

# Proposal template with explanatory notes for the Universities of Excellence funding line

## Proposal as a university consortium

### General notes

The proposal template with explanatory notes contains information on the preparation of a proposal in the Universities of Excellence funding line within the Excellence Strategy programme. It is based on the *“Administrative Agreement between the Federal and State Governments in Accordance with Article 91b Paragraph 1 of the Basic Law on the Funding of Top-Level Research at Universities – ‘Excellence Strategy’”* dated 16 June 2016. The guidelines on the structure and content of the proposal conform to the documents published in September 2016 and April 2017 (Call for proposals, Funding Criteria, Guidelines). These documents and other information are available on the [web page of the Wissenschaftsrat](#) (WR, German Council of Science and Humanities).

The proposal contains the overall strategic concept of the consortium (Part A – Text of the proposal), a funding plan (Part B), a data annex (Part C), a glossary and list of abbreviations (Part D) and the binding regulations of the consortium (Part E). Information and data provided in the funding plan and the data annex should be contextualised and if necessary explained with comments in the text of the proposal. The use of diagrams and/or tables is permitted, as is the insertion of additional bullet points. Redundancy should be avoided by referring to relevant points in the text where appropriate.

The Universities of Excellence funding line is fundamentally open to different types of overall strategies and forms of cooperation. The information provided in the proposal forms an essential part of the review process during the on-site visit and, together with the findings of the visit, a core part of the evaluation by the programme committees.

### Formal requirements

All proposals which meet the following requirements will be reviewed by international groups of experts:

- Timely submission of a letter of intent (21 February 2018) and compliance with the type of proposal submission announced in the letter of intent (see Guidelines section VI.1);
- Fulfilment of the formal funding requirements with respect to the required minimum number of Clusters of Excellence (see Guidelines sections II.3 and II.2);
- Compliance with the requirements set out in this proposal template.

The complete proposal (Parts A – E) must be prepared in English and German. The English version will be definitive as to content and page numbering. The proposal (Parts A – E) must be submitted in English and German as 25 printed copies each and electronically as a searchable PDF document on a USB stick. The data annex (Part C) must also be submitted as an Excel file (without protection). In the PDF version, please create a table of contents with jump links (for both the text of the proposal and the data annex). Please create the PDF document without password protection and without any access restrictions for reading, copying or printing.

The printed versions and the documents on the USB stick must be submitted to the WR Head Office (address: Geschäftsstelle des Wissenschaftsrates, Stabsstelle Exzellenzstrategie, Brohler Straße 11, D-50968 Köln) by the cut-off deadline of noon on 10 December 2018. The electronic version and the printed version must be identical.

The text of the proposal (Part A) must not exceed 80 pages (in the case of a consortium with two universities) or 100 pages (consortium with three universities) and the complete document must adhere to the following formatting rules: Page format DIN A4, top and bottom margin 2 cm, left and right margin 3 cm, sequential numbering (starting with section A.1. Summary), font 11 pt Arial, line spacing 1.5. The following requirements must also be observed:

- The structure, numbering and naming of headings specified in the proposal template are mandatory. The explanations in italics below the headings should be deleted in order to enter the text.
- All information required to review the overall strategy must be presented in the text of the proposal (Part A), the funding plan (Part B), the data annex (Part C) and the binding regulations of the consortium (Part E).
- No additional annexes may be attached to the proposal other than those listed in the proposal template. In addition, no links to websites may be inserted.
- The data annex (Part C) must be produced using the Excel-document “Model tables for the data annex (Proposal as a university consortium)” available on the [web page of the Wissenschaftsrat](#). The formulas in this document must not be changed. More rows or columns may be added if necessary, and/or rows or columns which do not apply to the consortium may be deleted.
- Alternative font sizes may be used in tables, diagrams, footnotes and the data annex (Part C) as long as the text is clearly legible.
- The data annex (Part C) may only list papers which have already been published or definitively accepted for publication.
- The proposal must be signed by the heads of the applicant universities in the consortium. For the electronic version, digitised signatures may be used. For the printed version, please supply one copy with the original signatures.

Deviations from the formal requirements may result in a proposal being excluded from the process.

A separate **covering letter from the responsible ministry** (in German) must be attached to the proposal. For **consortiums composed of members from different federal states**, **one** joint letter from the ministries responsible for research in all the participating federal states should be submitted. The letter must include the following information:

- Endorsement of the proposal and the associated overall strategy
- Undertaking to provide co-funding (25 % of proposal total)
- Confirmation that the objectives of the overall strategy are in harmony with the federal state’s respectively federal states’ higher education policy objectives
- Confirmation that the overall strategy is in harmony with the regulations in place in the federal state respectively federal states, and if applicable, plans to create the necessary legal framework

## Undertakings

By submitting the proposal in the Universities of Excellence funding line, the consortium undertakes

- to comply with the DFG rules on good scientific practice (GSP);
- to report to the WR Head office during the course of the evaluation on the progress of implementation of the overall strategy; more information about this will follow;
- to use the approved funds solely for the purposeful implementation of the funded overall strategy;
- to hold regular discussions with funding bodies in accordance with Section 5 (2) of the 'Excellence Strategy' administrative agreement of 16 June 2016 on progress made, the use of additional funds and further planning.

Furthermore, by submitting the proposal, the consortium consents to the data required to process the proposal being electronically stored and processed, assessed for evaluative and statistical purposes, and, as part of the review and decision-making process, made available to experts, the Committee of Experts and the Excellence Commission by the WR Head Office.

If the proposal is approved, the consortium agrees that the title of the overall strategy, the name of the consortium, the funded universities and if applicable the cooperation partners or partner institutions may be published, and that the information supplied in the proposal may be used for statistical data evaluation purposes and published as part of the programme evaluation.

## Further Information

Web page of the WR on the Excellence Strategy programme:

[https://www.wissenschaftsrat.de/en/fields-of-activity/excellence\\_strategy.html](https://www.wissenschaftsrat.de/en/fields-of-activity/excellence_strategy.html)

Contact persons at the WR Head Office:

### For the overall Excellence Strategy programme:

Dr. Inka Spang-Grau, +49 (0)221 3776-281, spang-grau(at)wissenschaftsrat.de

Dr. Verena Witte, +49 (0)221 3776-217, witte(at)wissenschaftsrat.de

### For the Universities of Excellence funding line:

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**Excellence Strategy of the Federal and State Governments**

**Universities of Excellence Funding Line**

***[Title of overall strategy]***

***[Name of consortium]***

***[Name of applicant university A in consortium]***

***[Name of applicant university B in consortium]***

***[Name of applicant university C in consortium, if applicable]***

**Overall Strategy  
for Funding in the Excellence Strategy of the Federal and State Governments**

***[Title of overall strategy]***

***[Name of university A]***

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**Place, date**

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**Name and signature**

**Rector or President**

<Please submit one copy with original signature>

***[Name of university B]***

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**Place, date**

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**Name and signature**

**Rector or President**

<Please submit one copy with original signature>

***[Name of university C, if applicable]***

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**Place, date**

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**Name and signature**

**Rector or President**

<Please submit one copy with original signature>

## Brief profile of the consortium

	[University A]	[University B]	[University C, if applicable]	Consortium
<b>Established in (year)</b>	[yyyy]	[yyyy]	[yyyy]	If applicable [yyyy]*
<b>Academic structural units (e.g. faculties)  <sup>1</sup></b>	[Number] [Names]	[Number] [Names]	[Number] [Names]	If applicable [Number]* If applicable [Names]*
<b>Study programmes  <sup>2</sup></b>	[Number] bachelor [Number] master [Number] other, if applicable	[Number] bachelor [Number] master [Number] other, if applicable	[Number] bachelor [Number] master [Number] other, if applicable	[Total] bachelor [Total] master [Total] other, if applicable
<b>Clusters of Excellence  <sup>3</sup></b>	[Number] [Title]	[Number] [Title]	[Number] [Title]	[Total]
<b>Profile-forming areas</b> of research and/or other performance areas (teaching, transfer, research infrastructure) and areas of activity (e.g. early career support; equal opportunity; internationalisation; cooperation; staff planning, recruitment and development)	[Number] [Titles of the profile forming areas]	[Number] [Titles of the profile forming areas]	[Number] [Titles of the profile forming areas]	If applicable [Number] If applicable [Titles of the profile forming areas]

\* If the consortium was already established, please state the year in which it was established and (if relevant) the number of joint structural units.

|<sup>1</sup> Here, please explain how your university is structurally organised, e.g. into faculties. If you use another term, please specify.

|<sup>2</sup> Please name any other types of qualification, e.g. *Magister*, *Diplom*, Staatsexamen (law), Staatsexamen (medicine), Staatsexamen (teaching post), further training courses.

|<sup>3</sup> Please list only those Clusters of Excellence funded from 1 January 2019.

