

# **COUNTRY REPORT**

## **Social Sciences and Humanities in Germany**

***2010 Report***

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The Social Sciences and Humanities are influential for all Member States and for the European Commission. Thousands of researchers carry out research in a vast array of themes of national and international interest. They do so taking into account their organizational structures, framework conditions, as well as cultural preferences and political priorities in their countries.

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- Regularly updated country profiles of SSH systems in 27 countries;
- a news service;
- annual monitoring reports for all countries covered;
- an annual synthesis report bringing together key points;
- links to relevant reports and websites

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## 1. Country Overview

### 1.1 Overview of SSH System

#### 1.1.1 Brief Description of the structure of the SSH research system

The German research system is characterized by a division of responsibilities between the central government and the Länder (states). This holds true not only for the SSH but for the research system as such. The general distribution of competencies is defined based on Germany's Basic Law (Grundgesetz). Recently a reform of the federal system (Föderalismusreform) was agreed upon and entered into force on 1 September 2006 (Act for amendment of the Basic Law of 28 August 2006, Federal Law Gazette I, p. 2034) leading to a modification in the distribution of competencies. While the competencies for teaching are exclusively assigned to the Länder, the competencies for research are shared. The Federal Government and the Länder may co-operate financing in cases of supra-regional importance such as scientific research institutions, e.g. the Helmholtz Gemeinschaft (HGF), the Fraunhofer Gesellschaft (FhG), the Max Planck Gesellschaft (MPG), the Leibniz Gesellschaft (WGL) and the German Research Foundation (Deutsche Forschungsgemeinschaft/DFG) as well as projects outside of universities; science and research projects at universities; research-related construction at universities, including efforts related to large research apparatus (see also Report of the Federal Government on Research 2006. Abridged Version. Bonn, Berlin 2007). Funding is provided through targeted, short-to-medium-term project funding and through medium term or long-term institutional funding.

The German research landscape is highly diversified, and has a complex structure made up of: institutions of the higher education sector, public-sector institutions, which are financed both by the state and the Länder, and by industry and private actors, which are also receiving public sector support.

Many of the key players are jointly funded by the Federal Government and the Länder governments. In addition, the importance of third-party-funding in Germany generally, also in the SSH, increased over the last decades. Its role changed from a subsidiary source to a significant source of funding.

For SSH research, governmental funding is the most important source. Federal funding provided for SSH between 2000 and 2008 increased annually on average by 6%, while the overall federal spending increased by 3%. Consequently, also the share of the federal R&D budget spent on SSH research has been slightly increasing, from 3.9% in 2000 to 4.8% in 2008. The share of the federal funding for SSH that was provided through the BMBF increased from 43% in 2000 to 53% in 2008. Thus, the share of the BMBF R&D budget spent on SSH research grew from 3.2% in 2000 to 4.4% in 2008.

The Federal Ministry of Education and Research (BMBF) is the key policy body for SSH in Germany. Other important policy bodies are the Federal Ministry of Labour and Social Affairs (BMAS) and the Ministry of Economics and Technology (BMWi). Other ministries provide R&D funding too, but to a significant lower degree.

Additional highly relevant actors for defining policies and providing advice are the Joint Science Conference and the German Council of Science and Humanities (Wissenschaftsrat - WR).

A large share of the BMBF funding is distributed through the German Research Foundation (Deutsche Forschungsgemeinschaft - DFG). The DFG is the major

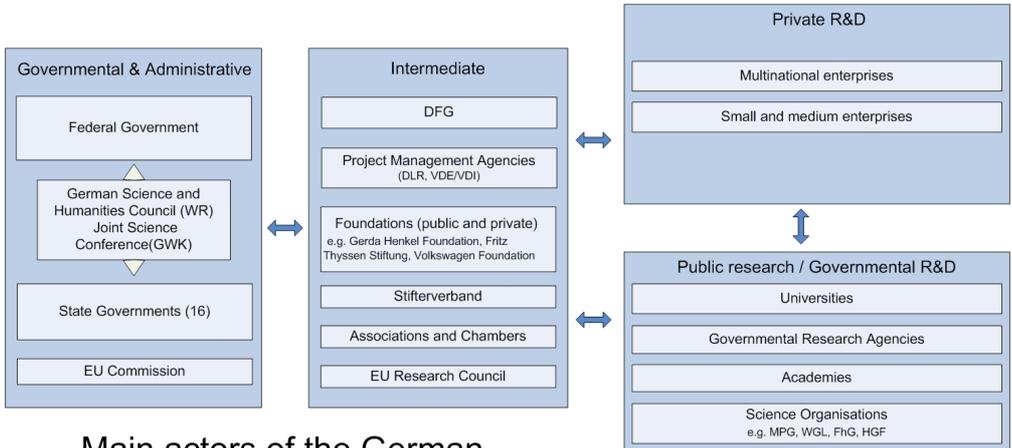
funding organization promoting research at universities and other publicly financed research institutions. In 2008 the DFG spent €353,8 million on SSH, about 15,4% of its overall budget. This share of the total had decreased slightly from 2004 to 2007 (from 15% to 14,2%) before increasing again in 2008. The total annual amount spent in 2008 increased by 23%, in comparison to an average annual increase of about 5% from 2004 to 2007 (DFG Annual Reports 2004-2008)

Unfortunately at the Länder level no statistics on funding for SSH are available. As an approximation the resources spent on SSH teaching and research by the universities are used here, which includes the resources received from various funding organizations. In the period 2000-2006 SSH research amounts to about 21% of the overall R&D activities of the universities. The annual growth on average amounts to 3%. Thus, SSH increases at the same magnitude as the total resources spent on R&D. The non-university institutions (including MPG, FhG, Leibniz Institutes and Academies) spent about 13% of their budgets on SSH. The annual growth rate amounts to 5% and thus is slightly above the annual growth rate for the total budget spent on R&D (3%) (Statistisches Bundesamt 2008, individual communication).

Various foundations, in particular the Volkswagen Foundation, Fritz Thyssen Foundation, Gerda Henkel Foundation, but also the Bosch Foundation and Krupp-von-Bohlen-and-Halbach Foundation, Deutsche Bundesstiftung Umwelt (DBU - German Foundation for the Environment), German Foundation for Peace Research (DSF), Bertelsmann Foundation and the Alexander von Humboldt Foundation (AvH) also fund SSH research in Germany.

Key players conducting SSH research are the Universities as well as a number of public sector research institutes, in particular selected institutes of the Max-Planck-Society (MPG), the Leibniz Association, and the Fraunhofer-Gesellschaft (FhG). The Max-Planck-Society and the Leibniz Association have specific sections focusing on SSH.

**1.1.2 Overview of structure**



**Main actors of the German R&D System**

(Based on: Bundesbericht Forschung und Innovation 2008, BMBF)

Source: iFQ, based on Bundesbericht Forschung und Innovation 2008, BMBF

## 1.2 Policy challenges and developments

### 1.2.1 Main societal challenges translated into SSH research

Germany, like all modern societies, has been facing significant changes over the last 20 years. Key issues relate to social changes due to modernization processes, such as the globalization of the economy, the introduction of new information technologies but also demographic developments and migration. In this context, SSH provides knowledge on cultural, economic and social developments as well as on social structures. According to the BMBF, SSH research also provides important contributions to decision-making on current problems and challenges.<sup>1</sup>

Challenges which are tackled by SSH research concern in particular all questions relating to demographic change. In particular consequences are arising e.g. for the active labour force which again influences the sustainability of the social security system and also leads to a reduced availability of highly qualified employees. Consequently, one of the main issues addressed concerns education and qualifications. In 2008 the German government started the “Qualification Initiative for Germany”, ranging from early childhood education to life long learning. The aim is to improve the quality of education and research. Related to the initiative is therefore also a programme devoted to educational research.

Furthermore demographic change has consequences for the cities and regions, it influences the infrastructural needs including medical care, education, mobility. In this context SSH provides input in order to bring forward concepts for the development of a sustainable economic management and lifestyle.

The German government perceives demographic change as a cross sectional task. SSH research analyses the developments and provides input and advice to adequately deal with the consequences of demographic change for the social security system and for economic and regional development.

Another relevant issue tackled by SSH research relates to migration and migration policies. Research is devoted to how to devise integration processes and how to deal with intercultural conflicts.

Even though the re-unification dates back 20 years, the growing together of East and West Germany is still a relevant topic. This concerns issues such as unemployment and the related migration from the east to the west; in particular of highly skilled young people and the resulting problems regions are facing such as (again) ageing, depopulation, brain-drain and low female to male gender ratio in adults, but also increasing violence and right wing extremism.

How to organize the relationship between science, politics and society and how to optimize decision making processes is another highly relevant issue that is to be tackled by SSH research.

As already mentioned above, sustainability is an important issue which is also seen as a driving force for innovation. Furthermore, sustainability was declared “a guiding principle for politics” by the German government. The concept of sustainability pervades all areas of politics. Likewise, SSH research attempts to address all of the above mentioned issues against this background. Due to the recent financial crises, SSH research is also addressing sustainable financing systems.

The majority of the above mentioned problems are not specific to Germany but are relevant at least for a substantial number of industrial countries.

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<sup>1</sup> See: BMBF, <http://www.bmbf.de/en/4630.php>

### 1.2.2 New SSH policy developments

Two initiatives with major impact on the German science system were agreed upon by the Federal Government and the Länder and initiated in 2005 and extended in 2009. The "**Joint Initiative for Research and Innovation**" focuses on the major science and research organizations which are co-financed by the Federal Government and the Länder (Helmholtz Association (HGF), Max Planck Society (MPG), Fraunhofer Society (FhG), Leibniz Science Association (Gottfried Wilhelm Leibniz Science Association, WGL), and the German Research Association (DFG) - the initiative provides them with increasing funding. While under the umbrella of this joint initiative SSH relevant research is supported, systematic data on SSH research funding is not available. The Leibniz Association stated that about 30% of the additional resources (about €7 million) received were used to fund an internal competition. In 2006 31% of the projects recommend for funding were in the area of SSH. In 2007 and 2008 the share grew to 39%.

The second major action is the "**Initiative for Excellence**" promoting excellent university research. Within this initiative, SSH activities are also supported. In 2006 and 2007, 39 Graduate Schools and 37 Clusters of Excellence were selected in total. 11 Graduate Schools are focusing on SSH. They receive about €629 million or 28% of the total funding. Another six Graduate Schools are at least partly pursuing SSH research. Among the Clusters of Excellence six have their major focus on SSH, receiving €198.2 million, or 16.8%, of the total funding. For another seven clusters, SSH is at least partly relevant (see also Sondermann et al. 2008). In 2009 the continuation of this programme was also agreed upon. The total funding until 2017 will be 2.723 billion Euros of which 75% will be provided by the state and 25% by the respective Länder. The second programme phase of the Initiative was adjusted somewhat to take into account the specific needs of SSH research, i.e. application for more variable amounts of funding will be possible.

The year 2007 was declared the "**The Year of Humanities**" within the BMBF initiated series of "Science Years". The BMBF launched the support initiative "Space for the Humanities" ("Freiraum für die Geisteswissenschaften") which aimed at strengthening the German humanities by initiating international research groups, thematically oriented support measures at the interfaces between the humanities and natural sciences, and the establishment and expansion of projects involving young scholars and researchers.

## 2. Policy Setting System

### 2.1 Government policy making and coordination

#### 2.1.1 Policy formulation and coordination

In Germany federal R&D policy is mainly made by the Federal Ministry of Education and Research (BMBF). Due to the federal structure and shared competencies for public institutions and universities, the Länder are equally involved in policy making and coordination. This is also the case for SSH research. Implications for the distribution of competencies – in the area of education and research – between the federal government and the Länder result from the Federalism Reform, which was approved in October 2006. According to the new model of cooperation, the tasks of the BMBF include research promotion and support for non-university institutions (together with the Länder) as well as university funding measures of supra-regional importance. While the main responsibility for education remains with the Länder, the BMBF and the Länder ensure the improvement of the education and science system in cooperation by “Determining the Performance of the German Education System in Comparison with Other Countries”, “Reporting on Education” and “Joint Recommendations”. The BMBF especially engages in educational research.

