

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

COLOGNE | OCTOBER 2010

# Information on the Excellence Initiative

## Objectives of the Program

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

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

The Excellence Initiative wants to improve

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

## Basic Data

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

**Financing:**

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

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

## Structure

**3 Funding Lines:**

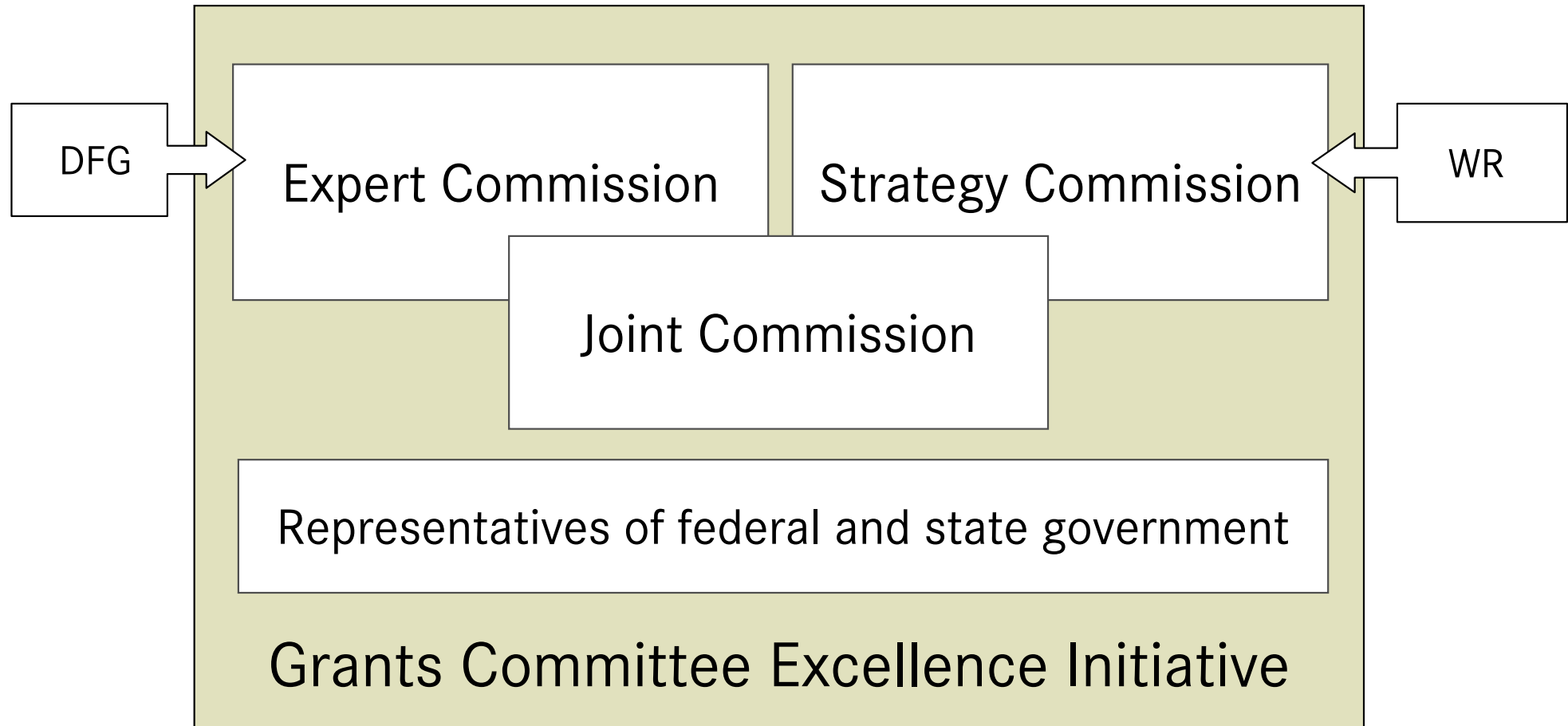
- \_ **Graduate Schools** to promote young researchers
- \_ **Clusters of Excellence** to promote top level research
- \_ **Institutional Strategies** to promote top level research