## Data for 2017

Please provide data in accordance with the definitions in the Research Core Data Set, v 1.0.

Please visit [http://kerndatensatz-forschung.de/version1/Spezifikationstabelle\\_KDSF\\_v1.html](http://kerndatensatz-forschung.de/version1/Spezifikationstabelle_KDSF_v1.html) for an explanation of the abbreviations inside square brackets (information in German only). Please round all percentages to one decimal place. All staff data should be provided regardless of the source of funding.

	[University A]	[University B]	[University C, if applicable]	Total
<b>Total budget including medicine (revenues)</b> [Dr137]   <sup>4</sup>	€[...] million	€[...] million	€[...] million	€[...] million
of which third-party funding (revenues/proceeds) [Dr1a or Dr1b]	€[...] million	€[...] million	€[...] million	€[...] million
<b>Total budget excluding medicine (revenues)</b> [Dr137]	€[...] million	€[...] million	€[...] million	€[...] million
of which third-party funding (revenues/proceeds) [Dr1a or Dr1b]	€[...] million	€[...] million	€[...] million	€[...] million
<b>Professors</b> [Be19]	[...] FTE [Be1] [...] pers. [Be2]	[...] FTE [Be1] [...] pers. [Be2]	[...] FTE [Be1] [...] pers. [Be2]	[...] FTE [Be1] [...] pers. [Be2]
of which male   <sup>5</sup>	[...] % m	[...] % m	[...] % m	X
of which female	[...] % f	[...] % f	[...] % f	
of which not specified [Be7]	[...] % n.s.	[...] % n.s.	[...] % n.s.	
of which from other countries [Na58]	[...] %	[...] %	[...] %	
<b>Academic staff (excluding professors)</b> [Be68 minus Be19 minus B18]	[...] FTE [Be1]	[...] FTE [Be1]	[...] FTE [Be1]	[...] FTE [Be1]
of which male	[...] % m	[...] % m	[...] % m	X
of which female	[...] % f	[...] % f	[...] % f	
of which not specified [Be7]	[...] % n.s.	[...] % n.s.	[...] % n.s.	
<b>Doctoral students</b> [Na46/Na38a]	[...] pers. [Be2]	[...] pers. [Be2]	[...] pers. [Be2]	[...] pers. [Be2]
of which male	[...] % m	[...] % m	[...] % m	X
of which female	[...] % f	[...] % f	[...] % f	
of which not specified [Be7]	[...] % n.s.	[...] % n.s.	[...] % n.s.	
of which from other countries [Na58]	[...] %	[...] %	[...] %	
<b>Academic support and administrative staff</b> [Be63 plus Be28]	[...] FTE [Be1]	[...] FTE [Be1]	[...] FTE [Be1]	[...] FTE [Be1]
of which male	[...] % m	[...] % m	[...] % m	X
of which female	[...] % f	[...] % f	[...] % f	
of which not specified [Be7]	[...] % n.s.	[...] % n.s.	[...] % n.s.	
<b>Students (excluding doctoral students, 1st subject in 1st course, full-time students in winter semester 2017/18)</b>	[...] pers. [Be2]	[...] pers. [Be2]	[...] pers. [Be2]	[...] pers. [Be2]
of which male	[...] % m	[...] % m	[...] % m	X
of which female	[...] % f	[...] % f	[...] % f	
of which not specified [Be7]	[...] % n.s.	[...] % n.s.	[...] % n.s.	
of which foreign students	[...] %	[...] %	[...] %	

<sup>4</sup> Please provide all figures on total budget/third-party funding rounded to the nearest million euros, without decimal places.

<sup>5</sup> Percentage shares for gender [Be7] and nationality [Na58] for professors relate to the number of persons [Be2].

## Contents

<b>A. Text of proposal</b>	<b>Consortium with two universities</b>	<b>Consortium with three universities</b>
<b>A.1. Summary</b>	<i>(max. 1 page)</i>	<i>(max. 1 page)</i>
<b>A.2. Status quo and prior achievements</b>	<i>(approx. 40 to a maximum of 50 pages)</i>	<i>(approx. 50 to a maximum of 60 pages)</i>
A.2.1. Overall profile and starting situation		
A.2.2. Analysis of strengths and weaknesses based on previous achievements and successes		
A.2.2.1. Organisation and quality of research		
A.2.2.2. Structure and quality of the other performance areas		
A.2.2.3. Excellence of researchers and framework conditions		
<b>A.3. Plans and potential</b>	<i>(approx. 30 to a maximum of 40 pages)</i>	<i>(approx. 40 to a maximum of 50 pages)</i>
A.3.1. Strategy and objectives		
A.3.2. Planned measures and anticipated effects		
A.3.3. Governance and management structures		
A.3.4. Monitoring for quality assurance and success monitoring		
	<b>Maximum total 80 pages</b>	<b>Maximum total 100 pages</b>
<hr/>		
<b>B. Funding plan</b>		
<hr/>		
<b>C. Data annex</b>		
C.1. Basic data on the consortium		
C.2. Data on the organisation and quality of research and support for early career researchers		
C.3. Data on the structure and quality of teaching		
C.4. Data on the structure and quality of transfer		
C.5. Data on the structure and quality of research infrastructure		
C.6. Data on other areas of activity		
C.7. Diagrams showing structural organisation, bodies and processes		
<hr/>		
<b>D. Glossary and list of abbreviations</b>		
<hr/>		
<b>E. Binding regulations of the consortium</b>		



## **A. Text of proposal**

### **A.1. Summary**

– Length for section A.1: max. 1 page –

*Please summarise your overall strategy with reference to the status quo and long-term planning (section A.2. and section A.3.). In so doing, please comment on your overall profile and individual core profile areas, prior achievements, objectives, planned measures, |<sup>6</sup> milestones and anticipated results.*

### **A.2. Status quo and prior achievements**

– Length for section A.2.: approx. 40 (resp. 50) to a maximum of 50 (resp. 60) pages –

*This section should present the status quo and prior achievements with respect to the strategic orientation to date, existing forms of cooperation and joint activities, |<sup>7</sup> individual core profile areas, the starting situation respectively the framework and environmental conditions. The purpose of the analysis of strengths and weaknesses is to analyse and critically reflect on the starting situation as it stands at present. Strengths, weaknesses and possible differences in performance should be explained and contextualised. Opportunities and threats in relation to plans and potential are listed in A.3.1. Strategy and objectives.*

#### **A.2.1. Overall profile and starting situation**

*Please explain the existing forms, structures and activities of the cooperation, how the current consortium views itself as an institutional entity |<sup>8</sup> and its present regional, national and international importance. Please describe profile areas and unique features with respect to all performance areas and areas of activity. Please include a description of the roles of the individual universities. The description should include the following aspects:*

- *Key areas of cooperation and the nature of the cooperation;*
- *Importance of the different performance areas and, if applicable, other areas of activity and the interactions between them, if these are relevant to the expansion of top-level research;*
- *Positioning of the consortium, its profile areas and the individual universities compared with institutions in Germany and abroad (with comments and rationale, e.g. relating to benchmarks and national and international reference institutions);*
- *Framework conditions to enhance capabilities in research and other performance areas and areas of activity, e.g. location-specific, institutional, staff-related, financial and infrastructural conditions, importance of external cooperation partners, governance (with reference to the diagrams in data annex C.7. if relevant);*

|<sup>6</sup> Measures should define sub-goals of the overall strategy which can be operationalised. They could represent comprehensive packages of sub-measures for the implementation of the overall concept.

|<sup>7</sup> Cooperation between the individual universities may be both additive and complementary in terms of subject areas, areas of special focus and organisational structures.

|<sup>8</sup> In the notes on ‘Status quo and prior achievements’ that follow, the term ‘consortium’ refers to the current group of members and existing forms of cooperation.