A highly significant actor is thus the Joint Science Conference which was founded in June 2007, following the agreements of the Federalism Reform. According to the agreement between the Federal Government and the Länder, the joint science conference “shall deal with all questions of research funding, science and research policy strategies and the science system which jointly affect the Federal Government and the Länder”. Members of the Joint Science Conference are the Ministers and Senators of the Federal Government and Länder responsible for science and research as well as for finance. The tasks of the Joint Science Conference are defined as follows:

- close coordination on questions of common interest in the field of national, European and international science and research policy with the aim of strengthening Germany’s position as a location for science and research in the international competition;
- in cases of supra-regional importance joint promotion of
  - institutions and projects in the field of non-university scientific research,
  - scientific and research projects at institutions of higher education,
  - the construction of research buildings at institutions of higher education, including large facilities, in accordance with the detailed definition of this Agreement;
- members shall inform each other of major plans and decisions which are not the object of joint funding.

#### 2.1.2 SSH policy Advice

Quite a number of permanent and formal institutions provide policy advice. In addition, temporarily set-up commissions focusing on specific topics are set up. The following are specifically relevant:

The **Wissenschaftsrat** (German Council of Science and Humanities) is an advisory body to the Federal Government and the Länder. Its function is to draw up recommendations on the development of science, of research and of the university sector as well as to contribute to the safeguarding of the international competitiveness of German science and humanities in the national and European system. These recommendations involve considerations concerning quantitative and financial effects and the implementation of such considerations; they must be in line with the requirements of social, cultural and economic life. The main task of the Wissenschaftsrat is to provide recommendations which concern the further development (content-wise and structural) of science, research and higher education. In particular it provides recommendations and statements concerning the following issues of science policy:

- overarching issues of the science system such as selected structural aspects of research and teaching; and planning, evaluation and control of individual areas and disciplines; and on
- scientific institutions (institutions of the higher education sector and non-university research institutions), in particular concerning their structure and performance, development and financing, and general questions relating to the system of higher education, selected structural aspects of research and teaching as well as the strategic planning and assessment of specific fields and disciplines.

The Wissenschaftsrat also facilitates a continuous dialogue between the scientific community and policy-makers on these issues.

In addition, there are several bodies providing science policy advice for SSH. The most important are the following:

The German **Council of Economic Experts** established in 1963, is an academic body which advises the German Government and Parliament on economic policy issues and the overall economic developments. The Council's task is to analyse the current economic situation and its potential development and to investigate options and means of concurrently ensuring - within the framework of the free market economy - price stability, high employment, external equilibrium, plus steady and adequate economic growth. In line with its legal mandate, the Council compiles and publishes an Annual Report.

The **Commission of Experts for Research and Innovation**, established in 2006, provides scientific advice to the federal government on matters of research, innovation and technology policy, based on an interdisciplinary discourse combining expertise on research of innovation of economic and social sciences, education economics, engineering and natural sciences, and technology foresight. The Commission provides reports on structures, trends, performance and prospects of the German research and innovation system in a temporal and international comparison and examines priority issues of the German research and innovation system. It elaborates possible options for action and recommendations for further development of the German research and innovation system.

The **Council for Social and Economic Data** (RatSWD) provides advice on the development of the German data infrastructure for empirical research in the social and economic sciences. This includes better access to microdata and improving data quality, as well as jointly developing long-term data surveys with official government (official statistical offices, social insurance institutions, government research units, etc.) and non-governmental institutions (universities and non-university research institutes, e.g., Leibniz Society institutions).

Another relevant body providing advice is the **Ethics Council** which was established in 2007 by the German Parliament. The main tasks of the Council are to inform the

public and encourage public discussion on issues of ethics relating to society, science, medicine and law and the consequences that may arise for the individual and society as a result of research and development, in particular in the field of the life sciences and their application to humanity. The Council prepares opinions and recommendations for political and legislative action. In order to do so, the Council co-operates with respective institutions in other countries or international organizations.

The **Council for Sustainable Development** was established by the German Government in 2001 and its mandate was renewed in 2007. The Council advises the government on its policy for sustainable development. It presents proposals for targets and indicators aiming at an advancement of the strategy of sustainable development. It also proposes projects aiming to implement the strategy. The Council also fosters social dialogue on issues of sustainability.

Germany or German representatives, often also SSH researchers, are participating in a wide range of international organisations, agencies and bodies providing policy advice. The discussions there are also taken up and transmitted to the relevant bodies in Germany. As an example here the OECD Working Group on Innovation and Technology Policy (TIP) could be mentioned, which was established by the OECD Committee for Scientific and Technological Policy (CSTP) in March 1993. TIP brings national representatives together and the objective is to conduct analytical research on the links between innovation and growth, including productivity and job creation, and to evaluate national science and technology support systems in order to facilitate benchmarking and the identification of best practice policies. TIP reports the results gained and provides policy recommendations to the CSTP, where the information and best practices in order to improve S&T policy making at the national level are exchanged and discussed between Member countries. Similar bodies exist on other issues and other organisations.

Another example reflecting the way SSH provides policy advice are the activities of the **Office of Technology Assessment at the German Parliament (TAB)**. The main objective of the TAB, which was created in 1990, is to improve the information base for the deliberations and the decision-making processes of the German Bundestag relating to research and technology. TAB is an independent scientific institution which is operated by the Institute for Technology Assessment and Systems Analysis (ITAS) and the Fraunhofer Institute for Systems and Innovation Research (ISI) both based in Karlsruhe. Its main focus is on technology assessment (TA), supplemented by monitoring and analysing important scientific and technological as well as associated social trends and developments. Meanwhile technology foresight, the analysis of innovation developments and international policies, complement these activities and are reflected in the institute's various reports. Suggestions for projects can be submitted by the various parliamentary political groups. TAB informs the German Parliament and its committees, commissioned by the Committee on Education, Research and Technology Assessment, which also decides on which projects are to be realised by TAB. Projects are commissioned by TAB but, can be carried out also by other institutions. Suggestions for projects can be submitted by the various parliamentary political groups. The findings of the various projects are presented to and discussed by the Committee on Education, Research and Technology Assessment and primarily made available via TAB working reports.

Eight foundations (Stiftung Mercator, Volkswagen Stiftung, Bertelsmann Stiftung, Freudenberg Stiftung, Gemeinnützige Hertie-Stiftung, Körber-Stiftung, Vodafone Stiftung and ZEIT-Stiftung Ebelin und Gerd Bucerius) initiated the **Expert Council for Integration and Migration**, which was founded in October 2008. The main tasks of the Council are to critically monitor, analyse and assess recent developments in the area of integration and migration and to critically accompany relevant policy

making and also provide neutral advice. The Council will publish annual reports, expertise and recommendations. Its budget for the next three years is €1.7 million.

The **Stifterverband** is the business community's innovation agency for the German science system. It represents 3.000 companies, business associations and individuals and is privately funded. The main objective is to support research and higher education and by doing so to improve the quality of the science system. The Stifterverband aims at improving the framework conditions for science as such but does not support individual projects. It advocates reforms in the science system by identifying their innovative potential and demonstrating related effects in applied projects. New ideas are made public through recommendations and guidelines. The Stifterverband promotes collaboration between universities and non-academic research institutions as well as science and industry. It also supports the creation of a single European education and research area and by capitalising on the expertise of its multinational member companies, fosters German universities in developing a stronger international orientation. The Stifterverband initiates discussions between science, industry and politics. For instance in its 'Villa Hügel Talks', a long-standing discussion forum for decision-makers from the scientific, business and political communities, the Stifterverband picks up current societal and science oriented topics. Many of these discussions influenced and influence political decision-making processes and supply ideas for its support programmes.

Another important policy instrument is provided by foresight activities, which have a rather long tradition in Germany. The BMBF initiated its first foresight activities in 1991, resulting in the Delphi report, 1996 or the 'Futur dialogue'. In September 2007 a new foresight initiative, focusing on the next 10 to 15 years, was started, aiming at the identification of new key areas in research and technology, areas for cross-cutting activities in the field of research and innovation, fields of technology and innovation with regard to their potential for strategic partnerships and priority fields of action for research and development. The recent process integrates various foresight methods ranging from desk research, policy analysis and bibliometric analysis to participative elements such as intensive expert discourse. The process is accompanied by a monitoring process. To disseminate results and to gain expert knowledge workshops and conferences were and will be held. Questions dealt with are: How can an existing innovation system quickly and effectively take on future topics with a time horizon of "10 to 15 years + X"? How do institutions or companies in other countries deal with future topics which do not fit in with traditional topic areas or which border on other topic areas? This reflects that the process is not only technology driven but also takes into account issues that are dealt with by SSH research such as identifying adequate structures of the science and innovation system and implementing decision making issues. The final conference devoted to disseminate the results took place in June 2009.

### *2.1.3 Main implementing bodies*

One of the main bodies implementing SSH research is the German Research Foundation (DFG). A significant share of the funding provided by the federal government (approx. 11 % of the federal budget spent on R&D) (cf. BMBF 2008, own calculations) and the Länder is distributed by the DFG. 58% of the budget of the DFG is provided by the federal government while 42% comes from the Länder. The DFG is the central, self-governing research funding organisation that promotes research in all disciplines at universities and other publicly financed research institutions in Germany. The DFG funding volume for SSH increased from €189.4 million in 2004 to €353.8 million in 2008. As a share, the funding for SSH research remained constant over the years with about 15 % of the total funding budget.

In general, publicly funded research programmes are administered and managed by project management agencies (Projekträger). These agencies are located within Helmholtz Centres or other scientifically qualified institutions. One of the agencies responsible for SSH, is located in the German Aerospace Center (PT-DLR). This agency is responsible for a number of programmes initiated by the BMBF and BMWi but also other ministries e.g. Ministry of Health. With respect to SSH PT-DLR manages programmes in the following areas:

- Education research incl. gender mainstreaming,
- Humanities,
- Health research,
- Development of work structures and services,
- Structural innovation,
- Environmental, culture, sustainability,
- New media in the economy.

As to SSH, in 2008 altogether 306 projects amounting to a total of €34.8 million were supported by the DLR. In 2008 the DLR also implemented a working force group on Empirical Educational Research, following the Framework Programme for the Promotion of Empirical Educational Research which the BMBF launched in 2007. The VDI/VDE is another relevant project management agency in SSH being responsible for the area innovation and technology analysis (ITA)

For advice concerning EU programmes, national contact points are important bodies. The National Contact Point for SSH, which is commissioned by the BMBF, is also located in the German Aerospace Centre.

## 2.2 Impacting factors

### 2.2.1 Policy fields influencing SSH policies

While the BMBF is the main actor in SSH policy setting other ministries are involved as well; several maintain own SSH related research institutions and commission SSH related research tackling issues in the realm of the ministry they are attached to. They are brought together in the association of governmental research institutions. Governmental research institutions provide advice for policy making in their area of expertise. They take up recent societal, scientific and economic problems and provide recommendations for governmental actions. In 2008 the federal government spent in total € 11.155.6 million on R&D.

While the BMBF provides most of the resources also other actors contribute to the overall R&D spending. The table below lists institutions also providing resources on SSH, however, specific data on how much of those budgets are spent on SSH is not available:

	R&D expenditure 2008 (in million €)
<b>Federal Ministry of Labour and Social Affairs</b>	37.6
<b>Federal Foreign Office</b>	151.6
<b>Federal Ministry of the Interior</b>	48.8
<b>Federal Ministry for Family, Senior Citizens, Women</b>	19.8

<b>and Youth</b>	
<b>Federal Ministry for Health</b>	127.0
<b>Federal Ministry of Transport, Building and Urban Affairs</b>	200.6
<b>Federal Ministry for Education and Research</b>	6.468.7
<b>Federal Ministry for Economic Cooperation and Development</b>	29.5
<b>Federal Ministry of Defence</b>	1.242.5
<b>Federal Ministry for Economics and Technology</b>	2.159.1

Source: [http://www.bmbf.de/pub/bufi\\_2008.pdf](http://www.bmbf.de/pub/bufi_2008.pdf), p. 498.

