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Stellungnahme zum  
**Wissenschaftskolleg**  
zu Berlin – *Institute for*  
*Advanced Study Berlin*



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Vorbemerkung	5
A. Kenngrößen	6
B. Aufgaben	7
C. Stellungnahme und Empfehlungen	8
Attachment: Evaluation Report on the <i>Wissenschaftskolleg zu Berlin</i> – Institute for Advanced Study Berlin	21



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# Vorbemerkung

Das Land Berlin hat in Abstimmung mit dem Bundesministerium für Bildung und Forschung (BMBF) als weiterem Zuwendungsgeber den Wissenschaftsrat mit Schreiben vom 17. September 2014 gebeten, das Wissenschaftskolleg zu Berlin – *Institute for Advanced Study Berlin* (WiKo) zu evaluieren und vor dem Hintergrund der Veränderungen in der nationalen und internationalen Wissenschaftslandschaft seit der vergangenen Evaluation durch den Wissenschaftsrat im Jahr 2001 eine neuerliche Standortbestimmung der Einrichtung vorzunehmen. |<sup>1</sup>

Der Wissenschaftsrat hat seinen Evaluationsausschuss im Januar 2015 gebeten, die Evaluation des Wissenschaftskollegs durchzuführen; dieser hat eine entsprechende Arbeitsgruppe eingesetzt. In dieser Bewertungsgruppe haben auch Sachverständige mitgewirkt, die nicht Mitglieder des Wissenschaftsrates sind. Der Wissenschaftsrat ist ihnen zu besonderem Dank verpflichtet.

Die Bewertungsgruppe hat das Wissenschaftskolleg vom 3. bis 4. Dezember 2015 besucht und auf der Grundlage dieses Besuchs einen Bewertungsbericht verfasst. Nach Verabschiedung durch die Bewertungsgruppe ist der Bewertungsbericht im weiteren Verfahren nicht mehr veränderbar.

Der Evaluationsausschuss des Wissenschaftsrates hat auf der Grundlage dieses Bewertungsberichts am 9. Juni 2016 die wissenschaftspolitische Stellungnahme erarbeitet. Der Wissenschaftsrat hat die Stellungnahme auf seinen Sitzungen vom 6. bis 8. Juli 2016 in Kiel beraten und verabschiedet.

| <sup>1</sup> Frühere Evaluationen des WiKo durch den Wissenschaftsrat fanden in den Jahren 1982 und 1988 statt.

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# A. Kenngrößen

Das Wissenschaftskolleg zu Berlin – *Institute for Advanced Study Berlin* (im Folgenden: WiKo oder Kolleg) wurde 1980 in der Form eines gemeinnützigen Vereins gegründet. Seine finanzielle Unterstützung erhält das Kolleg von der ebenfalls 1980 eingerichteten Wissenschaftsstiftung Ernst Reuter. In den frühen 1980er Jahren sorgten das Land Berlin und die VolkswagenStiftung für die Aufbaufinanzierung und statteten das Kolleg mit zwei Gebäuden aus. Seit 1985 werden die für den Betrieb des Kollegs erforderlichen Mittel der Stiftung zu gleichen Teilen vom Land Berlin und dem zuständigen Bundesministerium – heute dem Bundesministerium für Bildung und Forschung (BMBF) – zugewendet. Seit 1998 trägt das Eidgenössische Departement für Wirtschaft, Bildung und Forschung der Schweiz ebenfalls zur dauerhaften Grundfinanzierung bei.

Im Haushaltsjahr 2015 verfügte das WiKo über institutionelle Zuwendungen durch die Wissenschaftsstiftung Ernst Reuter im Umfang von 7,1 Mio. Euro. Hiervon stammten 3,4 Mio. Euro vom Land Berlin, 3,4 Mio. Euro vom Bund und 329 Tsd. Euro von der Schweizer Eidgenossenschaft. Die Personalausgaben des WiKo betragen 2,6 Mio. Euro. Für Fellow-Stipendien wurden 2,9 Mio. Euro zur Verfügung gestellt.

Im Zeitraum von 2012 bis 2014 hat das WiKo Drittmittel in Höhe von insgesamt 7,1 Mio. Euro verausgabt. Davon stammten 67 % vom Land Berlin, 28 % von Stiftungen, 3 % von sonstigen Drittmittelgebern und 2 % von der Europäischen Union. Im Jahr 2015 lag das Drittmittelvolumen bei Einnahmen von 2,6 Mio. Euro.

Am 31.12.2015 (Stichtag) verfügte das WiKo über 39,6 Stellen (Vollzeitäquivalente, VZÄ), darunter elf Stellen für akademisches Personal (darunter ein VZÄ unbesetzt). Acht dieser Stellen waren befristet besetzt. Hinzu kamen 5,6 drittmittelfinanzierte Stellen (VZÄ), darunter 2,4 VZÄ für akademisches Personal. Insgesamt waren am Stichtag 63 Personen am WiKo tätig, darunter 16 Akademikerinnen und Akademiker.

Im akademischen Jahr 2015/2016 befinden sich 48 Fellows am Kolleg, 32 von ihnen für das gesamte akademische Jahr (vom 16. September 2015 bis 15. Juli 2016) und 16 *Fellows* für kürzere Zeiträume (durchschnittlich 4,2 Monate).

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# B. Aufgaben

Die Aufgaben des Wissenschaftskolleg zu Berlin – *Institute for Advanced Study Berlin* werden in der Satzung des gleichlautenden e. V. als Vereinszwecke wie folgt definiert:

„(1) Das Wissenschaftskolleg [...] dient der Wissenschaft, indem es anerkannten Gelehrten die Ausführung selbstgewählter Forschungsarbeiten in Berlin ermöglicht. Es fördert die Zusammenarbeit zwischen den Forschern, insbesondere auch zwischen Forschern aus verschiedenen Ländern und Disziplinen, sowie zwischen ihnen und anderen Persönlichkeiten des geistigen Lebens. Es widmet besondere Aufmerksamkeit der Förderung jüngerer Forscher.

(2) Das Kolleg pflegt die Beziehungen zu den ehemaligen wissenschaftlichen Mitgliedern (Fellows) und fördert zeitlich befristet Projekte, insbesondere wenn sie mit ehemaligen Fellows in Verbindung stehen oder der Gewinnung zukünftiger wissenschaftlicher Mitglieder dienen.“

Durch seinen englischen Namenszusatz nimmt das Kolleg Bezug auf das *Institute for Advanced Study* in Princeton (New Jersey, USA, gegründet 1930) als derjenigen Institution, deren Name zum Gattungsbegriff für eine Reihe ähnlicher Einrichtungen in aller Welt wurde (siehe Abschnitt C).

Zur Erfüllung seiner satzungsgemäßen Aufgaben beruft das Wissenschaftskolleg für in der Regel ein akademisches Jahr bis zu 50 anerkannte Wissenschaftlerinnen und Wissenschaftler, Persönlichkeiten aus Kunst, Musik und Literatur sowie des öffentlichen Lebens als wissenschaftliche Mitglieder (Fellows). Der Rektor kann überdies Gäste für kurzfristige Aufenthalte einladen. Die Fellows verpflichten sich dazu, vor Ort ihre selbst gewählten Forschungsprojekte zu bearbeiten und am akademischen Leben der Institution teilzunehmen. Ansonsten sind sie frei von Weisungen und Verpflichtungen. Zur Förderung jüngerer Forscherinnen und Forscher sowie zur Pflege der Beziehungen zu ehemaligen Fellows hat das Kolleg spezifische Formate eingerichtet. Gegenwärtig fördert bzw. unterstützt das Kolleg im Rahmen seiner satzungsmäßigen Aufgaben unter anderem die Projekte/Initiativen „*College for Life Sciences*“, „Transregionale Studien“ sowie „Recht im Kontext“.

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# C. Stellungnahme und Empfehlungen

## *Zur Einordnung und Funktion im Wissenschaftssystem*

Das Wissenschaftskolleg zu Berlin – *Institute for Advanced Study Berlin* – (im Folgenden: WiKo oder Kolleg) erfüllt im Wissenschaftssystem die Funktion einer sozialen Forschungsinfrastruktur. Hierunter versteht der Wissenschaftsrat Einrichtungen, mit deren Hilfe Forscherinnen und Forscher Ideen und wissenschaftliche Erkenntnisse entwickeln, diskutieren und austauschen können. |<sup>2</sup> Dies können soziale Zusammenhänge sein, wie sie z. B. im Kontext von materiellen disziplinären Infrastrukturen wie Großgeräten, Forschungsschiffen, Laboratorien aber auch Forschungsbibliotheken, Archiven und Ausgrabungsstätten entstehen. Im Bereich der Ideenentwicklung und des Austauschs in den geistes- und sozialwissenschaftlichen Disziplinen, für den interdisziplinären Diskurs zwischen Fachkulturen sowie an den Schnittstellen von Geistes-, Sozial-, Natur- und Technikwissenschaften haben sich so genannte *Institutes for Advanced Studies* (im Folgenden: IAS) als eine spezielle Form sozialer Forschungsinfrastrukturen etabliert, an denen Wissenschaftlerinnen und Wissenschaftler von allen nicht unmittelbar forschungsbezogenen akademischen Aufgaben entpflichtet sind.

IAS lassen sich als aus dem regulären Wissenschaftsbetrieb herausgehobene Orte beschreiben, die einer hochselektiven Auswahl von Wissenschaftlerinnen und Wissenschaftlern – in vielen Fällen auch einer kleineren Zahl von Künstlerinnen und Künstlern sowie Persönlichkeiten des öffentlichen Lebens – für einen begrenzten Zeitraum die Möglichkeit zur Verfolgung selbstgewählter und ergebnisoffener wissenschaftlicher Ideen und Forschungsansätze geben. Sie vergeben – oft auf Stipendienbasis – *Fellowships*, das heißt, eine zeitlich begrenzte Mitgliedschaft im IAS von einigen Wochen bis hin zu mehreren Jahren. Den Fellows wird hierbei Zeit zum Entwickeln und Verfolgen von Ideen

|<sup>2</sup> Siehe Wissenschaftsrat: Empfehlungen zu Forschungsinfrastrukturen in den Geistes- und Sozialwissenschaften, in: Wissenschaftsrat: Empfehlungen zu Forschungsinfrastrukturen, Köln 2011, S. 71-207, hier S. 137-141.



sowie für den Austausch dieser Ideen untereinander gewährt. Die interaktive Komponente unterscheidet IAS von anderen Formen der individuellen Forschungsförderung durch Entpflichtung von anderen akademischen Aufgaben – vom regulären Forschungsfreiemester bis zum *Opus Magnum* Programm der VolkswagenStiftung – und macht ihren besonderen Charakter als soziale Forschungsinfrastrukturen aus. Mit der Kombination aus Vertrauen in die eingeladenen Personen und der Bereitstellung einer weitgehend von anderen Aufgaben und Begründungspflichten freien Forschungsumgebung setzen IAS auch einen Kontrapunkt zur drittmittelförmigen oder an vorgegebenen Programmen ausgerichteten Forschung, die häufig im Horizont von spezifischen Leistungs- oder Ergebniserwartungen der ermöglichenden Institution bzw. der Drittmittelgeber durchgeführt wird. In diesem Sinne erfüllen IAS eine Inkubator-Funktion für das Wissenschaftssystem: im besten Falle fördern sie das Denken von Unerwartetem, riskante, disziplinüberschreitende Kooperationen und die Entwicklung neuer Kombinationen und Forschungsfelder. Das WiKo betrachtet die Einlösung dieser funktionalen Rolle im Wissenschaftssystem explizit als seine Mission. Es lässt sich dem Typus des „klassischen“ IAS zuordnen: einer außeruniversitären und in seiner *Governance* eigenständigen Einrichtung, die dem Vorbild der ersten IAS-Gründung in den USA – dem IAS in Princeton (New Jersey) – folgt.

Von den „klassischen“ IAS lassen sich interuniversitäre und universitätsbasierte Einrichtungen unterscheiden. Erstere verfügen – ähnlich wie „klassische“ IAS – über einen hohen Grad an Selbstständigkeit (z. B. in Form einer Stiftung), müssen sich aber in ihrer thematischen Ausrichtung und damit auch bei der Vergabe von *Fellowships* an dem Ziel der Förderung von Kooperationen zwischen den sie tragenden Universitäten bzw. dem Ziel einer Steigerung der Sichtbarkeit und Attraktivität eines Universitätsverbundes orientieren. Universitätsbasierte IAS bzw. *Centers for Advanced Study* (CAS) sind in Deutschland seit 2006 an zahlreichen Standorten neu gegründet worden. Zu nennen sind hier einerseits die Käte Hamburger Kollegs (KHK) in den Geistes- und Sozialwissenschaften, die für eine maximale Zeitspanne von zwölf Jahren vom BMBF gefördert werden, und andererseits CAS oder IAS, die im Rahmen der Umsetzung von Zukunftskonzepten in der Exzellenzinitiative an den entsprechenden Universitäten eingerichtet wurden. Gemeinsam ist diesen universitätsbasierten Einrichtungen, dass sie als bislang zeitlich befristete Projekte in die institutionellen Strategien, Entwicklungspläne und Forschungsschwerpunkte der sie beheimatenden Universitäten eingebunden sind. Im Gegensatz hierzu ist das WiKo als „klassisches“ IAS autonom in seiner internen *Governance*, seiner Themen- und Kandidatenauswahl sowie in seiner Existenz verstetigt.

Trotz ihrer zunehmenden nationalen und internationalen Verbreitung gibt es zu IAS und ihren unterschiedlichen Strukturen und Aufgaben zurzeit weder vergleichende empirische Analysen noch wissenschaftspolitische Bewertungen.

Der Wissenschaftsrat behält sich vor, zu diesem Themenfeld zu gegebener Zeit Stellung zu nehmen.

*Zur wissenschaftlichen Bedeutung*

Die Zahl der Neugründungen von IAS hat seit der letzten Evaluation des WiKo durch den Wissenschaftsrat im Jahr 2001 weltweit zugenommen. Insbesondere in Deutschland wurden seit Mitte der 2000er Jahre diverse IAS bzw. CAS an Universitäten neu eingerichtet (s. o.). Inmitten dieses expandierenden Feldes ist das WiKo als außeruniversitäres IAS auch heute einmalig und genießt weltweit höchste akademische Wertschätzung. Das Kolleg ist unter den deutschen Forschungsinstitutionen und weltweit ein herausgehobener Ort des Austauschs exzellenter Wissenschaftlerinnen und Wissenschaftler aus vielen Disziplinen und aus allen Regionen der Welt. Andere IAS in Deutschland – darunter auch die seit 2006 neu gegründeten universitätsbasierten Einrichtungen – können als Ergänzungen zu Rolle und Funktion des WiKo betrachtet werden. Sie sind oftmals in der Auswahl ihrer Fellows auf einzelne Disziplinen oder bestimmte interdisziplinäre Themenfelder ausgerichtet und/oder in die institutionellen Strategien und profilbildenden Schwerpunkte der sie tragenden Universitäten eingebunden. Im Gegensatz dazu ist das WiKo in der Wahl seiner Agenda weitestgehend unabhängig; hierzu trägt auch das Prinzip der Nichtberücksichtigung von Wissenschaftlerinnen und Wissenschaftlern aus den Berliner Universitäten und Forschungseinrichtungen bei. Eine institutionelle Verzahnung mit der Region ist gleichwohl über die Mitgliedschaft der Berliner Universitäten in der Mitgliederversammlung des WiKo gewährleistet. Der Charakter des WiKo als einer für den Wissenschaftsstandort Deutschland und darüber hinaus bedeutenden Institution wird sowohl durch die Mitgliedschaft zahlreicher Akteure der Allianz deutscher Wissenschaftsorganisationen in der Mitgliederversammlung des Kollegs wie auch durch die Beteiligung der Schweiz an dessen Grundfinanzierung betont.

Im Vergleich zu anderen nationalen und ausländischen IAS ist die Vielfältigkeit der Aufgaben, die das WiKo aus seinem satzungemäßen Auftrag ableitet, sowie deren Kombination und Umsetzung in der Arbeit des Kollegs einzigartig. Hierzu gehören:

- \_ die Gewährung eines in der Regel vollen akademischen Jahres für Forschung und informelle Kooperationen, ohne Verpflichtung zu anderweitigen akademischen Aufgaben – mit Ausnahme der obligatorischen Teilnahme an den gemeinsamen Mittagessen der Fellow-Gruppe und an einem wöchentlichen Kolloquium;
- \_ die Schaffung einer anregenden intellektuellen Atmosphäre für die Fellows, die als einzelne Persönlichkeiten im Mittelpunkt der Arbeit des Kollegs stehen;

- \_ die Bereitstellung herausragender akademischer Serviceleistungen und Kontakthanbahnung für Fellows und Alumni;
- \_ die Kooperation mit Universitäten und anderen Forschungs- und Kultureinrichtungen auf Grundlage der eigenen institutionellen Unabhängigkeit als außeruniversitäres IAS;
- \_ die Förderung *Curiositas*-getriebener Grundlagenforschung in den Naturwissenschaften ebenso wie in den Geistes- und Sozialwissenschaften;
- \_ die Stimulierung unerwarteter Forschungsideen, neuer Pfade und Kooperationen (Serendipität) durch die Anbahnung von Diskussionen, Netzwerken und Verbindungen von Wissenschaftlerinnen und Wissenschaftlern, die sich auf andere Weise nicht begegnet wären;
- \_ das Engagement für die Erschließung neuer wissenschaftlicher Felder und Initiativen zur Förderung einer multidisziplinären Forschung, die noch nicht an den Universitäten etabliert ist;
- \_ die Förderung des Wissenstransfers von innovativen Projekten und Initiativen in die wissenschaftlichen Fachgemeinschaften, Universitäten und andere Forschungseinrichtungen sowie zu einem breiten intellektuell interessierten Publikum;
- \_ die Vorbildfunktion und aktive Unterstützung bei der Gründung neuer IAS/CAS an deutschen Universitäten und im Ausland – mit einem Schwerpunkt auf Mittel- und Osteuropa.

Die genannten Aufgaben und Leistungsbereiche werden in dieser Kombination von keinem anderen IAS in Deutschland und weltweit angeboten bzw. bearbeitet. Das WiKo genießt eine internationale Wertschätzung, mit der es unter den führenden „klassischen“ IAS im globalen Maßstab einzuordnen ist, hierunter das *Princeton Institute for Advanced Study* (New Jersey), das *Radcliffe Institute for Advanced Study at Harvard University* (Cambridge) oder das *Center for Advanced Study in the Behavioral Sciences at Stanford University* (California) in den USA und das *Swedish Collegium for Advanced Study* (Uppsala) oder das *Netherlands Institute for Advanced Study* (Wassenaar) in Europa. Von diesen und anderen Einrichtungen gleichen Typs unterscheidet sich das WiKo gleichwohl durch

- \_ seine mittlere Größe (mit bis zu 50 Fellows),
- \_ den Verzicht auf interne Ausdifferenzierung, z. B. in disziplinäre Klassen oder fachkulturelle Schulen,
- \_ seine Mission der Förderung explizit multidisziplinären wissenschaftlichen Arbeitens an den Schnittstellen von Natur-, Geistes- und Sozialwissenschaften und
- \_ seiner Selbstverpflichtung, ein Ort der Initiierung und Verbreitung neuer wissenschaftlicher Ideen und Felder zu sein.

Diese Eigenschaften machen das WiKo auch innerhalb der Gruppe der weltweit herausragenden IAS zu einer einmaligen Einrichtung, die einen wertvollen Beitrag zur Wertschätzung der Qualität deutscher Wissenschaftsinstitutionen in den internationalen akademischen Fachgemeinschaften, Universitäten und anderen Forschungseinrichtungen leistet.

Der Wissenschaftsrat empfiehlt dem WiKo, sich im Rahmen seiner Weiterentwicklung auf den Ausbau der genannten Alleinstellungsmerkmale zu konzentrieren. Im Mittelpunkt der Fellow-Auswahl sollten hierbei Wissenschaftlerinnen und Wissenschaftler stehen, die Gegenwart und Vergangenheit geleitet von neuen, noch unerprobten Fragestellungen an den Rändern ihrer Herkunftsdisziplinen erforschen wollen. Gegenwärtige gesellschaftliche Herausforderungen können hierbei ebenso eine Rolle spielen wie verdrängte oder „vergessene“ Forschungsfragen. Hierdurch können die besonderen Chancen, die ein IAS der Wissenschaft in der Förderung des Unerwarteten bieten kann, in vollem Umfang genutzt werden. Experimentell arbeitende Natur- und Lebenswissenschaftlerinnen hat das WiKo bislang nur in kleinerem Maßstab für *Fellowships* gewinnen können. Insbesondere für die Erhöhung der Attraktivität in diesem Segment sollte das WiKo die im Folgenden gegebenen Empfehlungen zur Flexibilisierung von *Fellowship*-Formaten und zur Kooperation mit Universitäten und anderen Forschungseinrichtungen aufgreifen.

#### *Zu den Arbeitsformaten*

Dem WiKo gelingt es sehr gut, unter Diversitätsgesichtspunkten heterogene und unter Qualitätsgesichtspunkten herausragende Fellow-Jahrgänge zusammenzustellen und für diese Fellows eine Arbeitsatmosphäre zu erzeugen, die kosmopolitischen und multidisziplinären Gedankenaustausch ermöglicht. Hieraus resultieren oftmals die Entdeckung neuer Forschungsideen oder – durch disziplinäre und kulturelle Grenzen überschneidende Kooperationen – neue Forschungsfelder.

Um die Kooperationsmöglichkeiten unter den Fellows auszuweiten und die Erschließung innovativer Felder anzuregen, hat das WiKo sehr erfolgreich Thematische Fokusgruppen eingeführt, die sich aus einem *Convener* und mehreren weiteren Fellows aus verschiedenen Fachdisziplinen zusammensetzen. Die Auswahl der Mitglieder folgt der Maxime, nicht nur das Thema, sondern wie bei den thematisch „ungebundenen“ *Fellowships* auch, individuelle Persönlichkeiten zu fördern. Die heutige Zusammensetzung eines Jahrgangs aus ca. zwei Dritteln Fellows, die themenunabhängig am WiKo forschen, und einem Drittel Fellows in Thematischen Fokusgruppen ist sehr gut geeignet, die Mission des Kollegs einzulösen. Gleichwohl sollte das Portfolio an Arbeitsformaten für spezifische Adressatengruppen, die das WiKo bislang nicht oder nur schwierig erreicht, noch ausgeweitet werden (s. u.).

