

Wilhelm Krull

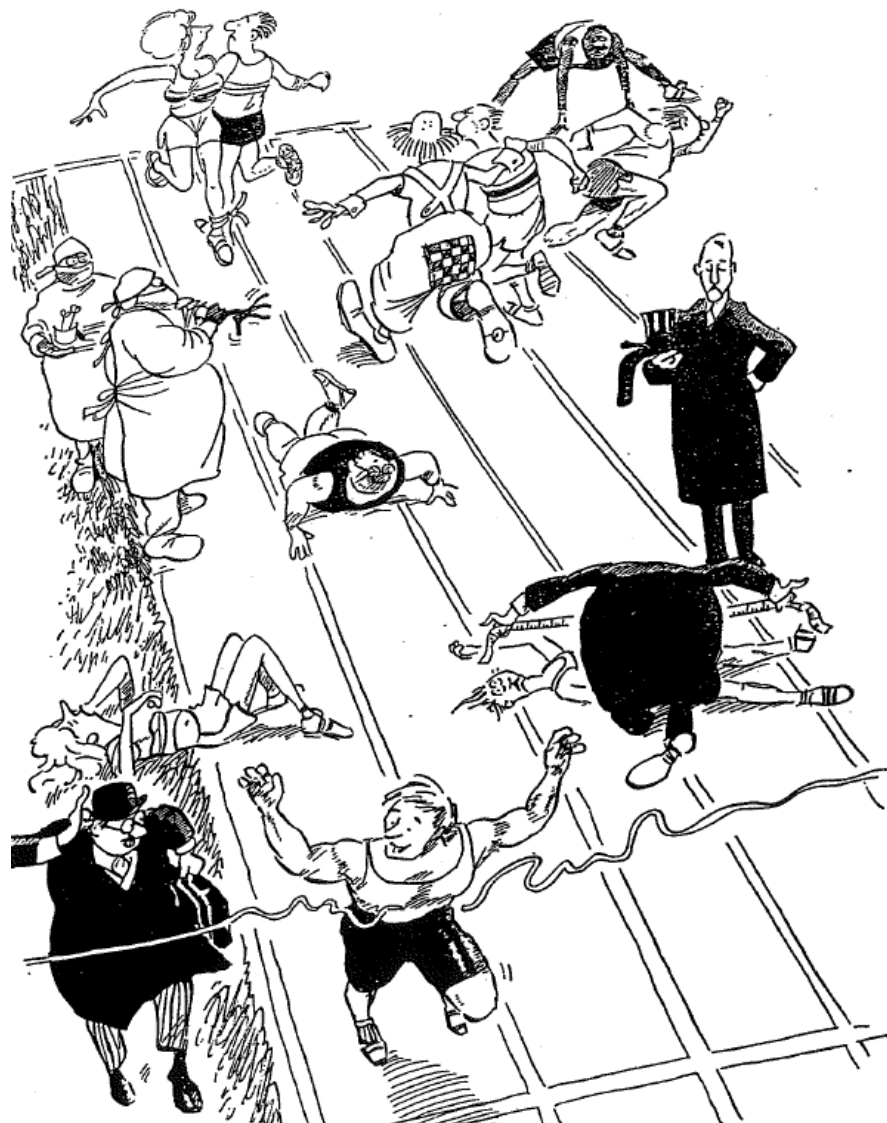
The Politics and Policies of Evaluation in a Multi-Level Research System

International Evaluation Conference, Vienna, 14 November 2013

Content

1. **Policy Cycles, Governance Issues, and Quality Assurance**
2. (Mis-)Measurement of STI
3. Plea for a High Trust Culture of Creativity and What Private Foundations Contribute
4. The Way Ahead