Among the other policy areas influencing SSH, the most relevant is the area of labour and social affairs, represented by the Federal Ministry of Labour and Social Affairs (BMAS). Its main focus is on social integration and the basic conditions for employment. It maintains the Federal Institute for Occupational Safety and Health, and the Institute for Employment Research of the Federal Employment Services. Research commissioned in this area concerns all issues relevant for labour market policies, social security systems, retirement provision, social integration and, professional and medical rehabilitation.

Other ministries also maintain research institutions relevant for SSH and thus impacting on SSH research. The relevant domains and institutions are:

- The Federal Ministry for Economics and Technology (BMWt): While its main focus is on supporting innovation and technology. SSH related activities in particular concern research focusing on issues relating to shaping framework conditions to improve the climate for investment and consumption in order to improve the demand for new products and services (e.g. tax system, reduced bureaucracy, innovation in public procurement, innovation supporting norms and standards, IPR policies) as well as issues concerning optimising relationships between industry and research.
- The Federal Foreign Office (AA) is responsible for maintaining relations with other states and with international and supranational organisations. It maintains the German Archeological Institute which carries out research in the area of archaeology and in related fields. In 2005 its R&D Budget amounted € 125.1 million.
- The Federal Ministry of the Interior (BMI) is responsible for a broad range of tasks extending from internal security, policy on foreigners and asylum, the public service, administrative reform and constitutional law to sport. It maintains the federal Institute for Population.
- The Federal Ministry for Family, Senior Citizens, Women and Youth (BMFSFJ) is responsible for all issues relating to the promotion of families and represents family interests in the federal government. The German Youth Institute (DJI), the German Centre of Gerontology and the Institute for Social Work and Education belong to its portfolio.
- The Federal Ministry for Health (BMG) focuses predominantly on the drafting of bills, ordinances and administrative regulations. It seeks to improve the population's health. Departmental research is organized at the National Centre for Health Awareness.

- The areas of responsibility of the Federal Ministry of Transport, Building and Urban Affairs (BMVBS) are closely related to the basic requirements of citizens. SSH relevant research is done in the federal Office for Building and Regional Planning.
- Also the Federal Ministry for Education and Research (BMBF) being responsible for research promotion, regulation of general policy in the higher education sector, promotion of basic research and key technologies, maintains a governmental research institute: The Federal Institute for Vocational Training focuses on issues of education.
- The Federal Ministry for Economic Co-operation and Development (BMZ) aims at contributing to resolve crises and conflicts in a peaceful manner. It aims to help ensure that scarce resources are more equitably shared, that the environment is preserved for coming generations and to reduce global poverty. It maintains the German Development Institute.
- Under the auspice of the Federal Ministry of Defence (<http://www.bmvg.de>) the Bundeswehr Institute of Social Sciences is maintained, which carries out research on various military issues e.g. the introduction of business management elements into the Bundeswehr, multinational force structures and military integration or recruitment strategies. It also performs research that accompanies the Bundeswehr missions abroad.
- The Federal Government's Commissioner for Culture and Media Affairs (BKM) is responsible for the promotion of cultural facilities and projects which are of national and collective importance. Activities focus on the further development of the general conditions for art and culture. The federal Institute for Culture and History of the Germans in Eastern Europe is maintained under its auspices (see also section 4.2).

## 2.2.2 Influence of European Developments

European debates heavily influence national SSH policy making. This, of course, relates in particular to the Bologna process, which led to a restructuring of the German higher educational sector and the introduction of the bachelor and masters degrees replacing the traditional German degrees of diploma and magister. Currently, 75% of all curricula at German universities are bachelor and masters curricula. In the universities of applied sciences, the transformation is far advanced with 94% being in line with the new BA/MA system. Another effect is the increasing importance of structured programmes for PhD training. While there is a heated debate on the success of the reform, not only in the academic circles but prominently covered also in the media, this debate as well as the results of the OECD-led PISA studies, led already to a stronger focus on educational research. Thus, in 2007 a new funding programme was initiated by the BMBF focussing on educational research.

Internationalisation of research - not only focussing on ERA - is another relevant issue that is being discussed and dealt with in SSH research. The BMBF consequently developed an internationalisation strategy in order to lay the ground for improving international research collaboration with scientifically leading countries and to make use of potential for innovation internationally. While collaboration with developing countries is also in the focus of the strategy, it is not addressing particular disciplines.

*2.2.3 Relevance of European SSH research*

This section outlines the participation of German researchers and institutions in SSH relevant activities in the EU's Framework Programmes. Unfortunately, systematic data for FP4 is not available. In FP5 German researchers from 88 different institutions, the majority being universities participated in 131 SSH relevant projects, 35 of which were co-ordinated by German institutions.

In FP6 SSH related research was primarily carried out under Priority 7 - "Citizens and Governance in a Knowledge-based Society", which contained eight different research areas. German institutions participated in all eight areas.

<b>Area</b>	<b>No. of projects</b>
<b>Improving the generation, distribution &amp; use of knowledge &amp; its impact on economic &amp; social development</b>	25
<b>Options and choices for the development of a knowledge-based society</b>	36
<b>The variety of paths towards a knowledge society</b>	12
<b>The implications of European integration and enlargement for governance and the citizen</b>	30
<b>Articulation of areas of responsibility and new forms of governance</b>	27
<b>Issues connected with the resolution of conflicts and restoration of peace and justice</b>	19
<b>New forms of citizenship and cultural identities</b>	29
<b>Actions to promote the ERA in SSH</b>	20

Source: Data provided by DG Research

Also relevant was research carried out under Priority 8 – “Scientific Support to Policies” and the two thematic areas funded under this priority.

<b>Area</b>	<b>No. of projects</b>
<b>Providing health, security and opportunity to the people of Europe</b>	10
<b>Underpinning the economic potential and cohesion of a larger and more integrated European Union</b>	10

Source: Data provided by DG Research

In FP7, SSH research is supported in the Cooperation programme under the key thematic area “Socio-economic sciences and the humanities”. Within this area to date 66 German institutions participate in 45 projects (Source: Data provided by DLR based on the EU-Commissions data base on grant agreements signed between 2007 and 2009).

Currently German researchers participate in eight ERA-Nets in SSH. These are:

- EURYI European Young Investigators Awards  
Coordination: European Science Foundation – France  
German participants: Deutsche Forschungsgemeinschaft (DFG); Max-Planck-Gesellschaft (MPG); Hermann von Helmholtz-Gemeinschaft Deutscher Forschungszentren (HGF); Union der deutschen Akademien der Wissenschaften
- FORSOCIETY-Foresight and Society,  
Coordination: General Secretariat for Research and Technology / Greek Research and Technology Network – Greece  
German participants: BMBF; Institute for Organisational Communication (IFOK)
- NORFACE-New Opportunities for Research Funding Co-operation in Europe - A Strategy for Social Sciences  
Coordination: Academy of Finland – Finland  
German participant: DFG
- WORK-IN-NET-Labour and Innovation: Work-oriented Innovations – A Key to Better Employment, Cohesion and Competitiveness in a Knowledge-intensive Society  
German participants: Project Management Organisation in the DLR (Co-ordination); Ministry of Labour, Health and Social Affairs of the Land North Rhine Westphalia; G.I.B. - Gesellschaft für Innovative Beschäftigungsförderung;
- ERA-SAGE-European Research Area on Societal Aspects of Genomics,  
Coordination: Netherlands Genomics Initiative – Netherlands,  
German participants: BMBF, Project Management Organisation in the DLR
- HERA-Humanities in the European Research Area,  
Coordination: Netherlands Organisation for Scientific Research (NWO) – Netherlands  
German participant: BMBF (associated member)
- NEW OSH ERA-New and Emerging Risks in Occupational Safety and Health (OSH) - Anticipating and Dealing with Change in the Workplace through Coordination of OSH Risk Research,  
Coordination: Finnish Institute of Occupational Health – Finland  
German participants: Federal Institute for Occupational Safety and Health, Project Management Organisation in the DLR; BMBF; BMWi; Hauptverband der gewerblichen Berufsgenossenschaften
- URBAN-NET-coordination of the funding of urban research in Europe,  
Coordination: Scotland and Northern Ireland Forum for Environmental Research – UK  
German participants TÜV Rheinland Consulting GmbH
- CO-REACH-co-ordination of research between Europe and China,  
Coordination: KNAW Royal Netherlands Academy of Arts and Sciences  
German partners: DLR, BMBF, DFG  
German participation in the field of Humanities: BMBF WTZ (Wissenschaftlich-Technologische Zusammenarbeit); DFG (Agreement on Scientific Cooperation); CSC Helmholtz Exchange Programm, Alexander von Humboldt Foundation;  
German Environmental Foundation

Also relevant is the cross-sectional ERA-Net AERTOS-Associated European Research and Technology Organisations, which is co-ordinated by the Fraunhofer-Gesellschaft and where the BMBF is another German participant.

Germany further participates in COST (European Cooperation in Science and Technology) actions. Relevant for the SSH is the subfield "Individuals, Societies,

Cultures and Health" (ISCH). In general Germany participates in the majority of all actions run under the COST framework (COST 2009: Annual report 2008, p. 63)

Germany is also participating in the funding schemes of the European Research Council (ERC). In the ERC Starting Grant 2007 call 19% (8/41) of all Starting Grants in the SSH were granted to German nationals and 17% (5/30) of the grant recipients hosted at a research institution in Germany were from the SSH. In the 2009 call 21% (6/28) of the grant recipients hosted in Germany were from the SSH. The overall share of Germany-hosted projects among the 51 SSH-StG-projects is 12% (6). As to the ERC Advanced Grant 2008 call, 19% (5/27) of the grant recipients working at German host institutions were from the SSH. This sums up to a share of 10% of all 48 SSH-Grants. (Source: ERC)

German researchers are involved in nine **Networks of Excellence** in the area of SSH, six of them are co-ordinated by German institutions. The nine NoEs are:

- Title: Wider Europe, deeper integration? "Constructing Europe" network (EU-Consent)  
Funding period: 2005-2009  
German participants: Forschungsinstitut für politische Wissenschaft der Universität zu Köln Universität Potsdam; Institut für europäische Politik; Zentrum für europäische Wirtschaftsforschung; Max Planck Institut für ausländisches öffentliches Recht und Völkerrecht; Universität Duisburg-Essen
- Title: Economic and Technological Intelligence in the field of Surface Technologies (ECTIST)  
Funding period: 2004-2007  
German participants: Investitions- und Förderbank Niedersachsen (Coordination)
- Title: Network of Excellence Professional Learning (Prolearn)  
Funding period: 2004-2007  
German participants: Gottfried Wilhelm Leibniz Universität Hannover; Learning Lab Lower Saxony (L3S) (Coordination); Rheinisch-Westfälische Technische Hochschule Aachen; deutsches Forschungszentrum für künstliche Intelligenz; Fraunhofer Gesellschaft; IMC Information Multimedia Communication AG
- Title: Efficient And Democratic Governance In A Multi-Level Europe (CONNEX)  
Funding period: 2004-2008  
German participants: Universität Mannheim; Mannheimer Zentrum für europäische Sozialforschung(Coordination); Fernuniversität Hagen; Technische Universität Darmstadt; Universität Konstanz
- Title: Joint network on European private law (COPECL)  
Funding period: 2005-2009  
German participants: Universität Bielefeld, Fakultät für Rechtswissenschaften (Coordination); Europäische Rechtsakademie Trier; Universität Osnabrück; Max-Planck-Gesellschaft
- Title: Development of environmental performance indicators for ict products on the example of personal computers (EPIC-ICT)  
Funding period: 2004-2006  
German participants: Universität Stuttgart, Institut für Kunststoffprüfung und Kunststoffkunde (Coordination); PE EUROPE; MOTOROLA GMBH
- Title: International Migration, Integration and Social Cohesion in Europe (IMISCOE)  
Funding period: 2004-2009  
German participants: Universität Osnabrück; Universität Bamberg, Europäisches Forum für Migrationsstudien

- Title: Policies For Research and Innovation in the Move towards the European Research Area (PRIME)  
Funding period: 2004-2008  
German participants: Universität Bielefeld; Fraunhofer Gesellschaft
- Dynamics of Institutions and Markets in Europe (DIME)  
Funding period: 2005-2010  
German participants: Max Planck Gesellschaft; Christian Albrechts Universität zu Kiel; Fraunhofer Gesellschaft

To date impact assessments concerning European developments on national SSH do not exist.