## 2<sup>nd</sup> Program Phase 2012-2017 – what's new?

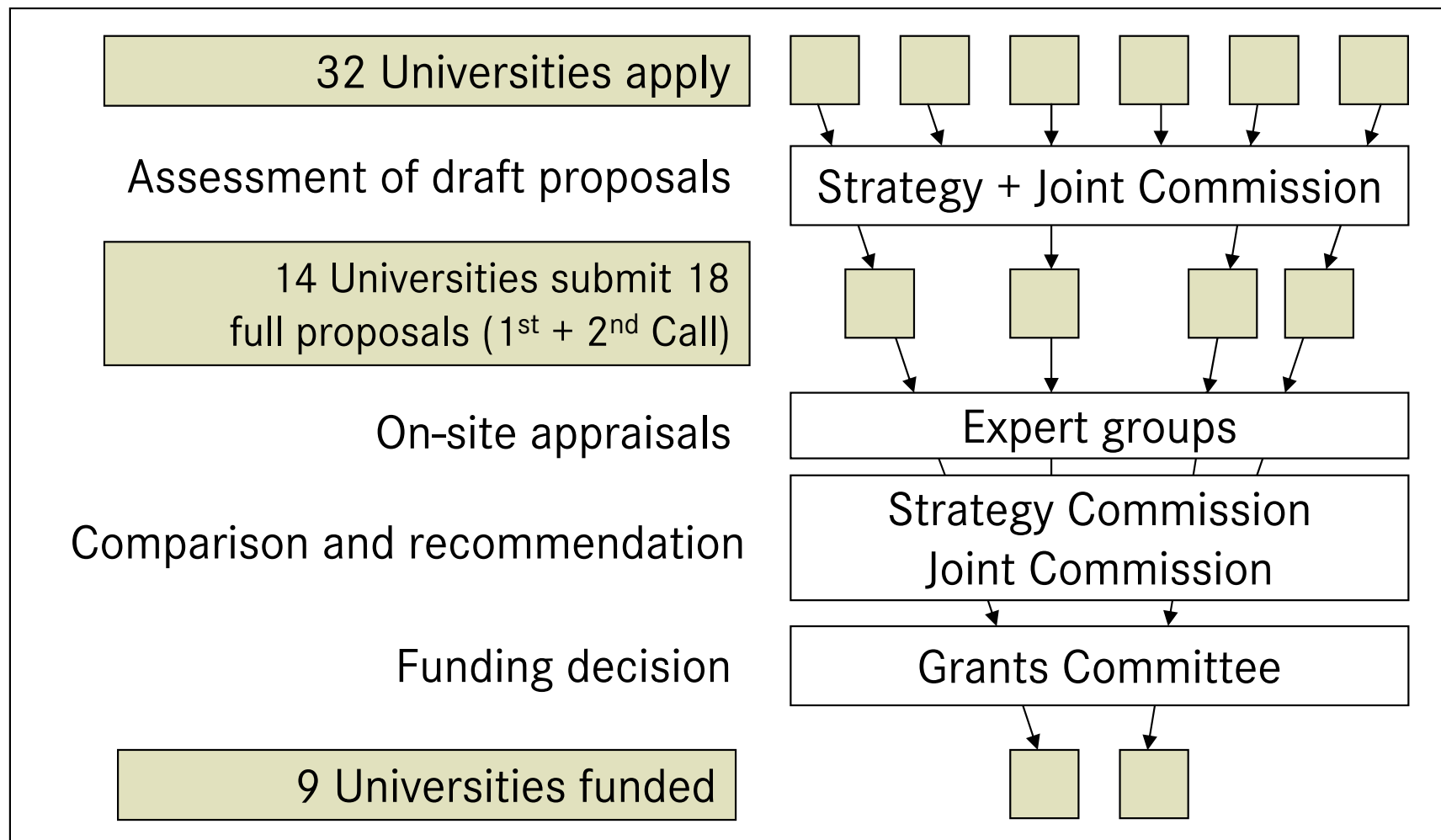
- \_ € 2.7 bn: competition of new and renewal proposals
- \_ inclusion of teaching in Institutional Strategies:
  - \* proposal of a concept for research-oriented teaching is optional
  - \* impact of research funding on teaching has to be considered
- \_ introduction of “funding margins”:

Graduate Schools:	€ 1 – 2.5 mn/year
Excellence Cluster:	€ 3 – 8 mn/year
Institutional Strategies:	€ 142 mn/year