Zu den satzungsmäßigen Aufgaben des Kollegs zählt auch die Förderung des wissenschaftlichen Nachwuchses mit abgeschlossener Promotion. Hier haben externe Evaluationen in der Vergangenheit Nachholbedarf gesehen. Seit 2012 hat das WiKo für dieses *Fellow*-Segment – zunächst im Rahmen eines Projekts – das „*College for Life Sciences*“ (CfLS) eingerichtet. *Fellowships* im CfLS werden abweichend vom sonstigen Auswahlverfahren in offenen Ausschreibungen und mit Bewerbungsfristen offeriert, die Aufenthaltsdauer ist mit in der Regel drei bis vier Monaten kürzer als die reguläre Dauer eines *Fellowships*, um die berufliche Situation der Nachwuchswissenschaftlerinnen und -wissenschaftler besser berücksichtigen zu können. Das CfLS hat sich insgesamt exzellent entwickelt; es sollte nicht nur fortgeführt, sondern ausgeweitet werden. Dem WiKo wird empfohlen, das CfLS mittelfristig über das bisher hauptsächlich angesprochene Feld der evolutionären Biologie auch für andere, bislang am Kolleg unterrepräsentierte Angehörige naturwissenschaftlicher Disziplinen attraktiv zu gestalten. Hierzu könnte eine weitere Vertiefung der Kooperationen mit den Universitäten und außeruniversitären Forschungseinrichtungen in der Region Berlin-Brandenburg beitragen. Das Kolleg sollte die Möglichkeit prüfen, ob CfLS-Fellows mit ihrer Bewerbung die Einladung einer etablierten Forscherpersönlichkeit aus ihrer Disziplin, mit der sie während ihres Aufenthalts zusammenarbeiten wollen, als Gast vorschlagen können.

#### *Zu Initiativen und Projekten*

Die Förderung von wissenschaftlichen Ansätzen und multidisziplinären Feldern, die noch nicht an Universitäten vertreten sind oder im Rahmen anderer Forschungseinrichtungen bearbeitet werden, gehört zu einer der Aufgaben, die die besondere Singularität des WiKo begründen. Das Kolleg füllt damit eine innovative Funktion für das Wissenschaftssystem aus und sollte diese Aufgabe engagiert weiterverfolgen. Der Wissenschaftsrat empfiehlt dem WiKo, hierzu vermehrt flexible Instrumente, wie z. B. spezielle Workshops zu aktuellen wissenschaftlichen Herausforderungen, einzusetzen. Zur Aufspürung solcher Trends und Fragestellungen sollte das Kolleg proaktiv sein Alumni-Netzwerk nutzen und neue, vielversprechende Wissenschaftlerinnen und Wissenschaftler in seine Arbeit einbeziehen.

Um hierfür den nötigen finanziellen und personellen Spielraum zu ermöglichen, muss das WiKo allerdings auch klare Kriterien dafür entwickeln, wann und wie Initiativen und Projekte zu beenden sind. Begonnene Initiativen sollten nach spätestens fünf Jahren eine Sichtbarkeit entfaltet haben, die sie für die Überführung in andere Trägerschaften attraktiv macht. Insbesondere wenn das Kolleg die Absicht hegt, eine Initiative auf längere Dauer in die eigene institutionelle Grundfinanzierung zu überführen, muss dem eine externe Evaluierung dieser Initiativen/Projekte vorausgehen. Eine solche Vorgehensweise sollte allerdings eine Ausnahme bleiben. Zu starke Bindungen an einmal begonnene Initiativen und Projekte würden auf Dauer Neuentwicklungen und

damit die wichtige Innovationsfunktion des Kollegs für das Wissenschaftssystem blockieren.

Zuletzt hat das Kolleg erfolgreich die Initiativen „Forum Transregionale Studien“ und „Recht im Kontext“ vorangetrieben. Beide Initiativen greifen Empfehlungen des Wissenschaftsrates zur Weiterentwicklung ihres jeweiligen Gegenstandsbereichs auf.<sup>3</sup> So hat z. B. das „Forum Transregionale Studien“ erstmalig die regionalen Expertisen der *Area Studies* in Deutschland gebündelt und die entsprechenden Professuren und Fachbereiche an deutschen Universitäten und im Ausland nachhaltig miteinander vernetzt. „Recht im Kontext“ hat sich unter der Leitung eines *Permanent Fellows in Residence* der interdisziplinären Weiterentwicklung der Rechtswissenschaft verschrieben – bislang mit einem starken Fokus auf Verfassungsrecht und Rechtskulturenvergleich. Hier wird die beabsichtigte Wirkung auf das Gros der universitären Rechtswissenschaft noch nicht vollständig erreicht. Es wird deshalb empfohlen, das Netzwerk durch eine Öffnung für Problemstellungen des Straf- und Privatrechts sowie den stärkeren Einbezug juristischer Praxisfelder auf eine breitere Basis zu stellen.

#### *Zu Kooperationen*

Das WiKo ist in die Berlin-Brandenburgische Forschungslandschaft gut integriert und unterhält insbesondere über seine *Permanent Fellows in Residence* enge Kontakte zur Humboldt-Universität zu Berlin (HU) und zur Freien Universität (FU) Berlin sowie zum Max-Planck-Institut für Wissenschaftsgeschichte. Es wird sehr begrüßt, dass das Kolleg seine Kooperationen mit lebenswissenschaftlichen Einrichtungen – wie dem Max-Delbrück-Centrum für Molekulare Medizin (MDC) und dem Integrierten Forschungsinstitut für Lebenswissenschaften, gemeinsam getragen von der HU, dem MDC und der *Charité* – jüngst intensiviert hat. Zur Steigerung seiner Attraktivität für Nachwuchswissenschaftlerinnen und -wissenschaftler aus den experimentell arbeitenden Natur- und Lebenswissenschaften sollten solche Kooperationen weiter ausgebaut werden.

Das WiKo kooperiert mit Universitäten – sowohl in Berlin als auch deutschlandweit – auf einem guten Niveau, könnte diese Kooperationen aber noch intensivieren, um seinen internationalen Fellows größtmögliche Kontaktmöglichkeiten zu deutschen Wissenschaftlerinnen und Wissenschaftlern zu bieten. Auf lokaler Ebene sollten beispielsweise Vorträge, öffentliche Diskussionen

<sup>3</sup> Siehe Wissenschaftsrat: Empfehlungen zu den Regionalstudien (*area studies*) in den Hochschulen und außeruniversitären Forschungseinrichtungen vom Juli 2006, in: ders.: Empfehlungen und Stellungnahmen 2006, Bd. III, S. 7-87, Köln 2007, sowie ders.: Perspektiven der Rechtswissenschaft in Deutschland. Situation, Analysen, Empfehlungen, Drs. 2558-12, Hamburg 2012.

oder Workshops unterstützt werden, die Fellows außerhalb des WiKo im Berliner Stadtzentrum oder direkt an den Universitäten abhalten. Damit könnte auch die Sichtbarkeit des Kollegs in der Stadt insgesamt gesteigert werden. Hinsichtlich der Kontakthanbahnung und der Vermittlung von Zugang zu universitären Laboren und Forschungsgeräten sollte auch vermehrt auf die *Permanent Fellows in Residence* und deren Netzwerke zurückgegriffen werden. Im Gegenzug sollten auch die deutschen Universitäten – und im Besonderen die drei Berliner Universitäten – das WiKo als ein IAS von nationaler Bedeutung und internationaler Anziehungskraft in ihre Internationalisierungsstrategien stärker mit einbeziehen. Das internationale Netzwerk an WiKo-Alumni böte hier zahlreiche Anknüpfungsmöglichkeiten, von denen deutsche Wissenschaftseinrichtungen bislang noch zu wenig Gebrauch machen.

In seinen eigenen Bemühungen, die Entwicklung viel versprechender wissenschaftlicher Felder zu unterstützen, sollte das Kolleg darauf achten, Strukturen und Ansätze, die bei anderen Berliner Wissenschaftseinrichtungen bereits vorhanden sind oder bereits angegangen werden, nicht zu duplizieren.

Die vorhandenen Kooperationen mit Berliner Kultureinrichtungen und Museen sind wichtig – sowohl für die Fellows des WiKo als auch für die Partnerinstitutionen – und sollten weiter ausgebaut werden. Unklar ist noch, wie sich das WiKo mit seinen Fellows in das im Aufbau befindliche Berliner Humboldt-Forum einbringen könnte. Das Kolleg wird in diesem Zusammenhang ermutigt, die sich hieraus in Zukunft noch ergebenden Kooperationsmöglichkeiten zu erschließen und auszuschöpfen. Als offener Ort kosmopolitischen und multidisziplinären Austauschs ist das WiKo für das Humboldt-Forum ein sehr geeigneter Partner.

Zu den hervorzuhebenden Kooperationspartnern im nationalen Maßstab gehören die Einrichtungen des Forschungsverbundes Marbach-Weimar-Wolfenbüttel (MWW) – das Deutsche Literaturarchiv Marbach, die Herzog August Bibliothek Wolfenbüttel und die Klassik Stiftung Weimar. Der Forschungsverbund hat 2014 seine Geschäftsstelle beim WiKo angesiedelt. Dieser Schritt wird sehr begrüßt, da die enge Kooperation den Sammlungen und Projekten des MWW-Verbundes zu größerer internationaler Sichtbarkeit und gemeinsamen Forschungsprojekten mit Fellows und Alumni des WiKo verhelfen kann. Auf der anderen Seite können die geisteswissenschaftlichen Fellows des WiKo von dem direkten Zugang zu den MWW-Einrichtungen unmittelbar profitieren. Des Weiteren kann das WiKo an der Expertise, die die MWW-Einrichtungen im Bereich der *Digital Humanities* entwickeln, partizipieren.

Als eines der weltweit führenden IAS ist das WiKo in zahlreiche internationale IAS-Netzwerke involviert, hierunter der europäische NetIAS-Verbund sowie die transatlantische SIAS-Gruppe (*Some Institutes for Advanced Study*). In der gemeinsamen Durchführung von Austauschprogrammen nimmt das WiKo wichtige Funktionen wahr. Der Wissenschaftsrat nimmt mit Bedauern zur Kenntnis,

dass das transatlantische Austauschprogramm der SIAS *Summer Institutes* aufgrund des Rückzugs des amerikanischen Mitförderers aus der Finanzierung nicht weiter durchgeführt werden kann. Die Fortführung des Programms wird als wichtig erachtet. Dem WiKo wird entsprechend empfohlen, zusammen mit dem bisherigen deutschen Unterstützer – der Alexander-von-Humboldt-Stiftung (AvH) – einen neuen amerikanischen Mitförderer zu suchen.

International hat sich das WiKo auch große Anerkennung bei Aufbau und Unterstützung neuer IAS erworben. Hervorzuheben ist in diesem Zusammenhang seine wichtige Rolle für den Aufbau und die dauerhafte Etablierung von IAS in Mittel- und Osteuropa wie z. B. dem Collegium Budapest (heute: *Center for Advanced Study* an der *Central European University*), dem *New Europe College* (Bukarest), dem *Center for Advanced Study* in Sofia, der *Bibliotheca Classica* (St. Petersburg) oder dem *Center for Advanced Studies in South East Europe* (Rijeka). Für einige dieser Einrichtungen ist das WiKo bis heute als vermittelnder Berater und administrativer Partner tätig. In dieser Rolle ist das Kolleg ein wichtiger Akteur deutscher Außenwissenschaftspolitik und des internationalen Austauschs. Aufgrund seiner weitgehenden institutionellen Unabhängigkeit ist das WiKo auch weiterhin prädestiniert, diese Funktion im Interesse der gesamten deutschen Wissenschaft wahrzunehmen.

#### *Zur Fellow-Auswahl*

Dem WiKo gelingt es durch seine Auswahl, intellektuell faszinierende, qualitativ herausragende und zunehmend diverse Fellow-Jahrgänge zusammenzustellen. Die in früheren Evaluationen empfohlenen Maßnahmen zur Steigerung der Heterogenität – mehr weibliche und jüngere Persönlichkeiten sowie mehr Fellows aus bislang unterrepräsentierten Wissenschaftsregionen und -disziplinen – konnte das Kolleg erfolgreich umsetzen, ohne hinsichtlich der Qualität der eingeladenen Mitglieder Abstriche machen zu müssen. Hierzu haben auch neue Gruppen-Formate wie beispielsweise Thematische Fokus-Gruppen und das CfLS maßgeblich beigetragen. In Anerkennung dieser Erfolge sollte gleichwohl der Auswahlprozess für *Fellowships* transparenter gestaltet werden. Für außenstehende Interessenten ist zu wenig erkennbar, nach welchen Kriterien eine Selbstbewerbung am WiKo Erfolg versprechen könnte. Auf der anderen Seite ist auffällig, dass von *Permanent Fellows* und Alumni des WiKo zur Bewerbung ermutigte Kandidaten deutlich höhere Chancen auf eine Einladung haben als andere. Der Wissenschaftsrat ist überzeugt, dass das Kolleg dieses Ungleichgewicht im Interesse der Erschließung weiterer Interessentenpotenziale – gerade im Bereich der für ein IAS schwer zu erschließenden Disziplinen und Weltregionen – durch die Publikation von Mindestanforderungen für Kandidatinnen und Kandidaten sowie durch die stärkere Beteiligung von Gutachterinnen und Gutachtern, die keine Bindung zum Kolleg haben, ausbalancieren kann. Eine transparentere Darlegung von Kriterien und Verfahren würde darüber hinaus eine größere öffentliche Wahrnehmung für die hohen Standards



erzeugen, die das WiKo an die Auswahl seiner Fellows anlegt. In diesem Zusammenhang wird dem WiKo empfohlen:

- \_ Mindestvoraussetzungen für eine Einladung, wie z. B. die wissenschaftliche Qualität der bisherigen Arbeiten, die Qualität und Zielsetzung des eigenen Vorhabens am WiKo oder ein nachweisbares Interesse an multidisziplinärer Diskussion, in einem Kriterienkatalog öffentlich zugänglich zu machen;
- \_ weitere Kriterien der Auswahl, insbesondere Diversitätsgesichtspunkte und den Kolleg-spezifischen Fokus auf innovative, wenig etablierte Ansätze und Ideen explizit zu benennen;
- \_ Bewerbungen von Kandidatinnen und Kandidaten mit einer hohen Frequenz früherer Aufenthalte an anderen IAS genau zu prüfen und gegebenenfalls Personen ohne vorherige IAS-Erfahrungen den Vorzug einzuräumen;
- \_ in kleinerem Umfang – wie bereits heute für das CfLS – auch Ausschreibungen mit konkreten Bewerbungsfristen für besonders innovative oder risikofreudige Forschungsthemen sowie für Adressaten in spezifischen Weltregionen durchzuführen. Für letztere könnten Ausschreibungen auch in einem breiteren Spektrum von Sprachen und wissenschaftlichen Medien erfolgen;
- \_ die Fokussierung auf einjährige *Fellowships* als Standard für Fellows aus allen Disziplinen aufzugeben. Insbesondere herausragende Naturwissenschaftlerinnen und -wissenschaftler könnten über kürzere *Fellowships* besser gewonnen bzw. zu einem Aufenthalt am WiKo ermutigt werden. Für dieses Segment sind insbesondere die Erfahrungen zu berücksichtigen, die das WiKo seit 2012 mit den CfLS-*Fellowships* sammelt.

#### *Zu Transfer und Serviceleistungen*

Das WiKo entfaltet eine breite Palette an IAS-typischen Transferaktivitäten wie z. B. die Verleihung des Anna-Krüger-Preises oder die Mitorganisation von Kolloquien und Vorträgen wie z. B. das Blankensee Colloquium oder die *Ernst Mayr Lectures*. Diese erfolgreichen Aktivitäten könnten durch weitere Veranstaltungen ergänzt werden, die das Kolleg bislang auf seinem eigenen Gelände im Grunewald abhält, die aber eine höhere Sichtbarkeit erreichen könnten, wenn sie in geeignete Lokalitäten in der Stadtmitte oder in die Berliner Universitäten verlegt würden. Dort könnten auch Studierende von der Präsenz der hochrangigen Fellows in ihrer Stadt profitieren.

Die öffentliche Präsentation der Arbeitsvorhaben seiner Fellows hat das WiKo in Form von Broschüren, Jahresberichten und anderem Informationsmaterial ansprechend gestaltet. Insbesondere die Webseite des Kollegs, mit zahlreichen interaktiven Elementen, ist vorbildlich.

Auch auf Anregung früherer externer Evaluierungen hat das WiKo seine Alumni-Arbeit weiterentwickelt und mit der Einführung des *Fellow Forums* im

Jahr 2013 auf eine viel versprechende Weise institutionalisiert. Der Wissenschaftsrat begrüßt, dass Alumni nun die Möglichkeit haben, an das Kolleg zurückzukehren um dort Tagungen und Workshops abzuhalten, zu denen sie eigene Gäste einladen können. Zur weiteren Stärkung seiner internationalen Ausstrahlung sollte das WiKo auch die Organisation wissenschaftlicher Veranstaltungen an den Heimateinrichtungen ausgewählter Alumni aus dem Ausland in Betracht ziehen.

Alle auf die Fellows bezogenen Services – z. B. die Stipendienvergabe, Verhandlungen mit Heimateinrichtungen von Fellows, wissenschaftliches Mentoring, die Haus- und Zimmerverwaltung, Bibliothek, IT, familienbezogene Dienstleistungen bis hin zum Kolleg-eigenen Restaurant – sind vorzüglich und genießen unter den Fellows eine sehr hohe Wertschätzung. Die am WiKo obligatorischen Formen der sozialen Vergemeinschaftung – wie z. B. das tägliche gemeinsame Mittagessen sowie ein gemeinsames Kolloquium und Abendessen in der Woche – sind einem internationalen IAS angemessen. Das Kolleg sollte allerdings darauf achten, dass hieraus keine verpflichtenden Routinen entstehen, und mit flexiblen Formen der Förderung von Fellow-Interaktion experimentieren.

#### *Zu Organisation und Ausstattung*

Die institutionelle *Governance* des WiKo – mit der Wissenschaftsstiftung Ernst Reuter, die die öffentlichen Zuwendungen Berlins und des Bundes an das Kolleg vermittelt, und dem Kolleg als e. V., dem die drei großen Berliner Universitäten und zahlreiche nationale Wissenschaftsorganisationen angehören – garantiert die Unabhängigkeit des Kollegs und ist für dessen internationale Aufgaben weiterhin angemessen. Die Aufgaben der inneren Leitung durch Rektor, *Permanent Fellows* und einen Sekretär, der den Rektor bei administrativen Aufgaben unterstützt, werden mit viel Engagement wahrgenommen und führen zu exzellenten Ergebnissen in der Arbeit des Kollegs. Gleiches gilt für die weit überdurchschnittliche Motivation des übrigen Personals: die Qualität der von den Mitarbeiterinnen und Mitarbeitern in allen Servicebereichen des WiKo erbrachten Arbeit ist herausragend – auch im internationalen Vergleich.

*Permanent Fellows* des WiKo haben heute Amtszeiten von üblicherweise drei bis fünf Jahren. Das Kolleg hat hiermit frühere Empfehlungen des Wissenschaftsrates umgesetzt. Um auch unter den *Permanent Fellows* die Diversität seiner Zielgruppen hinreichend abzubilden, sollte eine moderate Aufstockung erwogen werden. Das Kolleg sollte des Weiteren prüfen, ob nach einem Rektorenwechsel nicht lediglich der unmittelbare Amtsvorgänger in der Funktion eines *Permanent Fellow* am WiKo verbleiben sollte. Insgesamt sollte die wichtige Rolle, die den *Permanent Fellows* als Bindegliedern zu den internationalen Fachgemeinschaften und Universitäten zukommt, vom Kolleg noch stärker genutzt werden.

Der wissenschaftliche Beirat des WiKo ist hochkarätig besetzt und erbringt sehr gute Leistungen in der Qualitätssicherung der wissenschaftlichen Aufgabebereiche des Kollegs. Im Vergleich zu den Einflusspotenzialen des Rektors und der *Permanent Fellows* sind die Gestaltungsmöglichkeiten des Beirats in der internen *Governance* des Kollegs jedoch deutlich geringer. Dies beruht unter anderem auch auf Informationsdefiziten bezüglich der Verfahrensdetails in den Auswahlprozessen für *Fellowships*, aber auch für die Besetzung von Leitungspositionen am Kolleg. Der Wissenschaftsrat empfiehlt daher, die Mitentscheidungsrechte des Beirats insbesondere durch die Bereitstellung aller hierfür relevanten Informationen zu erhöhen. Ähnlich wie die *Permanent Fellows* können auch die Beiratsmitglieder nur einen Ausschnitt der disziplinären und regionalen Diversität abdecken, die das Kolleg in der Zusammensetzung seiner Fellow-Jahrgänge erreichen möchte. Auch hier sollte die Mitgliederzahl des Gremiums leicht erhöht werden um eine entsprechende Repräsentation dieser Bereiche zu erreichen. Die empfohlenen neuen Formen der Interessentenansprache durch fachlich oder regional spezifische Ausschreibungen sollten vom WiKo genutzt werden, um den Beirat noch stärker an den Verfahren der Fellow- und Themenauswahl zu beteiligen und vor allem die Potenziale hochinnovativer bzw. „riskanter“ Projektvorschläge von Bewerberinnen und Bewerbern zu erörtern und entsprechende Kandidaturen zu fördern.

Alumni sind heute in die Arbeit des Kollegs adäquat einbezogen. In die Auswahlprozesse für Personen und Themen sollten allerdings über die *Permanent Fellows*, den wissenschaftlichen Beirat und das Alumni-Netzwerk hinaus mehr Experten ohne WiKo-Bindungen als externe Gutachterinnen und Gutachter eingebunden werden.

