METRIS

COUNTRY REPORT

Social Sciences and Humanities in
Germany

2011 Report

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METRIS is an initiative of the Directorate-General for Research (DG RTD), which aims to become an entry and reference point for the social sciences and humanities landscapes in Europe. Commissioned by the ERA Directorate of DG RTD and performed via the Metris-Network, it pursues the collection, regular updating, and analysis of information on social sciences and humanities at national and European level.

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- regularly updated country profiles of SSH systems in 42 countries;

- a news service;

- annual monitoring reports for all countries covered;

- synthesis reports bringing together key points;

- links to relevant reports and websites.

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The report covers the period from April 2010 to June 2011.

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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 characterised by a division of responsibilities between the central government and the Laender (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 (Förderalismusreform) was agreed upon and entered into force on 1 September 2006 [1] leading to a modification in the distribution of competencies. While the competencies for teaching are exclusively assigned to the Laender, the competencies for research are shared. The Federal Government and the Laender 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 [2]). 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 Laender, and by industry and private actors, which are also receiving public sector support.

The Federal Government and the Laender governments jointly fund many of the key players. 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 2011 increased annually on average by 7%, with the overall federal spending increasing also by 7%. Consequently, also the share of the federal R&D budget spent on SSH research was slightly increasing, from 3.9% in 2000 to 4.7% in 2011. The share of the federal funding for SSH that was provided through the BMBF increased from 43% in 2000 to 57% in 2011. Thus, the share of the BMBF R&D budget spent on SSH research grew from 3.2% in 2000 to 3.7% in 2011 ([3, 4], Daten-Portal des BMBF).

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 significantly lower degree.

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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 2009 the DFG spent €366.2m on SSH, which represents about 15,6% of its overall budget. This share of the total had decreased slightly between 2004 and 2007 (from 15% to 14,2%) before increasing again since 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 [5, 6, 7, 8, 9, 10].

Unfortunately, at the Laender 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 2000-2008 SSH research amounted to about 21% of the overall R&D activities of the universities. The annual growth on average amounts to 3% until 2006 and climbed to an annual growth of about 8% in 2007. SSH increases at about 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%) [11, 12, 13].

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.

For further information see also the Federal Report on Research and Innovation 2010 (English short version).

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1.1.2 Overview of structure

Main actors of the German R&D System
(Based on: Bundesbericht Forschung und Innovation 2008, BMBF)

The German Research and Innovation system is composed by a variety of public and private institutions. The figure above gives an overview of the overall research and innovation system in Germany. This structure applies to all research fields in Germany. Concerning SSH research, no special structure or system does exist. One mentionable distinctive feature of SSH research structure is that SSH research is being carried out in the public sector more strongly than in the private sector.

For more detailed information on the structure see section 1.1.1.

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 globalisation 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. Key issues translated into SSH research are [14]:

- Challenges that 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 inter- as well as intra-cultural conflicts. Around 25% of children and adolescents in Germany have a migration background [15]. The "Qualification Initiative for Germany" as well as the "National Integration Plan" deal with societal problems arising from immigration, concerning SSH. Especially the fields of educational research and (German) language training, are of relevance. Even though the re-unification dates back more than 20 years, the growing together of East and West Germany also 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 organise the **relationship between science, politics and society** and how to optimise 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. One priority in this context is **social-ecological research** focusing on societal challenges arising mainly from climate change and new technologies. This includes, for example, the question of dealing with new types of "systemic" risks caused by the infiltration of information and communication technologies in all areas of life, and the use of new technologies (such as nano and genetic technologies).

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

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 Laender and initiated in 2005 and extended in 2009. The "Joint Initiative for Research and Innovation" [16] focuses on the major science and research organisations which are co-financed by the Federal Government and the Laender (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) – through the initiative, their funding is – in the second phase of the initiative – to increase by 5% yearly between 2011 and 2015 [17]. 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, between 2006 and 2010, about 30% of the additional resources (about €8m) received were allocated via an internal competition (the "Senatsausschuss Wettbewerb", SAW). Around 30 to 40% of the projects recommended for funding in SAW between 2006 and 2009 were in the area of SSH -in 2010 the share was 34% [18, 19].

The second major action is the "Initiative for Excellence" [20] 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 €629m 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 [21]. In 2009 the continuation of this programme was also agreed upon. The total funding until 2017 will be of €2.723m,-of which 75% will be provided by the state, and 25% by the respective Laender. The second programme phase of the Initiative was adjusted to take into account the specific needs of SSH research, i.e. application for more flexible amounts (especially smaller amounts of money) of funding are possible. In a two-step selection process, the successful new and follow-up applicants were invited in March 2011 to submit full proposals until September 2011. A decision on the applications will be taken in June 2012 [22].

The year 2007 was declared the "The Year of Humanities" [23] -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.

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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 Laender 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 Laender 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 Laender) as well as university funding measures of supra-regional importance. While the main responsibility for education remains with the Laender, the BMBF and the Laender 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 [24]

A highly significant actor is thus the Joint Science Conference (www.gwk-bonn.de) which was founded in June 2007, following the agreements of the Federalism Reform. According to the agreement between the Federal Government and the Laender, 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 Laender" [25]. Members of the Joint Science Conference are the Ministers and Senators of the Federal Government and Laender 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) (www.wissenschaftsrat.de) is an advisory body to the Federal Government and the Laender. 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** (www.sachverstaendigenrat-wirtschaft.de) 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** (www.e-fi.de), 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 [26].

The **Council for Social and Economic Data** (RatSWD) (www.ratswd.de) 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** (www.ethikrat.org), 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** (www.nachhaltigkeitsrat.de) 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) (www.tab.fzk.de). 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) (www.itas.fzk.de), and the Fraunhofer Institute for Systems and Innovation Research (ISI) (www.isi.fraunhofer.de), 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 (www.svr-migration.de), 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** (www.stifterverband.de) 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.

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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 results of the search phase became available in May 2010 along with contributions of experts that were generated in an online discussion phase in May/June 2010. Seven "New future fields" were identified in the Foresight process, the ones with SSH-relevance being "Human-Technology Cooperation", "Deciphering Ageing - Understanding Ageing" and "Sustainable Living Spaces" [27]

2.1.3 Main implementing bodies

- One of the main bodies implementing SSH research is the **German Research Foundation** (DFG www.dfg.de). A significant share of the funding provided by the federal government (approx. 11% of the federal budget spent on R&D) ([28], own calculations) and the Laender, is distributed by the DFG. The federal government provides 58%, while 42% comes from the Laender. 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 €189.4m in 2004 to €366.2m in 2009. As a share, the funding for SSH research remained constant over the years with about 15% of the total funding budget, increasing slightly since 2008 to 15.6 % in 2009 [29, 30, 31, 32].

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- In general, publicly funded research programmes are administered and managed by **project management agencies (Projektträger)**. 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) (www.pt-dlr.de). 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 (including gender mainstreaming),

  – Humanities,

  – Health research,

  – Development of work structures and services,

  – Structural innovation,

  – Environmental, culture, sustainability, and

  – New media in the economy.

  As to SSH, in 2010 altogether 229 projects amounting to a total of €38.4m were supported by the DLR, as well as a total of 615 projects in the area of education and educational research amounting to €70.9m [33]. 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 [34]. The VDI/VDE is another relevant project management agency in SSH being responsible for the area innovation and technology analysis (ITA) (www.innovationsundtechnikanalysen.de).

- For advice concerning EU programmes, national contact points are important bodies. The **National Contact Point for SSH** (www.nks-swg.de), 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 (Arbeitsgemeinschaft der Ressortforschungseinrichtungen, www.ressortforschung.de). 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 2010 the federal government spent in total € 12.707,1 million on R&D [35].

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:

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	R&D expenditure 2010 (in million €)
Federal Ministry of Labour and Social Affairs	37,4
Federal Foreign Office	192,8
Federal Ministry of the Interior	46,3
Federal Ministry for Family, Senior Citizens, Women and Youth	24,3
Federal Ministry for Health	159,1
Federal Ministry of Transport, Building and Urban Affairs	178,7
Federal Ministry for Education and Research	7.426,9
Federal Ministry for Economic Cooperation and Development	33,5
Federal Ministry of Defence	1.185,4
Federal Ministry for Economics and Technology	2.545,5

Source: Bundesbericht Forschung und Innovation 2010, p. 424

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) (www.bmas.de). Its main focus is on social integration and the basic conditions for employment. It maintains the Federal Institute for Occupational Safety and Health, (www.baua.bund.de) and the Institute for Employment Research of the Federal Employment Services (www.iab.de). 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 (BMWi) (www.bmwi.de): 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) (www.auswaertiges-amt.de) is responsible for maintaining relations with other states and with international and supranational organisations. It maintains e.g. the German Archeological Institute (www.dainst.de), which carries out research in the area of archaeology and in related fields.

- The Federal Ministry of the Interior (BMI) (www.bmi.bund.de) 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 Research (www.bib-demographie.de).