- Any other aspects which demonstrate the handling of challenges, the capability for strategy development and the action-taking capacity of the individual universities in the context of existing forms of cooperation.

Please detail why, in terms of previous performance level, current capability for strategy development and action-taking capacity, and existing forms of cooperation, the individual universities have the institutional maturity that marks them out as a potential University Excellence Consortium.

#### **A.2.2. Analysis of strengths and weaknesses based on previous achievements and successes**

Please explain **at this point** how the analysis of strengths and weaknesses was conducted (format, participants, empirical basis).

Please also detail **at this point** the strengths and weaknesses of the existing forms, structures and contents of the cooperation as implemented and visible so far, including with respect to existing areas of special focus and profiling and coordination processes. Please outline what synergies have been achieved through the existing cooperation and what added value was created in terms of research and the other performance areas. Please describe the benefits of the existing reciprocal relationship for the consortium and the individual universities.

Please describe **in the following sections (A.2.2.1. – A.2.2.3.)** the strengths and weaknesses of the individual universities in terms of their current international leading position in research and the performance areas of teaching, transfer and research infrastructure and with respect to the excellence of researchers and framework conditions. Please comment on, and if necessary contextualise, the evidence of previous achievements listed in the data annex as well as the measures and effects in research and other performance areas.

##### **A.2.2.1. Organisation and quality of research**

Please describe the **current strategic orientation of research** and the research profile of the present consortium. Please name the profile-forming research areas which have already achieved a leading international position (e.g. core research areas) and the emerging fields which are currently being established. |<sup>9</sup> Please refer to the appropriate brief descriptions in the data annex (C.2.8.) and explain the function and relevance of the profile-forming research areas. Please explain how these core research areas and emerging fields are formed, organised and supported. Please also describe how they are integrated in the existing consortium structures, how they have been developed so far and, if applicable, how they interact with other institutions.

Please explain the framework conditions and support structures for research at the individual universities and within the existing consortium. Please make reference to the diagrams in the data annex (C.7.) and, if appropriate, explain links with other areas of activity (e.g. early career support; equal opportunity; |<sup>10</sup> internationalisation; cooperation; staff planning, recruitment and development).

Please explain the current consortium's concept of quality in research and name the most important objectives, quality assurance measures and evaluation parameters (e.g. with

|<sup>9</sup> An alternative, university-specific designation may be used.

|<sup>10</sup> The term 'equal opportunity' refers to the promotion of equality between female and male researchers, the enabling of a balance between research and family commitments and, in general terms, the promotion of diversity in research with respect to structures and processes.

regard to the handling of scientific misconduct and the promotion of scientific integrity and equal opportunity).

Please list the **strengths and weaknesses** of the individual universities in the performance area of research. The analysis should take into consideration all research conducted in the consortium. Please comment on the quality of research based on the evidence of previous research achievements provided in the data annex (both within and outside the profile-forming research areas, e.g. with regard to research questions, challenges, development/establishment of new fields of research, research contributions). Please explain how you have dealt with challenges in research so far. Please refer to interactions between research and the other performance areas and additional areas of activity, including with respect to previous objectives and the performance level achieved.

#### **A.2.2.2. Structure and quality of other performance areas**

Please list the strengths and weaknesses of the individual universities in teaching, transfer and research infrastructure. Please focus the analysis of strengths and weaknesses on the importance of the respective performance area to the current strategic orientation of consortium activities, specifically its contribution to the expansion of top-level research. If relevant, please identify interfaces to other areas of activity (e.g. early career support; equal opportunity; internationalisation; cooperation; staff planning, recruitment and development). Please explain the current consortium's concept of quality in each performance area and name the most important objectives, quality assurance measures and evaluation parameters. Please explain how you have dealt with challenges in the relevant performance area so far.

##### **a) Teaching**

Please explain key characteristics and previous achievements in teaching (e.g. in relation to strategies/concepts, choice of study programmes, essential structures/processes and framework conditions).

##### **b) Transfer**

Please explain key focal areas and previous achievements in transfer (e.g. in relation to strategies/concepts, key transfer activities, essential structures/processes and partners).

##### **c) Research infrastructure**

Please explain the most important research infrastructure and the associated achievements and effects (e.g. in relation to strategies/concepts, research results, scientific potential, usage aspects).

#### **A.2.2.3. Excellence of researchers and framework conditions**

Please describe what sets the outstanding researchers apart at the individual universities on an international comparative basis (e.g. academic performance level, reputation, international networks, ongoing development of other performance areas and areas of activity).

Please elaborate the effectiveness of the supporting structures and processes outlined in A.2.2.1. and A.2.2.2. and make clear with what measures the academic excellence of researchers at all career levels at the individual universities and in the existing consortium, is to be fostered and developed (e.g. promotion of quality; support for early career researchers; promotion of equal opportunity; internationalisation; cooperation; strategies for staff planning, recruitment and development).

### **A.3. Plans and potential**

– Length for section A.3.: approx. 30 (resp. 40) to a maximum of 40 (resp. 50) pages –

*The purpose of this section is to present the long-term overall strategy of the consortium. In the overall strategy, objectives for the consortium should be defined based on the status quo, prior achievements and the analysis of strengths and weaknesses. The overall strategy should be designed to enable the consortium to establish itself among the leading group in an international competitive field and to strengthen and build upon this position in the long term. It should also demonstrate the consortium's capacity for institutional renewal against the background of long-term funding. In addition to research, planning may include other performance areas and areas of activity, as well as supporting structures and processes.*

#### **A.3.1. Strategy and objectives**

*Explain the long-term overall strategy of the consortium, justify the associated overarching aims and explain the strategy-forming process (including format, participants and empirical basis). Please also explain the relationship between the consortium's objectives and the objectives of the individual universities. Please demonstrate that this is a sound overall strategy which is transparent to all relevant actors and ensures the consortium's capacity for institutional renewal.*

*Please name up to five objectives in your overall strategy which you intend to achieve with the requested funding. Please outline how the objectives described and the future cooperation |<sup>11</sup> are to be achieved. Please explain why the formation of the consortium is necessary to implement the overall strategy and to achieve the objectives described. Please relate the objectives to the additional changes, whether planned or in progress, outside the programme (e.g. participation in other funding programmes), previous achievements and the opportunities and threats identified in the analysis of strengths and weaknesses (analysis of potential). Please explain how conflicts of objectives and the setting of lower priorities are dealt with.*

#### **A.3.2. Planned measures and anticipated effects**

*Please describe the envisaged measures and justify the resource requirements requested through the funding plan (see Part B. Funding plan). Please explain how the measures are to be implemented and to what extent they are suitable for reinforcing the long-term positioning of the consortium and the individual universities in the regional, national and, especially, international settings. Please also make reference to synergies arising for the individual universities as a result of the formation of the consortium. Please explain which of the applicant universities will lead and/or coordinate each measure, if applicable. Please elaborate which researchers of the university consortium are substantially involved in implementing the strategy and explain how they participate (with reference to table C.2.4. in the data annex). If cooperation with external partners is relevant to the proposal, please describe the role of these cooperation partners or partner institutions in each measure and the quality of the planned cooperation.*

*Please state the intended long-term effects of the measures on the consortium and in respect of the individual universities. Please outline the intended long-term effects on the*

<sup>11</sup> Cooperation between the individual universities may be both additive and complementary in terms of subject areas, areas of special focus and organisational structures.

location respectively region and beyond if relevant, e.g. in terms of improving the performance level in research and other performance areas, the framework conditions for researchers at all career levels, early career support (including early research independence) and equal opportunity, and, if applicable, the further development of other areas of activity (including interactions between them). Outline how potential conflicts of objectives, threats and unintended consequences will be dealt with, in respect of individual measures. Please name the anticipated results of each measure, by which its success is to be measured.

If individual participating universities in the consortium have received funding for an **Institutional Strategy within the framework of the Excellence Initiative**, please explain the connection between the measures associated with the Institutional Strategy and the newly proposed or continuing measures. In the case of continuing measures, please explain to what extent these harmonise with the objectives of the overall strategy and represent a reasonable continuation in terms of the formation of the consortium and the programme objectives of the Excellence Strategy.