Der Wissenschaftsrat unterstützt nachdrücklich die erstmalige Einsetzung einer Findungs-Kommission für die Suche nach einem neuen Rektor bzw. einer Rektorin, der/die im akademischen Jahr 2016/2017 gewählt werden soll. Das WiKo setzt hiermit Empfehlungen aus einer externen Evaluation im Jahr 2010 um. Ungewöhnlich – auch im internationalen Vergleich – ist hierbei allerdings die Zusammensetzung der Kommission, in der ausschließlich Mitglieder mit aktuellen oder früheren Bindungen zum WiKo sowie der amtierende Rektor selbst vertreten sind. Um das Streben des Kollegs nach Diversität und Offenheit auch in den Verfahren zur Besetzung von Leitungspositionen vollständig umzusetzen, empfiehlt der Wissenschaftsrat für kommende Wechsel im Rektorat

- \_ die Position des Rektors bzw. der Rektorin international auszuschreiben;
- \_ die Rolle, der Findungskommission und ihre einvernehmliche Einsetzung durch die Mitgliederversammlung des e. V. in der Satzung des Kollegs zu verankern;

- \_ den Kommissionsvorsitz mit einem Repräsentanten der Mitglieder des e. V. zu besetzen und keine Mitgliedschaft des amtierenden Rektors bzw. der amtierenden Rektorin in der Findungskommission vorzusehen;
- \_ eine angemessene Berücksichtigung des „kollektiven Gedächtnisses“ und institutionellen Interesses des Kollegs durch *Permanent Fellows* bzw. Mitglieder des Wissenschaftlichen Beirats in der Kommission zu gewährleisten;
- \_ die Mehrzahl der Positionen in der Kommission mit herausragenden externen Wissenschaftlerinnen und Wissenschaftlern aus dem In- und Ausland zu besetzen.

Geeignete Bewerberinnen und Bewerber für das Rektorenamt sollten – neben den Mindestanforderungen einer hohen internationalen Reputation und nachgewiesenem Interesse an der Förderung des multidisziplinären wissenschaftlichen Austauschs – Erfahrung in der Leitung von Wissenschaftseinrichtungen und die Bereitschaft zur gedeihlichen Zusammenarbeit mit politischen Akteuren einbringen können. Bei der Suche sollten darüber hinaus Diversitätsgesichtspunkte berücksichtigt werden.

Mit der Wissenschaftsstiftung Ernst Reuter und den Zuwendungsgebern – dem Land Berlin, dem Bund und der Schweizer Eidgenossenschaft – arbeitet das WiKo vertrauensvoll zusammen. Der Wissenschaftsrat begrüßt, dass das Kolleg in zunehmendem Maße von den Flexibilisierungsmöglichkeiten Gebrauch machen kann, die das Wissenschaftsfreiheitsgesetz bietet. Berichtspflichten über die Erfüllung seiner Aufgaben kommt das WiKo im Rahmen von Jahresberichten seiner Fellows und seit 2013 durch die Anfertigung von jährlichen Monitoring-Berichten nach, wie sie für Einrichtungen im Rahmen des Paktes für Innovation und Forschung üblich sind. Der Wissenschaftsrat begrüßt, dass sich das Kolleg in Fünfjahresabständen extern evaluieren lässt und die hieraus resultierenden Empfehlungen regelmäßig umsetzt.

Die Ausstattung des WiKo mit finanziellen Mitteln für Stipendien, Infrastrukturen und Personal ist auf dem gegenwärtigen Stand auskömmlich. Gleichwohl ist insbesondere der Raum für die Unterbringung einer steigenden Zahl von Fellows schon heute knapp. Für die Umsetzung der o. a. Empfehlungen zur Flexibilisierung seiner *Fellowship*-Formate wird das Kolleg voraussichtlich mehr Gebäude oder finanzielle Mittel zur Anmietung von Apartments benötigen, als gegenwärtig verfügbar sind.

Der Wissenschaftsrat bittet das Land Berlin und den Bund, nach Ablauf von drei Jahren über die Umsetzung der Empfehlungen zu berichten.

Attachment: Evaluation Report  
on the *Wissenschaftskolleg zu Berlin* –  
*Institute for Advanced Study Berlin*

**2016**

Drs. 5001-15

Cologne 23 05 2016



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<b>Preliminary Remarks</b>	<b>25</b>
<b>A. Report</b>	<b>26</b>
<b>A.I Institutional Development and Tasks</b>	<b>26</b>
<b>A.II Purposes According to the Institution’s Charter</b>	<b>28</b>
<b>A.III Main Areas of Work</b>	<b>28</b>
III.1 The Principle of Intellectual Community	28
III.2 Focus on the Individual Fellow	29
III.3 Thematic Focus Groups	29
III.4 College for Life Sciences	30
III.5 Launching Specific Scholarly Topics	31
III.6 Scholarly Events	32
III.7 Initiatives and Cooperations	34
<b>A.IV Invitations of Fellows and Guests: Criteria and Procedures for the Composition of Fellow Groups</b>	<b>38</b>
IV.1 Criteria	38
IV.2 Procedures, Involved Actors, Results	39
<b>A.V Provision of Fellow-Related Services</b>	<b>42</b>
V.1 Stipends	42
V.2 “Fellow Services” and Alumni Work	43
V.3 Academic Coordination and Mentoring	44
V.4 Housing	44
V.5 Library Service	44
V.6 IT Service	45
V.7 Restaurant	45
<b>A.VI Publications and Transfer Activities</b>	<b>45</b>
<b>A.VII Third-Party Funding/Fund-Raising</b>	<b>46</b>
<b>A.VIII Academic Teaching and Support of Early Career Researchers</b>	<b>47</b>
<b>A.IX Quality Assessment</b>	<b>47</b>
IX.1 Academic Advisory Board	49
<b>A.X Position in the Field of Other National and International IAS</b>	<b>49</b>
<b>A.XI Organization and Resources</b>	<b>51</b>
XI.1 Structure and Organization	51
XI.2 Appointment of Leadership Positions	52
XI.3 Resources	53
<b>A.XII Future Development</b>	<b>54</b>

<b>24</b>	<b>B. Evaluation</b>	<b>56</b>
	<b>B.I Prologue</b>	<b>56</b>
	<b>B.II Scientific Relevance of WiKo</b>	<b>58</b>
	<b>B.III Key Tasks and Main Areas of Work</b>	<b>60</b>
	III.1 Supporting Individual Scholars as Part of an Intellectual Community	60
	III.2 Thematic Focus Groups	61
	III.3 Initiatives and Cooperations	62
	III.4 Fellow Selection and the Composition of Fellow Cohorts	66
	III.5 Provision of Services	68
	III.6 Transfer Activities	68
	<b>B.IV Organization and Resources</b>	<b>69</b>
	IV.1 Governance	69
	IV.2 Quality Assurance	71
	IV.3 Staff and Resources	72
	<b>B.V Summary</b>	<b>72</b>
	<b>Appendix</b>	<b>75</b>



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# Preliminary Remarks

The present evaluation report on the *Wissenschaftskolleg zu Berlin* – Institute for Advanced Study Berlin (WiKo) is divided into two parts. The institution and its funding bodies have verified the factual accuracy of the report's descriptive part (chapter A). The evaluation part (chapter B) is an assessment of WiKo's academic performance, structures and organizational character.

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# A. Report

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## A.1 INSTITUTIONAL DEVELOPMENT AND TASKS

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The *Wissenschaftskolleg zu Berlin* – Institute for Advanced Study Berlin (hereinafter referred to as “WiKo”) was founded in 1980 as a non-profit organization for the promotion of advanced study in Berlin. WiKo receives its basic funding from the Ernst Reuter Foundation for Advanced Study, which was also established in 1980. One of its initial motivating forces was “to take up initiatives from the great scholarly foundations; to restore connections to important intellectual currents that were interrupted by National Socialism and war and that are in part still underrepresented in Germany; to involve the city more intensively in international scholarly communication; and to bring important scholars to Berlin.” |<sup>4</sup> In WiKo’s start-up phase the Ernst Reuter Foundation received funds from the *Land* Berlin and the *Volkswagen* Foundation. WiKo received a donation from the latter of 3.5 million DM and a facility at Koenigsallee 21. Berlin provided WiKo with the “Villa Franz and Erna Linde” at Wallotstrasse 19, which has since served as the institute’s main building. In 1981 WiKo hosted its first cohort of Fellows.

In 1982 the German Council of Science and Humanities recommended a joint institutional funding of WiKo by the federal government and the states (*Länder*). Since 1985 WiKo has received half of its public funding from the Federal Ministry for Research and Technology (BMFT, today Federal Ministry of Education and Research – BMBF) while the other half is provided by the *Land* Berlin. In two further evaluations by the German Council of Science and Humanities (1988 and 2001) the joint funding of WiKo was repeatedly recommended and extended. Since 1998 the Swiss government has also contributed to the institution’s funding; this was followed by the Swedish foundation *Stiftung Riksbankens Jubileumsfond* in the years from 1999 through 2008.

| <sup>4</sup> Chronicle of the Wissenschaftskolleg zu Berlin 1978–2006. Source: <https://www.wiko-berlin.de/en/institute/living-and-working/looking-back/history-of-the-institute/chronicle-of-the-wissenschaftskolleg/>; tracked 19 November 2015.

WiKo was modelled on the Institutes for Advanced Study (hereinafter referred to as IAS) in North America in terms of its quality approach, tasks and functions – especially the Princeton Institute for Advanced Study (est. 1930). What these institutes have in common is that they invite outstanding scholars to come and reside on-site as “Fellows” while providing them with perfect working conditions for pursuing a research project of their own choosing. Since 1981 WiKo has aimed to create an international as well as interdisciplinary group of (now) some 45 Fellows per academic year. A fellowship lasts ten months as a rule (mid-September to mid-July), though fellowships of shorter duration are also possible, e.g. three or four months, especially in thematically focused groups. To stimulate a creative intellectual atmosphere, artists, poets, composers and outstanding persons from public life are also invited as Fellows or guests. Furthermore the Rector can invite Fellows for a shorter stay. Residency at WiKo is obligatory for Fellows throughout the academic year, |<sup>5</sup> but they also receive support for short-term visits to universities, archives, libraries, laboratories and the like in Germany and Europe. They are also given support in organizing working-group meetings or inviting their own guests to WiKo for up to two weeks (which is especially valuable for Fellows who are not part of a thematic focus group or cannot find colleagues in their own specialty among the other Fellows). Fellows can apply for additional funding for the organization of small workshops with external guests. Funds are provided by the Otto and Martha Fischbeck Foundation whose board is responsible for selection of the workshops.

Scholars are usually freed from all academic duties pertaining to their home institutions while they hold a fellowship at WiKo. During their stay they have no directives except the obligation to participate in common lunches, a weekly common dinner and a weekly Fellow-Colloquium (*Dienstags-Kolloquium*). WiKo-Fellows – and their spouses and children – are provided with apartments on WiKo’s campus in Berlin-Grünwald. They have sufficient workspace and access to a manifold infrastructure that includes IT, library and translation services, and they receive support in all aspects of daily life in Berlin, e.g. instruction in the German language, childcare, cultural events, help with bureaucratic tasks (visa, insurance, travel plans, etc.).

Nowadays WiKo claims to be not only a much sought-after host institution for curiosity-driven and multi-disciplinary research and discussion among distinguished scholars but to initiate and actively support research networks such as “Law in Context” and “Transregional Studies.” Since the late 1980s WiKo has engaged in founding and promoting several IAS in Central and Southeastern

|<sup>5</sup> As a rule the time that a Fellow is away from WiKo should not exceed 10 percent of the total time that he is in residency there.

Europe and served as model for these institutes as well as for other newly founded extra-university IAS throughout the world. According to WiKo, it also inspired the start-up of several IAS and IAS-like structures inside universities in the course of the German Excellence Initiative and establishment of the *Käte Hamburger Kollegs*. |<sup>6</sup>

In aftermath of the evaluation by the German Council of Science and Humanities in 2000/2001 and two subsequent internal evaluations in 2005 and 2010, WiKo has striven for greater diversity (gender, age, origin, research disciplines) with regard to the composition of Fellow cohorts. According to WiKo, one of the first steps in this respect was establishment of the College for Life Sciences as a special fellowship format for the promotion of early career researchers (postdocs) in the Life Sciences. The Alumni Fellow services have also been reinforced.

## A.II PURPOSES ACCORDING TO THE INSTITUTION'S CHARTER

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According to its charter the main purposes of WiKo are:

- \_ 1) to perform “a service to advanced study by giving recognized academics the opportunity to carry out research work of their own choosing in Berlin. It promotes cooperation between researchers, particularly between researchers from different countries and disciplines, and between them and other figures in intellectual life. It gives special emphasis to promoting young researchers.”
- \_ 2) “The Kolleg cultivates relations with its former Fellows and promotes limited-term projects, especially if they are connected to former Fellows or serve to attract future Fellows.” |<sup>7</sup>

## A.III MAIN AREAS OF WORK

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### III.1 The Principle of Intellectual Community

WiKo lays strong emphasis on the creation of innovative and unexpected interdisciplinary approaches within the intellectual community that it brings to-

|<sup>6</sup> *Käte Hamburger Kollegs* are IAS within the university context, of limited duration, and they have certain thematic foci in the humanities and social sciences. Their introduction into the German research system was recommended by the German Council of Science and Humanities in 2006 (*Wissenschaftsrat: Empfehlungen zur Entwicklung und Förderung der Geisteswissenschaften in Deutschland*, Cologne 2006). In 2007 the Federal Ministry of Education and Research (BMBF) launched an initiative for the promotion of these IAS-type Kollegs on a competitive base. *Käte Hamburger Kollegs* can receive project funding for a maximum of twelve years.

|<sup>7</sup> Charter of the *Wissenschaftskolleg Berlin*, 11 June 1980, Art. 1.

gether each year. The diverse composition of a Fellow cohort consisting of e.g. life scientists, humanists and social scientists together with artists, composers and other figures from intellectual and professional life is designed to induce “positive irritants” leading to shifts in critical thinking which are unlikely to occur in settings that are not of an interdisciplinary nature, i.e. those contexts in which most Fellows’ have worked hitherto. According to WiKo, the creation of such synergies and the surprising effects which ensue – both during Fellows’ stay at WiKo and in their future research – is not left to chance but is one of WiKo’s main objectives: “The Kolleg carefully takes into account possible connections between projects when choosing Fellows. And it is for the same reason that the Kolleg seeks to bring together previously unrelated approaches, to call attention to neglected fields, and to open up new avenues of research.” |<sup>8</sup>

### III.2 Focus on the Individual Fellow

WiKo places the individual scholars and their projects at the center of its work, so the themes and topics which the Fellows bring with them to Berlin help to mold the scholarly profile of each academic year. No invitation to WiKo is extended without consideration given to a scholar’s respective project since all Fellows, even those who are part of a thematic focus group, are selected on the basis of an individual research project and a corresponding outline proposal. Central here is the self-chosen research and its open developmental time frame within the space of an academic year.

### III.3 Thematic Focus Groups

In addition to individual research projects there are thematic focus groups, headed by a convener, which allow pursuit of cooperative and thematically wide-ranging projects at WiKo. But membership in a thematic focus group does not mean limitations placed on either an individual scholar’s research interests nor any restrictions imposed on the possibilities of open interaction with other Fellows. In composing a yearly Fellow cohort, WiKo as a rule invites some two-thirds of its Fellows on the basis of an unaffiliated research proposal and one-third in the context of a thematic focus group.

WiKo claims that thematic focal points can be pushed from two angles:

\_ generated from the bottom up – that is to say, they are brought to the Kolleg’s attention by scholars with a particular interest in these topics;

| <sup>8</sup> Dieter Grimm: A Global Thinking Parlor in Berlin, Berlin 2001, p. 21.

\_ generated from inside the Kolleg, with the objective of deepening thematic axes and focal points or to address new ones, e.g. in the field of evolutionary biology and medicine. In this area two of WiKo's Permanent Fellows are currently active and directly address suitable conveners. Proposals "from the inside" usually derive from Permanent Fellows, the Rector, or from members of the Academic Advisory Board.

Inquiries and proposals for thematic focus groups are discussed among the Rector, Permanent Fellows and with the Academic Advisory Board. Criteria for approval are relevance, originality and feasibility of the theme and the respective convener's project proposal, but primarily whether it is suitable for WiKo (intimate framework, multidisciplinary environment, open to experimentation, no compulsion in terms of product output). In a second step the proposed scholars are individually discussed and their candidatures with respect to their individual contribution to the overarching framework of the focus group are evaluated either positively or negatively. According to WiKo, the Kolleg has currently no intention of further expanding its thematic focus groups. The size of groups is a functional matter determined by the demands of the specific theme, and the number of groups depends on the quality of the respective applications. Focus groups can consist of between three and eight Fellows or short-term Fellows. There are certain academic years where there is only a sole group present, in other years (2015/16) there are up to four. Focus groups of the past three years were:

2014/15

\_ Gene Regulation und Organismal Diversity

\_ Tibetan Genealogies

2013/14

\_ Cancer Evolution

\_ Origin and Evolution of Exaggerated Traits

\_ Quantification in the Social Sciences

2012/13

\_ Quantum Mechanical Processes in Biological Systems.

#### III.4 College for Life Sciences

In 2012, so as to attract more Early Career Researchers and simultaneously push the agenda of the natural sciences in its thematic portfolio, WiKo established the College for Life Sciences (CfLS). Life scientists in their postdoc stage receive special offers to come to WiKo for shorter stays of three to six months and integrate themselves in the Fellow community as a whole. Moreover CfLS has its own selection process and selection commission on which sit two Per-

manent Fellows as well as a member of the Academic Advisory Board, among others. The fellowships are advertised and, unlike the usual procedure followed by WiKo, there is an application deadline. Since its beginnings in the academic year 2012/13 the number of CfLS-Fellows has ranged between five and eight younger scholars. According to WiKo, the Kolleg's Academic Coordinator for the CfLS (0.5 FTE) plays a vital role in bringing the CfLS-Fellows into contact with laboratories and potential collaborators in the Berlin region, planning their individual research projects, and coaching them with regard to their academic careers.

### III.5 Launching Specific Scholarly Topics

As an IAS, WiKo sees its mission in providing a social infrastructure and research environment to support the programmatic approaches of its Fellows. Furthermore, WiKo also introduces topics and scholarly approaches of its own by taking up and sustaining ideas and proposals of its current, former and Permanent Fellows. Topics and themes that are nascent and emerging receive preference over those that are already established or complete. These can then be – partially – incorporated into the Kolleg's Fellow-selection policy and the support of certain scholarly events and initiatives. WiKo asserts that it is through long-term thematic emphases and initiatives such as the current *Recht im Kontext*-research network (cf. A.III.7.b) that the Kolleg expresses its strategic self-concept in a way that goes far beyond invitations extended to individual researchers. As instances of its long-term involvement with certain thematic spheres, WiKo has hosted scholars from the Arabic world, has dedicated itself to advancing theoretical biology and the history of science, and has sought to promote contemporary classical music. Furthermore, a big issue in WiKo's scholarly engagement in recent years has been "Europe" in the largest sense, whether that be with respect to German-Ukrainian relations or the legal architecture of the European Union.

Experimentation with new strategic fields as well as *nuclei* for future long-term engagements of the Kolleg often evolve from the support of Fellows' workshops, seminars and conferences. Intensified commitments to new thematic fields are taken up with all relevant committees. They are developed within the circle of Permanent Fellows, discussed with the Academic Advisory Board, and then resolved upon by the Members' Assembly of the *Wissenschaftskolleg e. V.* along with the Board of Trustees of the Ernst Reuter Foundation (for the interplay of WiKo's governing bodies c.f. A.XI.1).

The focal themes of WiKo's various scholarly events are prescribed by and closely geared to the Fellows' fields of work and research projects. |<sup>9</sup> The Rector decides as to which Fellows will hold an Evening Colloquium for the wider public. On average there are ten Evening Colloquia with between 80 and 180 participants each academic year. The main criteria for selection here are the scholarly quality of a certain project as well as the relevance of the lecture theme and the reputation of the Fellow, for according to WiKo these are factors that substantially determine the level of public interest and ultimate success of a public lecture. Selection is also informed by an effort to assemble a group of speakers who constitute a representative cross-section of all the scholars present in a given academic year. Not only the scholarly theme but the gender, discipline and global region of a potential speaker are factors in compiling a yearly program.

Further scholarly events are workshops, seminars and small conferences that are staged at WiKo under the aegis of Fellows or former Fellows. The decisions pertaining to such events – of which seventeen were held in 2014 – are made by various entities. For the funding of these workshops the Fellows of a current academic year can apply to the Otto und Martha Fischbeck Foundation. In such a case the foundation's advisory board is accountable to the foundation for the selections it makes. The main criteria here are the scholarly quality of the proposal and the potential of the envisaged participants.

Former Fellows can apply for support and financing of workshops at WiKo's *Fellow Forum*, which was established in 2013. These applications are decided upon by the Forum Committee, which is headed by WiKo's Rector. Fellow Forum workshops are conceived by WiKo as strategic instruments to transcend disciplinary boundaries, provide intellectual interchange among Fellows from various academic years, and identify new thematic fields or research questions of strategic relevance for the scientific community as well as for WiKo as an institutional actor in these fields. Five workshops organized by the Fellow Forum took place in 2014, and it is planned to continue two of these at the home institutions of former Fellows.

Additionally, Fellows are free to organize workshops at WiKo when they employ financial resources from their home institution or use third-party funds.

According to WiKo, in the past three years, seminars and workshops have gained increased importance in the Kolleg's portfolio. They are valued by WiKo as instruments for bringing further external expertise to the Kolleg and to Fel-

|<sup>9</sup> For lists of the scholarly events, see WiKo's monitoring reports from 2014 and 2015.



lows' projects. The involvement of external experts via seminars and workshops is also seen by the Kolleg as an opportunity for assessing possible future candidatures for fellowships and allowing promising early career researchers to become familiar with the institution.