- The Federal Ministry for Family, Senior Citizens, Women and Youth (BMFSFJ) (www.bmfsfj.de) is responsible for all issues relating to the promotion of families and represents family interests in the federal government. The German Youth Institute (DJI) (www.dji.de), the German Centre of Gerontology (www.dza.de) and the Institute for Social Work and Education belong to its portfolio.

- The Federal Ministry for Health (BMG) (www.bmg.bund.de) 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 (www.bzga.de).

- The areas of responsibility of the Federal Ministry of Transport, Building and Urban Affairs (BMVBS) (www.bmvbs.de) are closely related to the basic requirements of citizens. SSH relevant research is done in the federal Office for Building and Regional Planning (www.bbr.bund.de).

- Also the Federal Ministry for Education and Research (BMBF) (www.bmbf.de) 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 (www.bibb.de) focuses on issues of education.

- The Federal Ministry for Economic Co-operation and Development (BMZ) (www.bmz.de) 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 (www.die-gdi.de).

- Under the auspice of the Federal Ministry of Defence (www.bmvg.de) the Bundeswehr Institute of Social Sciences (www.sowi.bundeswehr.de) 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) (www.kulturstaatsminister.de) 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 (www.bkge.de) is maintained under its auspices.

2.2.2 Influence of European and International 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 education sector and the introduction of the Bachelor and Masters degrees replacing the traditional German degrees of diploma and Master of Arts (Magister, M.A.). In 2011, 82% of all curricula at German universities are bachelor and masters curricula. At the universities of applied sciences, the transformation is as good as completed [36]. German higher education institutes more and more strengthen their international focus. Therefore, the BMBF fosters the Internationalisation of Higher Education and their movement towards a European Higher Education Area [37]. The German Rectors' Conference e.g. also offers – as a consultancy or support measure - an audit on "Internationalisation" to Higher Education Institutions [38].

Another effect is the increasing importance of structured programmes for PhD training. While there is a strong 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 PISA studies, led already to a stronger focus on educational research. In 2007 a new funding programme was initiated by the BMBF focussing on educational research [39].

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 [40] in order to lay the ground for improving international research collaboration with scientifically leading countries and to make use of innovation potential internationally. While collaboration with developing countries is also in the focus of the strategy, it is not addressing particular disciplines.

The AHELO Initiative, a pilot exercise initiated by the OECD in 2008, aims at developing a methodology to assess students upon graduation. AHELO assesses student performance in order to provide data on the relevance and quality of teaching and learning in higher education. The feasibility study, with special focus on general skills as well as economics and engineering, is expected to end in 2012. Germany is participating in the AHELO group of national experts as an observing country (www.oecd.org/ahelo). Germany also is implementing a national programme focusing on developing methodologies for assessing competencies.

2.2.3 Relevance of European and International 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.

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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.

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

Area	No. of projects
Providing health, security and opportunity to the people of Europe	10
Underpinning the economic potential and cohesion of a larger and more integrated European Union	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 seven ERA-Nets in SSH. These are:

• HERA-Humanities in the European Research Area (www.heranet.info) 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 (http://de.osha.europa.eu/research/new_osh_era/) 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 (Programme ended in March 2010).

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- URBAN-NET-coordination of the funding of urban research in Europe (http://www.urban-net.org).
  Coordination: Scotland and Northern Ireland Forum for Environmental Research – UK German participants TÜV Rheinland Consulting GmbH (programme ended April 2011).

- NORFACE - New Opportunities for Reserach Funding Agency Co operation (www.norface.org/). Coordination: Academy of Finland (AKA). German participants: German Research Foundation (DFG).

- NORFACE Plus - NORFACE Transnational Programme on Migration in Europe   (http://www.norface.org/migration-projects.html).   Coordination: Academy of Finland (AKA). German participants: German Research Foundation (DFG).

- WORK-IN-NET - Labour and innovation: Work-oriented innovations - a key to better employment, cohesion and competitiveness in a knowledge-intensive society (www.workinnet.org/). Coordination: German Aerospace Center (DLR). German Participants: Society for Innovative Employment Promotion (G.I.B.); German Aerospace Center (DLR).

- ERA-AGE II - European Research Area in Ageing 2 (http://era-age.group.shef.ac.uk/). Coordination: UK representative The New Dynamics of Ageing Programme. German Participants: Projektträger des BMBF im DLR (Associate Partner/Project Observer).

Also relevant are the cross-sectional ERA-Net AERTOS-Associated European Research and Technology Organisations (http://www.aertos.eu) which is co-ordinated by the Fraunhofer-Gesellschaft and where the BMBF is another German participant as well as the newly established multidisciplinary ECO-INNOVERA (www.eco-innovera.eu), dealing with the expected economic and environmental impact and potential societal changes due to eco-innovations – the development of new approaches, processes, products and services required to reduce the environmental burden of our economy, in which the BMBF is also involved.

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 [41, p.63] (http://www.cost.esf.org/domains_actions/isch/Actions).

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, in 2010 this share amounts to 6% (4/67). 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. ([42]; ERC).

German researchers were involved in nine Networks of Excellence in the area of SSH, six of them are co-ordinated by German institutions. All nine NoEs were completed until 2010.

In the media, the situation of the SSH is on-again-off-again discussed, for example in the high quality weekly newspaper "Die ZEIT"; according to the subject there is recurrent mentioning, although not a special focus, on European and international influences. It is rather that due to current political and economic developments the relevance also of further contributions of the SSH to deal with these issues are stressed.

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 [43, p. 28].

Evaluation is carried out at three different levels: evaluation of individual performance, which is mainly organised 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.

As in other countries, 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** (www.che-ranking.de):
    - 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

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- **DFG Funding Ranking** (http://www.dfg.de/en/dfg_profile/statistics_evaluation/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 Laender level, another important actor in research evaluation is the **Scientific Commission for Lower Saxony** (www.wk.niedersachsen.de). 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

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 [44].

Specifically devoted to SSH are the discussions concerning the need for better methods and indicators to assess SSH research activities. Acceleration of the discussion is 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 are on the 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, a collaborative research project that started in April 2008 and ended in 2011; it received €1.5m of funding under FP7 (EERQI, www.eerqi.eu). 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.

2.2.4.1 Project evaluation

The German Research Foundation (DFG), as the largest research-funding organisation in Germany, allocates its funds for research projects in all fields of science and the humanities based on scientific review of proposals. Project evaluation thus is an integral part of the DFG's funding process. The external reviewers, who are selected by the Head Office on the basis of their technical expertise, evaluate the proposals according to scientific excellence, relevance and originality. Their statements form the basis for the subsequent funding decisions. Review boards ensure that reviewers were selected appropriately. DFG reviewers work in an honorary capacity. The review boards, whose members are selected from the scientific community, ensure the quality of the decision. In cases where the reviewers have prepared written evaluations, a separate procedural step is carried out. Here, the review boards assess whether reviewers were appropriately chosen and the content of their statements, in order to prepare a funding decision based on a comparison of all proposals received within the particular subject. The funding recommendation is then forwarded to the decision-making bodies, which take the final funding decision [45]. Project evaluation as practised by the DFG is the most relevant example. However, also all other funding bodies use project evaluation in order to distribute their funds.

2.2.4.2 Programme evaluation

Programme evaluations are common in Germany. Especially research programmes that are carried out by the two major funding bodies, the Federal Ministry of Education and Research (BMBF) and the German Research Foundation (DFG), are commonly evaluated. More and more, programme evaluations serve as impact analyses for the implementing federal bodies, aiming at assessing if set political goals are being accomplished via the research programmes [46]. External research institutes carry out such evaluation studies on behalf of the administration. These institutes apply a rather broad set of evaluation instruments and are self-organised in the German Society for Evaluation, the "Gesellschaft für Evaluation" (DeGEVal), since 1997 [47].

Concerning the DFG, programme evaluations mostly are not SSH-specific but relate to funding programmes which are set up for all fields of science, such as the monitoring of the German Excellence Initiative or the evaluation Emmy Noether Programme. As to SSH, currently the "Sondersammelgebiete" of the DFG, a special interest collection of literature that forms part of the DFG`s Scientific Library Services and Information Systems, is being evaluated [48].

One programme with major relevance for the SSH, the BMBF`s Foresight Process (see also section on SSH policy advice) is currently being evaluated [49]. The first results are expected in 2013.