## Committees involved in the *Excellence Initiative*

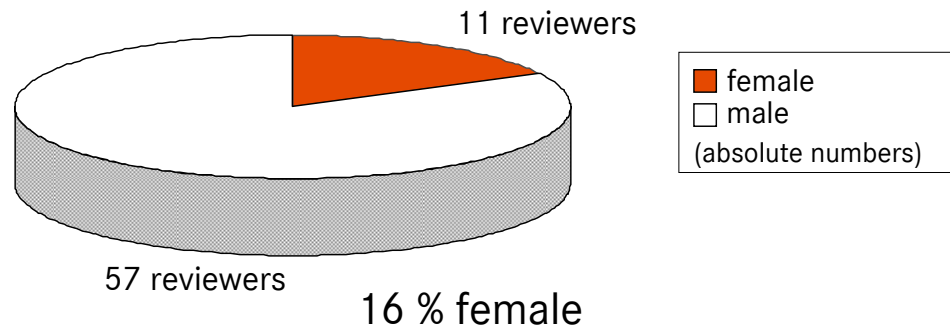


# Selection Process *Institutional Strategies* (1<sup>st</sup> Program Phase)

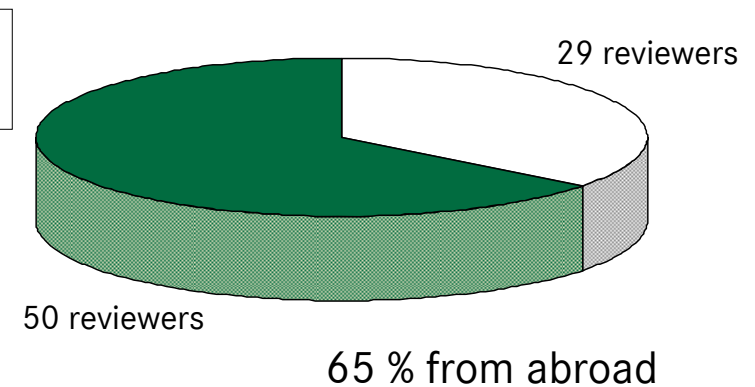
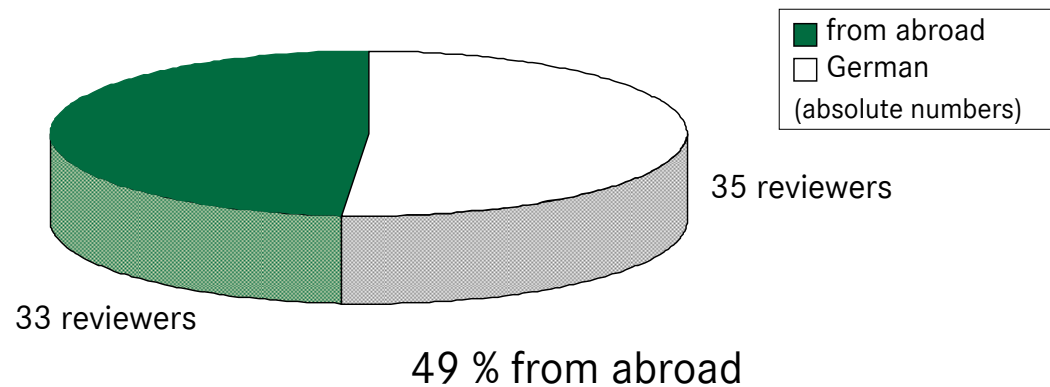
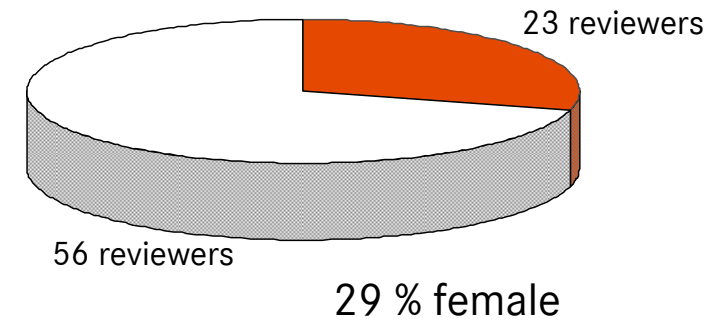