WiKo's public evening events and the Ernst Mayr Lecture |<sup>10</sup> are aimed at the scholarly and intellectual public of Berlin and Germany at large. WiKo argues that such events help the Kolleg to resonate with the public in the highly competitive intellectual arena of Berlin-Brandenburg.

Another event taking place once a year is the Blankensee Colloquium. This program aims to take up innovative impulses and new research ideas in the social sciences and humanities while contributing to further development of Berlin as a research center – and the colloquium's call for proposals does address young scholars from the Berlin-Brandenburg research area. Selection of proposals is done in close consultation with the three Berlin universities (*Freie Universität*, Humboldt University and the Technical University), the Berlin Social Science Research Center (WZB), the Berlin-Brandenburg Academy of Sciences and Humanities (BBAW) and the *Land* Berlin. The Blankensee-Colloquia are financed through an additional donation from the *Land* Berlin and from the Ernst Reuter Foundation, whose main purpose is allocating funds to WiKo.

The Kolleg states that its wide spectrum of scholarly events helps make WiKo a "space for intellectual resonance" (*Resonanzraum*) in the Berlin region. In 2014 WiKo organized 81 of these events. According to WiKo the following events were particularly outstanding or influential:

- \_ Workshop of the focus group Cancer Evolution: Cancer Evolution and Evolutionary Medicine: Foundations and Future Directions, 2-5 April 2014,
- \_ Public evening colloquium The Ukrainian War and the New World Order, 12 May 2014,
- \_ Workshop in cooperation with the Center for Advanced Studies – South Eastern Europe, Rijeka and the WZB: What Makes New Forms of Authoritarianism so Attractive? Rethinking the Shades between Authoritarian and Democratic Rule, 6-7 November 2014.

| <sup>10</sup> This lecture is held once every academic year together with the Berlin-Brandenburg Academy of Sciences and Humanities (BBAW) and – in memory of the works of evolutionary biologist Ernst Mayr (1904-2005) – is dedicated to contemporary research issues in the life sciences.

## III.7.a Transregional Studies

The Forum Transregional Studies (*Forum Transregionale Studien*) was founded in 2009 by WiKo and other research institutions in Berlin. |<sup>11</sup> The Forum is an autonomous entity with an international academic advisory board and functions as a research alliance that merges area-studies approaches with disciplinary ones. It extends invitations to Fellows and runs several thematic programs that also entail postdoc programs (e. g. Europe in the Middle East – the Middle East in Europe). The Forum receives funding from the *Land* Berlin and cooperates with the Max Weber Foundation – International Humanities (*Max-Weber-Stiftung – Deutsche Geisteswissenschaftliche Institute im Ausland*). This cooperation receives project funding from the BMBF.

Since 2014 WiKo has been an institutional member of the Forum. The Kolleg claims that its activities have made a considerable contribution to the Forum's founding, and it is beneficiary of the Forum's basic funding as earmarked by the *Land* Berlin. For this reason there is a particularly close thematic relationship between WiKo and the Forum as well as a strong sense of responsibility for the Forum on the Kolleg's part at both the functional and personnel level. WiKo reports a considerable amount of interchange between its Fellows and those of the Forum, who in most cases are early career researchers. Thus the Forum is not only an instrument enabling WiKo to identify future Fellows and create a link to non-Western academic communities but is also partner in a continuing dialogue on specific research fields and geographical regions.

## III.7.b Law in Context

The research network “Law in Context” (*Recht im Kontext*) was established in 2010 at WiKo and has since 2014 received project funding from the *Land* Berlin via an earmarked title in the Kolleg's budget. The network is dedicated to promoting innovative legal studies in Germany, to exploring legal studies' interface with neighboring academic fields in the humanities and social sciences, and in pushing the discipline's internationalization, especially in the comparative field of law cultures (*Rechtskulturenvergleich*). And as such the project tries to implement certain recommendations of the German Council of Science and Humanities, which in collaboration with the council and external experts were translated into English as part of the project initiative. |<sup>12</sup> “Law in Context”

|<sup>11</sup> The Forum's founding followed, among other recommendations, those of the Council for Science and Humanities (*Wissenschaftsrat: Empfehlungen zu den Regionalstudien (area studies) in den Hochschulen und außeruniversitären Forschungseinrichtungen*, Mainz 2006).

|<sup>12</sup> Wissenschaftsrat: Prospects of Legal Scholarship in Germany. Current Situation, Analyses, Recommendations, Hamburg 2012.

ran the postdoctoral program *Rechtskulturen: Konfrontationen jenseits des Vergleichs* until 2014, with a focus on systematic and regional approaches to legal studies, as part of the overall postdoctoral program organized under aegis of the Forum Transregional Studies (see above). Additionally, twice a year, “Law in Context” hosts fifteen postdocs from the “Law Cultures Future Faculty” (*Rechtskulturen Zukunftsfakultät*), which makes efforts to bridge the gap between research inside the network and common methodological approaches in legal studies at German universities.

Since 2015 the project has been financed by means of WiKo’s regular budget. |<sup>13</sup> In this way the Kolleg continues to provide scholarly impulses through its longstanding engagement in legal scholarship. WiKo claims that its thematic emphasis in this field can be seen not only in the project’s particular brand of events and publications but in terms of the Kolleg’s policy with regard to those scholars who are extended invitations. For instance in 2015/16 WiKo has been hosting, among others, a thematic focus group “Russia: The Rule of Law in Question.” It is via “Law in Context” that WiKo also attempts to build stronger bridges to universities. Alongside the Humboldt University Berlin (HU) – home institution of one Permanent Fellow in Residence who holds a professorship in legal studies – the Kolleg has established contacts with other German universities by way of joint scholarly initiatives and the group “Future Faculty”.

### III.7.c Anna Krüger Prize

The Anna Krüger Foundation |<sup>14</sup> awards an “Anna Krüger Prize of the *Wissenschaftskolleg zu Berlin*” to a researcher who has written an outstanding scholarly work in good and comprehensible German. The foundation is headed by a curatorium comprising WiKo’s Rector, the Kolleg’s Permanent Fellows and, at present, the donor’s niece as well as a former editor. As a rule the prize is awarded every two years. The foundation’s income enables the prize’s €20,000 purse.

|<sup>13</sup> Using resources from current increases in the basic funding. Since 2014 WiKo has been regarded as an equal to those research organizations which are included in the Pact for Research and Innovation (*Pakt für Forschung und Innovation*), a joint agreement of the federal government and the *Länder* to increase the budget of extra-university research institutes by 3 percent annually if they meet certain criteria of performance and quality assurance (which must be reported each year to the Joint Science Conference of the Federal Government and the *Länder* [GWK] in a monitoring report).

|<sup>14</sup> The donor, Professor Anna Krüger (1904-1991), taught the didactics of German literature at Weilburg an der Lahn Pedagogical College and at Gießen University. She established the foundation and designated WiKo her heir and seat of the foundation, which was established in 1992.

Since its founding, WiKo has been involved in the establishment of IAS throughout the world in an advisory and otherwise supportive capacity. Strong ties exist to the Eastern European institutes of New Europe College (Bucharest), Center for Advanced Study (Sofia) and the *Bibliotheca Classica* (St. Petersburg) all of which WiKo strongly supported in their start-up phase. WiKo has representatives on the committees of these institutes and thereby claims co-responsibility for their further development; these partners also assist WiKo in recruiting Fellows from Eastern Europe and in “reading” the academic systems and intellectual debates of the respective countries. In addition, WiKo lends its organizational support to varying degrees and is to some extent the beneficiary of third-party funds from other Western nations, which are then transferred to these Eastern European institutions. This is for instance the case with contributions of the Swiss foundations. According to WiKo, in raising and managing these external revenues the Kolleg plays a crucial role in preserving Eastern European IAS.

As WiKo stresses, it is not only in this respect that the Swiss Government and various Swiss foundations are privileged partners of the Kolleg. Switzerland has provided WiKo with basic subsidies since the year 2000. In return WiKo seeks to regularly include outstanding scholars from Swiss universities and research institutions in its yearly Fellow cohorts.

WiKo has also lent its impetus to the founding of IAS such as the Freiburg Institute for Advanced Studies (FRIAS, Freiburg), the Institute for Advanced Study Constance (IASK, Constance), the Aarhus Institute for Advanced Study (AIAS, Aarhus/Denmark), *Point Sud* in Bamako (Mali), the *Institut d'Études Avancées* in Nantes (France) and most recently the Center for Advanced Studies in South East Europe (CAS SEE) in Rijeka (Croatia).

As a member of the group Some Institutes for Advanced Study (SIAS) |<sup>15</sup> WiKo oversees – together with the National Humanities Center in North Carolina (USA) – the group’s two-year summer-school program for promoting some twenty early career researchers in the context of an innovative topic in the Humanities – “SIAS Summer Institutes” (SIASSI). |<sup>16</sup> Through the joint work of

|<sup>15</sup> SIAS is a transatlantic association of IAS whose directors meet regularly to exchange their experiences with respect to their working domains, invitation procedures and other issues of concern. Along with WiKo, members of SIAS are the Princeton Institute of Advanced Study (USA), the National Humanities Center in North Carolina (USA), the Center for Advanced Study in the Behavioral Sciences at Stanford (USA), the Radcliffe Institute for Advanced Study in Cambridge (USA), the Swedish Collegium for Advanced Study in Uppsala (Sweden), the Netherlands Institute for Advanced Study in the Humanities and the Social Sciences in Wassenaar (NL), the *Institut d'Études Avancées Nantes* (France) and the Israel Institute for Advanced Study in Jerusalem (Israel).

|<sup>16</sup> SIASSI is sponsored jointly by the Mellon Foundation and the Alexander von Humboldt Foundation (AvH).

young European and American scholars the objective here is to foster research networks and common activities and ultimately a “cohort formation” that can ultimately facilitate closer ties between research activities in Europe and the United States while simultaneously supporting further development of new fields of research.

WiKo is also a member of the European Network of IAS (NetIAS) and of AUGIAS (*Arbeits- und Gesprächskreis* Institutes for Advanced Study), an informal network of twenty IAS in Germany and Eastern Europe, dealing mainly with administrative matters. Under the umbrella of NetIAS, and together with the other network members, WiKo runs the European IAS Fellowship Program (EURIAS), which is co-financed by the EU and supports ten-month research stays at one of the participating IAS. In 2014 five scholars spent their EURIAS fellowship at WiKo. The selection process is based on an open international call and combines pre-selection by the academic advisory board of EURIAS with a final selection made by the academic advisory boards of the individual NetIAS-members.

WiKo is part of the Indian-European Advanced Research Network (IEARN). This network is dedicated to the interchange of Indian and European scholars and other intellectuals as well as figures from politics and a variety of other public spheres. It is here by means of regular meetings and workshops in the participant institutions that shared problem and research areas in Europe and India are localized, these in turn becoming objects of more in-depth analysis on the part of the individual institutions.

Cooperation also takes place with the German Literature Archive in Marbach (*Deutsches Literaturarchiv Marbach*), the Herzog August Library Wolfenbüttel, and the *Klassik Stiftung Weimar*. This takes concrete form in the fact that the Marbach-Weimar-Wolfenbüttel Research Association – a research cooperation platform of the three institutions |<sup>17</sup> – opened its office on WiKo’s premises in 2014. The association and WiKo have also jointly published the *Zeitschrift für Ideengeschichte* since 2013. According to WiKo, this cooperative partnership has shown that it is particularly Fellows from the humanities who become better informed regarding opportunities that these three institutions – with their collections pertaining to the German cultural heritage – can offer their research projects. This might increase international awareness of these institutions for their coordinated research projects, and lead to future international research partnerships.

| <sup>17</sup> The Marbach-Weimar-Wolfenbüttel Research Association was founded in 2012 as based on recommendations of the German Council of Sciences and Humanities (*Wissenschaftsrat: Stellungnahme zum Deutschen Literaturarchiv Marbach* [DLA] Jena 2011, and *Wissenschaftsrat: Stellungnahme zur Klassikstiftung Weimar*, Jena 2011). It is supported by project funding from the Federal Ministry of Education and Research (BMBF).

One of the tasks of WiKo's CfLS is to strengthen collaboration between CfLS members and the local Berlin research institutes in life sciences, e.g. the Max Delbrück Center for Molecular Medicine (MDC) and the Integrative Research Institute (IRI) of the Humboldt University in cooperation with the *Charité*. Another close cooperative partnership of CfLS is with the European Society for Evolutionary Biology (ESEB). Since 2009, as a rule, the awardees of ESEB's John Maynard Smith Prize regularly receive invitations for short-term fellowships at WiKo.

Occasionally there are joint invitations for Fellows with other research institutions. – In 2014, in concert with the Potsdam Institute for Advanced Sustainability Studies (IASS), one Fellow was extended an invitation and another in concert with the Berlin Max Planck Institute for the History of Science. In 2015 a joint invitation was extended together with the Mercator Foundation in the field of climate economics.

Up until 2014 WiKo was a cooperative partner of the *Studienkolleg*, which was established in collaboration with the German National Academic Foundation and the Hertie Foundation. This fellowship program targeted particularly gifted students in all fields and throughout Europe who were enrolled at a Berlin or Brandenburg university during their year at the *Studienkolleg*. The intention was for fellowship holders to become acquainted with the goals and values of Europe for their future tasks in the spheres of scholarship, politics, the economy and administration.

#### **A.IV INVITATIONS OF FELLOWS AND GUESTS: CRITERIA AND PROCEDURES FOR THE COMPOSITION OF FELLOW GROUPS**

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##### IV.1 Criteria

WiKo's charter states that addressees for the Kolleg's fellowships are "recognized academics" and "young researchers" and "in some cases, other figures from intellectual life." The selection process is designed to assemble a group of Fellows each academic year that is distinguished by the excellent scholarship of the individual researchers as well as by the stimulating variety of the group as a whole. These annual cohorts are also enriched by a number of personalities who cannot be properly classified as researchers – namely writers, composers, musicians, translators curators and public intellectuals; in short, intellectuals with no affiliation to an academic institution.

The criteria of selection for all potential Fellows are:

- \_ quality of the individual's curriculum vitae and work;
- \_ potential of the individual's research project for his year in Berlin;

- \_ potential for the individual scholar and his project to be integrated into an interdisciplinary Fellow group;
- \_ balance that the scholar and his project brings to the group as a whole.

WiKo claims that balance in composition of the group involves a number of factors: the particular scholarly discipline, methodology, culture, country of origin, language, age, gender, quality of the scholar's work hitherto and quality of the proposed project outline. It is in following the recommendations of past internal and external evaluations that WiKo strives for diversity in extending invitations to scholars without neglecting the paramount criterion that both the scholars and their projects be of outstanding quality.

#### IV.2 Procedures, Involved Actors, Results

Scholars interested in spending an academic year at WiKo can apply for a fellowship on their own or they are put forward as candidates by former Fellows, Permanent Fellows, the Rector, members of the Academic Advisory Board or some other scholar. With exception of the CfLS, there is no application deadline. Applications are collected and discussed by the Rector, the Permanent Fellows and the Academic Advisory Board. According to WiKo's charter it is the Rector's task to seek consensus among those parties involved in the selection process before any formal invitations are extended. However, the Rector is free to overrule applications which are supported by the Academic Advisory Board. The board is usually engaged in the selection of short-term Fellows as well, although the charter allows the Rector to extend shorter invitations without consultation. While a significant portion of the selection work is done within WiKo's governing and advisory bodies, the views of acknowledged experts are regularly sought. Certain special fellowship formats have different rules that serve as basis for approval of a candidate (see below).

The success rate of unsolicited self-applications by scholars is 16 percent, which WiKo considers rather low; the EURIAS applications reflect this trend as well (cf. appendices 7 and 8). In contrast, there are greater chances of success when suitable candidates are pro-actively identified by former Fellows, Permanent Fellows and members of the Academic Advisory Board. According to WiKo, self-nominations will remain an important but by no means principal source of candidate-selection in the future. However, the Kolleg claims that it does not aspire to an ostentatious heightening of its selectivity by generating many less than promising applications. Since the individual profiles of self-nominees tend to strengthen those asymmetries (humanities, in particular historians, European and American background, white, far advanced in their career) the Kolleg is endeavoring to eradicate this through its policy of diversity.

*Applications for Fellowships in Thematic Focus Groups*

Even those candidates who have been extended invitations within the parameters of a certain thematic focus will pursue their own projects albeit usually as an integral component of the larger group endeavour. It is in this respect that discussion of candidatures is hardly independent of appraisal of the general thematic focus, and the arguments of the convener carry real weight in evaluating the individual participants (the candidate's subject-specific relevance and task within the focus group). WiKo states that the Academic Advisory Board ensures that all candidates for thematic focus groups meet the quality threshold – and in some cases rejects candidates proposed by the conveners.

*EURIAS Applications*

The EURIAS program is borne by a network of European IAS and is co-financed by the EU. The worldwide call for applications has garnered between 500 and 800 candidatures in recent years. Candidates can name up to three institutes (prioritized) where they would like to perform their research. During the academic years in question the number of applicants for WiKo rose from 109 to 195; for each year two or three EURIAS Fellows could be chosen. After preliminary selection by the network, a final decision is taken by WiKo and with the Academic Advisory Board reviewing the most promising candidatures.

*Applications to the College for Life Science*

CfLS-Fellows hold short-term fellowships (not longer than six months), so WiKo's Academic Advisory Board must not necessarily be involved in the selection process for CfLS. The candidatures which result from an open international call for applications |<sup>18</sup> are examined and evaluated by a specific CfLS selection committee which engages WiKo's Permanent Fellows in the natural sciences, a member of the Academic Advisory Board with similar expertise, a biologist from the FU Berlin, and a former Fellow of CfLS. In 2014/15 there were six Fellows chosen from among forty applications (in 2015/16 the number of applicants rose to 190). Interested candidates are asked to clarify their motivation for a fellowship in a letter; in addition, the most promising candidates are interviewed before the CfLS selection committee decides upon invitations.

|<sup>18</sup> The Call for CfLS applications is announced in *Nature* and then disseminated by social media.



Since it is clear that the selection of artists cannot be made along lines of an academic peer review, the Rector has asked high-ranking representatives from the worlds of music and literature – who are also familiar with WiKo – to assume the role of jurors for the one or two fellowships which are extended every year to artists. It is true of all those persons falling within this category that central to any positive evaluation of a candidature is their openness to interchange with scholars.

*Guests of the Rector/Short-Term Fellows*

Scholars who stay for a shorter period of time are usually invited by WiKo on proposal of conveners or by the Rector. In the first case it could happen, that among those individuals who conveners of thematic focus groups will name as their desired participants are outstanding scholars who are unable to stay at the Kolleg for an entire academic year. In such cases WiKo waives the requirement that Fellows come for a complete academic year. In the second, less common case, the Rector will exercise his prerogative of extending invitations to certain personalities without consulting the Academic Advisory Board. In the academic years 2012/13 to 2014/15 such individuals were mostly artists. Also among the short-term Fellows are the members of the CfLS (see above).

## IV.2.b Composition of the Last Three Fellow Cohorts

The last three academic years encompassed a total of 153 Fellows, including 51 short-term Fellows. Of these, 114 Fellows (75 percent) had affiliations with a university and 19 (some 12 percent) came from non-university research institutes. There were 20 Fellows (13 percent) who were artists or non-academics (cf. appendix 6).

About a quarter of the 153 Fellows in the past three years came from the life sciences, with a many short-term Fellows. The next largest group contains historians (16 percent), followed by the literary scholars and philologists, scholars of cultural studies, social scientists, and artists or those not engaged in scholarly activity in the narrower sense (each group some 11 percent). The remainder are divided among the disciplines of philosophy, legal studies and other natural sciences (e.g. chemistry and physics, cf. appendix 9).

In 2012/13 the average age of Fellows was just under 53 years; in the two following years it was 48 (cf. appendix 10). According to WiKo it is part of the Kolleg's diversity policy to achieve a balanced mix when it comes to age distribution. WiKo sees the establishment of the CfLS as an important step in this respect.

The proportion of female Fellows fluctuated between 29 percent (2012/13) and 38 percent (2014/15) in the last three academic years. WiKo claims to strive for

an increase in the proportion of female Fellows without compromising its other criteria. As part of the Kolleg's diversity policy the Rector sends a letter to the current Fellows at the end of their academic year at WiKo in which, among other things, he invites them to nominate suitable persons for future fellowships and in particular women.

### *Disciplinary Diversity*

According to WiKo, a residency at the Kolleg is not equally appropriate for all disciplines – for instance scholars in medicine or those who do laboratory-intensive chemistry or physics research are often not prospects for fellowships. The Kolleg argues that its theory-affine and non-applicatory environment might have no great appeal to engineers and technological experts. The Kolleg receives most of its applications from historians, which is according to WiKo a similar situation to other IAS and particularly the case in the EURIAS program. Philosophers and other scholars from the humanities are also generally well represented in WiKo's Fellow cohorts. WiKo claims that it has also acquired a good standing with respect to the life sciences, with a focus on select disciplines that flourish in the environment created by the Kolleg, such as evolutionary biology, model-designing and computer-aided methods of the neurosciences and cognitive sciences, etc. Among other disciplines, the Kolleg wishes to obtain more Fellows from the empirical social sciences and economics as well as geography and climatology/geosciences (cf. A.XII).

## **A.V PROVISION OF FELLOW-RELATED SERVICES**

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### V.1 Stipends

Before a Fellow's arrival, the Rector concludes an individual agreement with him laying down the agreed-to conditions of his stay. The financial part of the agreement enables the invited Fellows to stay at WiKo without reducing their income – this based on the principle of “no gain, no loss.” Since the Kolleg itself has limited funds, Fellows' home institutions are involved in the advance negotiations. All Fellows are therefore asked to persuade their home institutions or another institution or foundation to cover their salary entirely or in part.

WiKo is aware that it is not always possible for the home institution to make such a contribution, whether because of the salary structure in the home country or because of the Fellow's individual situation. It is in such cases that Fellows receive a stipend for the period of their stay in Berlin which is based on their prior salary or – if this is an unsuitable yardstick for conditions in Berlin – based on the public pay scale for German academics.