Please make clear to what extent the objectives pursued with the **university allowance for Clusters of Excellence** are incorporated in the consortium's overall strategy and/or are related to the measures presented in this proposal as a University Excellence Consortium.

### **A.3.3. Governance and management structures**

Please explain the governance of the consortium using the binding regulations (see section E.) and with regard to the implementation of the overall strategy and the planned measures (e.g. statutory bodies and advisory, decision-making and monitoring processes). Please make reference to the diagrams in the data annex (see C.7.). Please explain how important decisions are to be made (e.g. relating to practices and criteria of internal financial resource allocation; staff planning, recruitment and development; coordination, monitoring; balance of interests and balance of power) at the central and non-central action levels described (e.g. leadership of the consortium, rector's or president's offices, academic structural units, other permanent and temporary structures of relevance to the planning and implementation of the overall strategy). Please explain how financial resource management will be organised in the consortium if the proposal is approved.

Please explain how governance and management structures effectively support the expansion of research performance, ensure capacity for institutional renewal and how they are suitable for enabling long-term strategic action and control. Please explain to what extent all legal, staffing, financial and (infra)structural requirements for the implementation of the proposed measures are in place, and/or will be provided (including, if applicable, necessary legal changes at the level of individual universities, the consortium and/or the federal state).

### **A.3.4. Monitoring for quality assurance and success monitoring**

Please describe the anticipated long-term effects of the overall strategy on the consortium, with regard to the individual universities and beyond if applicable. Please state anticipated results that exceed the sum of the individual measures.

Please explain the criteria, measures and mechanisms of quality assurance and success monitoring which will be used to ensure implementation of the measures, verify their effectiveness and ensure achievement of the objectives. Please also describe instruments and measures with which the consortium's capacity for institutional renewal is to be ensured (e.g. processes and instruments for changing direction and readjustment).

*Please describe processes, criteria and, if applicable, defined goals which will be used to decide on the establishment, continuation or termination of particular measures (e.g. in the event of non-approval, a reduction in funding or discontinuation of funding or in the event that one of the participating universities in the consortium does not satisfy the requirements for a proposal in the Universities of Excellence funding line, or leaves the consortium for any other reason).*

## B. Funding plan

Please complete the tables below. Please note that, if the proposal is approved, the funds will be earmarked with regard to the programme objectives and the funding plan. The management and use of financial resources is subject to the regulations applicable in the relevant state for the basic funding of universities.

The requested annual funds per consortium should not exceed €28 million.

**Table B.1.: Planned funding for staff, other direct expenditure and investments for each applicant university by year in € millions**

Please state on the basis of which collective bargaining rules the staff funding rates were calculated. Alternatively, you can use the DFG staff funding rates for 2017; see DFG form 60.12.

**Table B.1.a.: [Name of University A]**

Funding category \ Year	2019	2020	2021	2022	2023	2024	2025	2026	Total for each funding category
Staff *									
Other direct expenditure									
Investments									
<b>Total funding per year</b>									
Of which funds for cooperation partners/partner institutions if applicable (see Table B.5.)									

\* Staff cost rates calculated on the basis of: [...]

**Table B.1.b.: [Name of University B]**

Funding category \ Year	2019	2020	2021	2022	2023	2024	2025	2026	Total for each funding category
Staff *									
Other direct expenditure									
Investments									
<b>Total funding per year</b>									
Of which funds for cooperation partners/partner institutions if applicable (see Table B.5.)									

\* Staff cost rates calculated on the basis of: [...]

**Table B.1.c. (if applicable): [Name of University C]**

<b>Funding category</b> \ <b>Year</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	<b>2024</b>	<b>2025</b>	<b>2026</b>	<b>Total for each funding category</b>
Staff *									
Other direct expenditure									
Investments									
<b>Total funding per year</b>									
Of which funds for cooperation partners/partner institutions if applicable (see Table B.5.)									

\* Staff cost rates calculated on the basis of: [...]

**Table B.2.: Planned annual total funding for measures in € millions**

<b>Measure</b> \ <b>Year</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	<b>2024</b>	<b>2025</b>	<b>2026</b>	<b>Total for each project</b>
[Title of the measure]									
[Title of the measure]									
[...]									
<b>Total funding per year</b>									

**Table B.3.: Planned total funding for measures by funding category in the period from 2019 to 2026 in € millions**

<b>Measure</b> \ <b>Funding category</b>	<b>Staff</b>	<b>Other direct expenditure</b>	<b>Investments</b>	<b>Total for each measure</b>
[Title of the measure]				
[Title of the measure]				
[...]				
<b>Grand total</b>				



**Table B.4.: Planned number of employees (in full-time equivalents) by staff category for each measure in the period from 2019 to 2026**

Measure \ Staff category	Professors			Junior research group leaders	Post-doc researchers	Doctoral students	Other academic and artistic staff *	Academic support and administrative staff
	Full professors	Junior prof. with tenure track	Junior prof. without tenure track					
[Title of the measure]								
[Title of the measure]								
[...]								
<b>Total</b>								

\* "Other academic and artistic staff" includes all persons in academic and artistic positions with the exception of professors, junior research group leaders, postdoctoral researchers and doctoral students.

**Table B.5.: Planned funds for cooperation partners and partner institutions in the period from 2019 to 2026 in € millions**

*Note: The transfer of funds is in principle only possible at cooperation institutions based in Germany in form of temporary project funding and within the framework of state regulations governing the basic funding of universities. Cooperation partners from the private sector and from abroad can in principle not receive funding from the Excellence Strategy programme.*

Cooperation partner or partner institution	As part of the following measure	Total
[Name, location]	[e.g. measure 1, explanation if necessary]	[...]
[Name, location]	[e.g. measure 2, explanation if necessary]	[...]
[...]	[...]	[...]

## C. Data annex

For producing the data annex (Part C), please use the Excel document “Model tables for the data annex (Proposal as a university consortium)” provided on the [web page of the Wissenschaftsrat](#).

	Page
<b>List of data annexes</b>	
<b>C.1. Basic data on the consortium</b>	
C.1.1. Total budget 2017	
C.1.2. Third-party funding in all performance areas and areas of activity from 2012 to 2017	
C.1.3. Professors 2007, 2012, 2017	
C.1.4. Visiting researchers 2007, 2012, 2017	
C.1.5. Professorial appointments at the universities participating in the consortium 2007, 2012, 2017	
C.1.6. Offers of professorial appointments to researchers from universities participating in the consortium from 2012 to 2017	
C.1.7. Vacant professorships and professorships due to become vacant from 2019 to 2026	
C.1.8. Academic and artistic staff (excluding professors) 2007, 2012, 2017	
C.1.9. Doctoral students, postdoctoral researchers and junior research group leaders 2017	
C.1.10. Students and graduates 2017	
C.1.11. Students by intended final degree 2007, 2012, 2017	
<b>C.2. Data on the organisation and quality of research and support for early career researchers</b>	
C.2.1. Examples of important ongoing third-party-funded projects in research and in support for early career researchers since 2012 (maximum of 35/40 respectively)   <sup>12</sup>	
C.2.2. Completed doctorates 2007, 2012, 2017	
C.2.3. Completed habilitations 2007, 2012, 2017	
C.2.4. Examples of outstanding researchers since 2012 (maximum of 35/40 respectively)	
C.2.5. Examples of outstanding publications since 2007 (maximum of 35/40 respectively)	
C.2.6. Examples of important external awards and prizes in research since 2012, including awards and prizes for early career researchers (maximum of 35/40 respectively)	
C.2.7. Most important measures and effects in research and in support for early career researchers since 2007 (maximum of 15)	
C.2.8. Brief descriptions of profile-forming research areas	
<b>C.3. Data on the structure and quality of teaching</b>	
C.3.1. Examples of competitively obtained third-party funding, prizes and awards in teaching since 2007 (maximum of 15)	
C.3.2. Most important measures and effects in teaching since 2007 (maximum of five)	

<sup>12</sup> In the case of a consortium with two universities, a maximum of 35 projects can be named in Table C.2.1. and in the case of a consortium with three universities, a maximum of 40. The same applies to the information provided in Tables C.2.4., C.2.5. and C.2.6.