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1. Policy Cycles, Governance Issues, and Quality Assurance
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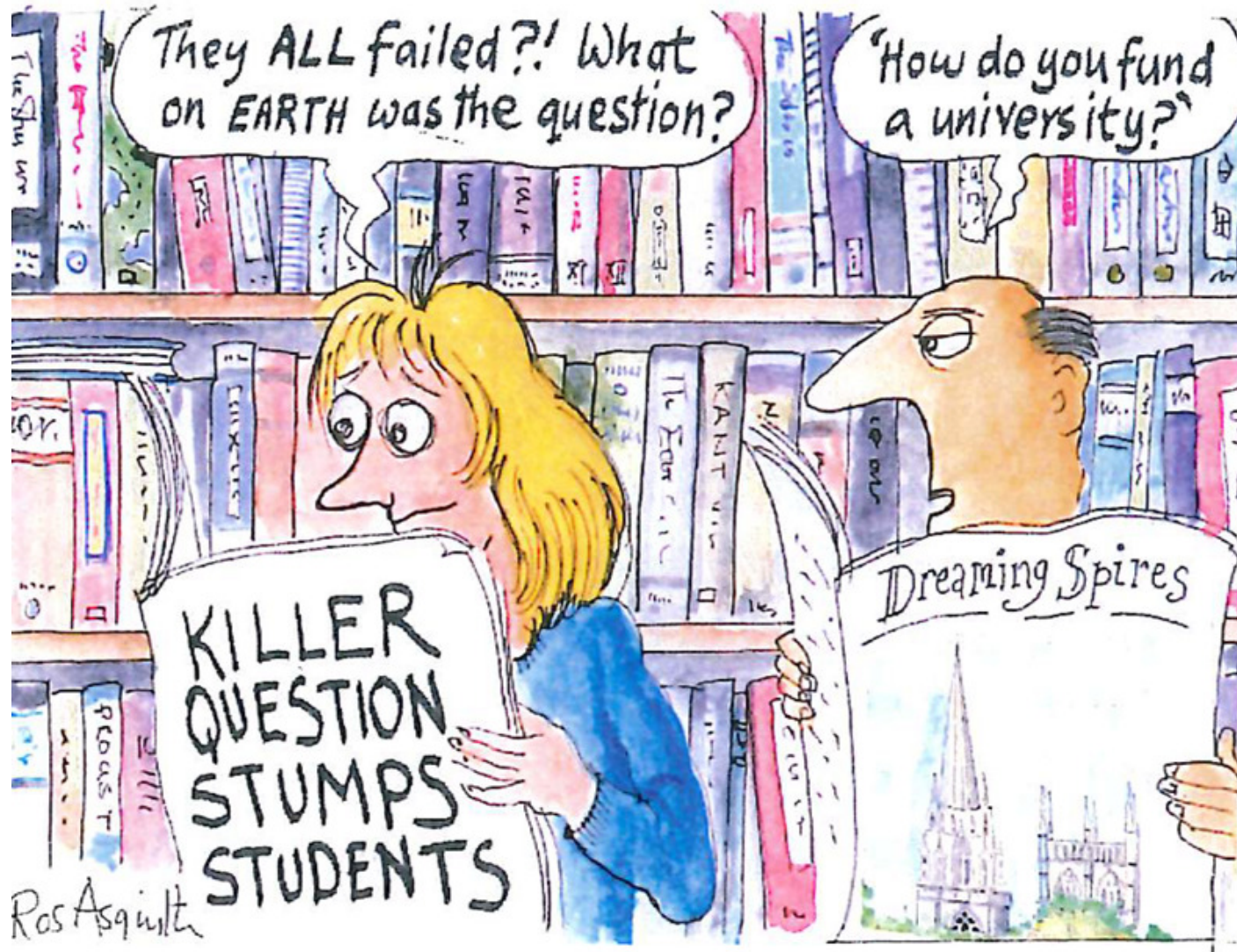
The European Innovation Union

- One of the **seven flagship initiatives** of the Europe 2020 strategy for a smart, sustainable, and inclusive economy.
- Contains **over thirty action points**, with the aim to:
 - make Europe into a world-class science performer;
 - remove obstacles to innovation;
 - revolutionize the way public and private sectors work together.
- **Horizon 2020**: the financial instrument implementing the Innovation Union. Running from 2014 to 2020 with an €80 billion budget.