Upon application, university professors from Germany |<sup>19</sup> and Switzerland are given a paid leave of absence from their home institution for the period of their fellowship at WiKo. The Kolleg tries to make similar arrangements with Fellows from other countries. WiKo can if necessary reimburse the Fellow's home university for the costs of a substitute. This substitution should, if possible, be regarded as an opportunity to provide younger scholars or researchers with teaching experience.

Fellows who come to WiKo with their full salary or pension receive an additional stipend of €750 per month. The same goes for Fellows for whom the Kolleg is required to provide only minor substitution costs (up to 25 percent of the Fellow's gross salary).

## V.2 "Fellow Services" and Alumni Work

In the run-up to a future Fellow's stay at the Kolleg it is the department known as "Fellow Services" which assists in handling all organizational matters associated with a scholar's residency. The staff of the Fellow Services facilitates applications for visas as well as travel plans and moving house, and they also lend assistance in concluding insurance policies. Courses in the German language are offered for Fellows from abroad; at the start of the academic year there are intensive courses and during the year there is a regular course schedule. WiKo also works with experienced translators who help Fellows render their scholarly texts in other languages as well as in editing texts that Fellows have composed which are not in their native tongue.

WiKo claims that it is particularly concerned to create conditions that allow Fellows to come to the Kolleg with their families. Therefore WiKo provides family-friendly apartments, assists Fellows in their dealings with visits to the authorities as well as in finding slots for their children in an appropriate *Kindergarten* or in school. The Kolleg assists in providing childcare when needed, thus allowing both parents to participate in WiKo's various events. The Fellow Services also organize cultural activities and excursions.

According to WiKo's charter another important task of the Kolleg is to "cultivate relations with former Fellows" (cf. A.II.). This task is given a framework in the Fellow Forum (cf. A.III.6). In addition, in a more self-organised way, former WiKo-Fellows contribute to fulfilling this task via and in the Fellows' Club, which was founded in 1984 as a non-profit society for former WiKo Fellows (Association of the Members and Friends of the *Wissenschaftskolleg zu Berlin e. V.* – Fellows' Club). The Fellows' Club primarily seeks to be of assistance in those

|<sup>19</sup> With the exception of scholars from Berlin because WiKo – as a rule – does not extend invitations to holders of academic positions in Berlin.

instances when WiKo and its publicly sourced funding instruments run up against structural limitations. Occasionally the Fellows' Club supports former Fellows who find themselves in professional, political or personal distress. The Fellows' Club has its own charter, chairmen and members' assembly but is supported by WiKo in all administrative matters. Another instrument recently introduced by WiKo to connect alumni as well as current and prospective Fellows is the Fellow Finder – an online tool on WiKo's website designed for searching and making contact with the Kolleg's Fellows.

### V.3 Academic Coordination and Mentoring

The Rector, the Permanent Fellows and WiKo's academic coordinators are available for professional discussions pertaining to Fellows' research projects. Depending on the specific needs of Fellows, these academics also facilitate scholarly contacts in both German and international academia as well as to laboratories and other sources of research infrastructure. They can be consulted regarding publications and conceptualizing scholarly events, and they also act in an advisory capacity with respect to informing younger Fellows who are not firmly established in their careers as to the possibilities of grants and their professional prospects in general. There are at present three academic coordinators working at WiKo, with one position (1 Full-Time Equivalent - FTE) for the entire Fellow group and one position (0.5 FTE) bound to the CfLS. The third academic coordinator supports the "Law in Context" program (1 FTE) and is responsible for the program's scholarly events as well as for cooperation with universities and along with the directors for the strategic development of WiKo's activities in the field of legal studies.

### V.4 Housing

WiKo places living quarters and workspace at the disposal of its scholars. For long-term stays of Fellows there are thirty full apartments as well as seven two-room apartments. Additionally WiKo provides fifteen guestrooms for scholars who are short-term guests for various events. The Kolleg also presently has twenty offices available to Fellows. In most buildings there are numerous seminar rooms, conference rooms and lounges for Fellows to engage in scholarly interchange. The main building houses the large seminar room (seating 80 to 120 individuals) where the scholarly events take place (cf. A.XI.3.c).

### V.5 Library Service

WiKo's library is designed as a reference library with compendia and reference works from all disciplines as well as a special "Fellow Library" which contains the publications of former Fellows. The library's holdings have been compiled in an online catalogue and are accessible to Fellows and guests 24 hours a day. The reading room offers the use of single-user workstations and can also be

employed by working groups. At the core of the library policy is a service to bring books to those Fellows who have requested them – from cooperating libraries within and outside Berlin. During the academic year an average number of 6000 media is on loan at WiKo, most of them books. Thus the library service provides Fellows with media and information they require for research, supports Fellows in their bibliographical work, and mediates contact to experts, archives, museums and other institutions. The WiKo library enjoys close cooperative partnerships throughout Germany, above all with the Prussian Cultural Heritage Foundation (SPK – *Stiftung Preußischer Kulturbesitz*).

#### V.6 IT Service

The IT department provides Fellows with computer terminals and other electronic workplace equipment including mobile devices (tablet computers, laptops, etc.) and video conferencing facilities. Personal devices are integrated into the network and configured for use of the network resources. It is via publicly available workstations that guests have access to the Internet and defined areas of the intranet as well as the possibility of making hard copies.

The IT Service offers Fellows and their partners individual support in carrying out their work plans and projects. The spectrum of services encompasses training and introductions, installations and configurations of hardware and software, support in searching for suitable hardware or software, applications or web-based services, etc.

#### V.7 Restaurant

WiKo has its own restaurant in the Kolleg's main building. Here is where the common meals of the Fellows take place five days a week. WiKo regards the common meals of its Fellows to be an important unifying event – they contribute to informal scholarly interchange in which debates from the colloquia and discussion groups can be extended and deepened. According to WiKo it is here that individual and informal dialogues are generated which particularly accord with the Kolleg's ideal of free and open intellectual exchange across disciplinary and national lines. It is in this context that WiKo wants the restaurant to be understood – as a special-purpose operation that facilitates the Kolleg's aims as set down in its charter.

### **A.VI PUBLICATIONS AND TRANSFER ACTIVITIES**

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Because every year there is a different mix of disciplines, WiKo claims that there is no stable and clearly addressable specialist community to whom the Kolleg could communicate its various research projects. Conveying the Fellows' research findings to the relevant specialist public is therefore up to the Fellows

themselves. In a few select cases, under the rubric “Publication Showcase” (*Werkvorstellungen*) WiKo highlights the publication of a former Fellow who performed most of his work on it at the Kolleg.

WiKo does not publish specific series, but together with the institutions of the Marbach-Weimar-Wolfenbüttel Research Association the Kolleg is institutional editor of the journal *Zeitschrift für Ideengeschichte* (number of copies: 1500). Fellows and former Fellows frequently contribute to the journal. Its editorial office is located at WiKo.

The “Law in Context” program has published six volumes of lectures held within the framework of the program and of contributions to its Constitutional Blog (*Verfassungsblog*, number of copies per volume ca. 190).

According to WiKo, its public relations work places the individual Fellow at the center. Because scholars come to Berlin with unfinished projects (and frequently ones that they have only just begun) these are often concluded long after the scholars’ stay at the Kolleg and this means that presentation of the final fruits of their research is not the focus of WiKo’s public-relations work. Instead the Kolleg’s concern is to gain insight into the current state of Fellows’ research. In service of this agenda is the yearly published booklet *Fellows’ Projects* and the format *Köpfe und Ideen* as well as WiKo’s series of evening lectures (cf. A.III.6). WiKo’s website documents lectures and other events: video and audio recordings, workshop web pages with programs, lists of participants, and links to the Kolleg’s various projects and cooperative partnerships.

#### **A.VII THIRD-PARTY FUNDING/FUND-RAISING**

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Between 2012 and 2014 WiKo had expenses from third-party funds amounting to €7.1 million (€1.4 million in 2014). Of this amount 67 percent (€4.7 million) came from the *Land* Berlin, earmarked for funding of the Forum Transregional Studies (€4.48 million) and the project “Law in Context” (€250,000), 28 percent (€2.0 million) from foundations/charities, 2 percent (€113,000) from the European Union, and 3 percent (€234,000) from others (Friends of the *Wissenschaftskolleg* Association, from universities, the city of Paris, Fellows, *Amici Bibl. Class.*).

WiKo states that the raising of third-party funds is above all for those projects and initiatives which issue directly from WiKo’s activities and which according to its charter have either a connection with former Fellows or are in service of acquiring future Fellows. According to WiKo, fund-raising for the Kolleg’s Eastern European partner-institutes as well as for the Forum Transregional Studies (cf. A.III.7) has proven more and more difficult recently.

Certain members of WiKo's staff have regular teaching duties at the university level – the Rector (2 lecture hours per week), three locally resident Permanent Fellows (2-3 lecture hours per week) and the Kolleg's academic coordinators (2 lecture hours per week).

According to WiKo, many of its current and former Fellows are asked to give lectures at other institutions when they are in Berlin, for instance in 2015 the Humboldt University's Mosse Lectures (usually five talks per semester within a specific thematic framework) were in large part given by two current and two former Fellows as well as a Permanent Fellow.

According to its charter, promoting very young scholars (recent university graduates or doctoral students) is not one of WiKo's tasks. The Kolleg thus limits its sponsorship of scholars to those from the postdoc level upward. With establishment of the CfLS a project was brought into being that purposively targets early career researchers in the natural sciences. Furthermore, WiKo participates in a transatlantic summer-school program (SIASSI, cf. A.III.7.c) for promising young scholars at the postdoc level and particularly in the humanities. The objective of the SIAS Summer Institutes is to foster research networks and common activities and ultimately a "cohort formation" that in the long term facilitates closer ties between research activities in Europe and the United States while simultaneously supporting further development of new research fields. SIASSI participants are selected by SIAS directors who make a call for applications on their websites and disseminate it to their alumni networks. The selection of a candidate is based on a proposal which is externally reviewed.

Moreover, WiKo was involved in establishing the aforementioned *Studienkolleg* and supported its activities throughout its existence (see A.III.7.d)

#### A.IX QUALITY ASSESSMENT

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WiKo stresses its role as a "classic" IAS that enables its Fellows to conduct their own research projects in a discursive and stimulating environment, free from all those everyday tasks and duties with which scholars must cope at their home institutions. By the end of their stay at WiKo, Fellows are neither required to have produced "output" in the form of publications or successful applications for third-party funds nor does the Kolleg claim any institutional credit for the publications and projects of its Fellows. The Kolleg regards this aspect as vital in successfully constituting an intellectually stimulating and fruitful community life of outstanding scholars. But WiKo also takes measures to assure and improve the quality of its services, its strategic instruments for

Fellow-selection and agenda-setting and the long-term outcomes for the scientific community at large.

WiKo claims to involve a large number of outstanding scholars from throughout the world in improving its procedures and agenda. On the one hand this occurs through networking with other IAS (e.g. SIAS, NetIas) and on the other by intensifying the involvement of former Fellows in the actual work of WiKo, which since 2013 has been facilitated by the Fellow Forum and its activities (cf. A.III.6, A.V.2).

As a form of quality improvement each annual group of Fellows chooses two spokespersons who engage in an interchange with the Rector and representatives from the administration regarding the needs and concerns of Fellows. In these exchanges any possible problems of individual Fellows or tensions within the group can be addressed or proposals made for improving the Kolleg's services and offerings. Furthermore, certain former Fellows are members of the Academic Advisory Board while others assist the Kolleg as leaders and members of the Fellows' Club. Current and former Fellows also frequently make recommendations to WiKo for future Fellows or they participate in the selection process in their capacity as expert evaluators.

Regular internal quality assessment procedures take place in a variety of formats:

- \_ At the end of their stay the Fellows are asked to submit an annual report in which they take stock of the past year in terms of their scholarly experience and output as well as their interchange with co-Fellows. These reports are published in the WiKo yearbook.
- \_ The academic coordinator composes a report on the academic year for the Academic Advisory Board, which is then collectively discussed at the board meeting.
- \_ At the end of every year WiKo offers Fellows an opportunity to share any final thoughts on their stay; furthermore, in a letter, the Rector offers Fellows the opportunity of giving him their feedback in a confidential letter of their own.
- \_ At the end of the 2013/14 Fellow year, by way of exception, WiKo used an electronic questionnaire to gauge Fellows' satisfaction with the Kolleg's services.

In the year 2001 the German Council of Science and Humanities recommended that WiKo develop its own mode of evaluation in consultation with other IAS. The procedure that resulted was based on a survey of Fellows who had been at the Kolleg five to ten years before the date of the evaluation, and it was applied twice, in 2005 and 2010. The answers together with the Kolleg's summary report were presented to external commissions for evaluation and, according to



WiKo, various recommendations made by the commissions were eventually implemented.

WiKo has three times been an object of external evaluation by the German Council of Science and Humanities (in 1982, 1988 and 2001). It is within the framework of the *Wissenschaftsfreiheitsgesetz* that WiKo has had to submit an annual monitoring report to its public-funding bodies (since 2013).

#### IX.1 Academic Advisory Board

The Academic Advisory Board provides counsel for WiKo's executive in all academic matters. Its most important function is helping the Rector and Permanent Fellows to decide what scholars will be invited to the Kolleg as Fellows. The board receives all applications for individual fellowships and for thematic focus groups and then offers its recommendations – usually each board member assesses the quality of candidatures within his own disciplinary field or asks external reviewers for an assessment. However, in line with WiKo's interdisciplinary approach, all candidatures are later discussed by all the members of the Academic Advisory Board. Furthermore, the board has an expanded function as advisory body in terms of reflecting on the dynamics of a given academic year or in drawing certain conclusions at the end of that year.

The board meets twice a year (in May and November) and according to WiKo's charter it consists of a minimum of six and a maximum of eighteen German and international scholars. These are proposed by the Rector to the WiKo Members' Assembly and elected by the latter for three years. Re-election for one term is possible. Actually, the board comprises fifteen members of which nine are from foreign academic institutions. Five board members are female, and four members represent disciplines from the natural sciences.

#### **A.X POSITION IN THE FIELD OF OTHER NATIONAL AND INTERNATIONAL IAS**

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According to WiKo, the three international institutions which are most familiar to the Kolleg in terms of their mode of operation and their reputation are the Princeton Institute for Advanced Study (USA), the Radcliffe Institute for Advanced Study (Cambridge, USA) and the Swedish Collegium for Advanced Study (Uppsala, Sweden). In comparison to these three institutions, WiKo defines its position as one in which there are varied emphases while yet still having a similar magnitude of influence.

WiKo sees the Princeton Institute for Advanced Study as being distinguished by a much larger group of Fellows and the organization of Fellows into four schools: the School of Mathematics, the School of Natural Sciences, the School of Historical Studies and the School of Social Science. Any invitation extended to Fellows is therefore primarily an invitation to participate in a disciplinary

discussion within the framework of the respective schools. Every school has its own faculty (what WiKo calls “Permanent Fellows”) which is responsible for selection of the Fellows as well as for interacting with them. For this reason WiKo assigns to the Princeton Institute more visibility in the subject-specific traditions. By contrast WiKo more strongly emphasizes the cross-disciplinary character of a given academic year as well as the idea of enabling surprising insights and effects through an intellectual exchange among Fellows with clearly delineated scholarly nomenclatures.

Radcliffe Institute and the Uppsala Institute are assessed by WiKo as similarly beholden to the idea of interdisciplinarity. WiKo asserts that Radcliffe Institute is a step ahead in selecting a high proportion of female scholars and that Radcliffe regards itself as “Harvard’s open door,” which effectively results in a more active policy in terms of outreach to a wider audience as compared to WiKo.

WiKo considers the Uppsala Institute to be an IAS more focused on the social sciences than on the life sciences, having only recently begun to place an emphasis on the latter. It is with the *Pro Futura Scientia Program* that Uppsala has also developed a promotional strategy which enables outstanding Swedish postdoctoral researchers to have multiple stays within a five-year period.

In comparison to these three institutes, WiKo regards its own unique selling point as accentuation of the life sciences and legal studies in addition to its engagement with contemporary music and composition. WiKo claims that another of its hallmarks is the highly international character of its Fellow cohorts. In contrast to the American institutes, a particular characteristic of WiKo is its strong encouragement of multilingualism. The concerns of families with children are playing an increasingly important role in WiKo’s services, which in the Kolleg’s view is not always the case at other IAS.

What makes WiKo yet more outstanding, from its own perspective, are the various initiatives by which the Kolleg attempts to constantly impart intellectual impulses to science and scholarship that go beyond hosting individual researchers or groups.

Compared to IAS under the university umbrella – as established recently in Germany in the context of the Excellence Initiative by the federal government and the *Länder* – WiKo sees its advantage in the Kolleg’s institutional autonomy and thus its independence with regard to decision-making processes and flexibility. WiKo argues that the primary community in which fellowship-holders in university-based IAS interact is often restricted to specific departments, disciplinary perspectives, students, doctoral candidates, etc. WiKo sees its status as an extra-university IAS as a guarantee that Fellows can focus on their work and on each other – and that the Kolleg’s focus is always on the Fellows.

## XI.1 Structure and Organization

WiKo has the legal status of a non-profitmaking society (e. V.) in accordance with the section “Purposes Qualifying for Tax Relief” in the German Tax Code (1977) and is funded by the Ernst Reuter Foundation. WiKo’s committees consist of the Academic Advisory Board, the Members’ Assembly of the society, and the Ernst Reuter Foundation’s Board of Trustees.

The Members’ Assembly of the *Wissenschaftskolleg zu Berlin e. V.* sets the guidelines for the Kolleg’s work and determines its annual budget. It receives and formally accepts the Rector’s annual report and the annual statement of accounts. The Members’ Assembly makes the central personnel decisions: it elects the Rector and the Permanent and long-term Fellows, and it appoints the members of the Academic Advisory Board as well as the Secretary. Ordinary members of the assembly are the Presidents and Chairmen of the:

- \_ Alexander von Humboldt Foundation (AvH),
- \_ German Academic Exchange Service (DAAD),
- \_ German Research Foundation (DFG),
- \_ *Freie Universität* Berlin (FU),
- \_ Humboldt University Berlin (HU),
- \_ Max Planck Society for the Advancement of Science (MPG),
- \_ Prussian Cultural Heritage Foundation (SPK),
- \_ Technical University (TU) Berlin,
- \_ German Rectors’ Conference (HRK),
- \_ German Council of Science and Humanities (WR).

The Ernst Reuter Foundation’s task is to procure the funds needed to operate the Kolleg. Its Board of Trustees consists of WiKo’s most important financial sponsors, appointed members of the *Wissenschaftskolleg zu Berlin e. V.*, and personalities of public life. The Board of Trustees contributes to the central personnel decisions of WiKo, especially in appointment of the Rector and the Permanent Fellows. The board is chaired by the Senator of Economy, Technology, and Research of the *Land* Berlin and co-chaired by the Minister of Education and Research of the Federal Republic of Germany. According to WiKo, as a complement to the Members’ Assembly, the Board of Trustees brings the extra-academic perspective to bear so that there exists a functional division of labor between these two reference systems so essential to WiKo’s smooth operation.

Convener of the Members' Assembly is the head of the Kolleg (Rector). The Rector has the central role throughout the committee structure and above all in shaping the profile and strategic orientation of WiKo as a scholarly institute. In particular the appointment of Fellows and guests is the decisive instrument in this regard. Furthermore, the Rector proposes potential members for the Academic Advisory Board as well as candidates for permanent fellowships to the Member's Assembly.

Within the circle of Permanent Fellows, with whom the Rector consults regarding the Kolleg's scholarly course, he assumes the role of *primus inter pares*. At present there are ten Permanent Fellows who support the Rector in all academic decisions and who meet at least four times a year; |<sup>20</sup> those Permanent Fellows who are Berlin residents meet more regularly, at least once a month. The Secretary supports the Rector in administrative matters.

#### XI.2 Appointment of Leadership Positions

According to WiKo's charter the Members' Assembly (in consultation with the Board of Trustees) is responsible for electing the Rector. Following recommendations of the evaluation committee in 2010, for the first time in WiKo's history a finding committee is being deployed in the effort to locate a new Rector for 2017. Members of this committee are the three resident Permanent Fellows along with a representative of the Members' Assembly, who is also the chairman of the committee, and an external expert. The presiding Rector of WiKo is likewise a member of the committee. The task of the committee is to identify a candidate who in 2016 will then be presented to the Members' Assembly and the Board of Trustees of the Ernst Reuter Foundation. Along with possessing an international reputation as a researcher, the other criterion for election is the ability to integrate a multidisciplinary Fellow community.

Permanent Fellows are elected by the Members' Assembly, and the Board of Trustees takes a position on the candidatures, as does the Academic Advisory Board. The criteria for selection are excellence in a field central to WiKo's scholarly agenda and the ability to engage in interdisciplinary discourse. After the Academic Advisory board has discussed the candidates' qualifications, the Permanent Fellows are then elected by the Members' Assembly with consent of the Board of Trustees. WiKo claims that it recommends scholars to be elected by the assembly as Permanent Fellows whose fields of expertise are strategically relevant to the Kolleg, and its recommendations are sometimes also informed by the desideratum of developing new subject areas. Cooperation agreements with the Permanent Fellows and their home institutions are nego-

|<sup>20</sup> The Rector also has the status of a Permanent Fellow. Former Rectors are usually also Permanent Fellows of WiKo.

tiated on an individual basis and differ according to the Fellow's starting situation. Some Fellows exercise their function at WiKo on an honorary basis while still maintaining their original position at a university or a research institute; others receive timely limited full appointments with WiKo paying the costs of a substitute at their home institution.

The Secretary is appointed by the Members' Assembly on recommendation of the Rector. Most recently a finding committee was deployed to fill the position, which was publicly advertised. Criteria for the position are knowledge of both, the national and international scholarly scene, experience in administrative work and the ability to inhabit both an international and interdisciplinary research environment and respond to its demands.

### XI.3 Resources

#### XI.3.a Staff

WiKo's staff chart from 30 June 2015 lists 34 regular posts (FTE, presently occupied by 55 persons) of which 10.5 FTE are for academic staff (cf. appendices 2 and 3). In addition, 6.7 FTE (presently occupied by twelve persons) are financed from third-party funds, of which 2.5 FTE are for academic staff.