Some major recent programme evaluations – none of them SSH-specific, but all including SSH research – are:

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Evaluation title	**Monitoring of the Research Training Group Funding Programme**
Programme title	Research Training Group Funding Programme (implemented by DFG)
Type of programme	Non-thematic horizontal
Type of evaluation	Periodic monitoring of ongoing funding programme
Period covered	2007-2008
Objectives	To provide new insights into the RTG funding practices. The results are also informative for research policy questions above and beyond the RTG programme, as information on doctoral researchers in Germany, in particular, is limited.
Approaches	Statistically collected information on developments in Research Training Groups (RTG). Data sources were the periodic online surveys as well as the DFG proposal database
Key results and recommendations	Periodic update on key issues which are used to optimise and adapt the ongoing funding programme
Availability	http://www.dfg.de/download/pdf/dfg_im_profil/evaluation_statistik/programm_evaluation/bericht_dfg_monitoring_grk_2011.pdf
Tags	Monitoring, non-thematic, DFG, Research Training Group

Evaluation title	**Monitoring of the German "Excellence Initiative"**
Programme title	German Excellence Initiative (implemented by DFG)
Type of programme	Non-thematic horizontal
Type of evaluation	Monitoring
Period covered	Both phases of the Excellence Initiative (2006-2011 and 2011-2017)
Objectives	A monitoring-system that allows the estimation of both intended and unintended effects of the programme
Approaches	Interviews, expert interviews, bibliometric analyses, data-based analysis, text analysis (i.e. analysis of proposals), (online surveys)
Key results and recommendations	Results exist so far only for the implementation phase of the Excellence Initiative.
Availability	http://www.research-information.de/Projekte/Exzellenz/projekte_exzellenz.asp
Tags	Monitoring, non-thematic, Excellence Initiative

Evaluation title	Comparative Evaluation of the Emmy Noether Programme
Programme title	Emmy Noether Programme, young research group leader programme of the German Research Foundation (DFG)
Type of programme	Non-thematic horizontal
Type of evaluation	Evaluation of on-going funding programme
Period covered	Interviews conducted in 2006/2007
Objectives	To analyse the effects of the involved funding policy and explore the specific difficulties and problems of externally funded Postdocs.
Approaches	Mixed-method-design combining a traditional quantitative survey with qualitative methods (problem focused interviews, document analyses) and bibliometric techniques (analyses of publications and citations)
Key results and recommendations	http://www.research-information.de/Projekte/Emmy_Noether/wp3_executive_summary_englisch.pdf
Availability	http://www.research-information.de/Projekte/Emmy_Noether/projekte_emmy.asp
Tags	Emmy Noether Programme, non-thematic, mixed-method design, survey, bibliometrics

2.2.4.3 Institutional evaluation

The number of institutional evaluations is increasing. The **German Council for Science and Humanities (Wissenschaftsrat)** is the relevant actor for institutional evaluation and assessments of large scientific areas [50]. Its evaluation committee carries out evaluations of scientific establishments at the request of the federal government and the Laender. In 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 [51]. 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 disciplines of chemistry and sociology [52]. 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. Experts from the individual fields of research define criteria and data in a discipline-specific manner. Research quality is assessed at the level of research units, making it possible to make transparent differences 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 disciplines, one of them humanities, in order to further improve its methodology. The Wissenschaftsrat decided to further develop the process for research rating and implement the lessons learned from the pilot study by applying them to one discipline from humanities and one from the technological sciences. Concerning the Humanities, it was decided to carry out the research rating for the subject of Anglo-American Studies. In order to do so, the recommendations on a comparative research rating in the Humanities were compiled based on the pilot study and published in 2010 [53]. The research rating in the Anglo-American Studies started subsequently in 2010.

Between 2001 and 2011 the Council has conducted over 40 evaluations of non-university institutes, among them the assessment of the Governmental research agencies [54], including those institutes focusing on SSH. Since 2006 a total of 14 institutes focusing on SSH were evaluated, two of which are presented below in more detail (random examples).

Organisation	German Literature Archive Marbach (Deutsches Literaturarchiv Marbach)
Type of evaluation	Review with the aim to produce recommendations for further funding
Period covered	2007, 2011 (two separate evaluations)
Objectives	Assessment of scientific performance / structure / governance / profile
Approaches	Self-report and on-site visit, document analysis
Key results and recommendations	The German Literature Archive is unique and fulfils its tasks exemplary. Further funding is recommended. The organisational structure should be adjusted. A concept for international cooperation should be developed, but by no means at cost of core competences.
Availability	http://www.wissenschaftsrat.de/download/archiv/7976-07.pdf http://www.wissenschaftsrat.de/download/archiv/1243-11.pdf
Tags	Literature Archive Marbach, self-report, on-site visit

Organisation	Humanities Centres at the Universities of Frankfurt/Main, Gießen and Marburg (Geisteswissenschaftliche Zentren an den Universitäten Frankfurt am Main, Gießen und Marburg)
Type of evaluation	Review with the aim to produce recommendations for further funding
Period covered	2006-2009
Objectives	Assessment of scientific performance / structure / governance / profile
Approaches	self-report, on-site visit, document analysis
Key results and recommendations	• The centres'' regional orientation is appreciated; it contributes to the continuity of "small subjects" and helps interdisciplinary cooperation and the evolution of innovative research questions • Further funding for all three is recommended • Structural recommendations for the establishment of further Humanities centres are concluded as well as for potentials and risks in the establishment of such centres.
Availability	http://www.wissenschaftsrat.de/download/archiv/9864-10.pdf
Tags	Humanities Centres, Frankfurt, Gießen, Marbach, self-report, on-site visit

Furthermore, the Council also carried out the following evaluations with relevance to SSH since 2006:

• Stellungnahme zur Klassik Stiftung Weimar, May 2011, http://www.wissenschaftsrat.de/download/archiv/1242-11.pdf

• Bundesinstitut für Bevölkerungsforschung (BiB), Wiesbaden, January 2010, http://www.wissenschaftsrat.de/download/archiv/9651-10.pdf

• Stellungnahme zum Antrag auf Aufnahme des Instituts für Europäische Geschichte (IEG), Mainz, in die gemeinsame Förderung durch Bund und Laender nach der Ausführungsvereinbarung WGL, November 2010 http://www.wissenschaftsrat.de/download/archiv/10293-10.pdf

• Stellungnahme zum Sozialwissenschaftlichen Institut der Bundeswehr, Strausberg (Drs. 9500-09), November 2009, http://www.wissenschaftsrat.de/download/archiv/9500-09.pdf

• Stellungnahme zum Deutschen Jugendinstitut (DJI), München (Drs. 8783-08), November 2008 http://www.wissenschaftsrat.de/download/archiv/8783-08.pdf

• Stellungnahme zum Deutschen Zentrum für Altersfragen (DZA), Berlin (Drs. 8779-08), November 2008, http://www.wissenschaftsrat.de/download/archiv/8779-08.pdf

• Stellungnahme zum Institut für Sozialarbeit und Sozialpädagogik (ISS), Frankfurt am Main (Drs. 8782-08), November 2008 http://www.wissenschaftsrat.de/download/archiv/8782-08.pdf

- Stellungnahme zum Deutschen Archäologischen Institut (DAI), Berlin (Drs. 8303-08), January 2008 http://www.wissenschaftsrat.de/download/archiv/8303-08.pdf

- Stellungnahme Bundesinstitut für Kultur und Geschichte der Deutschen im östlichen Europa (BKGE), Oldenburg (Drs. 8176-07), November 2007 http://www.wissenschaftsrat.de/download/archiv/8176-07.pdf

- Stellungnahme zum Institut für Arbeitsmarkt- und Berufsforschung (IAB), Nürnberg (Drs. 8175-07), November 2007 http://www.wissenschaftsrat.de/download/archiv/8175-07.pdf

- Stellungnahme zum Deutschen Institut für Internationale Politik und Sicherheit der Stiftung Wissenschaft und Politik (SWP), Berlin (Drs. 7262-06), May 2006 http://www.wissenschaftsrat.de/download/archiv/7262-06.pdf

- Stellungnahme zum Deutschen Institut für Entwicklungspolitik (DIE), Bonn (Drs. 7701-07), Januar 2007 http://www.wissenschaftsrat.de/download/archiv/7701-07.pdf

At present, another institute belonging to the SSH is being evaluated by the Wissenschaftsrat, the Staatliche Kunstsammlungen Dresden (Dresden State Art Collections).

The **Leibniz Association (WGL)** (www.wgl.de) regularly carries out systematic evaluations of their institutions. Each institute is evaluated every seven years. This includes the evaluation of their SSH institutes.

- 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

The following SSH institutes of the Leibniz Association were evaluated since 2006. All reports are available via www.wgl.de/?nid=ssn&nidap=&print=0:

- Deutschen Zentralbibliothek für Wirtschaftswissenschaften – Leibniz-Informationszentrum Wirtschaft, Kiel und Hamburg (ZBW), 2011

- Institut für Wirtschaftsforschung Halle (IWH), 2011

- Fachinformationszentrum Karlsruhe – Leibniz-Institut für Informationsinfrastruktur GmbH (FIZ Karlsruhe), 2011

- Leibniz-Institut für Regionalentwicklung und Strukturplanung, Erkner (IRS), 2011

- Institut für Deutsche Sprache, Mannheim (IDS), 2010

- Leibniz-Institut für die Pädagogik der Naturwissenschaften und Mathematik an der Universität Kiel (IPN), 2010

- Zentrum für Europäische Wirtschaftsforschung (ZEW), 2010

- Leibniz-Institut für Arbeitsforschung an der Technischen Universität Dortmund (IfADo), 2010
- 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 Laenderkunde (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

As an examples, two WGL institutes with SSH focus that recently passed through their 'once every seven years'-evaluation are presented in more detail below.