**Will we ever
invent anything this
useful again?**



Economist, 12th-18th Jan. 2013



Assessment methods



Anglo-American Excellence – The THES Ranking 2011/12

World University Rankings 2011-2012			
Rank ▼	Institution	Location	Overall score change criteria
1	California Institute of Technology	United States	94.8
2	Harvard University	United States	93.9
2	Stanford University	United States	93.9
4	University of Oxford	United Kingdom	93.6
5	Princeton University	United States	92.9
6	University of Cambridge	United Kingdom	92.4
7	Massachusetts Institute of Technology	United States	92.3
8	Imperial College London	United Kingdom	90.7
9	University of Chicago	United States	90.2
10	University of California, Berkeley	United States	89.8

Source: <http://www.timeshighereducation.co.uk/world-university-rankings/2011-12/world-ranking>

Shanghai Ranking 2012

Statistics by Region

Statistics by Region						
Region	Top 20	Top 100	Top 200	Top 300	Top 400	Top 500
Americas	17	57	95	130	162	182
Europe	2	31	75	123	158	202
Asia	1	7	22	35	60	88
Oceania	—	5	8	11	18	24
Africa	—	—	—	1	2	4
Total	20	100	200	300	400	500

Source: <http://www.shanghairanking.com/ARWU-Statistics-2012.html>



A critical and detached look at the objectives and how they are being met

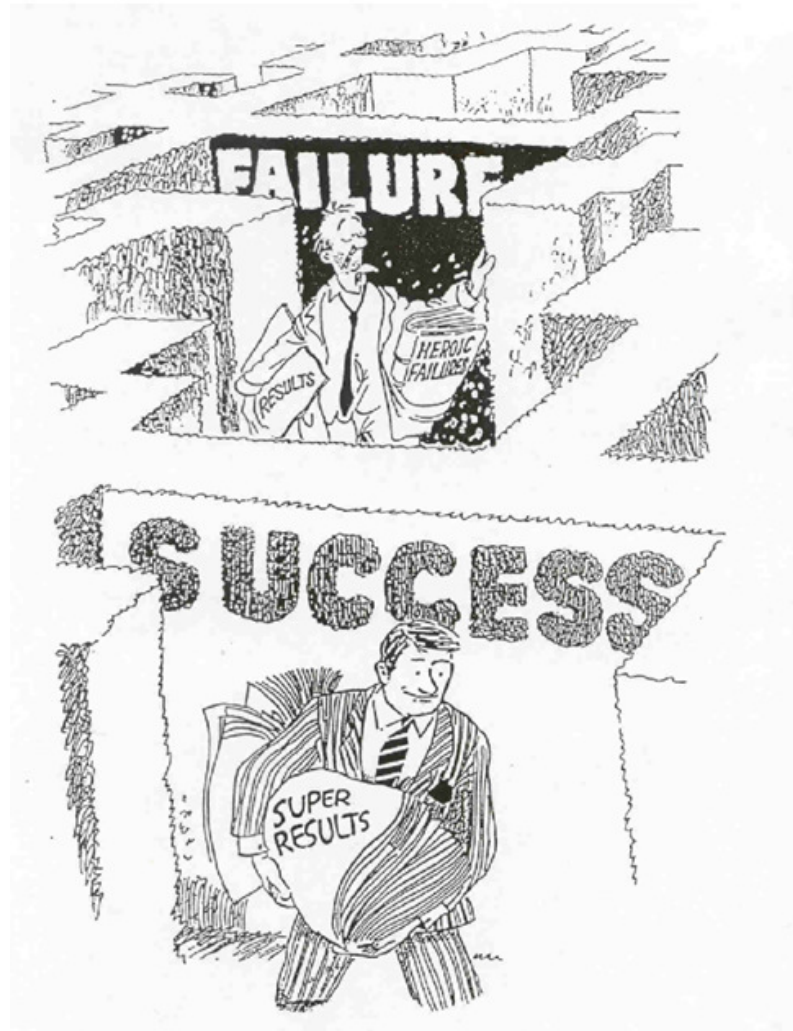
Denominators for Excellence

- Long-term support and tenure opportunities based on previous experience and tradition in supported institutions;
- Existing strengths of respective institutions shall be reflected in poles of excellence;
- Cooperation with broad range of non-university actors and institutions as local and regional partners and supporters;
- Strong governing body shall be established guaranteeing sound conceptual, strategic, and communicative operations;
- Active participation in crucial strategy development and review processes;
- High priority to support scientific talent and early-career researchers in qualitative and quantitative regard;
- State-of-the-art infrastructure: libraries, IT facilities, etc.



