with the home state of the university) will be met in time for the funding start date.

Separately, the federal state is expected to provide by September 1, 2010:

Declaration of the State

comprising the following elements:

- commitment to co-fund the project (25 %);
- legal review of the proposed measures under the project; if necessary: plans to establish the necessary legal basis;
- consent for support to ensure sustainability of the project measures.

Annexes

Annex 1 – Basic data of the university

Current figures according to the definition/format of official statistics

- Total budget, of which third-party funding (not weighted)
- Third-party funding (not weighted) per professor and per academic staff (incl. professors) (total and detailed for subject groups according to official university records)
- Number of enrolled students, of which female/of which international (total and detailed for the following degrees: Diplom, Magister, Staatsexamen, Bachelor, Master)
- Professorships (C4/C3/C2 or W3/W2/W1), of which female/of which international (physical persons, not Full Time Equivalent or positions)
- Student/tutor ratio (enrolled students per professor)
- Academic staff (excl. professors), of which third-party funded/of which female/of which international (physical persons, not Full Time Equivalent or positions)
- Number of graduates p.a., of which female/of which international (for the last three years, total and detailed for the following degrees: Diplom, Magister, Staatsexamen, Bachelor, Master)
- Number of doctorates p.a., of which from women/of which from international graduates (for the last three years, total and detailed for subject groups according to official university records)
- Number of habilitations p.a., of which from women/of which from international candidates (for the last three years, total and detailed for subject groups according to official university records)
- Number of professors appointed p.a., of which female/of which international (for the last three years, total and detailed for subject groups according to official university records)

Annex 2 – Graphic chart of the decision-making structures and processes of the university

highlighting any changes planned under the proposed Institutional Strategy

Annex 3 – Information pertaining to the quality and structure of research and the advancement of young researchers

| Type | Description | Number | Comments |
|--|--------------------------------------|---------|----------|
| Academic Awards (awarded to active members): | | | |
| | | | |
| | | | |
| Type | Description | Ranking | Comments |
| Rankings: | | | |
| DFG Funding Ranking | in terms of total funding | | |
| | in terms of number of professorships | | |
| ... | | | |

| Type | Designation | Number | Comments |
|--|--------------------------------|--------|----------|
| DFG funds | Clusters of Excellence | | |
| | Graduate Schools | | |
| | Collaborative Research Centres | | |
| | Research Training Groups | | |
| | Research Units | | |
| | ... | | |
| EU funds | Integrated Projects | | |
| | Networks of Excellence | | |
| | ... | | |
| Federal funds | | | |
| State funds (from competition process) | | | |
| Funds from foundations | | | |
| ... | | | |
| Type | Description | Number | Comments |
| Patents | | | |
| | | | |

Annex 4 – Third-party funding

Principal projects/initiatives for the high-profile areas of the university

a) Overall funding volume (spending, not funds approved)

| Type | 2005 | 2006 | 2007 | 2008 | 2009 |
|--|------|------|------|------|------|
| DFG funds | | | | | |
| Total | | | | | |
| of which funds from the Excellence Initiative (GSC, EXC) | | | | | |
| EU funds | | | | | |
| Federal funds | | | | | |
| State funds (from competition processes) | | | | | |
| Funds from private sector/industry | | | | | |
| Funds from foundations | | | | | |
| ... | | | | | |

b) Funding period

| Type | Designation | Title | Funding period (start, end) |
|-------------|-------------|-------|-----------------------------|
| DFG funding | SFB | | |
| | ... | | |

| | | | |
|---|-----|--|--|
| | | | |
| EU funding | IP | | |
| | ... | | |
| Federal funding | | | |
| | | | |
| State funding (competition processes) | | | |
| | | | |
| Industry funding | | | |
| Funds from foundations | | | |
| ... | | | |

Annex 5 – Biographical sketch of leading researchers

(for an Institutional Strategy containing disciplinary measures or activities)

1 Page per researcher, max. 10 publications

Annex 6 – Projects in the first and second funding line

Intended renewal proposals for projects already funded in the first programme phase, and draft proposals for the second phase. Status for each entry (e. g. funded "since 2006", "since 2007", "Draft").

| Funding line | Title | Partner | Status |
|--------------------------|-------|---------|--------|
| Graduate School | | | |
| ... | | | |
| | | | |
| Cluster of Excellence | | | |
| ... | | | |

Annex 7 – Glossary

Please provide a glossary showing the English and German designations of the committees, faculties, institutions etc. mentioned in the draft proposal.