**C.4. Data on the structure and quality of transfer**

- C.4.1. Examples of competitively obtained third-party funding, prizes and awards in transfer since 2007 (maximum of 15)
- C.4.2. Most important transfer activities of the consortium since 2012 (maximum of 15)
- C.4.3. Most important measures and effects in transfer since 2007 (maximum of five)

**C.5. Data on the structure and quality of research infrastructure**

- C.5.1. Most important research infrastructure of the consortium (maximum of 15)
- C.5.2. Examples of competitively obtained third-party funding, prizes and awards in connection with research infrastructure since 2007 (maximum of 15)
- C.5.3. Most important measures and effects in connection with research infrastructure since 2007 (maximum of five)

**C.6. Data on other areas of activity**

- C.6.1. Third-party funding revenues, external awards and prizes in the areas of internationalisation, equal opportunity, staff planning, recruitment and development, and cooperation since 2007 (maximum of 15)
- C.6.2. Most important measures and effects in the areas of internationalisation, equal opportunity, staff planning, recruitment and development, and cooperation since 2007 (maximum of 15)
- C.6.3. Most important cooperation institutions in Germany (maximum of 15)
- C.6.4. Most important cooperation institutions in other countries (maximum of ten)

**C.7. Diagrams showing structural organisation, bodies and processes**

- C.7.1. Organisational chart showing the structural organisation of the consortium
- C.7.2. Diagram showing the consortium's central advisory, decision-making and monitoring bodies and processes

**D. Glossary and list of abbreviations****E. Binding regulations of the consortium**

#### **D. Glossary and list of abbreviations**

*Please produce a glossary containing the English and German names, plus abbreviations if applicable, of the bodies, academic structural units, institutions etc. mentioned.*

#### **E. Binding regulations of the Consortium**

Please attach to the proposal a set of regulations which is binding for all members of the university consortium. It should document the cooperation of the consortium and contain information regarding the purpose and tasks of the university consortium, bodies, responsibilities/decision making authority, process regulations, usage regulations (infrastructures, work results), funding modalities and exit regulations.

# Proposal template with explanatory notes for the Universities of Excellence funding line: Proposal as a university consortium

## General instructions for preparing the data annex

The data requested in the data annex (Part C.) of the proposal for the Universities of Excellence funding line conforms, where relevant, to the recommendations accompanying the specification of the Research Core Data Set published by the Wissenschaftsrat (WR, German Council of Science and Humanities) in 2016 (see WR: Recommendations on the Specification of the Core Data Set for Research (Drs. 5066-16), Berlin January 2016. Available for download:

<http://www.wissenschaftsrat.de/download/archiv/5066-16.pdf>).

Where data input is required in accordance with the Research Core Data Set, the relevant codes (known as KDS-IDs) are shown in square brackets after each term, for example professors [Be19] in full-time equivalents [Be1].

The definitions of the KDS-IDs can be found in the specification table. We recommend working with the short version of the specification table, which is available at:

[http://www.kerndatensatz-forschung.de/version1/Spezifikationstabelle\\_KDSF\\_v1.html](http://www.kerndatensatz-forschung.de/version1/Spezifikationstabelle_KDSF_v1.html)

Where certain data is to be provided in a different form from that specified in the Research Core Data Set or is not part of the specification, this is indicated in the instructions below the table headings. These instructions in cursive must be noted when preparing the data and have to be deleted when the PDF file is created.

### The following applies to all tables:

- **'Revenues/Proceeds'**: Universities that use single-entry accounting should list revenues; universities that use double-entry accounting should list proceeds. The term, which is not applicable, should be deleted.
- **'Scientific disciplines'**: Scientific disciplines according to the DFG classification system: humanities and social sciences, life sciences, natural sciences, engineering sciences. More information is available at:  
[http://www.dfg.de/dfg\\_profil/gremien/fachkollegien/faecher/](http://www.dfg.de/dfg_profil/gremien/fachkollegien/faecher/)
- **'From other countries'**: Number of persons with foreign nationality as per KDS-ID [Be72] or [Na58].
- **'Foreign students'**: includes all international students whose eligibility to enroll in higher education was acquired in another country (except recognised German schools abroad) or at a Studienkolleg.
- **'Women'**: Share of persons who have indicated their gender as female as per KDS-ID [Be7] or [Na7].
- **'Faculties'**: The term 'faculties' refers to academic structural units within the universities. If you use a different designation, please replace the term 'faculties' in the relevant cells with the appropriate term (e.g. 'department'). Where rows are labeled with "[...]" please add more rows if necessary.
- **'Persons'**: Number of persons as per KDS-ID [Be2].
- **'FTE'**: Number of full-time equivalents as per KDS-ID [Be1].
- **Staff**: All staff data should be provided regardless of the source of funding.

- **Cut-off dates:** *Unless otherwise specified, data on employees should be given with a cut-off date of 1 December and data on early career support with a cut-off date of 31 December. Data on third-party funded projects should be given with a cut-off date of 31 December, data on third-party funding, budget and publications relating to the calendar year.*
- **Rounding:** *If applicable, the figures should be rounded to one decimal place.*
- **Maximum Number of Characters:** *A maximum number of characters is set for some tables in the English data annex template. This only applies to the English version. The German version's content must be identical to the English one, but can differ concerning the number of characters.*
- **Maximum number of projects:** *In tables C.2.1., C.2.4., C.2.5. and C.2.6. consortia with two universities can list up to 35 projects, consortia with three universities can list up to 40 projects.*

## **C. Data annex**

### **List of data annexes**

#### **C.1 Basic data on the consortium**

- C.1.1. Total budget 2017
- C.1.2. Third-party funding in all performance areas and areas of activity from 2012 to 2017
- C.1.3. Professors 2007, 2012, 2017
- C.1.4. Visiting researchers 2007, 2012, 2017
- C.1.5. Professorial appointments at the universities participating in the consortium 2007, 2012, 2017
- C.1.6. Offers of professorial appointments to researchers from the universities participating in the consortium from 2012 to 2017
- C.1.7. Vacant professorships and professorships due to become vacant from 2019 to 2026
- C.1.8. Academic and artistic staff (excluding professors) 2007, 2012, 2017
- C.1.9. Doctoral students, postdoctoral researchers and junior research group leaders 2017
- C.1.10. Students and graduates 2017
- C.1.11. Students by intended final degree 2007, 2012, 2017

#### **C.2. Data on the organisation and quality of research and support for early career researchers**

- C.2.1. Examples of important ongoing third-party-funded projects in research and in support for early career researchers since 2012 (maximum of 35/40 respectively)
- C.2.2. Completed doctorates 2007, 2012, 2017
- C.2.3. Completed habilitations 2007, 2012, 2017
- C.2.4. Examples of outstanding researchers since 2012 (maximum of 35/40 respectively)
- C.2.5. Examples of outstanding publications since 2007 (maximum of 35/40 respectively)
- C.2.6. Examples of important external awards and prizes in research since 2012, including awards and prizes for early career researchers (maximum of 35/40 respectively)
- C.2.7. Most important measures and effects in research and in support for early career researchers since 2007 (maximum of 15)
- C.2.8. Brief descriptions of profile-forming research areas

#### **C.3. Data on the structure and quality of teaching**

- C.3.1. Examples of competitively obtained third-party funding, prizes and awards in teaching since 2007 (maximum of 15)
- C.3.2. Most important measures and effects in teaching since 2007 (maximum of five)

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- C.4.1. Examples of competitively obtained third-party funding, prizes and awards in transfer since 2007 (maximum of 15)
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- C.4.3. Most important measures and effects in transfer since 2007 (maximum of five)

#### **C.5. Data on the structure and quality of research infrastructure**

- C.5.1. Most important research infrastructure of the consortium (maximum of 15)
- C.5.2. Examples of competitively obtained third-party funding, prizes and awards in connection with research infrastructure since 2007 (maximum of 15)
- C.5.3. Most important measures and effects in connection with research infrastructure since 2007 (maximum of five)

#### **C.6. Data on other areas of activity**

- C.6.1. Third-party funding revenues, external awards and prizes in the areas of internationalisation, equal opportunity, staff planning, recruitment and development, and cooperation since 2007 (maximum of 15)

- C.6.2. Most important measures and effects in the areas of internationalisation, equal opportunity, staff planning, recruitment and development, and cooperation since 2007 (maximum of 15)
- C.6.3. Most important cooperation institutions in Germany (maximum of 15)
- C.6.4. Most important cooperation institutions in other countries (maximum of ten)
  
- C.7. Diagrams showing structural organisation, bodies and processes**
- C.7.1. Organisational chart showing the structural organisation of the consortium
- C.7.2. Diagram showing the consortium's central advisory, decision-making and monitoring bodies and processes







|<sup>1</sup> DFG third-party funding included in 2017:

**[Name University A]:** [Number] Collaborative Research Centers and Transregios, [Number] Graduate Schools, [Number] Research Training Schools.