## 2.2.4 Impact of evaluations

After years of incremental changes, the German public research system now faces radical reforms. In this context evaluation becomes increasingly important (Forschergruppe "Governance der Forschung", 2007, p. 28).

Evaluation is carried out at three different levels: evaluation of individual performance, which is mainly organized as peer review processes and used to decide on resource allocations; e.g. in the DFG this is the preferred instrument for funding decisions no matter which area is concerned. Programme evaluation is becoming increasingly important and is used to assess whether the objectives defined for a programme have been accomplished. Institutional evaluation is used to assess the performance of research institutions and large scientific areas in order to provide information for strategic decision making within the institutions and regarding relevant funding bodies, to provide a basis to decide whether and how to continue supporting the institutions or scientific areas and to facilitate priority setting. For institutional evaluation and assessments of large scientific areas the German Council for Science and Humanities is a relevant actor.<sup>2</sup> Its evaluation committee carries out evaluations of scientific establishments at the request of the federal government and the Länder. Quite recently (2006) an assessment of the humanities as such and in particular the six humanities research centres was published providing recommendations concerning the development and advancement of the humanities. The Council challenges the universities to increasingly develop concepts for portfolios in the humanities also taking into account the necessity to base the humanities in an interdisciplinary research environment. As the humanities are also facing the recent changes in the governance system, which includes the introduction of performance based funding, the humanities are asked to contribute to the development of adequate methods and indicators for assessing performance.

To support universities and non-university research institutions in their strategic decision making by taking into account subject-specific performance profiles, the Council developed a methodology for rating research which was tested in a pilot exercise for the subjects chemistry and sociology. So far the aim has been to test the feasibility and usefulness of the research rating process across a range of methodically diverse subjects. The methodology is based on informed peer review drawing upon an extensive analysis of quantitative and qualitative data. Criteria and data are defined in a discipline-specific manner by experts from the individual fields

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<sup>2</sup> Stefan Kuhlmann (2009): Evaluation von Forschungs- und Innovationspolitik in Deutschland – Stand und Perspektiven. In: Thomas Widmer, Wolfgang Beywl, Carlo Fabian (eds.) (2009): Evaluation. Ein systematisches Handbuch. VS Verlag für Sozialwissenschaften. Wiesbaden. p. 283-294

of research. Research quality is assessed at the level of research units, making it possible to make transparent differences in research quality within individual institutions. The institutions are assessed by six different criteria which are not aggregated to an overall result. Thereby, the assessments reflect the institutions' different profiles and missions. For the first time, universities and non-university research institutions in Germany are evaluated in a single, comprehensive exercise. In the result of the so far performed pilot exercises it was concluded by the steering group, that the research rating system developed by the German Council of Science and Humanities can, due to its unique characteristics, perform a number of functions that can not be fulfilled satisfactorily by existing procedures. Consequently it is scheduled to extend research rating to two more subjects, among them one from the humanities, in order to further improve its methodology.

The number of institutional evaluations is increasing. Again, the German Council for Science and Humanities is the relevant actor. Since 2001 the Council has conducted 31 evaluations of non-university institutes, among them the assessment of the Governmental research agencies including those institutes focusing on SSH. Quite recently, in January 2008, the recommendations on the German Archaeological Institute (DAI) Berlin, were published. In spring 2010 the Wissenschaftsrat will publish criteria for an interdisciplinary rating of SSH research.

The following evaluations with relevance to SSH were carried out by the Council:

- Deutsches Literaturarchiv, July 2007
- Zentrums für Zeithistorische Forschung Potsdam (ZZF), July 2006
- Stiftung Weimarer Klassik und Kunstsammlungen (SWKK), November 2005
- Bundesinstitut für Berufsbildung (BIBB), Bonn, November 2005
- Hessischen Stiftung Friedens- und Konfliktforschung (HSFK), Frankfurt am Main, Mai 2005
- Akademie für Technikfolgenabschätzung, Baden-Württemberg, July 2002
- Deutschen Forum für Kunstgeschichte, Paris, Juli 2004
- Zentrum für Kunst und Medientechnologie Karlsruhe, Juli 2003
- Institut für Friedensforschung und Sicherheitspolitik (IFSH) an der Universität Hamburg, Mai 2002
- Kulturwissenschaftlichen Institut (KWI), Essen, im Wissenschaftszentrum Nordrhein-Westfalen, Mai 2002
- Institut Arbeit und Technik (IAT), Gelsenkirchen, im Wissenschaftszentrum Nordrhein-Westfalen, Mai 2002
- Stärkung wirtschaftswissenschaftlicher Forschung an den Hochschulen, November 2002 (subject-related evaluation).

At present additional evaluations are being performed by the Council. Those with relevance for the SSH are the evaluation of the Institut for European History (IEG), Mainz and the Georg-Eckert-Instituts für internationale Schulbuchforschung (GEI), Braunschweig, the assessment of the Infrastructure for SSH research, the Evaluation of the socio-economic panel (SOEP) and Evaluation of the Council for Social and Economic Data (RatSWD).

As in other countries, in Germany rankings of institutions are compiled and published which attract significant attention in the media. Among the most well known are the CHE Research Ranking and the DFG Funding Ranking.

## CHE Research Ranking:

- Scope: academic research, currently covering of 16 subjects from natural sciences, humanities and social sciences
- Aim: to make performance in academic university-based research transparent throughout Germany; to classify universities that are strong in specific areas of research under disciplinary subject headings; to provide overviews on research profile of the respective university.
- Nature: quantitative analysis, standardized surveys, bibliometric analysis, patent analysis,
- Time Frame: one year
- Frequency: annual, 4-year assessment per subject
- Key results and policy recommendation: indirect

## DFG Funding Ranking

- Scope: universities and non-university research institutions in all disciplines, comparative, profiling.
- Aim: to provide an overview of the distribution of awards to universities and non-university research institutions.
- Nature: quantitative data on public funding
- Time Frame: three years
- Frequency: every 3 years
- Key results and policy recommendation: indirect

At the Länder level, another important actor in research evaluation is the **Scientific Commission for Lower Saxony**. It carries out evaluations of research institutions and universities or university departments in Lower Saxony. Based on these evaluations advice is provided to the Research Ministry in Lower Saxony concerning the further development of the structure of the science system in Lower Saxony but also to the universities in the context of university internal evaluations.

- Scope: diverse SSH fields
- Aim: evaluation-based policy advice for the research ministry of Lower Saxony
- Nature: descriptive part plus quantitative statistics, site visits
- Time Frame: case related
- Frequency: case related
- Key results and policy recommendation: direct policy advice

The **Leibniz Association (WGL)** regularly carries out systematic evaluations of their institutions. This includes the evaluation of their SSH institutes.

The following SSH institutes were evaluated during recent years. The reports are available via the WGL homepage.

- ifo Institut für Wirtschaftsforschung an der Universität München (ifo); 2009
- GESIS - Leibniz-Institut für Sozialwissenschaften; GESIS, 2008
- Leibniz-Institut für Altersforschung - Fritz-Lipmann-Institut e. V. (FLI), 2008
- Leibniz-Institut für Globale und Regionale Studien (GIGA), 2008
- Akademie für Raumforschung und Landesplanung (ARL); 2008

- Leibniz-Institut für Länderkunde (IfL), 2008
- Germanisches Nationalmuseum (GNM), 2008
- Deutsches Forschungsinstitut für öffentliche Verwaltung Speyer (FÖV), 2007
- Institut für Wirtschaftsforschung Halle (IWH), 2007
- Institut für Zeitgeschichte (IfZ), 2007
- Römisch-Germanisches Zentralmuseum (RGZM), 2007
- Institut für Wissensmedien (IWM), 2006
- Rheinisch-Westfälisches Institut für Wirtschaftsforschung (RWI), 2006
- Institut für Weltwirtschaft (IfW), 2005
- Deutsches Institut für Wirtschaftsforschung (DIW), 2005
- Deutsches Institut für Erwachsenenbildung (DIE), 2005
- Hamburgisches Welt-Wirtschafts-Archiv (HWWA), 2005
- Wissenschaftszentrum Berlin für Sozialforschung (WZB), 2004
- Deutsches Institut für Internationale Pädagogische Forschung (DIPF), 2004

Scope: WGL Institutes

Nature: external, quantitative statistics, informed peer review and site visits, international peers; self assessment

Time Frame: three years or period since last evaluation

Frequency: every 7th year

Key results and policy recommendation: internal quality assurance; strategic orientation and decision on further funding

More generally, even though the relevance of evaluation is increasing and a dynamic development of new methods and instruments can be observed, evaluation activities are still not systematic and are rather fragmented (Kuhlmann 2009).

Specifically devoted to the SSH are the discussions concerning the need for better methods and indicators to assess SSH research activities. Acceleration of the discussion can be seen since the Science Year of the Humanities in 2007. There are a number of questions discussed predominantly within academic circles, but the issue of measuring the 'performance' of the universities, and particular disciplines is also reflected in the media. The main questions centre on adequate indicators for SSH research performance and the consequences if standard indicators are used and taken as a basis for funding decisions. Meanwhile a number of initiatives can be identified at EU-level such as the European Educational Quality Indicator Project (EERQI), a collaborative research project which started in April 2008 and which is getting €1.5 million under FP7. The assumed Impact of the European Reference Index for the Humanities (ERIH) on SSH Quality Assessment is debated in Germany as well. ERIH was developed within a network of European funding organisations as well as the European Science Foundation.

## 2.3 Important policy documents

### SSH specific documents

- BMBF 2007: Freedom for research in the humanities
- Wissenschaftsrat (2007): Empfehlungen zur Entwicklung und Förderung der Geisteswissenschaften in Deutschland. (Recommendations on the development of and support for the humanities)
- Wissenschaftsrat (2004): Stellungnahme zum Akademienprogramm. (Recommendations on the Establishment of a National Academy):

### Further important documents

- Bund-Länder-Agreement on the excellence initiative of the Federal and the Länder governments on supporting science and research at German universities.
- Higher education pact 2020.
- New Impulses for Innovation and Growth. 6 billion Euro programme for Research and Development.
- Wissenschaftsrat (2006) Empfehlungen zur Künftigen Rolle der Universitäten im Wissenschaftssystem. (Report on the Role of Universities in the Future.)
- Ebcinoglu, F.; et al. (2008 and 2009): Bildung und Qualifikation als Grundlage der technologischen Leistungsfähigkeit Deutschlands. (Education and qualification as a basic requirement for Germany's technological performance).

## 2.4 Thematic priorities at national level

Currently the BMBF, the major actor in funding SSH research, supports SSH with direct SSH-research funding in seven key areas.

- Social-ecological Research,
- Economics for Sustainability
- Developing a Modern Data Infrastructure for Internationally Competitive Research,
- Reporting System on Work and Lifestyles,
- Research on the relationship between science, politics and society,
- Freedom for Research in the Humanities,
- International Cooperation in the Social Sciences and the Humanities

### Social-ecological Research

Bringing together knowledge from the various disciplines, the objective is to provide scientific contributions to solving concrete social problems of sustainability: nutrition and agrosience, the liberalization and privatization of utilities (water, energy, waste), the shaping of emission trading systems or dealing with novel "systemic" risks (e.g. caused by the use of genetic technology or nanotechnology). Project as well as institutional funding is provided:

in million €	2000	2001	2002	2003	2004	2005	2006	2007	2008
<b>Project funding</b>	68.6	74.7	67.2	64.9	71.0	71.4	71.7	77.7	74,5
<b>Institutional funding</b>	71.0	103.7	73.3	74.1	74.3	75.0	78.9	79.2	75,1

Source: Funding database of the Federal Government.

**Economics for Sustainability**

Sustainability research concerns ecological, economic and social issues. The funding priority is developing relevant solutions for central issues of the future on the basis of the framework programme "Research for Sustainability". It aims at redirecting economic research towards questions of a policy of sustainability and, to provide sustainability research with realistic economic approaches. For the recent call, which will start in 2010 and will last for three years, €9 million will be provided.