Up until now WiKo has had no formal strategy for enacting gender equality but contends that gender equality is taken into account when it comes to job offers. One-third of the academic staff (five of fifteen persons) is female. The age distribution (cf. appendix 4) shows that two-thirds of the academic staff is younger than fifty years of age (nine of fifteen persons); the most common academic background is that of historian (four of fifteen).

#### XI.3.b Budget

The *Land* Berlin and the German Federal Government contribute in equal measure to WiKo's institutional funding on the basis of the Framework Agreement on Research Promotion. Their contributions constitute some two-thirds of WiKo's annual budget. In addition the Kolleg receives regular contributions from Switzerland, which also functions as an institutional sponsor. WiKo's projects are financed by third-party means. The Kolleg also receives certain private donations (see below).

In 2014, WiKo had revenue of €9.9 million of which €6.8 million was basic institutional funding – €3.3 million each from the *Land* Berlin and the German Federal Ministry of Education and Research (BMBF) along with €247,000 from Switzerland.

On top of this basic funding there were additional funds raised primarily for events of the Fellows (ca. €30,000 from the Otto and Martha Fischbeck Foundation, and for name-fellowships (e.g. circa €30,000 for EURIAS -fellowships and

€31,600 from the *Volkswagen* Foundation). Further contributions came from Friends of the *Wissenschaftskolleg* Association and other donors for those expenditures that cannot be financed by public funding.

The flexibility provisions of the German Academic Freedom Act (*Wissenschaftsfreiheitsgesetz*) presently apply to WiKo in limited form. The Kolleg makes agreements with its public-funding bodies, which from 2015 onward include more flexibility with regard to the employment chart and mutual coverability of expenditure posts. However, public account by approval of the *Land* Berlin is still required in a few aspects concerning the utilisation of WiKo's budget.

Due to the lack of content-related prerequisites and clear delimitations, WiKo has not introduced a cost-performance analysis. WiKo judges the potential for budget flexibility as sufficient. The two-year budget for 2016 and 2017, recently approved by the *Land* Berlin, allows WiKo to carry funds over from one year to the next. According to WiKo this will allow for even more flexibility in the future, i.e. in awarding fellowships and attracting the most outstanding scholars.

#### XI.3.c Premises and IT-Infrastructure

WiKo is presently housed in five buildings. All the buildings are in direct proximity to the main building at Wallotstrasse 19. The main building and the new building (Wallotstrasse 21) are property of the *Land* Berlin and have been placed at WiKo's disposal. The building at Koenigsallee 21 (including the carriage house) was made available to the Ernst Reuter Foundation and hence to WiKo by the *Volkswagen* Foundation. Those premises used by WiKo at Wallotstrasse 10 and Koenigsallee 20 are a long-term lease. The two buildings at Wallotstrasse 19 and 21 together amount to 5,837 m<sup>2</sup> of land space and 4,105 m<sup>2</sup> of floor space (for the number of apartments available to Fellows cf. A.V.4).

WiKo is equipped with its own secure network (LAN) with fiber-optic cabling (between the buildings) and structured ethernet wiring (within the buildings) as well as campus-wide WLAN for Fellows and guests. Web-based services such as web content and management systems, intranet, collaboration platforms, Wiki, e-mail, calendars, cloud server, among others, are all internally hosted and managed. Further comprehensive services are the Cisco video-conference system, the locking system and the telephone system.

#### **A.XII FUTURE DEVELOPMENT**

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WiKo assumes that the current wave of newly established IAS in and outside of universities will remain a worldwide phenomenon for some time to come. WiKo expects that the range of IAS will diversify as ever more institutes are founded under the IAS or similar rubrics – though the boundaries between the

various versions might become somewhat blurred. WiKo observes that certain “classic” IAS are moving away from individual invitations and increasingly extending group invitations. WiKo also discerns a trend among some SIAS members and in the academic systems of a variety of nations, by which greater emphasis is being placed on the social relevance and output of scholarly activity.

WiKo declares a central interest in asserting its role in this dynamic environment by likewise accentuating the notion of quality – with regard to its Fellows and the services it provides as an institution. In terms of the field as a whole, together with its partner institutes, WiKo wishes to formulate certain standards – namely being committed to Fellow-selections based on individual quality while also representing a wide range of disciplines and the interplay between the two. In particular cases this can also mean eschewing fashionable trends. Two of these trends are identified by WiKo as a) greater accentuation of the group principle, and b) legitimation by measurable output. In both cases WiKo sees its role in arguing for a “classic” interpretation of the IAS model without fundamentally sacrificing new options. Two central elements of this classic interpretation are the residency principle and stays of ten months as a rule, i.e. for an entire academic year.

One of WiKo’s fundamental challenges in the coming years is to increase diversity within its Fellow cohorts while never compromising scholarly quality. With regard to disciplinary diversity, WiKo seeks to sustain its engagement with biology and the life sciences and will be developing further thematic focal points. WiKo admits that its portfolio has an undue proportion of research projects related to the past as compared to projects with relevance for present-day issues. The Kolleg is particularly intent on increasing its efforts to attract outstanding scholars from the fields of economics, the empirical social sciences, geography and climatology as well as attracting female scholars and those from hitherto underrepresented global regions.

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# B. Evaluation

## B.1 PROLOGUE

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Progress in the sciences and humanities depends on the intellectual liberty to develop new ideas and approaches as well as on the access to research infrastructures which offer time, space and facilities for innovative research in all academic disciplines. In this sense research infrastructures also serve as social infrastructures, establishing a space for international academic communities to meet, have face-to-face discussions and exchange ideas. Big laboratories, research vessels, particle accelerators, research libraries, archives and archaeological sites fulfill these tasks contingent on their mission, methods, materials and settings; they assemble scholars from a few disciplines or even a single discipline in a specialized research field. |<sup>21</sup>

Institutes of Advanced Study (IAS) represent a special kind of social infrastructure in being prestigious *loci* which provide time and space for the curiosity-driven research of invited scholars and artists. To that purpose IAS frequently offer an interdisciplinary or multidisciplinary environment without being bound to a certain kind of specialized research infrastructure (see above). They award fellowships that enable stays for individual academics from a few months to an entire academic year and beyond. The purpose of the fellowships is so that an awardee may gain the necessary time and space to think and liaise without being restricted by the usual teaching and administrative tasks at their home institutions. Typically the combination of trust in selected persons – the Fellows – and provision of a liberal research framework for Fellow interaction enables IAS to serve as a counterpoint to the usual research performed on a grant, which can have time limits and be strictly goal-oriented. Hence IAS are able to promote unexpected, risky research paths and transcend disciplinary borders. In this sense, IAS can act as starting points or platforms for the emergence of new research ideas, multidisciplinary fields or innovative approaches. This often happens as a byproduct of the communication within

|<sup>21</sup> See Recommendations on Research Infrastructures in Humanities and Social Sciences (Drs. 10465-11), January 2011, pp. 20, 65-69. Source: [http://www.wissenschaftsrat.de/download/archiv/10465-11\\_engl.pdf](http://www.wissenschaftsrat.de/download/archiv/10465-11_engl.pdf).



Fellow communities and is in some cases part of the institute's mission. It is by stimulating surprising scholarly initiatives and enabling serendipity in research that IAS can fill a functional niche as "incubators" in academia.

The very first IAS was established in the 1930s in Princeton, New Jersey/USA, and ever since then numerous IAS have been founded throughout the world and in different institutional settings, namely as university-centered IAS and as independent extra-university IAS. In the last thirty years of the twentieth century a number of extra-university IAS were founded, e.g. the Netherlands Institute for Advanced Studies in Wassenaar (1970), the Swedish Collegium for Advanced Study in Uppsalla (1985) and the *Wissenschaftskolleg zu Berlin* (WiKo/1981). These IAS are today called "classic" IAS. Similar to their role model – the IAS Princeton – they can be recognized by features such as an independent, extra-university organizational form, by a strict international orientation and a strong focus on inviting individual scholars. However, within this category a majority of IAS have an emphasis on the humanities and social sciences, while WiKo follows a decidedly multidisciplinary approach, targeting scholars from the natural and life sciences as well. |<sup>22</sup> Regarding the recent establishment of extra-university IAS, particularly in Eastern and East-Central Europe, WiKo itself became a role model and supported the founding and maintenance of several of these institutions by giving academic advice concerning structures, mission and Fellow selection as well as administrative and financial assistance.

The "classic" IAS can be distinguished from other formally independent but more university-related IAS – e.g. in Germany there is the Center for Interdisciplinary Research at Bielefeld University (*Zentrum für interdisziplinäre Forschung*, ZiF, est. 1968), the *Hanse Wissenschaftskolleg* in Delmenhorst (HWK, est. 1995 as an autonomous foundation dedicated to close cooperation with the universities of Bremen and Oldenburg) and the Institute for Advanced Study in the Humanities in Essen (*Kulturwissenschaftliches Institut Essen*, KWI, est. 1989 as a joint Inter-University-Kolleg of today's University Alliance Ruhr, an association of the University Duisburg-Essen, the Ruhr University Bochum and the Technical University Dortmund). Each of these IAS pursues a special mission: While ZiF is focused on inviting entire research groups to pursue interdisciplinary projects, HWK and KWI have focused their fellowships on researchers working in certain research fields or thematic areas which are closely related to the research profiles of the universities they are committed to cooperate with.

As of 2006 there has been a wave of newly established IAS in Germany. It started with the successive establishment of ten university-centered IAS, sponsored

| <sup>22</sup> To be found within the category of extra-university IAS are several institutes which are bound to single disciplines – e.g. in Germany the Oberwolfach Research Institute for Mathematics (MFO), the Leibniz-Center for Informatics *Schloss Dagstuhl*, and the *Historische Kolleg* in Munich.

by BMBF as *Käte Hamburger Kollegs* (KHK) in the humanities and social sciences, with certain time limits of promotion and thematic foci. |<sup>23</sup> Coinciding with this was the founding of several Centers of Advanced Study (CAS) and other IAS-like institutes by universities within the framework of future development plans (*Zukunftskonzepte*), promoted by the Excellence Initiative (*Exzellenzinitiative*) of the German Federal Government and the *Länder*. These IAS or CAS include university-based institutions like the Freiburg Institute for Advanced Study (FRIAS), *Lichtenberg Kolleg Göttingen*, *Marsilius Kolleg* at Heidelberg University, the Center for Advanced Study at Munich University (CAS-LMU) and the Institute for Advanced Study at the Technical University Munich (TUM-IAS). Common features of KHK and CAS/IAS, which were founded within the framework of the Excellence Initiative, are the following:

- \_ they are tied to research profiles which are promoted in the respective universities they belong to;
- \_ they must fit the development plans and research strategies within these universities;
- \_ they were established as third-party funded projects with limited time prospects connected to external funding;
- \_ particularly KHK must stand the test of evaluation and output measurement to achieve a second funding period.

In this sense these institutes fit into the overall institutional strategy and research management of the universities where they were initiated by a group of scholars (KHK) and respectively established as a core component of the future institutional strategy (*Zukunftskonzept*).

## **B.II SCIENTIFIC RELEVANCE OF WIKO**

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Concerning the aforementioned proliferation of IAS and IAS-like institutions on a global scale as well as in Germany in recent years, WiKo as an extra-university based IAS is unique and enjoys a high level of academic esteem not only in Germany but among IAS worldwide. It still continues its distinguished function within Germany's national system of research institutions as a central meeting place for outstanding scholars from many disciplines and countries. Other IAS in Germany can be seen as complementary to WiKo's tasks and mis-

|<sup>23</sup> Following recommendations of the German Council of Science and Humanities to promote research in the humanities. See *Wissenschaftsrat: Empfehlungen zur Entwicklung und Förderung der Geisteswissenschaften in Deutschland*, Cologne 2006. Other project-funded IAS-like institutions are the Kolleg Researcher Groups (*Kolleg Forschergruppen*) promoted by the German Research Foundation (DFG) and the recently established Maria Sibylla Merian Centers in foreign countries, promoted by the Federal Ministry of Education and Research (BMBF) to support international research collaboration in the humanities and social sciences.

sion but not as substitutes or primary competitors, as these often specialize in certain research topics, offer fellowships only for particular academic fields or have less autonomy in choosing their own institutional agenda. Particularly with regard to the newly established IAS at German universities, it is striking that WiKo is not tied to an institutional strategy or research profile for the sake of a single university or a regional association of research actors. On the contrary, the principle of inviting only scholars who have no official affiliations to Berlin institutes of higher education and research is still a constituent element of the Kolleg's autonomy and mission. The three major Berlin universities belong to WiKo's Members' Assembly but are complemented by major national organizations for the promotion of science and the humanities. |<sup>24</sup> These latter have a strong national stakeholder interest in the mission and tasks of WiKo, thus illustrating the Kolleg's distinguished role among IAS in Germany.

Its well established tradition and excellent track record of attracting outstanding academics especially from the humanities – with an increasing tendency to attract highly esteemed scholars from the non-experimental natural sciences as well – are prominent features of WiKo today. The intellectual atmosphere at WiKo profits from its secluded location in Berlin-Grünwald as well as from its close and voluntary connections to three universities in Berlin. Beyond that, the Kolleg is engaged in cooperative work with many extra-university research institutes in the Berlin-Brandenburg region, with cultural heritage and research institutions of the region, and also with those related to the Research Network Marbach-Weimar-Wolfenbüttel.

What makes WiKo unique and outstanding compared to other IAS in Germany and abroad is its concurrent dedication to:

- \_ promoting curiosity-driven research in science and the humanities;
- \_ stimulating serendipity by supporting debates, networks and ties between scholars from different disciplines who would not have otherwise met;
- \_ being open to all kinds of multidisciplinary research;
- \_ offering attractive fellowships to established senior scholars from many disciplines as well as to an increasing number of early career researchers;
- \_ creating an intellectual atmosphere;
- \_ giving ordinary Fellows a full academic year devoted exclusively to research and informal networking;

| <sup>24</sup> Alexander von Humboldt Foundation (AvH), German Academic Exchange Service (DAAD), German Research Foundation (DFG), German Rectors' Conference (HRK), Max Planck Society (MPG), Prussian Cultural Heritage Foundation (SPK) and the German Council of Science and Humanities (WR).

- \_ engaging in new academic fields and initiatives to promote multidisciplinary research approaches not yet established at the university level;
- \_ transferring the knowledge from these projects and initiatives to scientific communities, universities and other research institutions as well as to a broad academic public;
- \_ being a role model for the establishment of new IAS in German universities, e.g. KHK, as well as abroad and with a strong focus on supporting IAS in East-Central Europe;
- \_ providing outstanding academic services, social care and scholarly contacts to its Fellows during their stay at the Kolleg and to former Fellows/alumni;
- \_ collaborating with universities and other research institutions, based on the Kolleg's independent status and autonomous governance as an extra-university institution.

These tasks are accomplished by WiKo and its staff in accord with high quality standards. In this respect WiKo's mission as stated in its charter and emphasised in prior evaluations by the German Council of Science and Humanities (in 1982, 1988 and 2001) is still of great value for the wide spectrum of German and international research institutions. The academic tasks executed by the Kolleg – especially in the aforementioned configuration – are not offered by any other academic institution in Germany or other IAS abroad. WiKo's wide renown puts it in a league with the top IAS in the world, e.g. the Princeton Institute for Advanced Study (USA), the Radcliffe Institute for Advanced Study (Cambridge, USA) and the Swedish Collegium for Advanced Study (Uppsala, Sweden). However, WiKo differs from these IAS in terms of its medium size – e.g. the absence of internal divisions into classes or schools – its explicit multidisciplinary approach as well as its strong dedication to initiating and promoting new academic ideas and research fields. In this sense WiKo has a unique position among the world's outstanding IAS and makes a valuable contribution to the high esteem in which the international scientific community holds German science and humanities.

To make WiKo sustainable for future demands and to maintain the Kolleg's outstanding reputation there are nevertheless certain improvements necessary that will be recommended in the following sections.

### **B.III KEY TASKS AND MAIN AREAS OF WORK**

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#### III.1 Supporting Individual Scholars as Part of an Intellectual Community

WiKo puts emphasis on the promotion of individual scholarly personalities and constitutes an appropriate frame for the exchange of scholars from different disciplines and research fields as well as from different academic cultures and

countries of origin. Its mission is to create a multidisciplinary and cosmopolitan atmosphere that enables Fellows to break with all too familiar perspectives and enlarge their previous scope of research. WiKo successfully provides for a supportive environment that fosters both serendipity and curiosity. The open-minded debate that takes place among a Fellow cohort often leads to discovery of new scholarly ideas and the forging of cooperative work relationships which would not have occurred without the multidisciplinary exchange that the WiKo format promotes.

Another valuable effect of this group diversity is Fellows' engagement in activities associated with the Public Understanding of Science and Research (PUS and PUR) since they must translate their disciplinary problems into a language which is recognizable not only to scholars from other disciplines but to laypersons. This sometimes results in texts and books on scientific issues that are disseminated to a broader public.

Taken altogether, WiKo's support for individual Fellows with unaffiliated research projects as well as its ability to create an intellectual community of Fellows can be judged as very successful. A presupposition for this success is the selection of open-minded scholars who can profit from a multidisciplinary environment (see B.III.4).

### III.2 Thematic Focus Groups

A fitting addition to the ordinary unaffiliated fellowships can be seen in those which are tied to membership in a thematic focus group. What makes these special is the fact that a small group of scholars – often coming from different fields – can discuss a not yet established research topic from more than one disciplinary point of view. These fellowships, however, are individual fellowships since each candidature and each research proposal for participation in the focus group is assessed separately by WiKo's selection committee. The process of establishing a focus group usually combines a bottom-up initiative by the convener and a top-down modeling by the WiKo bodies so that the theme and group can fit into the Kolleg's particular multidisciplinary framework. The process of establishing a thematic focus group is designed with great precision. Contacts and networking between focus-group members and unaffiliated Fellows are to be rated as very good. The overall composition of the annual Fellow cohort, which consists of approximately two-thirds unaffiliated scholars and one-third focus-group members is commensurable to achieve the Kolleg's mission. However, to attract more Fellows from still underrepresented disciplines, the arrangement hitherto of unaffiliated fellowships and thematic focus groups should be complemented by open calls with thematic or audience specific targeting (see B.III.4).

Launching and promoting specific scholarly topics which are not already established within universities can be seen as a special and valuable task that distinguishes WiKo from other IAS. The Kolleg should retain these activities since they contribute to its mission as an “incubator” for new research ideas and approaches. Its important role as a hotbed for multidisciplinary research initiatives cannot be overstated. An affiliation with WiKo provides emerging networks with a high degree of academic credibility in their respective scholarly communities.

However, WiKo should also set forth transparent rules and regulations for terminating existing initiatives and projects. Innovative and challenging research fields can only be discovered and promoted when there is enough leeway for the Kolleg in terms of time, personnel and resources to support and establish new initiatives. After a time period of five years such initiatives should commonly find their way into university teaching and research or attract other extra-university promoters, third party funding, etc. To secure certain initiatives or projects by placing them under aegis of WiKo’s permanent institutional funding would not suit the Kolleg’s mission in the long run. Such practice would limit the Kolleg’s ability to detect and promote new academic trends. The outcome of initiatives and projects should also be subject to external evaluation within a reasonable time period, especially if WiKo wants to continue an initiative by drawing from its own budget.

#### III.3.a College for Life Sciences

The establishment of the College for Life Sciences (CfLS) in 2012 is without doubt a success story. The CfLS can be seen as an instrument befitting the Kolleg’s mission of a multidisciplinary IAS and in serving to fulfil recent requirements that would increase the number of early career researchers in Fellow cohorts and thus lower their average age. The selection process for the CfLS is one of open international calls with an application deadline, which is a very effective way of attracting candidates. Also the shorter duration of a fellowship in CfLS as compared to ordinary fellowships for senior scholars makes sense for addressees of the program. It is reasonable that WiKo has focussed this program on early career researchers in the natural sciences. However, WiKo should expand the program beyond addressees in evolutionary biology, e.g. so as to attract more physicists, chemists and life scientists to the program. It is in this context that WiKo should actively pursue the offer on the part of Berlin universities to allow further access to their laboratories and other research facilities.

It is highly recommended that those postdocs who are accepted as CfLS Fellows should be given the opportunity to name an experienced scholar in their research field with whom they would like to collaborate and to invite this person

as a guest or for a short-term stay at WiKo. This scholar should not have been in a position of authority over the CfLS Fellow in the past, e.g. as a dissertation advisor or head of the laboratory in which the postdoc was or might even still be employed.

Because the CfLS fellowships for early career researchers in the sciences have indeed proven a success, they should be generally expanded – even at the expense of ordinary fellowships for senior scholars. However, the concept of CfLS should not be transferred to the humanities and social sciences where younger researchers can still be attracted by the usual instruments of Fellow selection. The contacts which WiKo provides for CfLS Fellows to universities and extra-university research institutes in the Berlin-Brandenburg region are very much appreciated and could also be extended.

### III.3.b Forum Transregional Studies

Following recommendations of the German Council of Science and Humanities concerning German research in area studies, the Forum Transregional Studies was founded in 2009 by WiKo and other Berlin research institutions. |<sup>25</sup> As an autonomous research alliance of scholars and institutes mostly from German universities, the Forum does excellent work in merging area-studies approaches with disciplinary ones. It successfully maintains a postdoc program and attracts its own Fellows. The exchange between Forum Fellows and WiKo Fellows is at a high level and beneficial to both institutions as well as to the field of transregional studies in Germany in general. Without WiKo's initiative as co-founder of the Forum, cooperation between area-studies researchers at German universities and area experts from abroad would not have developed as favourably as it has today. It should also be said that the Forum derived from another of WiKo's successful thematic initiatives, namely the working group on Modernity and Islam (1986-2001).