**[Name University B]:** [Number] Collaborative Research Centers and Transregios, [Number] Graduate Schools, [Number] Research Training Schools.

**[Name University C]:** [Number] Collaborative Research Centers and Transregios, [Number] Graduate Schools, [Number] Research Training Schools.

|<sup>2</sup> EU third-party funding included in 2017:

**[Name University A]:** [Number] ERC-Grants, among them [Number] Starting Grants, [Number] Advanced Grants, [Number] Consolidator Grants, [Number] Synergy Grants.

**[Name University B]:** [Number] ERC-Grants, among them [Number] Starting Grants, [Number] Advanced Grants, [Number] Consolidator Grants, [Number] Synergy Grants.

**[Name University C]:** [Number] ERC-Grants, among them [Number] Starting Grants, [Number] Advanced Grants, [Number] Consolidator Grants, [Number] Synergy Grants.

### C.1.3. Professors 2007, 2012, 2017

Percentages for 'joint appointments', 'endowed professorships', 'junior professorships' and 'other tenure track professorships' relate to the relevant proportions of the total number of professors.

Percentage for 'Women' and 'From other countries' refer to the relevant category.

Joint professorships result from a joint appointment process between a university and a non-university research institution or at least two universities.

Junior professors are researchers who generally qualify for a professorship without habilitation. In the case of a (junior) professorship (W1) with tenure track, the advertised post comes with an assurance of a permanent professorial post after a set probation period, without advertisement, at the same institution. In the case of a (junior) professorship (W1) without tenure track, the advertised post does not imply the assurance of a permanent professorial post. Junior professorships with this assurance dependent on job reservation should be listed under "without tenure track".

Professorships (W2 or W3, if applicable) with an assurance of a permanent professorial post after a set probation period, without advertisement, at the same institution, should be listed under "of which other tenure track professorships".

#### a) Professors by category

University and Category	2007			2012			2017		
	Full-time equivalents [Be1]			Full-time equivalents [Be1]			Full-time equivalents [Be1]		
	Total	Women	From other countries	Total	Women	From other countries	Total	Women	From other countries
[Name University A] Total [Be19]	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
of which joint appointments	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which endowed professorships [Be59]	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which junior professorships <u>with</u> tenure track	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which junior professorships <u>without</u> tenure track	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which other tenure track professorships	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %

University and Category	2007			2012			2017		
	Full-time equivalents [Be1]			Full-time equivalents [Be1]			Full-time equivalents [Be1]		
	Total	Women	From other countries	Total	Women	From other countries	Total	Women	From other countries
<b>[Name University B]</b>	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
<b>Total [Be19]</b>	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
of which joint appointments	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which endowed professorships [Be59]	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which junior professorships with tenure track	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which junior professorships without tenure track	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which other tenure track professorships	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
<b>[Name University C]</b>	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
<b>Total [Be19]</b>	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
of which joint appointments	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which endowed professorships [Be59]	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which junior professorships with tenure track	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which junior professorships without tenure track	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %
of which other tenure track professorships	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %	0,0 0,0 %	0,0 %	0,0 %

University and Category	2007			2012			2017		
	Full-time equivalents [Be1]			Full-time equivalents [Be1]			Full-time equivalents [Be1]		
	Total	Women	From other countries	Total	Women	From other countries	Total	Women	From other countries
<b>Consortium Total [Be19]</b>	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
of which joint appointments	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
of which endowed professorships [Be59]	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
of which junior professorships <u>with</u> tenure track	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
of which junior professorships <u>without</u> tenure track	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
of which other tenure track professorships	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %

### C.1.3. Professors 2007, 2012, 2017

Percentages for 'joint appointments', 'endowed professorships' and 'junior professorships' relate to the relevant proportions of the total number of professors.

Percentage for 'Women' and 'From other countries' refer to the relevant category.

Joint professorships result from a joint appointment process between a university and a non-university research institution or at least two universities.

#### b) Professors by faculty

University and Category	2007			2012			2017		
	Full-time equivalents [Be1]			Full-time equivalents [Be1]			Full-time equivalents [Be1]		
	Total	Women	From other countries	Total	Women	From other countries	Total	Women	From other countries
<b>[Name University A]</b> <b>Total [Be19]</b>	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
of which [Name of faculty]	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
of which [Name of faculty]	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
[...]	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
<b>[Name University B]</b> <b>Total [Be19]</b>	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
of which [Name of faculty]	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
of which [Name of faculty]	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
[...]	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
<b>[Name University C]</b> <b>Total [Be19]</b>	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
of which [Name of faculty]	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
of which [Name of faculty]	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %
[...]	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %	0,0 ----- 0,0 %	0,0 %	0,0 %

#### C.1.4. Visiting researchers 2007, 2012, 2017

Visiting researchers include all researchers of foreign nationality who spent at least one month in one calendar year at the university (including visiting researchers whose visit to Germany was mainly funded by their home institutions).

Designation	2007		2012		2017	
	Number of persons [Be2]		Number of persons [Be2]		Number of persons [Be2]	
	Total	Women	Total	Women	Total	Women
<b>[Name University A]</b>						
<b>Visiting professors</b>	0	0,0 %	0	0,0 %	0	0,0 %
of which Alexander von Humboldt professors	0	0,0 %	0	0,0 %	0	0,0 %
[of which others if applicable, please state]	0	0,0 %	0	0,0 %	0	0,0 %
<b>Postdoctoral researcher</b>	0	0,0 %	0	0,0 %	0	0,0 %
<b>Doctoral students</b>	0	0,0 %	0	0,0 %	0	0,0 %
<b>[Name University B]</b>						
<b>Visiting professors</b>	0	0,0 %	0	0,0 %	0	0,0 %
of which Alexander von Humboldt professors	0	0,0 %	0	0,0 %	0	0,0 %
[of which others if applicable, please state]	0	0,0 %	0	0,0 %	0	0,0 %
<b>Postdoctoral researcher</b>	0	0,0 %	0	0,0 %	0	0,0 %
<b>Doctoral students</b>	0	0,0 %	0	0,0 %	0	0,0 %
<b>[Name University C]</b>						
<b>Visiting professors</b>	0	0,0 %	0	0,0 %	0	0,0 %
of which Alexander von Humboldt professors	0	0,0 %	0	0,0 %	0	0,0 %
[of which others if applicable, please state]	0	0,0 %	0	0,0 %	0	0,0 %
<b>Postdoctoral researcher</b>	0	0,0 %	0	0,0 %	0	0,0 %
<b>Doctoral students</b>	0	0,0 %	0	0,0 %	0	0,0 %
<b>Consortium Total</b>						
<b>Visiting professors</b>	0	0,0 %	0	0,0 %	0	0,0 %
of which Alexander von Humboldt professors	0	0,0 %	0	0,0 %	0	0,0 %
[of which others if applicable, please state]	0	0,0 %	0	0,0 %	0	0,0 %
<b>Postdoctoral researcher</b>	0	0,0 %	0	0,0 %	0	0,0 %
<b>Doctoral students</b>	0	0,0 %	0	0,0 %	0	0,0 %



**C.1.5. Professorial appointments at the universities participating in the consortium 2007, 2012, 2017**

Faculty	2007			2012			2017		
	Number of persons [Be2]			Number of persons [Be2]			Number of persons [Be2]		
	Total	Women	From other countries	Total	Women	From other countries	Total	Women	From other countries
[Name University A]	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
[Name University B]	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
[Name University C]	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
<b>Total</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %

**C.1.6. Offers of professorial appointments to researchers from the universities participating in the consortium from 2012 to 2017**

Faculty		Number of persons [Be2]
[Name University A]	First appointment (departure)	0
	Appointment (not first appointment, departure)	0
	Declined appointments	0
[Name University B]	First appointment (departure)	0
	Appointment (not first appointment, departure)	0
	Declined appointments	0
[Name University C]	First appointment (departure)	0
	Appointment (not first appointment, departure)	0
	Declined appointments	0
Total	First appointment (departure)	0
	Appointment (not first appointment, departure)	0
	Declined appointments	0



**C.1.8. Academic and artistic staff (excluding professors) 2007, 2012, 2017**

Data includes all employees as per KDS-ID [Be68] but excludes employees as per KDS-ID [Be19] and [Be18].