Organisation	Centre for European Economic Research (Zentrum für Europäische Wirtschaftsforschung - ZEW), 2010
Type of evaluation	WGL institutional evaluation
Period covered	2003-2009
Objectives	Decision on further funding by the WGL and optimisation
Approaches	Self-report, on-site visit
Key results and recommendations	Further funding is recommended. ZEW is well visible in Germany and abroad and is one of the leading economic research institutes in Europe.
Availability	http://www.wgl.de/?nid=ssn&nidap=&print=0
Tags	WGL, evaluation, institutional, ZEW, Leibniz Society, self-report, on-site visit

Organisation	Leibniz Research Centre for Working Environment and Human Factors (Leibniz-Institut für Arbeitsforschung an der Technischen Universität Dortmund - IfADo)
Type of evaluation	WGL institutional evaluation
Period covered	2004-2010
Objectives	Decision on further funding by the WGL and optimisation
Approaches	Self-report, on-site visit
Key results and recommendations	Further funding is recommended. Unique basic research, general improvement since last evaluation, development of a systematic research strategy strongly recommended.
Availability	http://www.wgl.de/?nid=ssn&nidap=&print=0
Tags	WGL, IfADo, evaluation, institutional, Leibniz Society, self-report, on-site visit

For further information on the allocation of institutional funds see section 3.2.2. "Institutional funding".

2.3 Important policy documents

SSH specific documents

- Wissenschaftsrat (2011): Empfehlungen zu Forschungsinfastrukturen in den Geistes- und Sozialwissenschaftenwissenschaften (Recommendations on the research infrastructure in the humanities): http://www.wissenschaftsrat.de/download/archiv/10465-11.pdf

- Wissenschaftsrat (2010): Empfehlungen zur vergleichenden Forschungsbewertung in den Geisteswissenschaften (Recommendations on a comparative research rating in the humanities): http://www.wissenschaftsrat.de/download/archiv/10039-10.pdf

- Hochschul-Informations-System (Hannover) 2010: Die internationale Positionierung der Geisteswissenschaften in Deutschland. Eine empirische Untersuchung. (The international positioning of the Social Sciences and Humanities in Germany. An Empirical Study) Behrens, Julia; Fischer, Lars; Minks, Karl-Heinz; Rösler, Lena: http://www.his.de/pdf/22//pdf/22/internationale_positionierung_geisteswissenschaften.pdf

- BMBF 2007: Freedom for research in the humanities: http://www.bmbf.de/pub/freedom_for_research_in_the_humanities.pdf

- Wissenschaftsrat (2007): Empfehlungen zur Entwicklung und Förderung der Geisteswissenschaften in Deutschland. (Recommendations on the development of and support for the humanities): http://www.wissenschaftsrat.de/download/archiv/7068-06.pdf

- Wissenschaftsrat (2004): Stellungnahme zum Akademienprogramm. (Recommendations on the Establishment of a National Academy): http://www.wissenschaftsrat.de/download/archiv/6129-04.pdf

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Further important documents

- Bund-Laender-Agreement on the excellence initiative of the Federal and the Laender governments on supporting science and research at German universities. http://cordis.europa.eu/erawatch/index.cfm?fuseaction=policy.documentAjax&uuid=7D87ACB9-02D3-EBFB-AFBCC88A93476C74

- Higher education pact 2020. http://cordis.europa.eu/erawatch/index.cfm?fuseaction=policy.documentAjax&uuid=F6C22827-D404-68A0-9B9D03302A11FD3A

- New Impulses for Innovation and Growth. 6 billion Euro programme for Research and Development: http://cordis.europa.eu/erawatch/index.cfm?fuseaction=policy.documentAjax&uuid=7D87ACA9-0532-0C3F-F75C143C5279DA02

- Wissenschaftsrat (2006) Empfehlungen zur Künftigen Rolle der Universitäten im Wissenschaftssystem. (Report on the Role of Universities in the Future.): http://www.wissenschaftsrat.de/download/archiv/7067-06.pdf

- 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). http://www.e-fi.de/fileadmin/Studien/StudIS_8-2008.pdf and http://www.e-fi.de/fileadmin/Studien/StuDIS2009/8_2009_Bericht_Bildung.pdf

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 the following key areas:

	Behaviour, cognition,
X	Competitiveness, Innovation Freedom for Research in the Humanities Developing a Modern Data Infrastructure for Internationally Competitive Research
	Conflicts, peace, security and human rights within the EU and beyond
	Crime and Crime prevention (including drugs, organised crime etc.)
	Cultural heritage (including preservation and conservation)
	Democracy, governance, accountability and responsibility
X	Demography (Ageing, Fertility) Society and Demographic Change
X	Economy and finance Economics for Sustainability
X	Education, skills, knowledge and life-long learning
X	Employment, Work, Working conditions Reporting System on Work and Lifestyles
	Ethics Ethical, Legal and Social Aspects of Modern Life Sciences and Biotechnology
	Families, life-styles and well-being Reporting System on Work and Lifestyles
	Gender, gender equality
	Globalisation
	Health and Health systems
	Identity, religion, language, multiculturalism
X	International relations International Cooperation in the Social Sciences and the Humanities
	Migration
	Social cohesion, exclusion, inequalities, poverty
X	Sustainable development Economics for Sustainability Social-Ecological Research
	Urban and rural development
X	Others Research into the Relationship between Science, Politics and Society

2.5 Important research programmes

Programme title	**Governance of research** / "Neue Governance der Wissenschaft - Forschung zum Verhältnis von Wissenschaft, Politik und Gesellschaft" - Teil II
Start date	2008 (phase II)
Planned end date	2012 (end of second phase)
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	BMBF (implemented by PT-DLR)
Target group	HEIs, research institutes, where applicable enterprises
Key goals	Research on how social developments influence the science system – analysis of transformation and understanding of complex interrelations.
Website	http://www.bmbf.de/foerderungen/13440.php
Tags	Governance, BMBF, PT-DLR, Higher Education Institutions, research institutes, social developments, science system

Programme title	**Framework Programme for the Promotion of Empirical Educational Research**
Start date	2007
Planned end date	Not yet defined
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	BMBF (PT-DLR)
Target group	• General research funding organisations (i.e. the DFG, Max Planck Society, Gottfried Wilhelm Leibniz Science Association (WGL)), • Research Institutes • Universities • Researchers
Key goals	• Strengthening structurally empirical educational research in Germany, to develop its quality and to strengthen international networks, • Delivering knowledge for the reform of education and science systems, • Improvement of framework conditions
Website	http://www.empirische-bildungsforschung-bmbf.de/index_e.html
Tags	Empirical Educational Research, BMBF, PT-DLR, institutional funding, science system, structure

Programme title	**Käte Hamburger Collegia** (International Research Collegia in the Humanities)
Start date	2007
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	BMBF
Target group	• Excellent researchers • Universities/faculties
Key goals	• To promote the visible and effective establishment of research priorities in the humanities at German universities at a European and international levels and to strengthen ties with foreign research priorities and institutions • To give outstanding researchers the funds to pursue research questions they have chosen themselves. • To enable the formation of a learning community that analyses its own – often unquestioned – assumptions through systematic confrontation with other scientific cultures. • To involve internationally high-ranking scholars in research undertaken at German universities. • To advance the development of methods in the humanities – including comparative cultural research. • To foster international cooperation in the disciplines, including the "minor" SSH disciplines.. • To increase cooperation in the humanities, including the "minor" disciplines.
Website	http://kaete-hamburger-kollegs.de/en/index.php
Tags	Kaete Hamburger Collegia, Research Collegia, BMBF, PT-DLR, priorities, community, international cooperation

Programme title	**The humanities in social dialogue** (Geisteswissenschaften im gesellschaftlichen Dialog)
Start date	2005
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	BMBF (implemented by PT-DLR)
Target group	HEIs, research institutes
Key goals	Promoting the establishment of new, interdisciplinary fields and research by international research consortiums that address specific topic areas, and that are composed of both German and international practitioners. The programme currently funds two research topics: "Anthropology: Changes wrought in attitudes toward mankind by information technology and modern science", and "Cultural and social influences on Europe and the Europeans."
Website	http://www.geisteswissenschaft-im-dialog.de/
Tags	Humanities in social dialogue, BMBF, PT-DLR, Higher Education Institutions, interdisciplinarity, international

Programme title	**Focus on the Humanities** (Pro Geisteswissenschaften)
Start date	**2005**
Planned end date	Not defined yet
Planned total budget	Not available.
Budget 2011/2012	€ 67, mio in 2011
Implementing organisation	Volkswagen-Stiftung & Fritz Thyssen Stiftung
Target group	Young researchers (PostDocs)
Key goals	Fellowships for young researchers who wish to open up new areas with their longer-term and possibly risky projects as well as fellowships for publications in order to secure freedom for research. Thematic focus on the intellectual and cultural challenges of an expanded Europe that now has to grow together.
Website	http://www.volkswagenstiftung.de/funding/persons-and-structures/focus-on-the-humanities.html?L=1
Tags	Focus Humanities, Volkswagen-Stiftung, Fritz Tyssen Stiftung, fellowship, young researcher, Europe