**Developing a Modern Data Infrastructure for Internationally Competitive Research**

Social sciences and economics rely on reliable and up to date data. To improve data availability, pilot projects are supported. In 2004 the BMBF established the Council for Social and Economic Data who provides support for further developing data infrastructure to improve the competitiveness of German empirical research.

In this context also the new concept of social reporting can be mentioned, which studies changes in the relationship between work and private lifestyles against the background of social and economic developments in the Federal Republic of Germany over the last 30.

**Reporting System on Work and Lifestyles**

Social changes in the working world, which are due to economic as well as social developments, are the object of a new form of socio-economic reporting. Eight leading social science research institutes have analyzed the socio-economic development of the Federal Republic of Germany over the last three decades. The BMBF sets out to complement existing sectoral reporting systems such as the "Poverty and Wealth Report" or "Federal Health Reporting". A sophisticated database which reveals new developments with all their interactions is needed in order to take appropriate account of the diversity of work and lifestyle models and to counteract social inequality in the fields of education, work and social security. The reporting system is aimed primarily at policy-makers and administrations as well as at associations and the research community.

**Knowledge for decision-making processes - Research on the relationship between science, politics and society**

Research in the social and political sciences looks at political and social actions and identifies connections between scientific knowledge and social action. One objective is to make use of the results for research and science policy activities. The initiative aims to demonstrate the diverse relationships and interplay between knowledge, society and politics by means of corresponding research projects in order to: strengthen scientific advisory competence for research policy decisions; advance strategies to increase the efficiency and credibility of science as well as instruments and criteria for assuring the quality of scientific expertise; identify and assess internationally successful models for steering research and make them useful for national research policy; improve communication between science and the general

public; encourage a contemplative discourse on the preconditions for and ways of producing knowledge within the scientific sector.

### **Freedom for Research in the Humanities**

The humanities contribute towards shaping the future and towards our cultural memory. With this initiative the BMBF aims at enhancing the humanities from the structural point of view and providing them with more latitude to develop their strengths. It pursues the main objectives of granting researchers in the humanities more time for research by providing new forms of funding, defining the significance of research in the humanities for the academic and societal dialogue, advancing the development of new methods in the humanities and intensifying interaction with the natural and engineering sciences as well as promoting the internationalization of research in the humanities. Central elements of this funding initiative are the international collegia for research in the humanities.

### **International Cooperation in the Social Sciences and the Humanities**

Through this initiative the BMBF supports the development of international structures in the humanities. Comparative intercultural research and the protection of cultural goods are priority areas of the BMBF's funding for the social sciences and humanities in connection with international cooperation agreements. One key project in the field of cross-cultural comparative research and cultural stewardship is based on standing partnerships between German and Chinese research institutions, another on the key area of migration and societal integration.

In addition to the key areas named above, the BMBF supports cross-departmental measures on SSH themes of actual importance such as "Society and Demographic Change" and "The Social Sciences in the Social dialogue".

### **Society and Demographic Change**

Improved living conditions, peace and better social support systems have started a process of change in the age structure of the population in industrialized nations. The rise in the average age of the population is leading to changes in our everyday life and work. How is society dealing with these changes? How can we make use of the opportunities available and profit from the experience of the older generation? Health research and the production and services industries are called upon to provide solutions for the areas of initial and continuing vocational training and for redesigning our cities. The BMBF is funding measures to tackle demographic change under various research programmes. Furthermore society faces major structural changes: increasing global economic competition, reforms of the social security systems are required due to demographic developments; Germany has become an immigration country. These developments also led to fear of social decline or even to an experience of disintegration. How these trends can be prevented and what potential exists for integration in modern societies are issues which are dealt with under the heading "**Research collaboration on disintegration processes**".

### **The social sciences in the social dialogue**

The major objective of this area is to develop new interdisciplinary working contexts involving foreign guest researchers by funding research collaborations at universities and non-university research institutions and to support the humanities in providing contributions to our society's understanding of its past, present and future.

**2.5 Important research programmes**

Only limited data on funding provided for individual SSH programmes is available. It is provided in the first table. Data is limited to BMBF programmes. The second table presents programmes which are still running and which are commissioned by various funding agencies including the BMBF.

BMBF programmes in SSH

<b>Titel</b>	<b>Duration</b>	<b>Total budget (in million Euro)</b>
<b>Improvement of the database for social and economic sciences</b>	2000-2006	14.31
<b>Reporting on socio-economic trends</b>	2000-2008	3.53
<b>Societal sustainability/integration capability of modern societies</b>	2002-2006	4.86
<b>Knowledge for decision-making processes – research on the relationship between science, policy and society</b>	2001-2006	4.83
<b>Developing and safeguarding cultural heritage</b>	2000-2006	4.21

Source: BMBF: Report for the Federal Government on Research 2006.

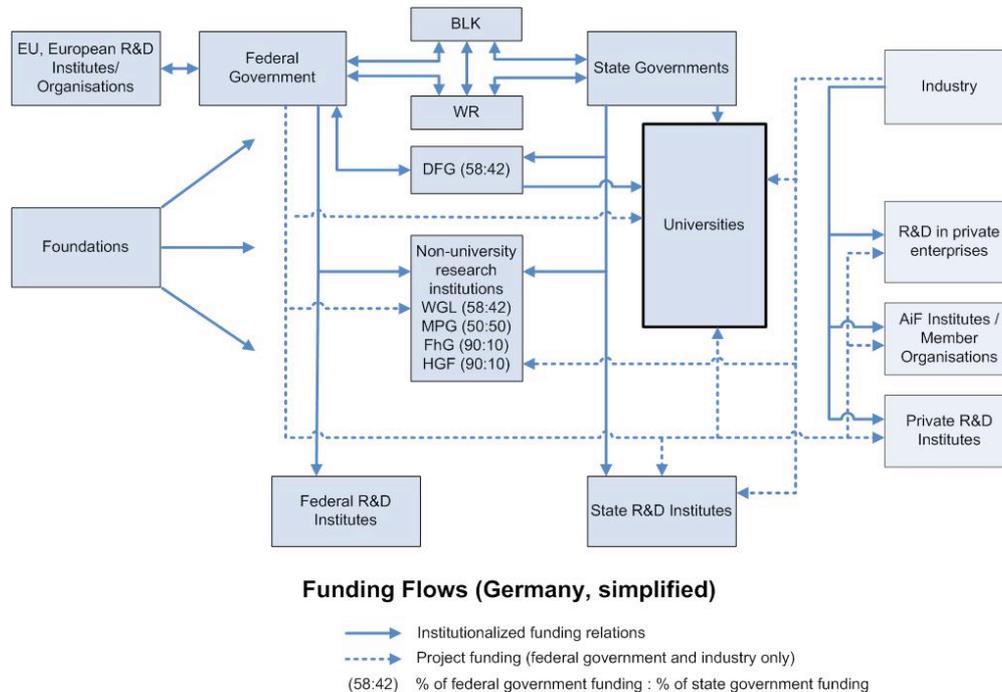
Ongoing SSH programmes by various funding agencies

<b>Titel</b>	<b>Duration</b>	<b>Issued by</b>
<b>Improvement of the database for social and economic sciences – support Council for Social and Economic Data</b>	2008-2011	BMBF (implemented by PT-DLR)
<b>Governance of research</b>	2008-	BMBF (implemented by PT-DLR)
<b>Empirical educational research</b>	2007-	BMBF (implemented by PT-DLR)
<b>International Käte-Hamburger collegia</b>	2007-	BMBF
<b>Humanities in social dialogue</b>	2005-	BMBF (implemented by PT-DLR)
<b>Societal sustainability / integration capability of modern societies</b>	1999-	BMBF (implemented by PT-DLR)
<b>Pro humanities</b>	2005-	Volkswagen-stiftung/Fritz Thyssen Stiftung

<b>Societal questions for the future</b>	2004-	Volkswagen-stiftung
<b>Key issues in the humanities</b>	2004-	Volkswagen-stiftung
<b>Public Understanding of Fragile or Conflicting Scientific Evidence</b>	2009-	DFG
<b>Digital Humanities</b>	2008-	DFG / NEH (National Endowment for the Humanities, USA)
<b>Programme Point Sud</b>	2008-	DFG
<b>German-French Funding programme for the humanities and social sciences</b>	2007-	DFG / ANR (Agence Nationale de la Recherche, FR)
<b>Open Research Area in Europe for the Social Sciences</b>	2010-	DFG / ANR (Agence Nationale de la Recherche) FR / ESRC (Economic and Social Research Council) UK / NOW (Netherlands Organisation for Scientific Research)
<b>Joint research programmes in the Humanities</b>	2007-	DFG / AHRC (Arts and Humanities Research Council, UK)  And DFG / ESRC (Economic and Social Research Council)
<b>German-Indian collaboration in the SSH</b>	2006-	DFG
<b>German-Russian collaboration in the SSH</b>	2005-	DFG
<b>Age differentiated systems of work</b>	2005-	DFG
<b>International Research Conferences</b>	2004-	DFG
<b>Funding initiative humanities / research groups in the humanities</b>	2003-	DFG
<b>Research Groups in empirical educational research</b>	2002-	DFG
<b>The Academies Programme (Union of the German Academies of Sciences and Humanities)</b>	1979-	Federal Government and Länder

### 3. Funding System

#### 3.1 Overview of funding flows



##### 3.1.1 Brief description of funding flows

The diagram in the section above reflects the funding flows for the German research system as such, which is also relevant for SSH. Most important funding agents in SSH are the public sector and large science foundations. SSH research traditionally takes place at universities, thus the Länder provide a considerable share of the relevant funding. Activities going beyond the scope of a single state are funded by both the Federal Government and the Länder. Significant support for SSH research is provided by the DFG, which is jointly financed by the Federal Government (52%) and the Länder (48%). The major player at the federal level is the Federal Ministry of Education and Research (BMBF). Jointly funded with the Länder are the major non-academic research organizations.

The BMBF contributes to the funding of the Academies' Programme in the humanities of the Federal Government and the Länder. The Max Planck Institutes in the SSH sector are also funded in cooperation with the German federal states. It also provides basic institutional funding for the Institute for Contemporary History (Institut für Zeitgeschichte), located in Munich, and for the Institute for the German Language (Institut für Deutsche Sprache), in Mannheim. Federal funding provided for the SSH institutes of the Gottfried Wilhelm Leibniz Science Association (WGL) also includes support from the Federal Commissioner for Cultural Affairs and Media (BKM), who also contributes to the funding of the Federal archives (Bundesarchiv in Koblenz), the German National Library (Leipzig, Frankfurt am Main, Berlin) as well as foundations for political education, museums, memorials and monuments for cultivating historical awareness, such as the Federal Commissioner for Documents

of the Ministry for State Security of the former German Democratic Republic (Bundesbeauftragte für die Unterlagen des Staatssicherheitsdienstes der ehemaligen Deutschen Demokratischen Republik) and the Federal Institute for Culture and History of the Germans in Eastern Europe (Bundesinstitut für Kultur und Geschichte der Deutschen im östlichen Europa, in Oldenburg).

Jointly funded by the Federal Government and the Länder are other important institutions, such as the Stiftung Preußischer Kulturbesitz foundation, which carries out humanities research in Berlin's state museums, the State Library (Staatsbibliothek) and State Institute for Musicology (Staatliches Institut für Musikforschung). The Federal Government also finances institutes and projects of international significance. In particular the Foundation "Deutsche geisteswissenschaftliche Institute im Ausland" ("German Humanities Institutes Abroad - DGIA"), which supports research institutes in seven host countries, e.g. the German Historical Institute Rome and the German Institute for Japanese Studies Tokyo. In addition funding is provided by the Federal Foreign Office for the German Archaeological Institute (Deutsches Archäologisches Institut – DAI). It also contributes to the funding of the Alexander von Humboldt Foundation (AvH) and the German Academic Exchange Service (Deutscher Akademischer Austauschdienst – DAAD).

### 3.2 National public SSH research funding

#### 3.2.1 Overview of funding importance

The federal government provides project and institutional funding. Jointly between the federal government and the individual Länder governments important research organizations are funded. Federal funding provided for SSH by the BMBF between increased annually on average by 6% from 43 % to 53 % between 2000 and 2008. In 2007 it increased nearly by 22%, to €44.3 million.