	2007			2012			2017		
	Full-time equivalents [Be1]			Full-time equivalents [Be1]			Full-time equivalents [Be1]		
	Total	Women	From other countries	Total	Women	From other countries	Total	Women	From other countries
[Name University A]	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
	<i>of which temporary [Be33]:</i>			<i>of which temporary [Be33]:</i>			<i>of which temporary [Be33]:</i>		
	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
[Name University B]	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
	<i>of which temporary [Be33]:</i>			<i>of which temporary [Be33]:</i>			<i>of which temporary [Be33]:</i>		
	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
[Name University C]	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
	<i>of which temporary [Be33]:</i>			<i>of which temporary [Be33]:</i>			<i>of which temporary [Be33]:</i>		
	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
Total	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %
	<i>of which temporary [Be33]:</i>			<i>of which temporary [Be33]:</i>			<i>of which temporary [Be33]:</i>		
	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %	0,0	0,0 %	0,0 %

### C.1.9. Doctoral students, postdoctoral researchers and junior research group leaders 2017

#### a) Doctoral students

The allocation of doctoral students to a faculty or equivalent organisational unit corresponds to the university membership of the main supervisor.

University	Faculty	Doctoral students [Na46/Na38a]		
		Number of persons [Be2]		
		Total	Women	From other countries
[Name University A]	University total	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	[...]	0	0,0 %	0,0 %
[Name University B]	University total	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	[...]	0	0,0 %	0,0 %
[Name University C]	University total	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	[...]	0	0,0 %	0,0 %
<b>Total</b>		0	0,0 %	0,0 %

#### b) Postdoctoral researchers

Postdoctoral researchers comprise all academic and artistic staff with a doctorate [Be22] who work on time-limited projects (excluding junior professors and junior research group leaders).

University	Faculty	Postdoctoral researchers		
		Number of persons [Be2]		
		Total	Women	From other countries
[Name University A]	University total	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	[...]	0	0,0 %	0,0 %
[Name University B]	University total	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	[...]	0	0,0 %	0,0 %
[Name University C]	University total	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	[...]	0	0,0 %	0,0 %
<b>Total</b>		0	0,0 %	0,0 %

**c) Junior research group leaders**

Junior research group leaders are to be listed in accordance with the definition of the Federal Statistical Office:

“This temporary position allows an individual to qualify for appointment to a tenured professorship primarily through having responsibility for leading an independent junior research group.” (Federal Statistical Office: Schlüsselverzeichnisse für die Personalstatistik, 2016, Definitionenkatalog Teil 1, Lfd. Nr. 29, SA 1, EF 38). “Junior research group leaders are employed as full-time or artistic staff at universities, conduct independent research and lead their own research groups. They are responsible for staff and a budget, have the necessary core support and access to infrastructure and all necessary resources. Junior research group leaders are selected through a competitive process and qualify for senior academic positions, especially appointment to a professorship.” (Federal Statistical Office: Schlüsselverzeichnis für die Personalstatistik, 2016, Definitionenkatalog Teil 1, Lfd. Nr. 26, SA 1-2, EF 33).

University	Faculty	Junior research group leaders		
		Number of persons [Be2]		
		Total	Women	From other countries
[Name University A]	University total	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	[...]	0	0,0 %	0,0 %
[Name University B]	University total	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	[...]	0	0,0 %	0,0 %
[Name University C]	University total	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	of which [Name faculty]	0	0,0 %	0,0 %
	[...]	0	0,0 %	0,0 %
<b>Total</b>		<b>0</b>	<b>0,0 %</b>	<b>0,0 %</b>

### C.1.10. Students and graduates 2017

**Students:** Full-time students in all courses (including second, postgraduate and additional courses) on the cut-off date of 1 December 2017, excluding those on leave and excluding doctoral students (case figures).

**Graduates:** All graduates who have successfully passed the final examination on the cut-off date of 30 September 2017, full-time students, excluding graduates with doctorates (case figures).

**Share of graduates in the standard period of study (+ 2 semester):** The percentage of graduates (see explanation above) of students in the first subject related semester who began a course X semesters before. (X = standard period of study + 2 semesters). *The type of the intended final degree of the students in the first subject related semester cannot be registered as "without a final degree" oder "final degree abroad".*

University	Students			Graduates			Share of graduates in the standard period of study (+ 2 semesters)		
	Total	Women	Foreign students	Total	Women	Foreign students	Total	Women	Foreign students
<b>[Name University A]</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0,0 %	0,0 %	0,0 %
of which in teaching	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0,0 %	0,0 %	0,0 %
<b>[Name University B]</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0,0 %	0,0 %	0,0 %
of which in teaching	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0,0 %	0,0 %	0,0 %
<b>[Name University C]</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0,0 %	0,0 %	0,0 %
of which in teaching	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0,0 %	0,0 %	0,0 %
<b>Total</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0,0 %	0,0 %	0,0 %
of which in teaching	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0,0 %	0,0 %	0,0 %

### C.1.11. Students by intended final degree 2007, 2012, 2017

Students in first subject in first course, full-time students, on cut-off date of 1 December 2007/2012/2017, excluding those on leave and excluding doctoral students (persons).

Please fill in the sums for the consortium.

Qualification	2007			2012			2017		
	Number of persons [Be2]			Number of persons [Be2]			Number of persons [Be2]		
	Total	Women	Foreign students	Total	Women	Foreign students	Total	Women	Foreign students
<b>Bachelor</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
<b>Master</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
<b>Staatsexamen (law) (if applicable)</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
<b>Staatsexamen (medicine) (if applicable)</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
<b>Staatsexamen (teaching post) (if applicable)</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
<b>Other (please state)</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
<b>Total</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %



## C.2. Data on the organisation and quality of research and support for early career researchers

### C.2.1. Examples of important ongoing third-party-funded projects in research and in support for early career researchers since 2012 (maximum of 35/40 respectively)

Please only name third-party-funded projects, for which the university acted as the lead or coordinating institution and which will be funded until 31 December 2018 or later.

Please indicate (using colour coding if appropriate) to which profile-forming research areas (e.g. core research areas or emerging fields) the projects belong.

If ERC grants are listed, please specify the type of ERC grant (e.g. ERC Starting Grant, Advanced Grant, Consolidator Grant or Synergy Grant).

Third-party funding provider [Dr12] and title of funding programme	Title of third-party-funded project [Dr9] (maximum of 35/40 respectively) Name of the University(ies)	Funding period [Dr15a] and [Dr14a] Funding amount [Dr88] in € millions
<b>DFG [Dr21]</b>		
Clusters of Excellence	e.g. EXC [no.]: [Full title (acronym if applicable)] EXC [no.]: [Full title (acronym if applicable)]	e.g. [2019 - 2025], € 0,0 [2019 - 2025], € 0,0
Graduate Schools <i>[if applicable]</i>		
Collaborative Research Centres <i>[if applicable]</i>		
Research Training Groups <i>[if applicable]</i>		
[Others, please state] <i>[if applicable]</i>		
<b>EU [Dr95]</b>		
ERC Grant [please specify] <i>[if applicable]</i>		
[Others, please state] <i>[if applicable]</i>		
[Others, please state] <i>[if applicable]</i>		
<b>Federal government [Dr22]</b> (from competitive programmes)		
[please state]		
[...]		
<b>Federal state (host state) [Dr23]</b> (from competitive programmes)		
[please state]		
[...]		
<b>Commercial business and other private activity [Dr25]</b>		
[please state]		
[...]		
<b>Other third-party funding providers [Dr141]</b>		
[please state]		
[...]		
<b>Total funding amounts [Dr88]</b>		

## C.2.2. Completed doctorates 2007, 2012, 2017

The allocation of completed doctorates to a university corresponds to the university membership of the main supervisor.