# Composition of Expert Groups for Institutional Strategies (1<sup>st</sup> Program Phase)

2006



2007



# 1<sup>st</sup> Selection Criterion for Funding:

## *Status Quo of the University*

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



## 2<sup>nd</sup> Selection Criterion for Funding: *Institutional Strategy (Project)*

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

# Results of the 1<sup>st</sup> Program Phase

## Funded Projects:

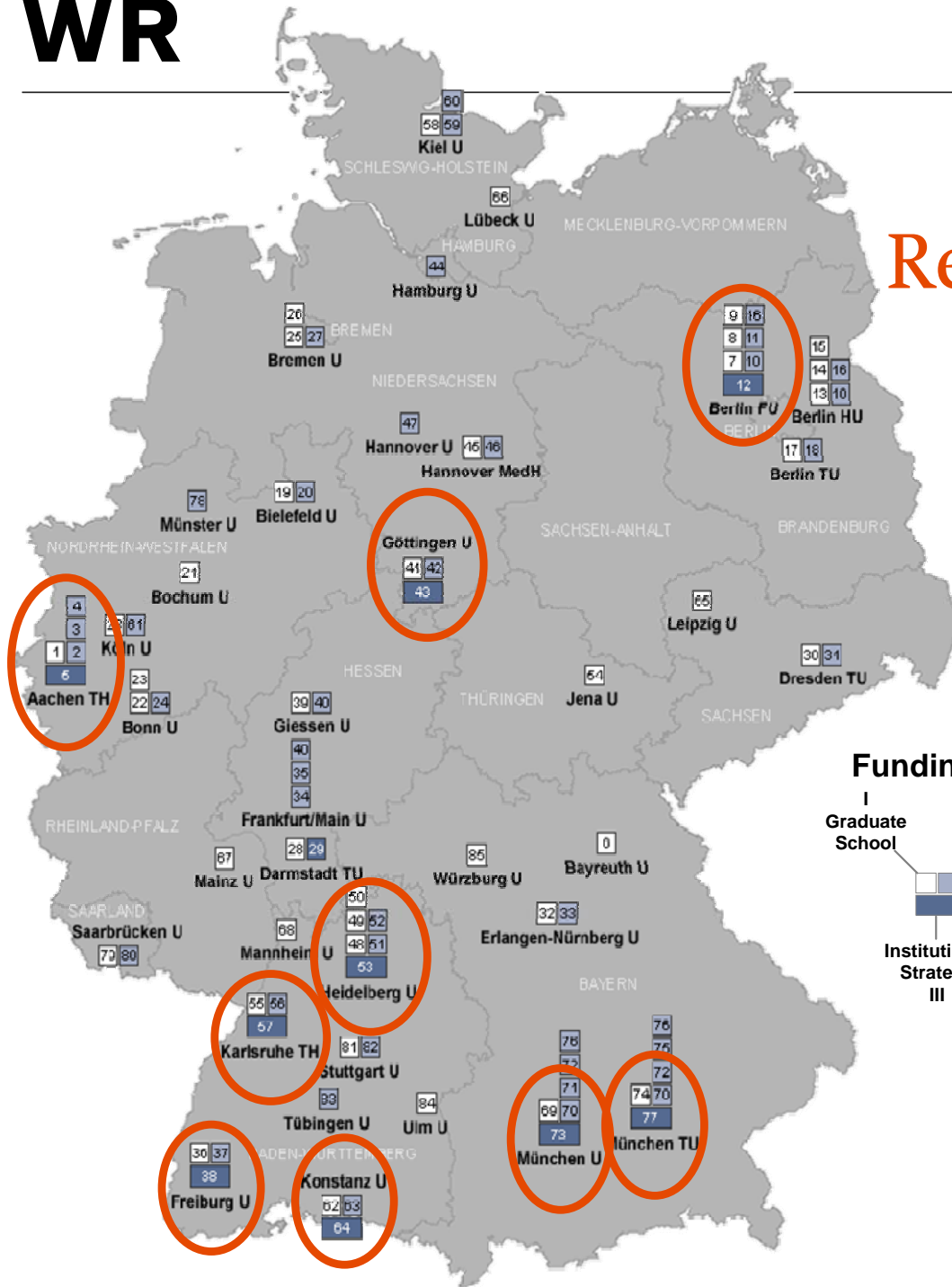
- \_ **39 Graduate Schools** (Ø € 1 mn per School/year)  
= 10 % of total amount
- \_ **37 Clusters of Excellence** (Ø € 6.5 mn per Cluster/year)  
= 60 % of total amount
- \_ **9 Institutional Strategies** (Ø € 12.5 mn per University/year)  
= 30 % of total amount