### III.3.c Law in Context

The research network "Law in Context" (*Recht im Kontext*) was established in 2010 as a third-party funded project but has received its funds from WiKo's regular budget since 2015. It is closely linked to the multidisciplinary approaches and areas of interest of its director, who is also a Permanent Fellow in residence at WiKo. The network promotes innovative legal studies in Germany by exploring their interface with neighbouring academic fields in the humanities and social sciences and by pushing the discipline's internationalization. In this sense the initiative is implementing recent recommendations of the Ger-

|<sup>25</sup> See *Wissenschaftsrat: Empfehlungen zu den Regionalstudien (area studies) in den Hochschulen und außeruniversitären Forschungseinrichtungen vom Juli 2006*, in: *Wissenschaftsrat: Empfehlungen und Stellungnahmen 2006*, vol. III, p. 7-87, Cologne 2007.

man Council of Science and Humanities. |<sup>26</sup> So far it has been very successful with regard to the quality of research, cooperative work, and programs for Fellows and postdocs within the network. However, the network established by Law in Context is quite small and has yet limited outreach with respect to the broader community of legal scholars and practitioners in Germany. If the network wishes to sustain its mission of developing new approaches, academic curricula and innovative methods in teaching and research then applications to the legal sphere should be increased. This should be done by involving a broader target group of legal-studies scholars and judicial practitioners as well as by opening the network to a diverse set of applicable fields, e.g. criminal and private law.

#### III.3.d Research Network Marbach-Weimar-Wolfenbüttel

WiKo cooperates closely with the German Literature Archive in Marbach (*Deutsches Literaturarchiv Marbach*), the Herzog August Library Wolfenbüttel, and the *Klassik Stiftung Weimar*, which established the office of their Marbach-Weimar-Wolfenbüttel Research Association (MWW) on WiKo's premises in 2014. This move is much appreciated since WiKo and its network of current and past Fellows can be seen as a vital link in attracting international scholars from the humanities to do research involving the cultural heritage provided by the institutes of MWW. Relieving WiKo Fellows of their residency obligation so as to visit MWW institutions can thus be regarded as a fitting instrument for establishing lasting international collaborative research. Digital Humanities is a research field of growing importance in the humanities and increasingly established in the research work of MWW institutions, but it was not until recently that it became a subject of primary interest on the WiKo agenda. The Kolleg now recognizes the impact of Digital Humanities on the research of its own Fellows and is encouraged to tighten the cooperation with the MWW institutions. If successful, the WiKo/MWW partnership will increase international awareness of the coordinated research projects of the MWW institutes as well as of the research infrastructures, e.g. the outstanding archives and collections that these institutions have to offer.

#### III.3.e International Cooperations

WiKo has played a very important role in establishing and supporting other IAS or IAS-like institutions worldwide. In this sense WiKo is a vital player in Germany's international policies of promoting science and scholarly exchange. One should particularly underscore WiKo's role as a promoter of and administrative mediator for several IAS in Eastern and East-Central Europe, e.g. the

|<sup>26</sup> See German Council of Science and Humanities: Prospects of Legal Scholarship in Germany. Current Situation, Analyses, Recommendations, Hamburg 2012.



New Europe College (Bucharest), the Center for Advanced Study (Sofia), the *Bibliotheca Classica* (St. Petersburg) and the Center for Advanced Studies of South-eastern Europe (Rijeka). In return for its support WiKo gains insight into those academic communities of the countries and regions with which it is engaged, thus enabling it to detect promising scholars and themes related to certain regions and cultures which are still underrepresented in the academic discourse.

As one of the world's leading IAS, WiKo has a multitude of international contacts with other IAS and IAS-networks, of which the European NetIAS and the transatlantic SIAS group are the most important ones; of particular note are the joint programs of these networks, namely the EURIAS fellowship program and the SIAS program for transatlantic summer schools. It is much to be regretted that the latter has been terminated due to the fact that the Mellon Foundation is no longer co-funding the program. The SIAS summerschools are deemed important to a lively transatlantic academic exchange and cooperative partnerships. Together with the Alexander von Humboldt Foundation (AvH) WiKo should try to find another American sponsor for this successful program.

### III.3.f Cooperation with Universities and Research and Cultural-Heritage Institutions

WiKo is well integrated into the network of universities and research institutes in the Berlin-Brandenburg region. Owing to WiKo's Permanent Fellows in residence there exist strong ties to the HU and FU Berlin as well as to the Max Planck Institute for the History of Science. WiKo has recently intensified its collaboration with the Max Delbrück Center for Molecular Medicine (MDC) and the Integrative Research Institute of the HU (IRI) in cooperation with the *Charité*. As part of WiKo's increased efforts to attract early career researchers from the natural and life sciences, these cooperative partnerships are highly appreciated and should be intensified.

Cooperative partnerships with universities should be further strengthened so as to increase WiKo's visibility in Berlin as well as at the national level and to provide its Fellows with promising contacts. This can be done by supporting more of the Fellows' scholarly events at university-based locations in the Berlin city center or at other German universities. Also to be recommended would be the proactive organization of access to university laboratories and research facilities for Fellows from the natural and life sciences. Permanent Fellows in residence should play a vital role in such local and nationwide cooperative efforts. However, cooperation is not a one-way street. German universities – in particular the three local Berlin universities – are also encouraged to express their expectations with respect to what they would like to achieve in cooperation with an internationally renowned and independent IAS like WiKo and to articulate just how they might profit from access to WiKo's outstanding Fellow network.

Collaboration with cultural-heritage institutions and museums in Berlin and at the national level is also deemed important and should most definitely be

maintained. Regarding the future agenda of the Humboldt Forum, WiKo is encouraged to seek a distinctive role for itself as a venue for open-minded scholarly endeavour, mutual tolerance and the intercultural exchange of ideas.

The Kolleg should take care to complement but not to overlap or even duplicate those disciplinary approaches or multidisciplinary initiatives which have already been taken by other institutions in the Berlin-Brandenburg research area.

#### III.4 Fellow Selection and the Composition of Fellow Cohorts

Highly appreciated is the fact that WiKo is able to compose increasingly diverse Fellow cohorts each year that are both intellectually fascinating and of superb quality. The Kolleg has an extraordinary reputation for attracting outstanding scholars in the humanities and social sciences and has in recent years also hosted notable scholars from other fields such as biology and the life sciences. All this should be continued and the Kolleg is encouraged to explore additional fields of research as well.

The proportion of women and scholars from otherwise underrepresented world regions has increased significantly over the past three years. CfLS and thematic focus groups have emerged as apt instruments for raising the percentage of scholars from the natural sciences, with a particular increase in evolutionary biologists. However, there is still some potential for further expanding diversity and encouraging risky and cutting-edge research by improving the selection process for WiKo fellowships.

— With exception of the CfLS and the EURIAS program, WiKo does not make open calls for fellowships. Applications can be forwarded by interested scholars from all disciplines any time of year. WiKo does not use a fixed set of quality criteria for the selection of Fellows but claims to adhere to the usual standards such as evaluation by internal and external reviewers of candidates' articles and their current project proposals. As a matter of fact, candidates who were invited to apply for a fellowship by current or former WiKo Fellows had a much better success rate than unsolicited applications (see appendix 8). From an outside perspective the process for selecting WiKo Fellows appears to be quite opaque; there are neither published criteria for evaluating the potential success of an unsolicited application nor any guidelines to orient candidates with regard to selection criteria. Although the Kolleg's leadership are to be given a certain latitude in constituting Fellow cohorts – especially with regard to issues of diversity and multidisciplinaryity – the selection process should be more transparent and less dependent on internal pre-selection by former, current and Permanent Fellows. For this reason it is recommended that WiKo should establish and publish criteria for candidatures. The Kolleg should make clear which prerequisites it regards as necessary for an invitation, such as the scholarly quality of candidates' past work

and the quality and final objective of the research proposal. These criteria for candidature should also allude to the Kolleg's mission in promoting open-minded multidisciplinary, innovative approaches and diversity. It should be clear to all interested scholars that these criteria are – in addition to the quality standard – important key points in WiKo's selection of individual candidates;

- \_ introduce more open calls with application deadlines. These should be devoted to innovative scholarly topics and/or addressed to academics from particular regions of the world. Open calls could be advertised in Spanish and French and in a more diverse set of academic journals so as to raise the proportion of scholars from yet underrepresented countries;
- \_ involve more reviewers in the selection process who do not already enjoy a close relationship with WiKo, especially with regard to evaluating the quality of an individual's past work, his academic merit and the innovative character of his project proposal;
- \_ encourage more risky "blue skies" research approaches by placing greater weight on such in the review process, e.g. as compared to candidates' previous work and attainments. Younger and mid-career researchers might be particularly attracted if WiKo would highlight the fact that a research project's riskiness is a strong criterion for an invitation;
- \_ move away from strict observance of the rule that ordinary Fellows should remain at WiKo for duration of the academic year. Candidates might have strong reasons for shortening their stay. This holds true in particular for the target group of high quality experimental scientists who must maintain laboratories, supervise large research groups and advise a large number of doctoral students and postdocs at their home institutions. For these addressees a stay of just a few weeks could be beneficial, too, without disrupting their career and duties for a length of time they might regard as unacceptable. Generally speaking the periods of stay should be handled in a more pragmatic and flexible way – particularly with regard to Fellows from disciplines that are not easily accommodated by Wiko's present policy.

Widely acknowledged are the potential contradictions between those dual imperatives of quality and diversity in an open and transparent selection process. However, reliance on firm and openly published criteria for a successful candidature is a prerequisite for the future development of WiKo's mission. But even with the introduction of such criteria as guidelines for interested scholars it would still be appropriate that the Rector – bearing in mind WiKo's overall mission – is entitled to have final say in the selection of candidates.

All the Fellow-related services provided by WiKo – the administration of stipends, negotiations with Fellows' home institutions, alumni work, mentoring, housing, library, IT, child care and restaurant services – are of excellent quality but with potential for improvement at the detail level. The Kolleg's dedication to providing services for each individual Fellow during the academic year and beyond – when Fellows have become alumni – is outstanding even on the international level.

The library services are of special value to a Fellow's research. Yet WiKo can still enhance its digital research environment, particularly in the field of Digital Humanities. Information about all available services should be gathered by WiKo and delivered to all new Fellows at the beginning of an academic year or short-term stay. So as to make WiKo more attractive to scholars with children, both its website and its written materials should place greater emphasis on information pertaining to child-care services.

The various forms of organized social activity among Fellows are very valuable but they should not grow into mere routine. So as to support Fellows' interaction with one another, apart from the daily lunches and weekly dinner and colloquium, WiKo is encouraged to experiment with a broader range of offerings.

### III.6 Transfer Activities

As its main task WiKo organizes lectures and talks internally among Fellows but also targets a broader audience outside of its Grunewald premises. WiKo engages with great success in a multitude of transfer activities, e.g. the awarding of academic prizes (Anna Krüger Prize) and the organization of colloquia and lectures together with cooperation partners (Blankensee Colloquia, Ernst Mayr Lectures), etc. The Kolleg should retain these scholarly events for a broader public and by the same token should expand the locations for talks and lectures as well as for internal debates among Fellows that might generate wider interest. A much broader public might be obtained in the city center and in close collaboration with the Berlin universities and their student audiences.

WiKo's alumni work has increased and functioned well in recent years – especially ever since establishment of the Fellow Forum, which allows former Fellows to apply for the support and financing of workshops. It was with its Fellow Forum that WiKo successfully followed recommendations to strengthen ties with its alumni and make greater use of their intellectual potential. WiKo is to be commended for giving former Fellows the opportunity to return to WiKo and invite guests for workshops and conferences. To further improve WiKo's international visibility the Kolleg should also consider arranging a number of scholarly events at alumni's home institutions.

WiKo's public-relations activities are commensurate and in some cases exceptional. The latter would especially apply to its improvement of the now highly informative website replete with interactive elements such as a Fellow Finder, news blog and Twitter stream. However, there could still be improvement in WiKo's public-relations activities so as to raise the Kolleg's visibility in Berlin and Germany at large.

#### **B.IV ORGANIZATION AND RESOURCES**

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##### IV.1 Governance

As a registered society, WiKo assumes the legal form of the *Wissenschaftskolleg e. V.* The Ernst Reuter Foundation functions as its trustee and in procuring public funding for the Kolleg. This governance architecture was originally established during the Cold War to keep WiKo free from direct influence by the West German state. This made it easier for the Kolleg to interact with partner institutions in East Germany and in the communist states of Eastern and East-Central Europe. Particularly regarding its enduring support of individual scholars and IAS in Eastern and East-Central Europe as well as in regions characterized by political instability, this form of governance still enables WiKo to be recognized as an academic, not as a political actor. Its current legal form guarantees WiKo's independence and role as an honest broker in the international academic system. Taken altogether, the Kolleg's institutional status is still fitting and should not be altered.

Permanent Fellows and the Rector, supported by the Kolleg's Secretary, play a predominant role in decision-making with regard to the selection of initiatives, individual Fellows and Fellow groups. It must be emphasized that the work undertaken by Permanent Fellows, Rector and Secretary to steadily improve WiKo's activities has been of great magnitude and outstanding quality.

Picking up on prior recommendations, WiKo now typically limits the terms of Permanent Fellows to three to five years of service. These actors are important in building bridges between the Kolleg and the national and international scholarly communities. WiKo should in particular augment the task of Permanent Fellows in residence by having them develop and maintain strong relationships between the Fellow community and the Kolleg's initiatives to German universities as well as individual university professors and scientific communities. These linkages are of great significance and make WiKo unique among academic institutions.

WiKo works together with its governing bodies – the Board of Trustees of the Ernst Reuter Foundation and the Members' Assembly – in an atmosphere of mutual trust and appreciation. The same holds true for the excellent relation-

ship between WiKo and its funding bodies: the *Land* Berlin, the Federal Government, and the Government of the Swiss Confederation.

WiKo's internal governing structure is sound but should be further improved to achieve future goals. WiKo's striving for diversity should be reflected in composition of the group of Permanent Fellows and particularly in that of the Academic Advisory Board (see B.IV.2). The latter should be slightly enlarged to include more experts from disciplines and world regions still targeted because still underrepresented at WiKo.

Former Fellows are nowadays rightly involved in current WiKo matters (see B.III.6) Regarding review and advisory activities for setting the intellectual agenda and selecting Fellows experts who are not yet affiliated to WiKo should be engaged (see B.III.4).

#### IV.1.a Appointments to Leadership Positions

For the first time in its history WiKo established a finding commission in its search for a new Rector in 2016/2017 when the incumbent Rector will have retired. The introduction of this commission is seen as a big step toward greater transparency in the internal governance of WiKo. The commission was recommended by an evaluation committee in 2010, which also proposed that the incumbent Rector should himself be a member of the finding commission and thus take active part in choosing a successor. This aspect of the finding commission would seem to be quite unusual when compared to similar procedures for appointments to academic leadership positions in research organizations and universities. Furthermore, no person who is presently a member of the finding commission is without a current or former affiliation to the Kolleg.

Improvements can be made in composition of the finding commission by having WiKo's twin imperatives of diversity and academic openness being reflected here to a greater degree. Recommended future changes in the Rector's position include:

- \_ the role and composition of the finding commission for the position of Rector should be stipulated in WiKo's charter;
- \_ the finding commission should be established and its members be appointed jointly by the Members' Assembly and the Board of Trustees;
- \_ the incumbent Rector should not take part in the finding commission;
- \_ one Permanent Fellow can take part in the finding commission as representative of the institutional "memory" of the Kolleg and its accompanying interests;
- \_ while the chairperson should be a representative of the Members' Assembly, all other positions apart from the one reserved for a Permanent Fellow should be filled with outstanding national and international academics –

preferably with experience as Fellows or managers of other IAS/IAS-like institutions – who are not already affiliated with WiKo;

- \_ academic fields, women and scholars from underrepresented regions should be duly represented on the commission;
- \_ the position of Rector should be announced in an open international call.

Second only to the requirements of outstanding scholarship and openness to multidisciplinary debate and research, candidates for the position of Rector should have experience in leading an academic institution, management competence and the ability to liaise with politics. Gender, age and diversity criteria should also be considered in the selection process.

#### IV.2 Quality Assurance

The scholarship of the majority of individuals who have been invited as long-term and short-term Fellows or as guests is of excellent quality. WiKo's statement, that the impact of a stay at the Kolleg on a Fellow's later research work cannot be measured in categories of quantifiable "output" is fully supported. The annual monitoring-reports that have been conducted by WiKo for its funding bodies since 2013 are informative instruments of self-assessment. They give sufficient overview of the Kolleg's activities and the results of projects and initiatives as well as the immediate and long-term outcome of Fellows' research conducted or initiated at WiKo in the past year. External evaluations are undertaken at five year intervals. This is to be judged as a sufficient interim of time. WiKo is very responsive to recommendations and has successfully improved services and aspects of governance in its follow-up to the external evaluations. The outcome of initiatives and projects should also be subject to external evaluation within a reasonable period of time, especially if WiKo seeks to continue an initiative by using its own budgetary means.

WiKo's Academic Advisory Board is regarded as a vital instrument of quality assurance for all Kolleg activities. One of its major tasks is the participation in selecting new Fellows and reviewing research proposals for fellowships. The Advisory Board engages in these tasks with a high level of commitment. Yet its position is rather weak compared to the authority that can be exercised by Rector and Permanent Fellows in the process of selecting Fellows and project themes. The Advisory Board should be given real co-decision-making powers with respect to the selection of Fellows and in determining new academic initiatives.

It is especially with regard to the introduction of new forms of selection – e.g. open calls for certain themes or scholars (see B.III.4) – that one should strengthen the Advisory Board's power within WiKo's system of governance. Also, an extension of the Advisory Board aiming at representing a broader range of disciplines and world regions should be approached in the near fu-

ture. In general the Advisory Board's composition and practice should encompass more "blue skies" research at WiKo – apportioning greater weight to risky approaches than to past attainments.

The process of Fellow selection should involve more external reviewers, particularly with respect to research proposals. As a rule, WiKo should strive to engage one external and one internal reviewer per proposal. This should definitely be the case when there are dissenting opinions among Advisory Board members and Permanent Fellows concerning the excellence or suitability of a candidature.

#### IV.3 Staff and Resources

All Fellow-related services at WiKo are of outstanding quality and dispensed by a highly motivated and experienced staff. WiKo's staff is extraordinary not only in providing for a stress-free research environment but in pushing Fellows' projects forward, e.g. via proactive procurement of literature, through contacts and coaching, and in the reading and discussion of drafts of papers, articles, or funding proposals.

The number of staff and the research infrastructure, facilities and current basic funding are to be regarded as sufficient in covering WiKo's tasks and overall mission. However, apartment space is currently quite scarce. Providing suitable apartments for Fellows might become increasingly problematic in the future, particularly with the introduction of new fellowship formats which would attract more short-term Fellows and guests.

It is widely acknowledged that the relationship between WiKo and its funding bodies is characterized by respect and mutual trust (see B.IV.1). This holds particularly true for the close relation between WiKo and the Swiss government. It is to be commended that the funding bodies have given WiKo greater leeway in managing its funds by applying regulations of the German Academic Freedom Act (*Wissenschaftsfreiheitsgesetz*), e.g. by allowing for greater flexibility in the employment chart, for mutual coverability of certain expenditure posts, and for the carryover of any remaining budget from the year past into the present one.

#### **B.V SUMMARY**

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WiKo belongs to a small group of leading IAS in the world. It is one of the most important meeting places for excellent scholars at the national and international level. Despite a recent wave of establishing new IAS throughout the world and particularly in Germany, WiKo is still unique and outstanding with regard to its size, autonomy, attractiveness for high quality scholars, dedication to multidisciplinary, in the quality of its service, and by virtue of its initiatives to push new topics and research fields onto the academic agenda. Taken



altogether, WiKo makes valuable contributions to global scholarly networking, international academic exchange and the development of new research fields. In this sense it is also an important actor in Germany's international policies for promoting science and the humanities.

Focus on individual fellowships, multi-disciplinary debate, and the absence of an internal division in disciplinary departments or "schools" is – in the aggregate – still considered to be the unique selling point of WiKo. The Kolleg should further invest in these strengths and concentrate on addressees in the humanities, legal studies, social sciences, natural sciences (with a strong focus on evolutionary biology) and on artists and figures of public life. Its focus has been and should remain on scholars who have studied past and present in the light of visionary research questions – and with reference to contemporary challenges, neglected or forgotten issues and of course always guided by curiosity. Moreover it would be useful in some cases to complement this primary agenda with natural and life scientists working in experimental environments and with access to research facilities. To further increase Fellow diversity WiKo should introduce new formats for selecting Fellows, e.g. via open calls, and improve the transparency of its selection process and internal governance.

Regarding WiKo's mission to detect new academic trends, the Kolleg should emphasize its role as an incubator for new scholarly ideas and innovative research fields. To sustain this important part of its mission WiKo should initiate special workshops to identify contemporary academic challenges, using its international network of former Fellows while also including promising new scholars. In addition the Kolleg should introduce regulations to evaluate and terminate existing initiatives.