University	2007			2012			2017		
	Total [Na43/ Na70]	Women	From other countries	Total [Na43/ Na70]	Women	From other countries	Total [Na43/ Na70]	Women	From other countries
<b>[Name University A]</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
of which in structured doctoral programmes [Na6]									
<b>[Name University B]</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
of which in structured doctoral programmes [Na6]									
<b>[Name University C]</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
of which in structured doctoral programmes [Na6]									
<b>Total</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
of which in structured doctoral programmes [Na6]	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %

### C.2.3. Completed habilitations 2007, 2012, 2017

University	2007			2012			2017		
	Total [Na44/ Na72]	Women	From other countries	Total [Na44/ Na72]	Women	From other countries	Total [Na44/ Na72]	Women	From other countries
[Name University A]	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
[Name University B]	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
[Name University C]	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %
<b>Total</b>	0	0,0 %	0,0 %	0	0,0 %	0,0 %	0	0,0 %	0,0 %

**C.2.4. Examples of outstanding researchers since 2012 (maximum of 35/40 respectively)**

*If a researcher has left the university in the meantime, please add a footnote to her/his name stating in which year the reseacher left the university.*

<b>Last name, first name Name of the university</b>	<b>at the university since</b>	<b>Scientific discipline, core research areas</b>	<b>Contributions to scholarship (per cell: maximum of 500 characters including spaces)</b>
<i>[Last name, first name]</i> <sup>1</sup>	[...]	[...]	[...]

<sup>1</sup> The researcher left the university in [year].

### C.2.5. Examples of outstanding publications since 2007 (maximum of 35/40 respectively)

*If the author has left the university in the meantime, please add a footnote to her/his name stating in which year the author left the university.*

<b>Author(s)* [Pu52] Name of University</b>	<b>Year of publication [Pu84]</b>	<b>Title [Pu5]</b>	<b>Publication type [Pu6] Place of publication (e.g. title of journal)</b>	<b>Scientific discipline</b>
<i>[Last name, first name]   <sup>1</sup></i>	[...]	[...]	[...]	[...]

| <sup>1</sup> The author left the university in [year].

**C.2.6. Examples of important external awards and prizes in research since 2012, including awards and prizes for early career researchers (maximum of 35/40 respectively)**

Title of award/prize	Academic rank, name and scientific discipline of the honoured person Name of University	Period or year of award
[...]	[...]	[...]



### C.2.8. Brief descriptions of profile-forming research areas

Please name profile-forming research areas which have already achieved a leading international position (e.g. core research areas) and emerging fields which are being developed. Alternative structures and designations are possible.

Please insert a new table for each additional core research area or emerging field.

<b>Title of the core research area / emerging field</b> <i>[please delete as appropriate or replace by your own term]</i>	[Title]		
<b>Abstract of the core research area / emerging field</b> (max. 500 characters including spaces)	[...]		
<b>Participating disciplines</b>	[...]		
<b>Number of participating persons</b> (as of 2017)	<b>Staff category</b>	<b>Number</b>	
	<b>Professors</b> [Be19]	<b>[FTE]</b>	<b>[Pers.]</b>
	of which women	[FTE]	[Pers.]
	of which from other countries	[FTE]	[Pers.]
	of which junior professors <u>with</u> tenure track	[FTE]	[Pers.]
	of which junior professors <u>without</u> tenure track	[FTE]	[Pers.]
	of which other tenure-track professors	[FTE]	[Pers.]
	<b>Academic staff (excluding professors)</b> [Be68 minus Be19 minus Be18]	<b>[FTE]</b>	<b>[Pers.]</b>
	of which women	[FTE]	[Pers.]
	of which from other countries	[FTE]	[Pers.]
<b>Doctoral students [Persons]</b> [Na46/Na38a]	<b>[Persons]</b>		
of which women	[Persons]		
of which from other countries	[Persons]		
<b>Academic support and administrative staff</b> [Be63 plus Be28]	<b>FTE</b>	<b>Pers.</b>	
of which women	[FTE]	[Pers.]	
of which from other countries	[FTE]	[Pers.]	
<b>Participating researchers</b> <i>[please differentiate according to professors, junior professors and other groups, if applicable]</i> <i>[max. total 25]</i>	University [A], Faculty [X]: [Number] researchers <b>Principal investigators</b> [Prof. Dr. First name Last name], [Designation] [Jun.-Prof. Dr. First name Last name], [Designation] [...]  University [B], Faculty [Y]: [Number] researchers <b>Principal investigators</b> [...]  [...]		
<b>External cooperation partners</b> <i>[max. total seven]</i>	In Germany: [Name of institution and names of participating persons] [...] In other countries: [Name of institution and names of participating persons] [...]		



<b>Joint appointments</b> (persons)	At participating faculties of the consortium: [No. of pers.] With other universities and HE institutions: [No. of pers.] With non-university research institutions: [No. of pers.]
<b>Structures and programmes for early career support</b>	[Name]: [Funding amount if applicable] [...]
<b>Ongoing internal funding instruments if applicable</b>	[Name]: [Funding amount if applicable] [...]
<b>Ongoing external funding instruments if applicable</b>	[Name]: [Funding amount if applicable] [...]
<b>Five most important publications since 2007</b>	[Author(s)] [Year]:[Title], [Place of publication, if applicable no., pages] [...]
<b>Five most important doctorates since 2007</b>	[...]
<b>Five most important research successes since 2007</b>	[...]
<b>Contributions to other performance areas and areas of activity</b> (e.g. teaching, transfer, research infrastructures, internationalisation, equal opportunity) [maximum of five]	[...]
<b>Important evaluation parameters for excellent academic achievements</b> [maximum of ten]	[...]



**C.3.2. Most important measures and effects in teaching since 2007 (maximum of five)**

<b>Name and brief description of the measures (per cell: maximum of 500 characters including spaces)</b>	<b>Participating universities, institutions and partner institutions (if applicable)</b>	<b>Year or period</b>	<b>Intended and achieved effects (per cell: maximum of 500 characters including spaces)</b>
[...]	[...]	[...]	[...]

#### C.4. Data on the structure and quality of transfer

##### C.4.1. Examples of competitively obtained third-party funding, prizes and awards in transfer since 2007 (maximum of 15)

Programme	Title/description of funding or prize/award Name of the university(ies) Academic rank, name and scientific discipline of honoured person	Period or year of award	Funding amount in € millions (if applicable)
[...]	[...]	[...]	[...]

##### C.4.2. Most important transfer activities of the consortium since 2012 (maximum of 15)

Name/focus*	Brief description of the measure (per cell: maximum of 500 characters including spaces)	Participating universities, institutions and partner institutions (if applicable)	since ... (year)
[...]	[...]	[...]	[...]

\* e.g. patents and licences, spin-offs, external research contracts, service, education, science communication, technology transfer, consulting services, etc.

**C.4.3. Most important measures and effects in transfer since 2007**  
(maximum of five)

<b>Name and brief description of the measure (per cell: maximum of 500 characters including spaces)</b>	<b>Participating universities, institutions and partner institutions (if applicable)</b>	<b>Year or period</b>	<b>Intended and achieved effects (per cell: maximum of 500 characters including spaces)</b>
[...]	[...]	[...]	[...]



**C.5.3. Most important measures and effects in connection with research infrastructure since 2007 (maximum of five)**

<b>Participating university(ies) Name and brief description of the measure (per cell: maximum of 500 characters including spaces)</b>	<b>Participating institutions and partner institutions if applicable</b>	<b>Year or period</b>	<b>Intended and achieved effects (per cell: maximum of 500 characters including spaces)</b>
[...]	[...]	[...]	[...]







## **C.7. Diagrams showing structural organisation, bodies and processes**

*The structures and interactions between them should be clear from the graphic representations. Please highlight any changes planned as part of the overall strategy.*

### **C.7.1. Organisational chart showing the structural organisation of the consortium**

*(e.g. central entities, academic structural units, cross-faculty research centres)*

### **C.7.2. Diagram showing the consortium's central advisory, decision-making and monitoring bodies and processes**