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Programme title	**Key issues in the humanities** (Schlüsselthemen für Wissenschaft und Gesellschaft)
Start date	1998
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	€ 2,3mio (in 2009)
Implementing organisation	Volkswagen-Stiftung
Target group	Research groups of 2-5 at one or more research institutes
Key goals	Humanists are called upon to identify topics which constitute a key topic for their disciplines, but that also have links to questions under discussion in society. The overriding objective is to attract greater attention and gain a clearer profile of the disciplines, also and especially among the general public.
Website	http://www.volkswagenstiftung.de/funding/challenges/key-issues-in-the-humanities.html?L=1
Tags	Key Issues Humanities, Volkswagen-Stiftung, research groups, key topic, public

Programme title	**Science and the General Public: Understanding Fragile and Conflicting Evidence**
Start date	2009
Planned end date	2015
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	DFG – German Research Foundation / Priority Programme
Target group	HEIs, individual researchers
Key goals	Empirical studies on the conditions and processes involved in the way in which the general public understands how evidence is gathered and established in science, and using these findings to formulate theories on society's understanding of science, in order to define empirically based principles for designing the communication of science-related information.
Website	http://www.dfg.de/en/research_funding/programmes/list/projectdetails/index.jsp?id=73397437
Tags	Science General Public, DFG, Higher Education Institutions, Researcher, evidence, media

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Programme title	Digital Humanities
Start date	2008
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	€ 1,67 mio in 2010
Implementing organisation	DFG / NEH (National Endowment for the Humanities, USA)
Target group	Individual Researchers
Key goals	U.S.-German partnerships: funding for either joint digitisation projects working on the enrichment of digital collections, or symposia and workshops in the area of digital humanities.
Website	http://www.dfg.de/en/research_funding/programmes/infrastructure/lis/international/dfg_neh_humanities_program/index.html
Tags	Digital humanities, US, Germany, DFG, NEH, international, cooperation, digital humanities

Programme title	Programme Point Sud
Start date	2008
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	DFG
Target group	Researchers based in Germany working on Africa-related themes
Key goals	Promoting the establishment of a truly postcolonial academic community in Africa. Africa-related activities in the humanities and social sciences are funded.
Website	http://www.dfg.de/download/pdf/foerderung/grundlagen_dfg_foerderung/informationen_fachwissenschaften/geisteswissenschaften/application_point_sud_2010_en.pdf
Tags	Programme Point Sud, DFG, Africa, international

Programme title	German-French Funding programme for the humanities and social sciences
Start date	2007
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	DFG / ANR (Agence Nationale de la Recherche, FR)
Target group	Individual researchers / special funding line for Postdocs
Key goals	Intensifying German-French co-operation in the SSH
Website	http://www.dfg.de/download/pdf/foerderung/grundlagen_dfg_foerderung/informationen_fachwissenschaften/geisteswissenschaften/dfg_anr_ausschreibung_2011.pdf
Tags	German-French Funding Humanities Social Sciences, DFG, ANR, international, cooperation, researcher

Programme title	Open Research Area in Europe for the Social Sciences (ORA)
Start date	2010
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	Agence Nationale de la Recherche (ANR, France), Deutsche Forschungsgemeinschaft (DFG, Germany), the Economic and Social Research Council (ESRC, UK) and the Nederlands Organisatie voor Wetenschappelijk Onderzoek (NWO, Netherlands)
Target group	Researchers from more than one of the four participating countries
Key goals	To fund the best joint research integrated projects in social sciences
Website	http://www.dfg.de/en/research_funding/announcements_proposals/info_wissenschaft_11_30/index.html
Tags	Open Research Area, ORA, Europe, ANR, France, DFG, ESRC, UK, NWO, Netherlands, international, cooperation

Programme title	Indian-European Social Sciences Networks
Start date	2011
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	(DFG, Deutsche Forschungsgemeinschaft), the French Agence Nationale de la Recherche (ANR), the British Economics and Social Sciences Research Council (ESRC), the Dutch Organisation for Scientific Research (NWO), and the Indian Council for Social Sciences Research (ICSSR)
Target group	Researchers from more than one of the four participating countries
Key goals	To support intense networking and research cooperation along with the promotion of young researchers between India and the four European participating countries in well defined topics of mutual interest; including economic growth and development, energy and climate change, and health and well-being.
Website	http://www.dfg.de/foerderung/info_wissenschaft/info_wissenschaft_11_19/index.html
Tags	Indian European Social Sciences Networks, DFG, India, ANR, France, ESRC, UK, NOW, Netherlands, international, cooperation, young researchers, economy, climate change, health

Programme title	German-Russian collaboration in the SSH
Start date	2005
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	DFG, Russian Foundation for Research in the Humanities (RGNF)
Target group	Individual researchers
Key goals	Advancement of basic research in SSH in both participating countries
Website	http://www.dfg.de/download/pdf/dfg_im_profil/im_internationalen_kontext/partner/mou_dfg_rgnf_dt.pdf
Tags	German Russian collaboration SSH, DFG, RGNF, Russia, researcher, international, cooperation

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Programme title	Age differentiated systems of work
Start date	2005
Planned end date	2011
Planned total budget	ca. € 7mio
Budget 2011/2012	ca. € 2mio
Implementing organisation	DFG
Target group	HEIs, Research Institutes
Key goals	Investigating the relationship between work and working conditions, and age processes. The understanding of this link is a precondition for the implementation of age-based work systems
Website	http://www.altersdifferenzierte-arbeitssysteme.de/index.php?lang=en
Tags	Age Systems Work, DFG, Higher Education Institutions, Research Institutes, Ageing

Programme title	AHRC-DFG Bilateral agreement
Start date	2007
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	DFG, Arts and Humanities Research Council UK (AHRC)
Target group	Individual Researchers in Germany and the UK
Key goals	Facilitate collaborations between arts and humanities researchers in the UK and Germany.
Website	http://www.dfg.de/foerderung/info_wissenschaft/archiv/2009/info_wissenschaft_09_52/index.html
Tags	AHRC, DFG, Germany, UK, researchers, arts, international, cooperation

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Programme title	Education as a Lifelong Process
Start date	2011
Planned end date	2014 (first funding period)
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	DFG
Target group	Researchers from all related disciplines in social sciences
Key goals	NEPS (National Educational Panel Study) is set up as an open research infrastructure providing unique data for further research within the scientific community. The Priority Programme of the DFG aims to be a starting point to foster widespread public use of the data and the research opportunities of NEPS (education as a lifelong process and the cumulative and interactive impact of learning that occurs in multiple contexts over time)
Website	http://www.dfg.de/foerderung/info_wissenschaft/archiv/2011/info_wissenschaft_11_10/index.html
Tags	lifelong learning, DFG, Researchers, interdisciplinarity, NEPS, data, ageing

Programme title	Humanities Centres for Advanced Studies (Kolleg-Forschergruppen)
Start date	2008
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	DFG
Target group	Researchers
Key goals	To give researchers in the humanities freedom and scope for development of their own research work, to provide a scientifically stimulating environment in which innovative research topics can be dealt with by discourse and debate within a small group.
Website	http://www.dfg.de/en/service/press/press_releases/2008/pressemitteilung_nr_39/index.html
Tags	Humanities Centres, Kolleg, DFG, researchers, structure, freedom

Programme title	The Academies Programme / Union of the German Academies of Sciences and Humanities (Akademienprogramm)
Start date	1979
Planned end date	Ongoing
Planned total budget	Not available
Budget 2011/2012	ca. €49m yearly
Implementing organisation	Federal Government and Laender
Target group	German national academies
Key goals	Funding of long-term research projects in the humanities and the natural sciences
Website	http://www.akademienunion.de/forschung/english.html
Tags	Academies Programme, Union, Bund, Federal Government, excellence, long-term

Programme title	Translation Function of the Humanities (Übersetzungsfunktion der Geisteswissenschaften)
Start date	2007
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	€8.5m in 2010
Implementing organisation	BMBF (PT-DLR)
Target group	Interdisciplinary research associations
Key goals	• Highlighting the scholarly expertise of 'translating' and developing this competence further in interdisciplinary work contexts • Opening up innovative areas of application for scholarly translation competence in the sense of translating theoretical knowledge into orientational and behavioural knowledge • Strengthening research in and with museums, increasing networking among museums, universities and research institutions, and enabling new alliances.
Website	http://pt-dlr-gsk.de/en/983.php
Tags	Translation Function, BMBF; PT-DLR, interdisciplinarity, innovation, collaboration