Also the share of the federal R&D budget spent on SSH research was slightly increasing, while in 2000 3.9 % were devoted to SSH in 2008 the share amounted to 4.8 %. A similar development can be seen for the funding provided by the BMBF. The share spent on SSH research grew from 3.2 % in 2000 to 4.4 % in 2008.

Federal Funding provided for SSH (in million €) (2007 and 2008 preliminary data)

	2000	2001	2002	2003	2004	2005	2006	2007	2008
<b>Federal Funding</b>	333.8	362.9	376.1	384.4	423.1	445.5	435.5	519.7	531.4
<b>BMBF Funding</b>	144.1	169.2	177.7	178.2	217	212	221.9	263.2	281.9

Source: BMBF: BUFO 2006.

The majority of the funding is project funding. This type of funding increased between 2000 and 2008, while the share of institutional funding by the Federal Government decreased from 44% to 21%. In absolute terms, project funding increased on average by 6 % annually since 2000, institutional funding by 2 %.

Institutional and Project Funding provided by the BMBF in SSH  
(in million € and %)

	<b>Project funding</b>	<b>as a share</b>	<b>Institutional funding</b>	<b>as a share</b>
<b>2000</b>	105.057	54	85.247	44
<b>2001</b>	125.159	57	89.302	41
<b>2002</b>	131.917	58	88.134	39
<b>2003</b>	140.385	57	99.642	40
<b>2004</b>	152.100	62	85.618	35
<b>2005</b>	154.400	62	87.837	35
<b>2006</b>	149.063	56	92.642	35
<b>2007</b>	163.024	56	95.041	35
<b>2008</b>	185,233	69	55.435	21

Note: The remaining share to reach 100% is spent on committed international contributions

Source: [foerderportal/bund.de](http://foerderportal/bund.de), own calculations

Unfortunately at the Länder level, no statistics on funding for SSH are available. As an approximation the resources spent on SSH teaching and research by the universities can be used, however, this data includes the resources received by the universities also from the various funding organizations. In the period 2000-2006, SSH research amounts to about 21% of the overall R&D activities of the universities. The annual average growth amounts to 3%. Thus, SSH increases in the same magnitude as the total resources spent on R&D.

The non-university institutions (including MPG, FhG, Leibniz Institutes and Academies) spent about 13% of their budgets on SSH. The annual average growth rate amounts to 5% and thus is slightly above the annual growth rate for the total budget spent on R&D (3 %) (Statistisches Bundesamt 2008, individual communication).

A large share of the BMBF funding is distributed through the DFG. The DFG is the major funding organisation promoting research at universities and other publicly financed research institutions. In 2007 the DFG spent €273.6 million on SSH, about 14.2% of its overall budget. While this share is slightly decreasing, the total annual amount spent since 2004 increased on average by 13 %.

#### DFG Funding for SSH

	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>
<b>DFG Funding for SSH</b>	189.4	200.8	211.5	273.6	353.8
<b>Share of total</b>	<b>15%</b>	<b>14.6%</b>	<b>14.3%</b>	<b>14.2%</b>	<b>15.4%</b>

Source: DFG

The Centre for Higher Education Development (CHE) provides data on funding provided to universities by main funding sectors for selected subjects (see table below). According to the CHE data, the importance of particular funding institutions differs between the subjects. For SSH more than a third of the funds relevant for Sociology/Social Sciences in HEIs are coming from the DFG, 19% from the federal government and 12% of the funding flows from foundations. Third-party funding from

the private sector/industry plays a lesser role. In Educational Science almost half of third-party funding comes from the federal government, the individual state government and the EU – the DFG plays a less important role. In History, the DFG funds almost 50%. The funding provided by industry differs considerably. Its highest share is in business studies (28%), while for most other fields it is quite low. (CHE, Forschungsranking 2008)

Shares of Funding of Disciplines at Universities by Various Sources

Funding provided by source in %	English studies	Business studies	Economics	Educational sciences	History	Sociology
<b>DFG</b>	40.6	11.3	34.2	19.1	46.4	36.9
<b>Federal Government</b>	8	21.4	10.6	23.6	7.3	19.1
<b>Länder</b>	10.6	5.8	6	13.1	9.1	9.4
<b>Foundations</b>	9.5	15.8	13.5	11.1	20.2	12.8
<b>EU</b>	7.2	7.8	10	11.4	2.4	7.3
<b>DAAD</b>	7.1	3.7	10.2	0.5	2.2	3.2
<b>Industry</b>	3.2	28.3	8.5	10.7	3.1	6
<b>other</b>	13.8	5.9	6.9	10.5	9.3	5.2

Source: CHE, Forschungsranking 2008

**3.2.2 Institutional funding**

Institutional funding is provided jointly by the federal government and the Länder. The Länder provide the main share of funding for universities. The shares provided for large research organizations differ. General information on the resources received by individual research organizations can be found on the ERAWATCH research inventory.

In relative terms, institutional funding provided by the BMBF for SSH decreased from 44% in 2000 to 35% in 2004, remaining stable at that level since then. In absolute terms a slight annual increase by 2% can be observed.

Unfortunately at the Länder level no statistics on funding for SSH are available. As an approximation the resources spent on SSH teaching and research by the universities can be used, however, these data also include the resources received by the universities from the various funding organisations. In the period 2000-2006 SSH research amounts to about 21% of the overall R&D activities of the universities. The annual growth on average amounts to 3%. Thus, SSH increases in the same magnitude as the total resources spent on R&D.

Spending by Universities and non-university institutions on SSH research (in million €), 2006, (preliminary data).

	Universities		Non-university institutions	
	SSH	Share of total spending	SSH	Share of total spending
<b>2000</b>	1709.3	21%		
<b>2001</b>	1779.8	21%	864	12%
<b>2002</b>	1883.5	21%	924	13%
<b>2003</b>	1881.5	20%	955	13%
<b>2004</b>	1914.4	21%	958	13%
<b>2005</b>	1978.6	21%	1000	13%
<b>2006</b>	2026.3	21%	1089	13%

Source: Statistisches Bundesamt 2008, individual communication, own calculations

The non-university institutions (including MPG, FhG, Leibniz Institutes and Academies) spent about 13 % of their budgets on SSH. The annual growth rate amounts to 5 % and thus is slightly above the annual growth rate for the total budget spent on R&D (3 %) (Statistisches Bundesamt 2008, individual communication).

### 3.2.3 Individual funding

Until the 1960s, individual research grants dominated DFG's modes of funding. Since then so called coordinated programmes – in which researchers from different institutes or universities collaborate - became more and more important. However, individual grants are still available, in particular for early career researchers. For instance the Emmy Noether-Programme supports young researchers in achieving independence at an early stage of their scientific careers by setting up their own Independent Junior Research Group. The Emmy Noether-Programme is not specifically devoted to SSH. Between 1999 and 2006 a total of 365 researchers received funding, the majority from the natural and the life sciences. However, also 30 groups were established in the SSH

Also the DFG's Research Grants (Individual Grants Programme/Research Grants) Programme is open to all disciplines. The purpose of the programme is to enable scientists and academics to carry out a research project on a specifically defined topic within a limited time period. They are open to qualified researchers (as a rule, those holding a doctorate) from all disciplines working at German research institutions. Requirements are a research project of high scientific quality and originality, carried out at international level. Type and extent of funding are staff costs/funding for the lead researcher's own position, funds for scientific instrumentation, consumables, travel, miscellaneous (e.g. contracts awarded to third parties) and publication costs. The duration of funding is based on the individual project needs (as a rule, several years).

### 3.2.4 Programme Funding

Project funding provided by the federal government is usually provided in the framework of targeted programmes based on a proposal. Projects are limited to a defined period of time. Direct funding is focused on defined areas of research while indirect project funding aims at supporting research institutions and firms in their R&D efforts. In general, programmes are implemented and operated by project management agencies.

The specific programmes funded by the government devoted to SSH are already mentioned in the section 2.5. For the German university system as a whole, the Excellence Initiative is a particularly important source of extra funding

The **Excellence Initiative** supports also SSH activities. In 2006 and 2007, 39 Graduate Schools and 37 Clusters of Excellence were selected in total. 11 Graduate Schools are focusing on SSH. They receive about €62.9 million or 28% of the total funding. Another six Graduate Schools are at least partly pursuing SSH research. Among the Clusters, six have their major focus on SSH, receiving €198.2 million, or 16.8%, of the total funding. For another seven Clusters, SSH is at least partly relevant. Until 2017 another 2.723 million Euros will be provided for the second phase of the Excellence Initiative.

In the DFG, co-ordinated programmes meanwhile account for more than half of the recourses made available for SSH. The following schemes of co-ordinated programmes are implemented:

**Priority Programmes** are operated by the DFG. A particular feature is that within the programme participating researchers co-operate nationwide. The programmes are funded for a period of six years. Funds are distributed on a competitive basis. At present ten co-ordinated programmes are running in SSH.

The **Humanities Research Centres** in the new federal states were established in response to a recommendation by the German Science Council (Wissenschaftsrat) and were funded by the DFG between 1996 and 2007. These centres aimed to maintain existing humanities research focuses in eastern Germany and helped to set new research focuses with a clearly defined humanities-focused methodology and content. Humanities Research Centres had an interdisciplinary, collaborative and project-oriented approach they focused on cultural studies with an international focus. Six Humanities Research Centres were recently funded.

Centres were established for a specific time period and were institutionally funded by the federal state in which they are located. Core support was provided by the federal state or the group of participating states. Based on a review process, the DFG provided project-specific funds for the work carried out by these centres.

**Research Training groups** are another programme type of the DFG which aims promoting young graduates. Currently there are 61 Research Training research groups funded in SSH.

**Collaborative Research Centres** are long-term university research centres in which scientists work together within an interdisciplinary research programme. 23 such centres are funded by the DFG in the area of SSH.

**Research Units**, which are made up of a team of researchers working together on a research project are equally funded by the DFG. Their thematic focus, duration and finances are wider than for projects funded under the Individual Grants Programme or Priority Programme. Funding is provided for six years. In SSH 31 research units are operating.

### 3.3 Private research funding

Overall the Business Enterprise Expenditure on R&D (BERD) increased from 1,73 % of the GDP in 2000 (1855216.6 million PPS) to 1,77 % of the GDP in 2007 (2016092.6 million PPS). Unfortunately data on resources devoted to SSH is not available.

According to the Stifterverband, R&D-expenditure (internal and external R&D) by the private sector amounted to €35 million in 2005 for research on law, economy and

social sciences (Stifterverband, special analysis). It is difficult to quantify such a number for the humanities.

According to the CHE research ranking, funding from industry is of lesser importance in the SSH with the exception is the area of business studies.

### 3.4 Foundations/ not-for-profit funding

Funding for SSH is also provided by foundations. Important players are the Volkswagenstiftung, the Fritz-Thyssen-Stiftung and the Gerda-Henkel-Stiftung.

The **Volkswagenstiftung** is the largest private science founder and one of the major foundations in Germany. It provides support for individuals (grants and professorships), for structural measures like the promotion of collaboration and exchange and project funding. Research projects in all disciplines are supported. An important SSH initiative is the “Focus on the Humanities” jointly funded together with the Fritz-Thyssen-Foundation, with its components: “Dilthey Fellowships”, “opus magnum” grants, funding of workshops and symposia. Another relevant activity is the initiative “Future Issues of our Society”. The table reflects the funding provided in the SSH related topics.

Funding provided by the Volkswagenstiftung for SSH

	<b>Total Funding (in million €)</b>	<b>SSH (in million €)</b>	<b>Share SSH on total</b>
<b>2000</b>	60.7	22.8	37.6%
<b>2001</b>	62.0	25.1	40.5%
<b>2002</b>	60.3	20.7	34.3%
<b>2003</b>	51.7	22.9	44.3%
<b>2004</b>	49.2	21.8	44.3%
<b>2005</b>	50.7	15.7	31.0%
<b>2006</b>	53.4	21.8	40.8%
<b>2007</b>	51.4	23.5	45.7%
<b>2008</b>	57,6	30,6	53,1%

Source: Annual Reports of the Volkswagenstiftung 2000 to 2008, own calculations.