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

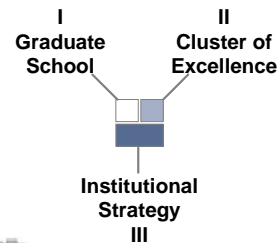
## Results (1<sup>st</sup> Program Phase)

**37 Universities are funded:**

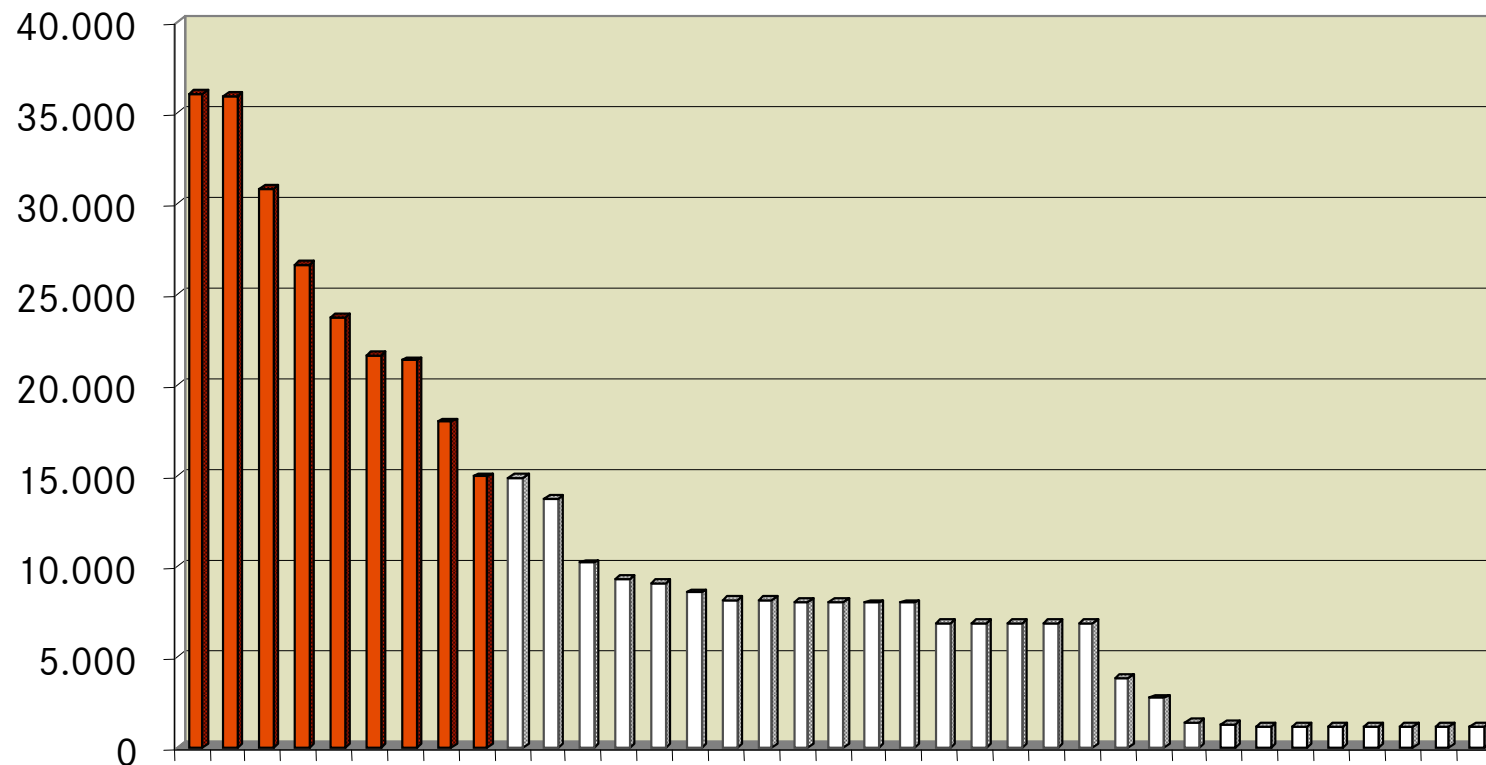
- \_ 39 Graduate Schools
- \_ 37 Clusters of Excellence
- \_ 9 Institutional Strategies