Programme title	Interaction between Natural Sciences and the Humanities
Start date	2007
Planned end date	Not defined yet
Planned total budget	Not available
Budget 2011/2012	Not available
Implementing organisation	BMBF (PT-DLR)
Target group	Researchers from the humanities and the natural sciences
Key goals	To facilitate discussion between various disciplinary cultures and enable the use of humanistic methods to interpret data and results in the natural sciences
Website	http://pt-dlr-gsk.de/en/985.php
Tags	Interaction Natural Sciences Humanities, BMBF, PT-DLR, researcher, interdisciplinarity, methods, data

2.6 SSH research infrastructures

2.6.1 National infrastructures

A major science advice body, the **German Council for Science and Humanities (Wissenschaftsrat)** supports the idea to consider not only cost-intensive equipment from life sciences and natural sciences as "research infrastructure" but also knowledge resources such as (data) archives. Taking into consideration similar recommendations on a European level, of the European Strategy Forum on Research Infrastructures (ESFRI) among others, and following a request from the Federal Ministry of Education and Research (BMBF), the Wissenschaftsrat published its recommendations on research infrastructure in the SSH [55] in 2011. In its recommendations it assesses the status quo as well as the infrastructure needed. It observes an ongoing transformation in German SSH-infrastructure: The infrastructure ceases to be auxiliary only and increasingly becomes an incubator of innovative research questions that arise from data generated within it. Digitally processed information thus opens up new possibilities of research. Given this growing importance, funding for infrastructure in the SSH should be increased with a close focus on international cooperation, especially for digitalisation, the build-up of data centers and the inclusion of "cursory" media such as websites and blogs.

Both recommendations on scientific archives as research infrastructure and on the future of library-oriented network systems can be found in the Wissenschaftsrat´s "Übergreifende Empfehlungen zu Informationsinfrastrukturen" (Comprehensive recommendations on information infrastructure) published in 2011, too [56].

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Following a request from the Joint Science Conference (GWK - Gemeinsame Wissenschaftskonferenz) the Leibniz Association (WGL) founded the commission "Zukunft der Informationsinfrastruktur (KII)" (The future of information infrastructure) in 2009 and delivered a concept for information infrastructure in Germany to the GWK in 2011. This concept was integrated into the recommendations on research infrastructure made by the Wissenschaftsrat (see above) [57].

The **Council for Social and Economic Data** (RatSWD) (www.ratswd.de) 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. In the abovenamed recommendations on research infrastructure in the SSH the RatSWD was referred to positively as a model for the organisation of infrastructure in the SSH. Following one of the recommendations of the Council for Science and Humanities, the RatSWD will be extended to cover more sub-disciplines [58].

An important part of the information infrastructure is the huge online surveys that are being carried out regularly and which provide valuable data for SSH. With the German Socio-Economic Panel Study (SOEP) and the coordination of Survey of Health, Aging and Retirement in Europe (SHARE), implemented in the European Strategy Forum on Research Infrastructures (ESFRI), Germany is already set up quite well in this area [59].

In order to foster the national SSH infrastructure, the Federal Ministry of Education and Research (BMBF) provides funding across all key areas of funding in SSH for [60]:

- Measures to improve the basis for scientific work by facilitating access to data in the social and economic sciences and enhancing scientific cooperation and communication on the path towards e-social sciences and e-humanities

- Innovative methods of reporting on trends in social developments

- Interdisciplinary research collaborations on selected present-day problems

- Approaches towards strengthening the structure of and internationalizing research in the humanities within the framework of new forms of work and discourse (for example, the international Käte Hamburger collegia).

- Developing a Modern Data Infrastructure for Internationally Competitive Research [61]

See also the BMBF`s funding line "Innovative research infrastructure for the humanities" and the 2011 funding decition "e-humanities". The BMBF currently funds infrastructure for social sciences with ca. €5 mio. and for humanities with ca. €2,5 mio. yearly [62].

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As the major funding agency in Germany, the German Research Foundation (DFG) offers centrally-coordinated funding to build and improve scientific infrastructure: Scientific Library Services and Information Systems, Scientific Instrumentation and Information Technology, Central Research Facilities. Relating to the SSH, the DFG funds projects at scientific libraries, archives and other scientific service and information centres in Germany. The aim is to set up nationwide high-performance research information systems. [63]

Furthermore, eight of the 18 institutes in the Leibniz Association`s "Interdisciplinary Network of Infrastructure Facilities" provide infrastructure for SSH. Mentionable is also the Academies Programme providing long-term funding for infrastructure projects such as editions and lexicons in the SSH (see also section 2.5). Many of the publicly funded non-university research organisations also provide important research infrastructure for the SSH, for example the Max Plank Society (MPG) or the Helmholtz Association (HGF).

Concerning the differences of infrastructure between the new and the old Laender, the 2010 Report "Research, Innovation and Technological Performance in Germany" of the Commission of Experts for Research and Innovation (EFI) states: "Twenty years after unification, Germany now has a largely uniform R&I system. The innovation potential and innovation performance in the new Laender has not yet reached the level of the old Laender, but the evident weaknesses of the eastern German university and research landscape are not fundamentally different from those of the structurally weak regions of western Germany" [64].

2.6.2 International infrastructures

As to projects for the construction of new infrastructures under FP7 that have been identified by ESFRI – the European Strategy Forum on Research Infrastructures – and listed in the European Roadmap in the field of SSH, Germany participates in all of the projects. The Digital Research Infrastructure for the Arts and Humanities – DARIAH – network for example aims at enhancing and supporting digitally-enabled research across the humanities and arts. DARIAH`s objective is to develop and maintain an infrastructure in support of ICT-based research practices, an infrastructure with a national as well as European dimension. DARIAH is a network of 10 European countries. The network`s mission is to provide researchers in the arts and humanities in Europe with a digital infrastructure to get access to and join together the information and the knowledge that is embedded in digital content. In Germany, DARIAH is financed by the BMBF, the 17 national partners are coordinated by the Goettingen State and University Library (SUB). (www.dariah.eu).

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The German institutions mainly participating in ESFRI are the following:
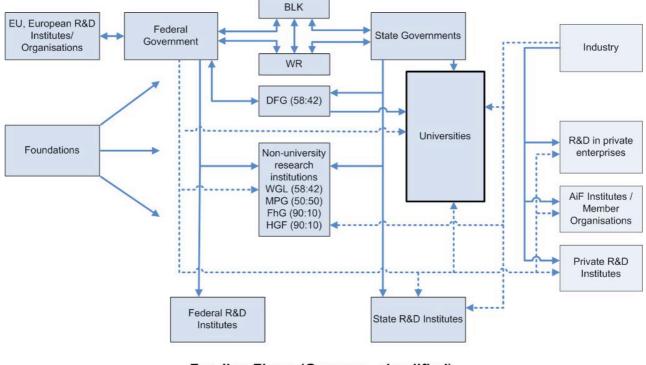
- DARIAH - Digital Research Infrastructure for the Arts and Humanities
    - <u>BMBF</u> (financing in Germany)
    - <u>Goettingen State and University Library</u> (coordination in Germany)
- CLARIN - Common LAnguage Resources and technology INitiative
    - <u>German Research Center for Artificial Intelligence</u> (as partner organisation)
    - <u>University of Tübingen</u>, Department of Linguistics (as partner organisation)
    - For network members see <u>http://www.clarin.eu/external/index.php?page=about-clarin&sub=3&sub2=0&country=Germany</u>
- CESSDA - Council of European Social Science Data Archives
    - GESIS - <u>Leibniz Institute for the Social Sciences</u> (as member organisation)
- SHARE - Survey of Health, Ageing and Retirement in Europe
    - <u>Mannheim Research Institute for the Economics of Aging (MEA)</u> (coordination)
- ESS - The European Social Survey
    - GESIS - <u>Leibniz Institute for the Social Sciences</u> (Central Coordinating Team)

The German Research Foundation (DFG) has signed an international agreement on knowledge exchange, with national funding organisations in the United Kingdom, the Netherlands and Denmark aiming to expand the information and communication technologies (ICT) in education and research. The cooperation focuses on the development of joint strategies and standard or compatible technical solutions to ensure that researchers and students have access to user-friendly scientific information systems across national borders (<u>http://www.knowledge-exchange.info</u>). Also, the DFG and the National Endowment for the Humanities (NEH) in the United States are working together to offer support for projects in the area of digital humanities [65].
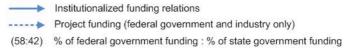
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3. Funding System

3.1 Overview of funding flows

Funding Flows (Germany, simplified)

→ Institutionalized funding relations
----→ Project funding (federal government and industry only)
(58:42) % of federal government funding : % of state government funding

The diagram 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 Laender provide a considerable share of the relevant funding. Activities going beyond the scope of a single Laender, are funded by both the Federal Government and the Laender. Significant support for SSH research is provided by the DFG, which is jointly financed by the Federal Government (52%) and the Laender (48%). The major player at the federal level is the Federal Ministry of Education and Research (BMBF). Jointly funded with the Laender are the major non-academic research organisations. The BMBF contributes to the funding of the Academies´ Programme in the humanities of the Federal Government and the Laender. 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

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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 Laender 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. The Federal Foreign Office provides in addition funding 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 Laender governments important research organisations are funded. Federal funding provided for SSH by the BMBF increased annually on average by 11% -from 43% to 57% between 2000 and 2011.