Dear Colleague, you will never get
to the top of the ranking without a
certain sex appeal!

Success and Failure in the Labyrinth of Research

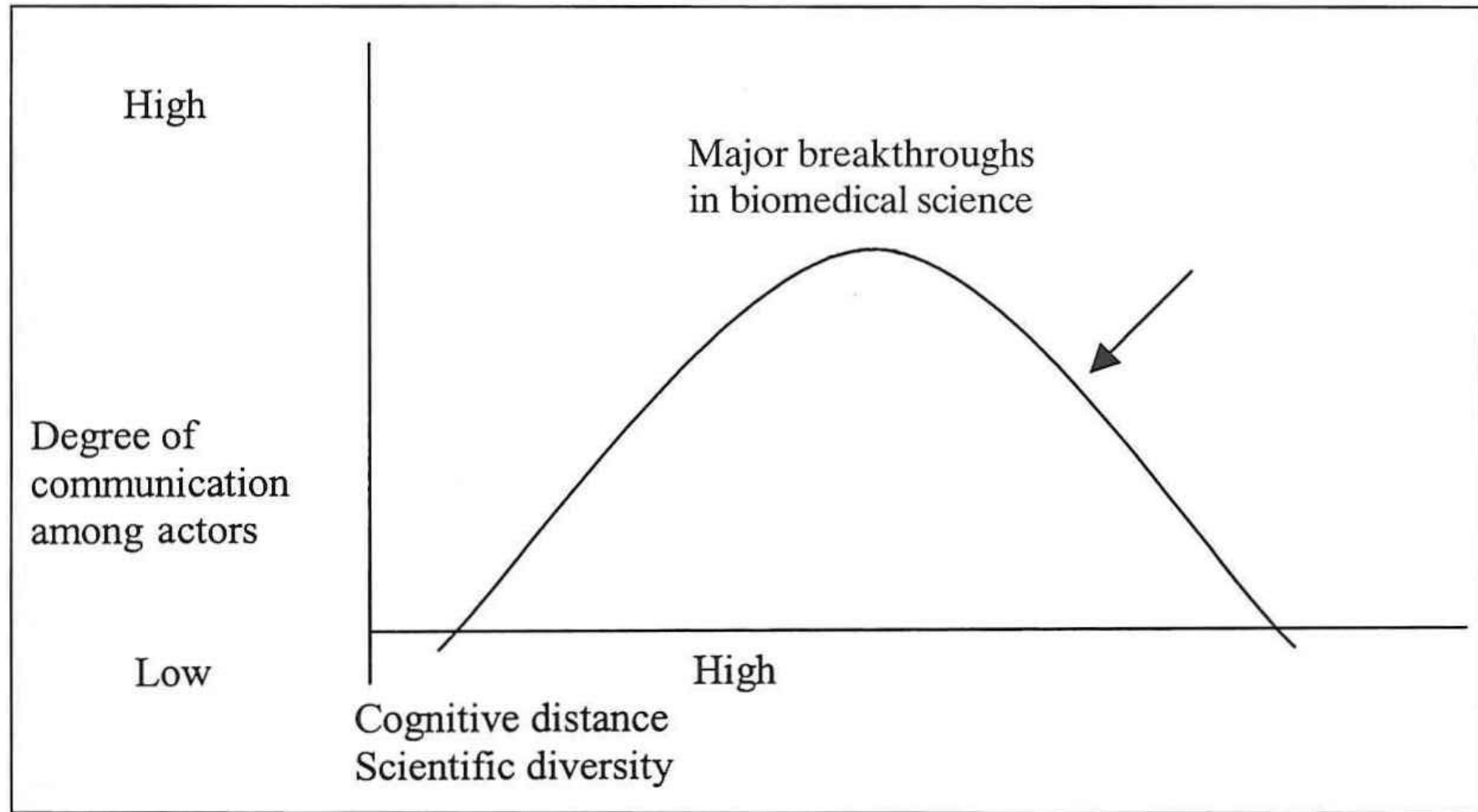


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Rogers Hollingsworth: Diversity and Communication



Model of the Seven 'C's

- 1. Competence**
- 2. Creativity**
- 3. Commitment**
- 4. Communication**
- 5. Co-operation**
- 6. Continuity**
- 7. Centers/Clusters**