### Funding Lines

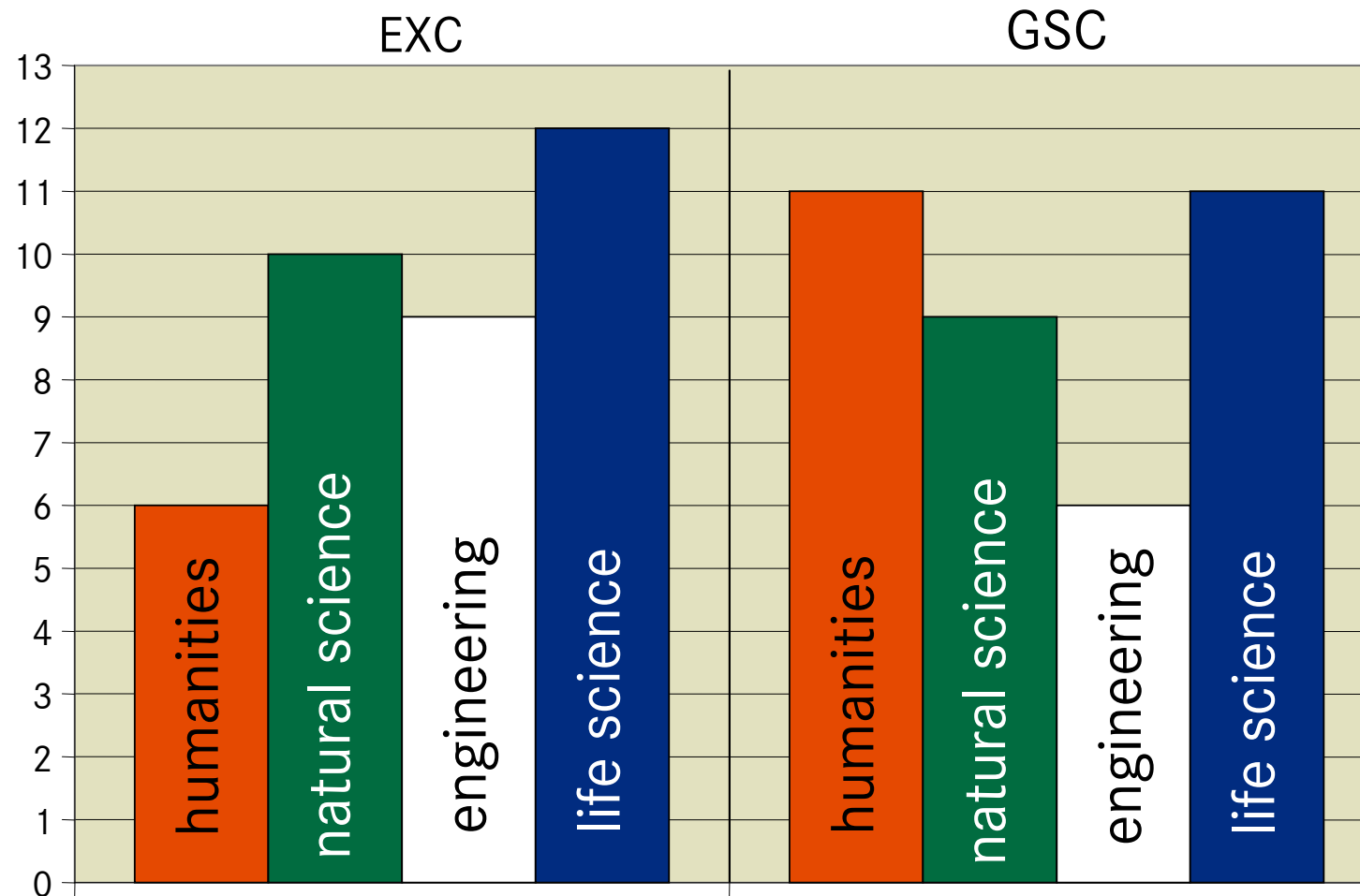


# Results (1<sup>st</sup> Program Phase): Funding (in T€ per year and per university)



(Results 1<sup>st</sup> and 2<sup>nd</sup> Call, all Funding Lines)

# Results (1<sup>st</sup> Program Phase): Distribution of funded proposals per disciplines



# Impact of the program on the institutional setting for research

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

# Impact of the program on the German HE system

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