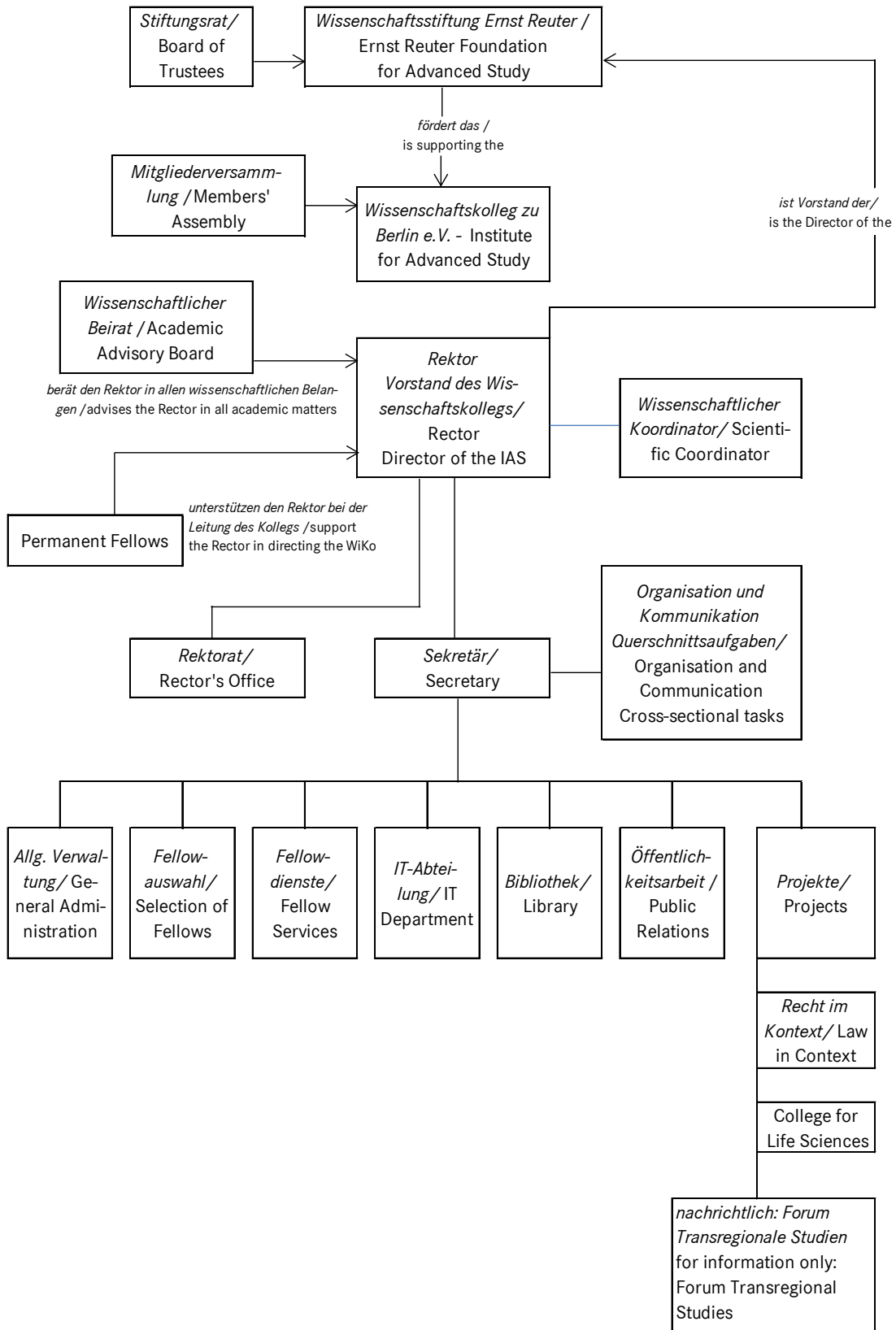
WiKo's support of other international IAS – especially in Eastern and East-Central Europe – has been of outstanding value in the past and is still to be commended. This work should be continued as long as these IAS need a helping hand. Overall, WiKo's cooperative partnerships with universities, extra-university research institutes and cultural-heritage institutions are close and commensurable, but still with the potential for intensification.



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# Appendix

Reference date: 21 January 2016



Source: *Wissenschaftsrat* according to information provided by the *Wissenschaftskolleg zu Berlin*

Reference date: 30 June 2015

Staff categories	Level of position (pay scale)	Total number of positions (target)	Positions filled (actual)
Academic staff	AT/S-C4/G	1.0	1.0
	AT/B2	1.0	1.0
	E 15	1.0	0.8
	E 14	4.5	5.3
	E 13	3.0	1.5
<b>Subtotal*</b>		<b>10.5</b>	<b>9.5</b>
Nonacademic/ support staff	E 12	0.5	0.5
	E 9	10.5	10.6
	E 8	1.0	0.6
	E 6	7.0	7.1
	E 5	1.0	1.0
	E 3	1.0	1.0
	E 2	2.5	1.7
<b>Subtotal*</b>		<b>23.5</b>	<b>22.5</b>
<b>Total*</b>		<b>34.0</b>	<b>32.0</b>

\* Rounding differences.

Source: *Wissenschaftskolleg zu Berlin*

|<sup>27</sup> In the case of the *Wissenschaftskolleg* the “academic staff” includes personnel for administrative and Fellow services with a university education. Apart from the Rector these persons have no research or teaching duties of their own at WiKo.

**Appendix 3: Distribution of Academic Staff across the Departments of the *Wissenschaftskolleg zu Berlin* in Full-Time Equivalents (FTE)**

Reference date: 31 July 2015

Name of Department	Institutional Positions for academics		Third-party funded positions for academics		Positions for academics temporarily funded from other budget titles	
	total	of which fixed-term	total	of which fixed-term	total	of which fixed-term
Rector/Rectorate	1.0	1.0	-	-	-	-
Secretary	1.0	-	-	-	-	-
Scientific Coordinator	1.0	-	-	-	0.5 <sup> 2</sup>	0.5
Organisation and Communication	0.5	-	-	-	-	-
General Administration	1.0	-	-	-	-	-
Selection of Fellows	1.0	0.2	-	-	-	-
Fellow Services	1.5	1.0	-	-	-	-
IT Department	1.5	-	-	-	-	-
Library	1.0	-	-	-	-	-
Public Relations	1.0	-	-	-	-	-
Projects	-	-	2.5 <sup> 1</sup>	2.5	1.0 <sup> 3</sup>	1.0
<b>Total</b>	<b>10.5</b>	<b>1.0</b>	<b>1.2</b>	<b>2.5</b>	<b>1.5</b>	<b>1.5</b>

| 1 Two positions at the Forum Transregional Studies and 0.5 position SIAS summer institutes. - | 2 Coordinator College for Life Sciences. -  
| 3 Law in Context.

Source: *Wissenschaftskolleg zu Berlin*

Reference date: 31 July 2015

<b>Length of employment</b>	<b>male</b>	<b>female</b>	<b>total</b>
20 years and more	2	3	5
15 to less than 20 years	2	-	2
10 to less than 15 years	-	1	1
5 to less than 10 years	1	1	2
Less than 5 years	5	-	5
<b>Total number of academics</b>	10	5	15

<b>Age</b>	<b>male</b>	<b>female</b>	<b>total</b>
60 years and older	2	1	3
50 to less than 60 years	2	1	3
40 to less than 50 years	4	3	7
30 to less than 40 years	2	-	2
Less than 30 years	-	-	-
<b>Total number of academics</b>	10	5	15

<b>Academic discipline</b>	<b>male</b>	<b>female</b>	<b>total</b>
History	3	1	4
German	-	3	3
Economics	2	-	2
Archaeology	1	-	1
Literary Studies	1	-	1
Ethnology	1	-	1
Law	1	-	1
Biology	1	-	1
History of Art	-	1	1
<b>Total number of academics</b>	10	5	15

Source: *Wissenschaftskolleg zu Berlin*

### Appendix 5: Third-Party Funding Expenditure by the *Wissenschaftskolleg zu Berlin* in the Years from 2012 to 2014 (in Thousands of Euros)

Source/Year	2012	2013	2014	Total
DFG	-	-	-	-
Federal government	6	-	-	6
State/states	2,221	2,105	410	4,736
EU	46	40	27	113
Private sector	-	-	-	-
Foundations/charities	617	494	877	1,988
Others*	76	47	111	234
<b>Total</b>	<b>2,966</b>	<b>2,685</b>	<b>1,426</b>	<b>7,077</b>

\* Friends of the *Wissenschaftskolleg zu Berlin* Association, Universities, Fellows, City of Paris, Amici Bibl. Class.

Source: *Wissenschaftskolleg zu Berlin*

### Appendix 6: Home Institutions of Fellows in the Last Three Academic Years

Reference date: 31 July 2015

Institution of origin	2012/13	2013/14	2014/15	2012-2015	Percentage
University	37	43	34	114	74,5 %
Extra-university research institute	7	3	9	19	12,4 %
Scientists without employment	-	-	-	0	-
No scientific institution/ no scientists	12	4	4	20	13,1 %
<b>Total number of fellows</b>	<b>56</b>	<b>50</b>	<b>47</b>	<b>153</b>	<b>100,0 %</b>

Source: *Wissenschaftskolleg zu Berlin*

### Appendix 7: Form of Application of Fellow Candidatures in the Last Three Academic Years

Reference date: 31 July 2015

Form of application	2012/13	2013/14	2014/15	2012-2015	Percentage
Proposed by Rector/ Permanent Fellows	15	15	14	44	28,8 %
Proposed by former fellows	19	11	8	38	24,8 %
Proposed by other external persons	3	6	3	12	7,8 %
Unsolicited applications	13	2	10	25	16,3 %
Proposed by member of Advisory Board	3	2	2	7	4,6 %
Proposed by Convener	3	7	4	14	9,2 %
Junior call for proposals	-	7	6	13	8,5 %
<b>Total number of fellows</b>	<b>56</b>	<b>50</b>	<b>47</b>	<b>153</b>	<b>100,0 %</b>

Source: *Wissenschaftskolleg zu Berlin*



Reference date: 31 July 2015

<b>Meetings of Advisory Board Autumn 2012</b>	<b>Candi- datures</b>	<b>of which invited</b>	<b>of which rejected</b>	<b>Success rate in %</b>	<b>Invita- tions in %</b>
Proposals by Permanent Fellows	8	6	2	75,0 %	27,3 %
Proposals by former fellows	21	5	16	23,8 %	22,7 %
Proposals by member of Advisory Board	5	2	3	40,0 %	9,1 %
Unsolicited applications	29	5	24	17,2 %	22,7 %
Other	10	4	6	40,0 %	18,2 %
<b>Total</b>	<b>73</b>	<b>22</b>	<b>51</b>	<b>30,1 %</b>	<b>100,0 %</b>

<b>Meetings of Advisory Board Spring 2013</b>	<b>Candi- datures</b>	<b>of which invited</b>	<b>of which rejected</b>	<b>Success rate in %</b>	<b>Invita- tions in %</b>
Proposals by Permanent Fellows	8	6	2	75,0 %	20,7 %
Proposals by former fellows	25	9	16	36,0 %	31,0 %
Proposals by member of Advisory Board	1	-	1	-	-
Unsolicited applications	32	4	28	12,5 %	13,8 %
Other	16	10	6	62,5 %	34,5 %
<b>Total</b>	<b>82</b>	<b>29</b>	<b>53</b>	<b>35,4 %</b>	<b>100,0 %</b>

<b>Meetings of Advisory Board Autumn 2013</b>	<b>Candi- datures</b>	<b>of which invited</b>	<b>of which rejected</b>	<b>Success rate in %</b>	<b>Invita- tions in %</b>
Proposals by Permanent Fellows	9	7	2	77,8 %	31,8 %
Proposals by former fellows	28	8	20	28,6 %	36,4 %
Proposals by member of Advisory Board	3	1	2	33,3 %	4,5 %
Unsolicited applications	40	4	36	10,0 %	18,2 %
Other	5	2	3	40,0 %	9,1 %
<b>Total</b>	<b>85</b>	<b>22</b>	<b>63</b>	<b>25,9 %</b>	<b>100,0 %</b>

<b>Meetings of Advisory Board Spring 2014</b>	<b>Candi- datures</b>	<b>of which invited</b>	<b>of which rejected</b>	<b>Success rate in %</b>	<b>Invita- tions in %</b>
Proposals by Permanent Fellows	8	5	3	62,5 %	35,7 %
Proposals by former fellows	25	3	22	12,0 %	21,4 %
Proposals by member of Advisory Board	3	1	2	33,3 %	7,1 %
Unsolicited applications	31	2	29	6,5 %	14,3 %
Other	7	3	4	42,9 %	21,4 %
<b>Total</b>	<b>74</b>	<b>14</b>	<b>60</b>	<b>18,9 %</b>	<b>100,0 %</b>

|<sup>28</sup> Excluding fellowships that are publicly advertised (EURIAS, CfLS).

Continuation Appendix 8: Success Rate of Candidatures in the Last Three Academic Years

<b>Meetings of Advisory Board Autumn 2014</b>	<b>Candi- datures</b>	<b>of which invited</b>	<b>of which rejected</b>	<b>Success rate in %</b>	<b>Invita- tions in %</b>
Proposals by Permanent Fellows	6	5	1	83,3 %	35,7 %
Proposals by former fellows	14	3	11	21,4 %	21,4 %
Proposals by member of Advisory Board	6	1	5	16,7 %	7,1 %
Unsolicited applications	33	3	30	9,1 %	21,4 %
Other	6	2	4	33,3 %	14,3 %
<b>Total</b>	<b>65</b>	<b>14</b>	<b>51</b>	<b>21,5 %</b>	<b>100,0 %</b>

<b>Meetings of Advisory Board Spring 2015</b>	<b>Candi- datures</b>	<b>of which invited</b>	<b>of which rejected</b>	<b>Success rate in %</b>	<b>Invita- tions in %</b>
Proposals by Permanent Fellows	11	7	4	63,6 %	31,8 %
Proposals by former fellows	23	2	21	8,7 %	9,1 %
Proposals by member of Advisory Board	3	0	3	0,0 %	0,0 %
Unsolicited applications	43	5	38	11,6 %	22,7 %
Other	11	8	3	72,7 %	36,4 %
<b>Total</b>	<b>91</b>	<b>22</b>	<b>69</b>	<b>24,2 %</b>	<b>100,0 %</b>

Source: *Wissenschaftskolleg zu Berlin*

Reference date: 31 July 2015

Academic disciplines	2012/13	2013/14	2014/15	2012-2015	Percentage
History (incl. History of Science)	6	13	4	23	15,0 %
Biology	7	8	4	19	12,4 %
Life Sciences (Ecology, Anthropology)	4	7	7	18	11,8 %
Music, Composition	7	3	3	13	8,5 %
Law	2	2	4	8	5,2 %
Philosophy	3	2	3	8	5,2 %
Literary Studies	2	1	5	8	5,2 %
Art/Music/Theater/Film/Media Sciences	3	1	2	6	3,9 %
Archaeology, Classics	4	1	1	6	3,9 %
Literature, Translation	2	1	2	5	3,3 %
Chemistry	3	-	2	5	3,3 %
Sociology	1	5	-	6	3,9 %
Politology	1	-	3	4	2,6 %
Theology	2	1	2	5	3,3 %
Others*	9	5	5	19	12,4 %
<b>Total number of fellows</b>	<b>56</b>	<b>50</b>	<b>47</b>	<b>153</b>	<b>100,0 %</b>

\* Personages of public life, Culture/Social Anthropology, Linguistics, Physics, Neuro Sciences, Economics, Psychology, Pedagogy, Performing Arts/Photography, Medicine/Health Sciences.

Source: *Wissenschaftskolleg zu Berlin*

#### Appendix 10: Age Distribution of Fellows in the Last Three Academic Years

Reference date: 31 July 2015

Age	2012/13	2013/14	2014/15
60 years and older	19	9	12
50 to less than 60 years	10	14	10
40 to less than 50 years	14	13	9
30 to less than 40 years	12	14	16
Less than 30 years	1	-	-
<b>Total number of fellows</b>	<b>56</b>	<b>50</b>	<b>47</b>

Source: *Wissenschaftskolleg zu Berlin*

| <sup>29</sup> Including short-term Fellows.

### Appendix 11: Distribution of Male and Female Fellows in the Last Three Academic Years

Reference date: 31 July 2015			
Gender	2012/13	2013/14	2014/15
male	40 (71 %)	34 (68 %)	29 (62 %)
female	16 (29 %)	16 (32 %)	18 (38 %)
<b>Total number of fellows</b>	56	50	47

### Appendix 12: Five Most Important Publications of WiKo Fellows in the Academic Years 2012/13, 2013/14 and 2014/15

Herbert, Ulrich: *Geschichte Deutschlands im 20. Jahrhundert*. Munich: C. H. Beck 2014.

Imamoğlu, Atac and K. B. Whaley: “Photoactivated Biological Processes as Quantum Measurements.” *Physical Review E* 91 (2015): 022714.

Jansen, G. R. Gatenby, A.C. Aktipis: “Control vs. Eradication: Applying Infectious Disease Treatment Strategies to Cancer.” *Proceedings of the National Academy of Sciences* 112 (2015): 937-938.

Moretti, Franco. *The Bourgeois: Between History and Literature*. London: Verso 2013

Somek, Alexander: *The Cosmopolitan Constitution*. Oxford University Press 2014.

### Appendix 13: Directory of Documents Issued by the *Wissenschaftskolleg zu Berlin*

- \_ Answers of the *Wissenschaftskolleg* to the questionnaire of the German Council of Science and Humanities
- \_ Brief outline of the history and development of the institution
- \_ Report on the implementation of former recommendations of the German Council of Science and Humanities including explanatory statements regarding those recommendations which were not implemented
- \_ Organizational chart
- \_ Charter of the Ernst Reuter Foundation and of the *Wissenschaftskolleg*
- \_ Yearbook 2013/2014
- \_ Fellows' Projects 2015/2016
- \_ Brochure „*Wissenschaftskolleg zu Berlin – Institute for Advanced Study*“
- \_ Brochure „Köpfe und Ideen 2015“
- \_ Monitoring report 2015 of the *Wissenschaftskolleg*

- \_ Business plan 2016 of the *Wissenschaftskolleg*
- \_ Job chart of the *Wissenschaftskolleg*
- \_ Information on the academic staff of the *Wissenschaftskolleg zu Berlin* (distribution across the departments, length of employment at the *Wissenschaftskolleg*, age distribution, gender structure, academic discipline)
- \_ Bibliography of the scholarly publications of Fellows written in connection with their stay at the *Wissenschaftskolleg* in the academic years 2011/12, 2012/13 and 2013/14
- \_ Expenditure of third-party funds in the years 2012 to 2014
- \_ List of the *Wissenschaftskolleg*'s cooperative partnerships
- \_ List of national and international conferences organized by the *Wissenschaftskolleg* in the academic years 2012/13, 2013/14 and 2014/15
- \_ List of international conferences to which members of the scientific staff of the *Wissenschaftskolleg* were invited to talk in the years 2012 to 2014
- \_ List of members and short description of the tasks and procedures of the Academic Advisory Board, the Foundation Council of the *Wissenschaftsstiftung Ernst Reuter* and the Board of Members
- \_ Members and Report of the Evaluation Commission 2009/10
- \_ List of Permanent Fellows
- \_ Information on Fellows of the *Wissenschaftskolleg* (age distribution, gender structure, academic disciplines, institution of origin, form of application, success rate of candidatures)
- \_ List of appointments of Fellows to scholarly bodies, editorial boards or professional associations in Germany and abroad for the academic years 2012/13, 2013/14 and 2014/15
- \_ Minutes of the meetings of the Academic Advisory Board in May 2014, November 2014 und May 2015
- \_ List of awards received by Fellows for the academic years 2012/13, 2013/14 and 2014/15
- \_ List of facilities of the *Wissenschaftskolleg*

AIAS	Aarhus Institute for Advanced Study
AUGIAS	<i>Arbeits- und Gesprächskreis</i> Institutes for Advanced Study
AvH	<i>Alexander von Humboldt-Stiftung</i> – Alexander von Humboldt Foundation
BBAW	<i>Berlin-Brandenburgische Akademie der Wissenschaften</i> – Berlin-Brandenburg Academy of Sciences and Humanities
BMBF	<i>Bundesministerium für Bildung und Forschung</i> – Federal Ministry of Education and Research
BMFT	<i>Bundesministerium für Forschung und Technologie</i> - Federal Ministry for Research and Technology
CAS	Center for Advanced Studies
CAS-LMU	Center for Advanced Study of the <i>Ludwig-Maximilians-Universität</i> Munich
CAS SEE	Center for Advanced Studies – South Eastern Europe
CfLS	College for Life Sciences
DAAD	<i>Deutscher Akademischer Auslandsdienst</i> – German Academic Exchange Service
DFG	<i>Deutsche Forschungsgemeinschaft</i> – German Research Foundation
DLA	<i>Deutsches Literaturarchiv Marbach</i>
ESEB	European Society for Evolutionary Biology
EU	European Union
EURIAS	European IAS Fellowship Program
FRIAS	Freiburg Institute for Advanced Studies
FTE	Full-Time Equivalent
FU	<i>Freie Universität Berlin</i>
GWK	<i>Gemeinsame Wissenschaftskonferenz</i> – Joint Science Conference of the Federal Government and the <i>Länder</i>
HRK	<i>Hochschulrektorenkonferenz</i> – German Rectors' Conference
HU	<i>Humboldt-Universität zu Berlin</i>
HWK	<i>Hanse Wissenschaftskolleg, Delmenhorst</i>

IAS	Institute for Advanced Study
IASK	Institute for Advanced Study Constance
IASS	Potsdam Institute for Advanced Sustainability Studies
IEARN	Indian-European Advanced Research Network
IRI	Integrative Research Institute
KHK	<i>Käte Hamburger Kolleg</i>
KWI	<i>Kulturwissenschaftliches Institut Essen</i> – Institute for Advanced Study in the Humanities
LAN	Local Area Network
MDC	Max Delbrück Center for Molecular Medicine
MFO	<i>Mathematisches Forschungsinstitut Oberwolfach</i> – Oberwolfach Research Institute for Mathematics
MPG	<i>Max-Planck-Gesellschaft zur Förderung der Wissenschaften</i> – Max Planck Society for the Advancement of Science
MWW	<i>Forschungsverbund Marbach-Weimar-Wolfenbüttel</i>
NetIAS	European Network of IAS
PUS	Public Understanding of Science
PUR	Public Understanding of Research
SIAS	Some Institutes for Advanced Study
SIASSI	SIAS Summer Institutes
SPK	<i>Stiftung Preussischer Kulturbesitz</i> – Prussian Cultural Heritage Foundation
TU	Technical University
TUM-IAS	Institute for Advanced Study of the <i>Technische Universität München</i>
WiKo	<i>Wissenschaftskolleg zu Berlin</i> – Institute for Advanced Study Berlin
WLAN	Wireless Local Area Network
WR	<i>Wissenschaftsrat</i> – German Council of Science and Humanities
WZB	<i>Wissenschaftszentrum Berlin für Sozialforschung</i> – Berlin Social Science Center
ZiF	<i>Zentrum für interdisziplinäre Forschung</i> – Center for Interdisciplinary Research