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 2003 the share amounted to 4.2%, to 4,7% in 2011. 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 4.5% in 2011.

Federal Funding provided for SSH (in million €) (2010 and 2011 are preliminary data)

	2000	2001	2002	2003	2004	2005	2006	2007
Federal funding	333.8	362.9	376.1	384.4	423.1	445.5	433.4	565.6
BMBF funding	144.1	169.2	177.7	178.2	217	212	221.9	234.1

	2008	2009	2010	2011
Federal funding	531.4	508.7	593.1	601.7
BMBF funding	251.5	268.4	331.1	343.3

Source: Bundesbericht Forschung 2006, Tab. 8a/b, Bundesbericht Forschung und Innovation 2010, Tab5.

The majority of the funding is project funding. This type of funding increased steadily since 2000, reaching double the amount in 2009, while the share of institutional funding by the Federal Government decreased from 44% to 30% in 2008, rising again to 36% in 2009. In absolute terms, project funding increased on average by 12 % annually since 2000, and institutional funding by 7%.

Institutional and project funding provided by the BMBF in SSH (in million €)

	2000	2001	2002	2003	2004	2005
Project Funding	105.057 (54%)	125.159 (57%)	134.035 (59%)	144.824 (57%)	156.896 (63%)	159.758 (62%)
Institutional funding	85.247 (44%)	89.302 (41%)	88.134 (39%)	99.642 (40%)	85.618 (34%)	87.837 (34%)

	2006	2007	2008	2009
Project Funding	154.957 (57%)	170.889 (58%)	193.193 (61%)	229.185 (61%)
Institutional funding	92.642 (34%)	95.041 (33%)	95.649 (30%)	134.088 (36%)

Note: The lacking share to reach 100 % is spent on committed international contributions
Source: Förderportal des Bundes [66], own calculations

Unfortunately, at the Laender 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 organisations. In the period 2000-2008, SSH research amounts to about 21% of the overall R&D activities of the universities. The annual growth on average amounts to 3% until 2006 and climbed to an annual growth of about 8% since 2007. The absolute amount spent by the universities on research and teaching in SSH reaches €3.6b in 2006 and €4.8b in 2008. Respectively, 17.5% of the total expenditure of the universities was on research and teaching in 2006, and 20% in 2008. In 2008, non-university scientific institutions spent €2057m in SSH; that is 17.2% of the total amount spent [67].

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 %) [68, 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 €273.6m on SSH, about 14.2% of its overall budget. This share slightly increased to 15.6% in 2009, while the total annual amount spent since 2004 increased on average by 14 % [69, 70, 71, 72, 73, 74, 75].

DFG Funding for SSH

	2004	2005	2006	2007	2008	2009
DFG funding for SSH	189.4	200.8	211.5	273.6	353.8	366,2
Share of total	**15%**	**14.6%**	**14.3%**	**14.2%**	**15.4%**	**15,6**

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 [76].

Shares of Funding of Disciplines at Universities by Various Sources

Funding provided by source in %	English studies	Business studies	Econ-omics	Educa-tional sciences	History	Socio-logy
DFG	40,6	11,3	34,2	19,1	46,4	36,9
Federal Government	8,0	31,4	10,6	23,6	7,3	19,1
Laender	10,6	5,8	6,0	13,1	9,1	9,4
Foundations	9,5	15,8	13,5	11,1	20,2	12,8
EU	7,2	7,8	10,0	11,4	2,4	7,3
DAAD	7,1	3,7	10,2	0,5	2,2	3,2
Industry	3,2	28,3	8,5	10,7	3,1	6,0
other	13,8	5,9	6,9	10,5	9,3	5,2

Source: CHE Forschungsranking 2009

3.2.2 Institutional funding

The federal government and the Laender provide institutional funding jointly. The Laender 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 organisations can be found on the ERAWATCH research inventory [77].

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, with a slight drop to 30% in 2008. In absolute terms a slight annual increase by 2% can be observed [78].

Unfortunately at the Laender 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 2000-2008 SSH research amounted to about 21% of the overall R&D activities of the universities. The annual growth on average amounts to 4%. Thus, SSH increases in the same magnitude as the total resources spent on R&D [79].

Spending by Universities and non-university institutions on SSH research (in million €)

	Universities		Non-university institutions	
	SSH	Share of total spending	SSH	Share of total spending
2000	1709,3	21%		
2001	1779,8	21%	864	12%
2002	1883,5	21%	924	13%
2003	1881,5	20%	955	13%
2004	1914,4	21%	958	13%
2005	1978,6	21%	1000	13%
2006	2026,3	21%	1089	13%
2007	2153,0	22%	1089	13%

Source: Bundesbericht Forschung und Innovation 2010; Statistisches Bundesamt (Monetäre HS-statistische Kennzahlen 2009)

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%) [80].

3.2.3 Individual funding

Until the 1960s, individual research grants dominated DFG's modes of funding. Since then, the 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 and 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 priority programmes are running in SSH.

The **Humanities Research Centres** (Geisteswissenschaftliche Zentren) 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 [81].

Centres were established for a specific time period and were institutionally funded by the federal state in which they are located. The federal state or the group of participating states provided core support. 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 59 Research Training research groups are funded in SSH.

Collaborative Research Centres are long-term university research centres in which scientists work together within an interdisciplinary research programme. 26 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, 40 research units are operating.

3.3 Private research funding

More than two thirds of annual funding invested in research in Germany comes from the private sector. These funds are spent both on the companies' own research as well as on joint projects with partners from science. The research conducted in this sector is very application-oriented in nature and is aimed directly at utilisable results. Basic research plays a minor role in this sector [82]. 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) (Source: Eurostat). Unfortunately data on resources devoted to SSH is not available. According to a recent survey of the Stifterverband, the business community's innovation agency for the German science system, the German business sector is raising its R&D expenditure by 4.4% in 2010 and in 2011 [83].

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 [84].

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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** (www.volkswagenstiftung.de) 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.

	Total Funding (in mio €)	SSH (in million €)	Share SSH on total
2000	60,7	22,8	37,6%
2001	62,0	25,1	40,5%
2002	60,3	20,7	34,3%
2003	51,7	22,9	44,3%
2004	49,2	21,8	44,3%
2005	50,7	15,7	31,0%
2006	53,4	21,8	40,8%
2007	51,4	23,5	45,7%
2008	57,6	30,6	53,1%
2009	44,9	23,4	52,1%
2010	53,6	23,3	43,5%

Source: Annual Reports of the Volkswagenstiftung 2000 to 2010, own calculations

The **Gerda-Henkel-Foundation** (www.gerda-henkel-stiftung.de) is specifically focussing on SSH. The foundation provides project funding in the areas of History, Archaeology, Art History and other historical disciplines. In 2010 333 scientific projects were funded with €6.9 million. In 2010 the foundation launched its online portal L.I.S.A. - The Science Portal of The Gerda Henkel Foundation. L.I.S.A. wants to provide comprehensive topic files, invite young academics to online lectures and expert discussions, offer a platform for video articles from everyday academic life, stimulate professional discussions and create a public for book reviews, exhibition criticism and event announcements.

The **Fritz-Thyssen-Stiftung** (www.fritz-thyssen-stiftung.de) 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,

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

	2000	**2001**	**2002**	**2003**	**2004**	**2005**	**2006**	**2007**	**2008**	**2009**
Projects	9,4	9,3	7,9	2,7	10,1	9,0	13,9	11,4	12,3	9,6
Grants	0,7	0,6	0,5	0,5	0,6	0,7	0,8	0,9	1,6	1,0
Total	10,1	9,9	8,4	3,2	10,7	9,7	14,7	12,3	14,0	10,6

Source: Annual reports of the Fritz-Thyssen-Stiftung 2000 to 2010, own calculations.

The **Robert Bosch Stiftung** (www.bosch-stiftung.de) 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** (www.stiftung-mercator.de) 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 €4,6 million in 2006; in 2008 it reached €6,5 million and in 2010 the budged amounted to a total of €19 million [85].

3.5 European and international funding

Funding provided by the EU is of increasing importance, according to the CHE data [86], 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 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 (see also section "Impacting Factors. Relevance of European SSH Research").

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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 are probably the Bertelsmann Stiftung (www.bertelsmann-stiftung.de).