The **Gerda-Henkel-Foundation** is specifically focussing on SSH. The foundation provides project funding in the areas of History, Archaeology, Art History and other historical disciplines. In 2008 366 scientific projects were funded with €8.9 million.

The **Fritz-Thyssen-Stiftung** supports research and provides scholarships to universities and research institutes. Its specific focus is on the support of young scholars. Thematically it focuses on SSH and medicine and the sciences. SSH relevant areas of support are: History, language, culture (annual budget ca. €10.5 million), the cross-section area: image and imagery – with €19.600. State, economy and society (annual budget ca. €3.3 million, cross-section area: international relations €341.800,

Funding provided by the Fritz-Thyssen-Stiftung for SSH related topics (million €)

	2000	2001	20	2003	2004	2005	2006	2007
<b>Projects</b>	9.4	9.3	7.9	2.7	10.1	9.0	13.9	11.4
<b>Grants</b>	0.7	0.6	0.5	0.5	0.6	0.7	0.8	0.9
<b>Total</b>	<b>10.1</b>	<b>9.9</b>	<b>8.4</b>	<b>3.2</b>	<b>10.7</b>	<b>9.7</b>	<b>14.7</b>	<b>12.3</b>

Source: Annual reports of the Fritz-Thyssen-Stiftung 2000 to 2008, own calculations.

The **Robert Bosch** is not only an operating foundation that pursues its goals by programmes of its own, but also a funding foundation that enables others to develop and implement projects and initiatives that meet social needs in Germany and abroad. SSH and natural sciences together share 6.5% of the whole funding budget of €60.1 million.

The **Stiftung Mercator** supports science and research in the broad field of education related issues. Funding priorities of the Stiftung Mercator are concentrated on:

- Support for universities to improve their quality of research and education and thus, to improve their international competitiveness
- Support for children and adolescent persons to encourage their cultural, scientific and societal engagement
- To improve cultural understanding and foster international co-operation

The budget in these areas amounted to €6.5 million in 2008

### 3.5 European and international funding

Funding provided by the EU is of increasing importance, according to the CHE data, it now amounts to about 10% of third party funding, variations exist between the individual sub-fields.

In FP6, SSH related research was primarily carried out under Priority 7 - "Citizens and Governance in a Knowledge-based Society", which contained eight different research areas. German institutions participated in all eight areas.

According to the statistics published by the European Commission, in total 7.449 German researchers participated in 3.027 contracts of FP6. Funding provided thus amounted to about € 3 billion, which are about 19% of the total FP budget, thus Germany was the most successful country in terms of absolute budget. Unfortunately detailed data concerning the participation and success in the SSH are not available. In total in FP6 for the priorities relevant for SSH (priority 7 and 8) € 265.8 million were spent.

While for FP4 is not available. In FP5 German researchers from 88 different institutions, the majority being universities participated in 131 SSH relevant projects, 35 of which were co-ordinated by German institutions (see also section "Impacting Factors. Relevance of European SSH Research").

## 4. Performing System

### 4.1 Overview of the performers

Regarding higher education institutions, in total 104 public universities, 6 universities of education, 48 universities of applied sciences, 14 schools of theology, 51 universities of arts and 10 private universities are engaged in SSH in Germany. The Hochschulrektorenkonferenz (German Rectors' Conference) is the voluntary association of state and state-recognised universities and other institutions of higher education in Germany. Currently it has 258 members. Furthermore several public research organisations are relevant actors in SSH in Germany, such as the WGL or the Max Planck Society. Private research performers relevant for SSH research in Germany are less numerous, the best known of them probably being the Bertelsmann Stiftung.<sup>3</sup>

### 4.2 Higher Education Institutions

#### 4.2.1 HEIs as education performers

2004/2005 1.96 million students were registered at German higher education institutions, among them 56,5% in SSH related subjects. In 2008/2009 2.0 million students were registered, 55,6% of them in SSH. By subject area this divides into around 417.000 students in cultural sciences and linguistics in 2004/2005 and around 397.000 in 2008/2009; in social sciences, business and law about 611.000 students in 2004/2005 and 652.000 in 2008/2009 plus 81.000 students in arts in 2004/2005 and 78.000 in 2008/2009. (Statistisches Bundesamt 2008,)

The number of tertiary graduates in the humanities and arts in Germany rose from 31.825 persons in 2000 to 36.002 in 2005. The number of tertiary graduates in social sciences, business and law taken together rose from 62.263 persons in 2000 to 83.368 in 2005. (Source: Eurostat)

There are no reliable data available on the total number of post graduates students in Germany. The number of doctorates awarded in SSH related fields remains rather constant at 25.780 persons in 2000 and 25.190 in 2008. Numbers were slightly lower between 2002 and 2004 (approx. 23.000). Thus about 25% of the total of doctorates awarded in Germany yearly relate to the SSH (Source: Statistisches Bundesamt 2008)

#### 4.2.2 HEIs as research performers

In 2000 the expenditures for R&D by HEIs amounted to €8 million, in 2006 a total of €9 million was spent. The share of SSH expenditures remained stable at 20% until 2006. In 2000 100.674 persons were employed in R&D at HEIs. The number decreased to 96.758 in 2006. The share of SSH staff remained constant over the

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<sup>3</sup> Links to all German universities can be found via:  
[http://www.forschungsinfo.de/iq/institutionen/Uniliste\\_men.asp](http://www.forschungsinfo.de/iq/institutionen/Uniliste_men.asp)

years and amounts to 23%. The share of the SSH graduates was 54% in 2000 (total: 214.473) and 56% in 2007 (total: 286.391). (Statistisches Bundesamt 2008)

Based on the information provided by the DFG which regularly publishes a funding ranking the following universities and higher education institutions have a strong research track in SSH:

In the humanities the top ten universities (highest DFG funding volume) are:

- Freie Universität Berlin
- Universität Tübingen
- LMU München
- Universität Münster
- Universität Frankfurt/Main
- Universität Köln
- Humboldt Universität Berlin
- Universität Hamburg
- Universität Konstanz
- Universität Heidelberg

In the social and behavioral sciences these are:

- LMU München
- Universität Mannheim
- Humboldt Universität Berlin
- Universität Bielefeld
- Universität Frankfurt/Main
- Universität Konstanz
- Universität Bonn
- Freie Universität Berlin
- Universität Tübingen
- Universität Heidelberg

An interactive “research map” presents institutions, including HEI institutions, which are funded by the BMBF in the humanities. Another map represents those institutions actively involved in studies in the area of “Innovation and technology analyses. Strategies for research policy”.

The **Hochschulrektorenkonferenz** (German Rectors' Conference) (HRK) is the voluntary association of state and state-recognised universities and other institutions of higher education in Germany. It currently has 258 member institutions. The HRK is a "forum for the higher education institutions' joint opinion-forming process". Topics dealt with are: research, teaching, studies, advanced continuing education and training, knowledge and technology transfer, international cooperation, and self-administration issues. The tasks of the HRK are defined as follows:

- providing member institutions with information,

- formulating and representing the joint higher education policy positions of the member institutions,
- keeping the general public informed,
- advising Federal and Länder political and administrative bodies.
- promoting quality assurance in teaching and studies as well as student mobility, cooperation with other organizations and associations, promoting international higher education cooperation,
- collecting and documenting relevant literature and records.

### 4.3 Public Research Organisations

The following public research organizations are relevant actors in the SSH in Germany:

**Stiftung Wissenschaft und Politik** (SWP; German Institute for International and Security Affairs),

Research emphases include:

- European integration
- The EU's foreign relations
- Security policy

**Deutsches Archäologisches Institut** (DAI; German Archeological Institute)

Research emphases include:

- Classical highly developed cultures of the old world (Mediterranean cultures)
- Celtic, Roman, Germanic and Slavic cultures of central Europe
- Highly developed Oriental cultures
- General and comparative archaeology of world cultures

**Bundesinstitut für Bevölkerungsforschung** (BIB; Federal Institute for Population Research)

Research emphases include:

- Ongoing observation and analysis of demographic trends
- Advising the federal government and informing the public, the press and enterprises
- Research relative to demographic issues

**Bundesanstalt für Arbeitsschutz und Arbeitsmedizin**

(BAuA; Federal Institute for Occupational Safety and Health)

Research emphases include:

- Maintenance and improvement of work capability and employability
- Improvement of prevention of work-related health problems and disorders
- Development and implementation of effective, cost-effective prevention concepts for small and medium-sized companies and selected sectors
- Promotion of work systems designed in keeping with safety and health criteria

- Improvement of health protection in activities involving hazardous substances and biological agents

**Institut für Arbeitsmarkt- und Berufsforschung der Bundesagentur für Arbeit (IAB; Institute for Employment Research of the Federal Employment Services)**

Research emphases include:

- Labour-market statistics and observation (methods, models and theoretical principles; preparation of data suitable for evaluation)
- Research into the impacts of active labour-market policies under Social Codes II and III (SGB II and SGB III)

**Bundesforschungsanstalt für Ernährung und Lebensmittel (BfEL; Federal Research Centre for Nutrition and Food)**

Research emphases include:

- Advising policy-makers, supporting research and national tasks in the following areas:
- Nutrition-relevant economics, sociology and human behavior patterns

**Federal Institute for Risk Assessment (BfR)**

Research emphases include:

- Risk assessment
- Communication of risks
- National tasks
- Advising of policy-makers

**Sozialwissenschaftliches Institut der Bundeswehr (German Federal Armed Forces institute of social sciences)**

Research emphases include:

- The institute carries out militarily oriented research in the social sciences, along with pertinent basic research. Much of the institute's work consists of problem-oriented, contract based empirical research.

**German Youth Institute (DJI)**

Research emphases:

- Social reporting on situations of children, adolescents, women and families: continuous monitoring of living conditions, as related to social structures, and of the objective well-being of society; continuous monitoring of the condition and impacts of the state's social assistance systems for children and young people
- Practical research in the area of assistance for children, adolescents and families: initiation and testing in innovative practical environments; evaluation of model programmes of the federal Government and the Länder.
- Scientific services: offices as clearinghouses for documentation, networking, development of proper practice, policy consultation and initiation of research; support for the federal government's reporting; advising of relevant staff and policy-makers, and collection and dissemination of information and materials

**Deutsches Zentrum für Altersfragen (DZA; German Centre of Gerontology)**

- Research: Applied research in gerontology, national surveys, international comparative studies on issues of age and ageing
- Information and documentation: special library on social gerontology, including the “GeroLit” literature database, the “GeroStat” statistics database and the “GeroLink” address database (all available in the Internet)
- Advising policy-makers: advising of the government, Parliament and senior-citizens' assistance institutions; dissemination of gerontological expertise, to help shape policies oriented to senior citizens and social affairs (“Informationsdienst Altersfragen” – “Age-issues information service”)

**Institute for Social Work and Social Education (ISS-Frankfurt a.M.)**

Research emphases include:

- Life-situation research, with an emphasis on poverty and social-economic deprivation
- Migration and integration
- Evaluation of, and scientific support for, model projects, structures and services in social work
- Research into actual practice

**Bundeszentrale für gesundheitliche Aufklärung (BzgA; national centre for health awareness)**

Research emphases include:

- Promotion of awareness about health
- Prevention of selected risks with regard to diseases caused by civilization and to communicable diseases
- Planning, execution and evaluation of nationwide campaigns
- Development and implementation of quality assurance procedures in the area of prevention and health awareness
- Development of scientific procedures for showing the effectiveness of prevention

**Federal Office for Building and Regional Planning (BBR)**

Research emphases include:

- Sustainable regional and municipal development
- Sustainable city development
- Availability of housing
- Regional development in Europe
- Regional information system
- Transfer tasks

**Federal Institute for Vocational Training (BIBB)**

Research emphases include:

- Mobility pathways and career paths for vocationally qualified persons
- New occupations – new areas of employment

- Individualization and differentiation of vocational training, via curricular, organizational and didactic measures

The **Max Planck Society** currently maintains 80 institutes, research units, and working groups that are devoted to a wide range of research areas. The Institutes work largely in an interdisciplinary setting and in close cooperation with universities and research institutes in Germany and abroad to generate cutting-edge knowledge and technological breakthroughs and to produce highly qualified, internationally competitive junior scientists and researchers. In the area of SSH the SSH relevant Max Planck Institutes focus on the following research fields: Cultural Studies, Jurisprudence and Social and Behavioural Sciences. The 2008 expenditure for SSH by the MPG amounted to €117 million.