Fostering Individual Creativity and Research Success

Howard Hughes Medical Institute (USA)

HHMI Investigators

MacArthur Foundation (USA)

MacArthur Fellows Program

Wallenberg Foundation (Sweden)

Wallenberg Academy Fellows

Volkswagen Foundation (Germany)

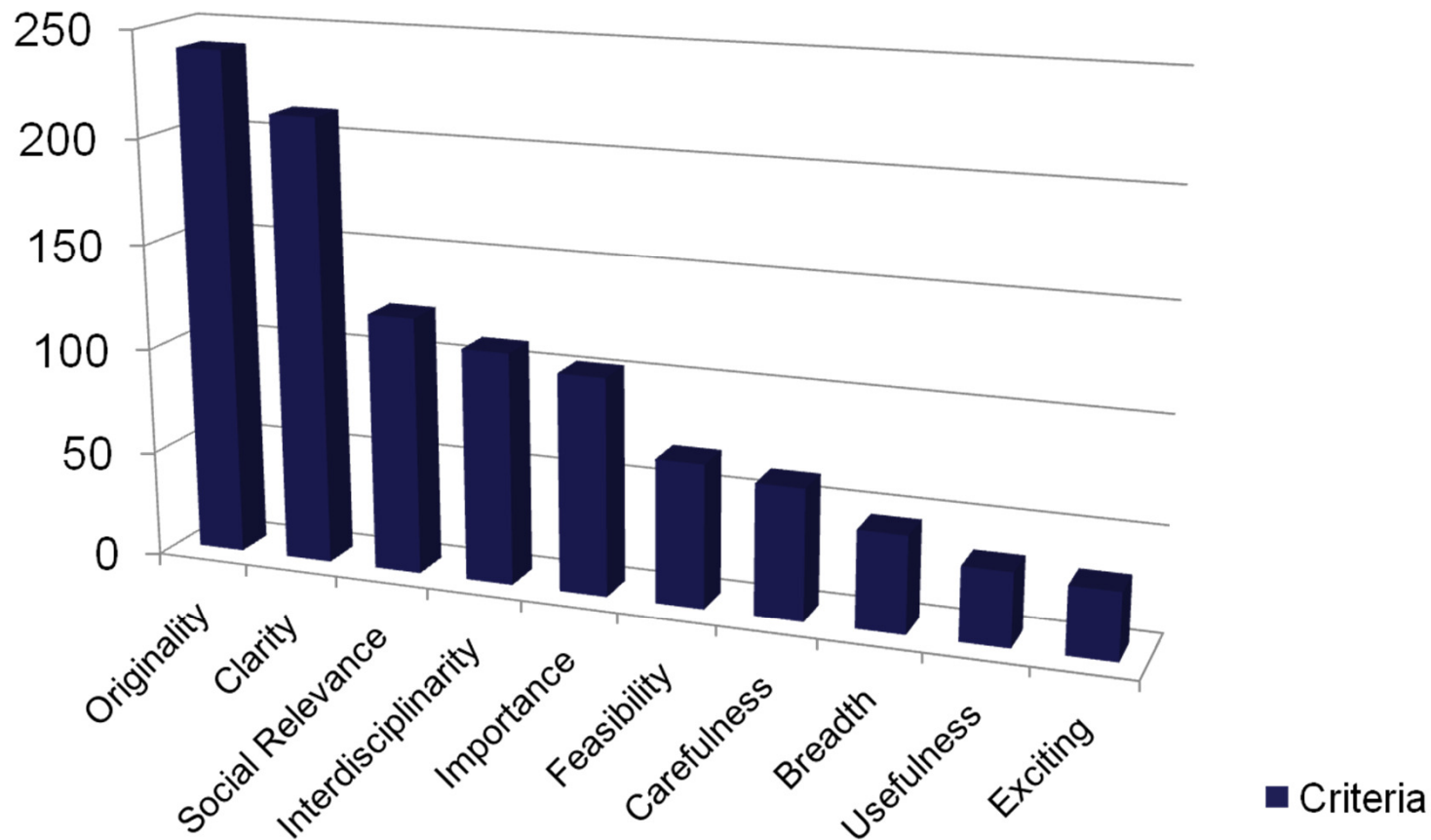
Freigeist Fellowships and Lichtenberg Professorships