Links to all German universities can be found via: http://www.forschungsinfo.de/iq/institutionen/Uniliste_men.asp

4.2 Higher Education Institutions

4.2.1 HEIs as education performers

In 2004/2005, 1.96 million students were registered at German higher education institutions (the majority at public universities and univerities of applied sciences, see also section 4.1. "Overview of performers",, among them 56.5% in SSH related subjects. In 2009/2010 2.12 million students were registered, 54,8% of them in SSH. By subject area this divides into around 417.000 students in cultural sciences and linguistics in 2004/2005 and around 412.000 in 2009/2010; in social sciences, business and law about 611.000 students in 2004/2005 and 668.000 in 2009/2010, plus 81.000 students in arts in 2004/2005 and 81.500 in 2009/2010. (Source: 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 and 80.896 in 2008. 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 and 109.241 persons in 2008. The total number of SSH tertiary graduates thus doubled from 94.088 in 2000 to 190.137 whilst their percentage of the total rose from 31% in 2000 to 41% in 2008. (Source: Eurostat/CRISmetris)

There are no reliable data available on the total number of postgraduate students in Germany. The number of doctorates awarded in SSH related fields remains rather constant at 6.252 persons in 2000 and 6.432 in 2009 (out of a relatively constant total of about 25.000). Thus about 25% of all doctorates awarded in Germany yearly relate to the SSH [87].

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4.2.2 HEIs as research performers

In 2000 the expenditures for R&D by HEIs amounted to €8,1 million, in 2006 a total of €9,4 million was spent, in 2009 the expenditure had rosen to 11,7 million. The share of SSH expenditures remained stable at 20% until 2006. In 2000 100.674 persons were employed in R&D at HEIs. This number decreased to 96.758 in 2006 before rising again to 113.000 employees in 2009 [88]. The share of SSH staff remained constant over the years and amounts to 23%. The share of the SSH graduates was 54% in 2000 (of a total of 214.473) and 56% in 2007 and 2009 - out of a total number of graduates of 286.391 in 2007 and 338.656 in 2009. Thus the share of SSH graduates stayed constant while their total number rose from 115.982 in 2000 to 338.656 in 2009. [89]

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) in 2005-2007 were:

- Freie Universität Berlin (€54,7 mio)
- Universität Heidelberg (€33,3 mio)
- Universität Münster (€33,1 mio)
- Humboldt Universität Berlin (€30,8 mio)
- Universität Konstanz (€24,3 mio)
- Universität Tübingen (€22,9 mio)
- Universität Frankfurt/Main (€22,6 mio)
- LMU München (€21,0 mio)
- Universität Bielefeld (€16,0 mio)
- Universität Köln (€15,2 mio)

In the social and behavioral sciences these are:

- Universität Mannheim (€15,9 mio)
- Universität Konstanz (€15,7 mio)
- Humboldt Universität Berlin (€15,2 mio)
- LMU München (€14,1 mio)
- Universität Bielefeld (€13,9 mio)
- Freie Universität Berlin (€12,8 mio)
- Universität Bonn (€12,1 mio)
- Universität Frankfurt/Main (€11,7 mio)
- Universität Bremen (€11,0 mio)
- Universität Tübingen (€10.1 mio)

[90]

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An interactive "research map" presents institutions, including HEI institutions, which are funded by the BMBF in the humanities: http://www.bmbf.de/de/Landkarte-Geisteswissenschaften.php. Another map provided by the BMBF represents those institutions actively involved in studies in the area of "Innovation and technology analyses. Strategies for research policy": http://www.bmbf.de/de/5331.php. Initiated by the Hochschulrektorenkonferenz and funded by the BMBF, the "Arbeitsstelle kleine Fächer" (the office for small subjects) at the University of Potsdam documents and maps the small subjects at German universities, most of which belong to the SSH (www.kleinefaecher.de).

The Hochschulrektorenkonferenz (German Rectors' Conference) (HRK) (www.hrk.de) is the voluntary association of state and state-recognised universities and other institutions of higher education in Germany. It currently has 266 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 Laender 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 organisations are relevant actors in the SSH in Germany:

Stiftung Wissenschaft und Politik (SWP; German Institute for International and Security Affairs), www.swp-berlin.org

Research emphases include:

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

Deutsches Archäologisches Institut (DAI; German Archaeological Institute) www.dainst.de

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) www.bib-demographie.de

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) www.baua.de

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)** www.iab.de

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 (Max Rubner-Institut [MRI]; Federal Research Centre for Nutrition and Food) http://www.mri.bund.de/

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) www.bfr.bund.de

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) www.sowi.bundeswehr.de

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) www.dji.de

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 Laender.

– 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) www.dza.de

- 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.) www.iss-ffm.de

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) www.bzga.de/studien

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)
www.bbr.bund.de

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) www.bibb.de

Research emphases include:

– Mobility pathways and career paths for vocationally qualified persons

– New occupations – new areas of employment

– Individualisation and differentiation of vocational training, via curricular, organisational and didactic measures

The **Max Planck Society** (www.mpg.de) 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 €117m, and €210.4m in 2010, which constitutes a share of 13% of the total [91].

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, Munich

• MPI Collective Goods, Bonn

• MPI for Intellectual Property, Munich

• 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, Munich

- 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, Cologne

The WGL (Science Association Gottfried Wilhelm Leibniz) (www.wgl.de/) is a scientific organisation 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 [92]. The WGL total budget in 2008 amounted to €1.123m. For SSH, the budget in Section A -Humanities and educational research-, amounted €133.97m, and in Section B -Economic and Social Sciences-, to €157.73m. [93]

The following WGL-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)

- Georg-Eckert-Institut für internationale Schulbuchforschung (GEI)

- 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)

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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 Laenderkunde, 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 (www.fhg.de) undertakes applied research of direct utility to private and public enterprise and of wide benefit to society. The work is organised in more than 80 research units, including 60 Fraunhofer Institutes, at 40 different locations in Germany. The Fraunhofer-Gesellschaft's annual research budget is €1.66b in total. Of this sum, €1.4b is generated through contract research. Its work is characterised 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** (infas, www.infas.de) 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 (www.tns-emnid.com) 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, www.forsa.com) 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** (www.ifd-allensbach.de) 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** (www.gfk.com) 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** (www.bertelsmann-stiftung.de) 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 [94].

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% (data from metris). Further results exist within the analyses for the CHE research ranking (cf. 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 [95]. 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 [96]. The main focus in international cooperation in the humanities fostered by the BMBF/IB is intercultural comparative research and the protection of cultural assets. The funding line "Strengthening and advancing area studies" also supports close collaboration with researchers from other countries [97]. A second key area is migration and social integration [98]. 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 deserves to be mentioned [99].

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 [100].

In 2011 the Gerda Henkel Foundation announced its involvement in the funding initiative co-financed by the European Commission under the EU's Seventh Framework Programme for Research, the Marie Curie Fellowships in the M4HUMAN (Mobility for experienced researchers in historical humanities including Islamic studies) programme, aimed at supporting outstanding scholars.

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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 (for further information see [101]).

According to a survey on the international positioning of the SSH in Germany, published by the German Higher Education Information System (HIS) in 2010, individual researchers in SSH in Germany cooperate mainly with SSH researchers in the USA (43%), the UK (30%) and France (23%), followed by Austria (20%) and Switzerland and Italy (16%). Cooperation with all other countries is beneath 10% [102].

Some important ongoing SSH programmes with international cooperation by various funding agencies are (for more detail on the programmes see also section 2.5):

- DARIAH - Digital Research Infrastructure for the Arts and Humanities (BMBF, European partner network, 2011-2014)

- Indian- European Social Sciences Network (DFG, since 2011)

- Open Research Area in Europe for the Social Sciences (DFG and ANR/France, ESRC/UK, NOW/Netherlands, since 2010)

- The Martin Buber Society of Fellows in the Humanities at the Hebrew University (BMBF, since 2010)

- Europe seen from the outside - Promoting young researchers in the humanities (BMBF/DLR, since 2009)

- Digital Humanities (DFG and NEH (USA), since 2008)

- Programme Point Sud (DFG, since 2008)

- German-French Funding agreement for the humanities and social sciences (DFG and ANR/France, since 2007)

- International Käte-Hamburger collegia (BMBF, since 2007)

- Humanities in social dialogue (BMBF/DLR, since 2005)

- German-Russian collaboration in the SSH (DFG, since 2005)

- Key issues in the humanities (Volkswagenstiftung, since 2004)

4.5.3 Main prizes

Prize 1:

Gottfried Wilhelm Leibniz Prize (http://www.dfg.de/en/funded_projects/prizewinners/leibniz_prize/index.html) 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 milliom per award. The prize is also open to non-nationals working at German institutions.

Prize 2:

The Heinz Maier Leibnitz Prize (http://www.dfg.de/en/research_funding/programmes/prizes/maier_leibnitz_prize/index.html) 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 (http://www.gerda-henkel-stiftung.de/ghs_preis.php?language=en&nav_id=262) 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 (www.fritz-thyssen-stiftung.de) 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 (www.stifterverband.de) 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 prizewinners earn considerable attention from the scientific community, and help make scientists more aware of the importance of dialogue.

Prize 6:

Prize "Gesellschaft braucht Wissenschaft" (The Public Needs Science) (www.stifterverband.de) is awarded by the Stifterverband jointly with the Leibniz Association. It is dotated with € 50.000 and awarded every two years for excellent research with high social relevance and characterised by very good feasibility.

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