The relevant institutes are:

- Bibliotheca Hertziana - MPI for Art History, Rome, Italy
- Kunsthistorisches Institut in Florence - MPI, Florence, Italy
- MPI for the Study of Religious and Ethnic Diversity, Göttingen
- MPI for the History of Science, Berlin
- MPI of Psychiatry, München
- MPI Collective Goods, Bonn
- MPI for Intellectual Property, München
- MPI for European Legal History, Frankfurt/Main
- MPI for Comparative and International Private Law, Hamburg
- MPI for Foreign and International Criminal Law, Freiburg
- MPI for Comparative Public Law and International Law, Heidelberg
- MPI for Foreign and International Social Law, München
- MPI for Evolutionary Anthropology, Leipzig
- MPI for Social Anthropology, Halle/Saale
- MPI for Demographic Research, Rostock
- MPI of Economics, Jena
- MPI for Human Development, Berlin
- MPI for Ornithology, Seewiesen
- MPI for the Study of Societies, Köln

The **WGL** (Science Association Gottfried Wilhelm Leibniz) is a scientific organization comprised of 84 non-university research institutes and service facilities. The WGL institutes are demand-oriented and interdisciplinary centres of competence. They consider themselves as cooperation partners for industry, public administration and politics; scientific collaboration with universities is particularly close and intensive. (cf. ERAWATCH Inventory report). The WGL total budget in 2008 amounted to € 1.123 million. For SSH the budget in Section A - Humanities and educational research amounted € 133.97 million in Section B - Economic and Social Sciences to € 157.73 million.

The following institutions are active in SSH research:

- Section A – Humanities and educational research
- Deutsches Bergbau-Museum, Bochum (DBM)
- Deutsches Institut für Erwachsenenbildung - Leibniz-Zentrum für Lebenslanges Lernen, Bonn (DIE)
- Deutsches Institut für Internationale Pädagogische Forschung, Frankfurt am Main (DIPF)
- Deutsches Museum, München (DM)
- Deutsches Schiffahrtsmuseum, Bremerhaven (DSM)
- Germanisches Nationalmuseum, Nürnberg (GNM)
- Herder-Institut, Marburg (HI)
- Institut für Deutsche Sprache, Mannheim (IDS)
- Institut für Zeitgeschichte München - Berlin (IfZ)
- Leibniz-Institut für die Pädagogik der Naturwissenschaften an der Universität Kiel (IPN)
- Institut für Wissensmedien, Tübingen (IWM)
- Römisch-Germanisches Zentralmuseum, Mainz (RGZM)
- Zentrum für Psychologische Information und Dokumentation, Trier (ZPID)
- Zentrum für Zeithistorische Forschung Potsdam (ZZF)
- Section B – Economics, social sciences and spatial sciences
- Akademie für Raumforschung und Landesplanung, Hannover (ARL)
- Deutsches Institut für Wirtschaftsforschung, Berlin (DIW)
- Deutsches Forschungsinstitut für öffentliche Verwaltung Speyer (FÖV)
- GESIS - Leibniz-Institut für Sozialwissenschaften (GESIS)
- GIGA German Institute of Global and Area Studies. Leibniz-Institut für Globale und Regionale Studien, Hamburg (GIGA)
- Hessische Stiftung Friedens- und Konfliktforschung (HSFK)
- Leibniz-Institut für Agrarentwicklung in Mittel- und Osteuropa, Halle (IAMO)
- Leibniz-Institut für Länderkunde, Leipzig (IfL)
- ifo Institut für Wirtschaftsforschung, München (ifo)
- Institut für Weltwirtschaft an der Universität Kiel (IfW)
- ILS - Institut für Landes- und Stadtentwicklungsforschung gGmbH (ILS) (associated)
- Leibniz-Institut für ökologische Raumentwicklung, Dresden (IÖR)
- Leibniz-Institut für Regionalentwicklung und Strukturplanung, Erkner (IRS)
- Institut für Wirtschaftsforschung, Halle (IWH)
- Rheinisch-Westfälisches Institut für Wirtschaftsforschung, Essen (RWI)
- Wissenschaftszentrum Berlin für Sozialforschung (WZB)
- Deutsche Zentralbibliothek für Wirtschaftswissenschaften - Leibniz Informationszentrum Wirtschaft, Kiel (ZBW)

- Zentrum für Europäische Wirtschaftsforschung, Mannheim (ZEW)

The **Fraunhofer-Gesellschaft** undertakes applied research of direct utility to private and public enterprise and of wide benefit to society. The work is organized in more than 80 research units, including 57 Fraunhofer Institutes, at 40 different locations in Germany. The total annual research budget amounts of the Fraunhofer-Gesellschaft €1.4 billion. Its work is characterized by interdisciplinary studies, it is not possible to specify the budget spent on SSH purposes. FhG institutes providing SSH studies are the following:

- Algorithms and Scientific Computing - SCAI
- Systems and Innovation Research - ISI
- Technological Trend Analysis - INT
- Industrial Engineering - IAO
- Information Centre for Regional Planning and Building Construction - IRB
- Manufacturing Engineering and Automation - IPA

#### 4.4 Private research performers

Relevant actors are:

The **Institute for Applied Social Sciences** is a private and independent market and social research institute in Germany rendering research and consultancy services for enterprises of all branches of trade, the scientific world, and the administration on federal and federal state level as well as politics in general.

**TNS Emnid** is a private and independent market and social research institute and conducts studies in the fields of media research, politics and social research.

**forsa** (Gesellschaft für Sozialforschung und statistische Analysen GmbH), conducts market, opinion and social research studies, in which the methods of empirical social research can be employed, works closely with experts in both science and praxis in developing and executing empirical surveys.

The **Institut für Demoskopie Allensbach** conducts studies in the area of media research, social research and present opinion research. Members are engaged in the private sector as well in the academic sector, give lectures and publish scientific results from their work.

The **GfK Group** is one of the largest market research companies in the world with a staff complement of 10.000 + employees working in 115 operating companies covering more than 100 countries of the world. GfK delivers services in all major consumer, pharmaceutical, media and service sector market segments. The GfK Group headquarter is located in Nuernberg, Germany.

The **Bertelsmann Stiftung** aims to identify social problems and challenges at an early stage and develop exemplary solutions to address them in topics like politics, society, economy, education, health and culture. Bertelsmann Stiftung functions exclusively as a private operating foundation; it carries out its own project work and does not provide grants or support to third-party projects.

In addition, on the occasion of the humanities science year 2007, an analysis was carried out in order to estimate the activities of the cultural sector, where a particularly large number of humanities graduates are employed. Of course these firms are not all performing SSH R&D but still the data gives an impression of the activities in SSH related areas. According to the working group on cultural statistics,

about 200.000 firms are working in the cultural sector, focusing on architecture, design, music, film, literature, software/games and advertising. They generated an annual turnover of €117 billion in 2004. This puts the sector just behind the car industry in terms of gross value added.

## 4.5 Research performance

### 4.5.1 Scientific publications

In an analysis of the CWTS Leiden, the publication output for social sciences is calculated for the year 2000 and 2006 on the basis of databases provided by Thomson Scientific. In 2000 the output for social sciences in Germany amounted to 359 publications and in 2006, 494 publications. The annual average growth of 5.5% is higher in comparison to the annual growth for all publications, which averages 2.2%. Further results exist within the analyses for the CHE research ranking (cf. [www.che-ranking.de](http://www.che-ranking.de)).

### 4.5.2 International Cooperation

The German Federal Ministry for Education and Research (BMBF) fosters international cooperation in education and research and international exchanges in all subject areas in various programmes. Within the federal government's "Strategy for Internationalisation of Science and Research" various bilateral initiatives for collaboration (e.g. with Israel, Russia, Ukraine) are set up which, however, are not specifically focussing on SSH. The federal government also supports German institutions of higher education in their efforts to assert themselves in growing international competition. The International Bureau (IB) has been commissioned by the German Federal Ministry of Education and Research (BMBF) with the conception, coordination and planning of the relevant BMBF activities. The International Bureau advises German universities and research institutes in all subject areas (not only SSH related) on the subject of international research cooperation and provides financial support for the development of new contacts and collaborations. The main focus in international cooperation in the humanities fostered by the BMBF/IB is intercultural comparative research and the protection of cultural assets. Above all, the long-lasting cooperation of German and Chinese research institutions and museums on the preservation of important treasures of mankind from the area of the former imperial city Xi'an deserve a particular mention. A second key area is migration and social integration.

Through the Alexander von Humboldt Foundation, the BMBF promotes the TransCoop programme (Transatlantic Academic Cooperation) in the SSH. In the TransCoop framework, the research cooperation between German, US-American and Canadian scientists is funded for a period of up to 3 years (BMBF, National Overview SSH).

In addition the DFG runs various bilateral collaboration agreements (see table on relevant ongoing programmes below) in order to facilitate international collaboration e.g. with Russia, the UK and the USA. Scientists and researchers in Germany can apply for funding for research projects – not only in SSH, but in all areas – carried out in cooperation with colleagues (cooperation partners) from abroad, either as part of the Individual Grants Programme or in connection with Coordinated Programmes. This funding is partly covered by agreements that the DFG has entered into with its more than 50 partner organisations in Europe and worldwide.

Some important ongoing SSH programmes with international cooperation by various funding agencies are:

<b>Titel</b>	<b>Duration</b>	<b>Issued by</b>
<b>International Käte-Hamburger Collegia</b>	2007-	BMBF
<b>Humanities in Social Dialogue</b>	2005-	BMBF (implemented by PT-DLR)
<b>Key Issues in the Humanities</b>	2004-	Volkswagenstiftung
<b>Digital Humanities</b>	2008-	DFG / NEH (National Endowment for the Humanities, USA)
<b>Open Research Area in Europe for the Social Sciences</b>	2010 -	DFG / ANR (Agence Nationale de la Recherche) FR / ESRC (Economic and Social Research Council) UK / NOW (Netherlands Organisation for Scientific Research)
<b>Programme Point Sud</b>	2008-	DFG
<b>German-French Funding programme for the Humanities and Social Sciences</b>	2007-	DFG / ANR (Agence Nationale de la Recherche, FR)
<b>Joint Research Programme in the Humanities</b>	2007-	DFG / AHRC (Arts and Humanities Research Council, UK) And DFG / ESRC (Economic and Social Research Council)
<b>German-Indian Collaboration in the SSH</b>	2006-	DFG
<b>German-Russian Collaboration in the SSH</b>	2005-	DFG
<b>International Research Conferences</b>	2004-	DFG

#### 4.5.3 Main prizes

Prize 1:

##### **Gottfried Wilhelm Leibniz Prize**

is the largest award in German research not limited to certain research areas. The Prize's purpose is to improve the working conditions of outstanding scientists and academics, expand their research opportunities, relieve them of administrative tasks, and help them employ qualified young researchers with a maximum of €2.5 million per award. The prize is also open to non-nationals working at German institutions.

Prize 2:

##### **The Heinz Maier Leibnitz Prize**

is awarded to young researchers as a distinction for outstanding achievement and intends to assist young researchers in advancing their scientific careers. Six prizes

of €16.000 each are awarded annually, funded by the German Ministry of Education and Research.

Prize 3:

**Gerda Henkel Prize**

was established in 2006 and is awarded every two years to excellent and internationally acclaimed researchers who have demonstrated outstanding scholarly achievement in one of the disciplines of the historical humanities supported by the Foundation. The Gerda Henkel Prize is worth €100.000.

Prize 4:

**Thyssen-Prize**

is the only prize for social science articles published in German-language periodicals. After suggestions by the publishers of all German-language social science periodicals, a jury recognizes the three best articles from the subscription year.

Prize 5:

**Communicator Prize**

is presented in co-operation with the German Research Foundation and is awarded to scientists who not only have attained excellence in their field, but have also made outstanding achievements in communicating their findings and methods to the public. As a result, the prizes and prize winners earn considerable attention from the scientific community, and help make scientists more aware of the importance of dialogue.

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