Wellcome Trust (Great Britain)

Investigator Awards

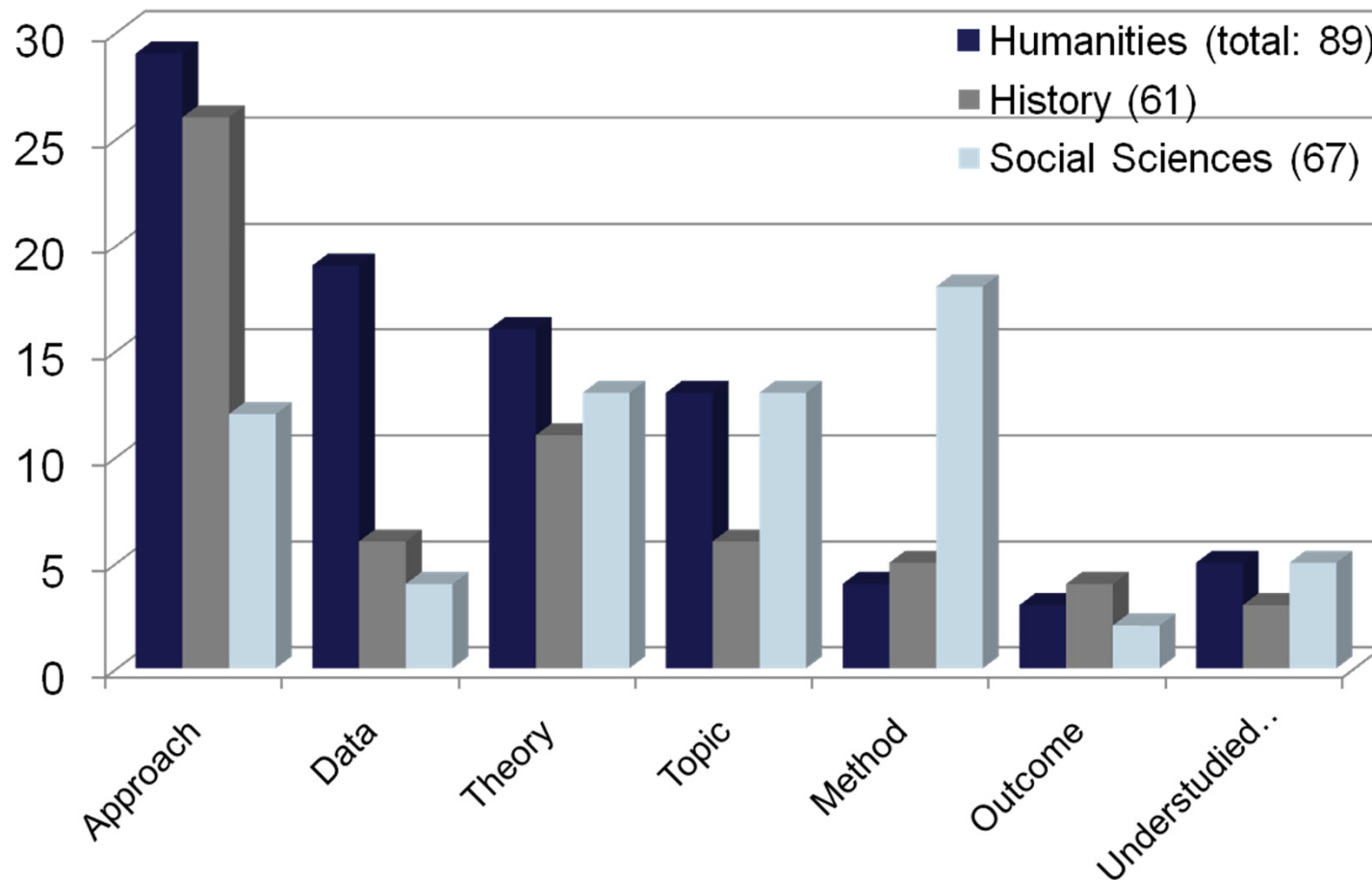
Criteria for Positive SSH Evaluation

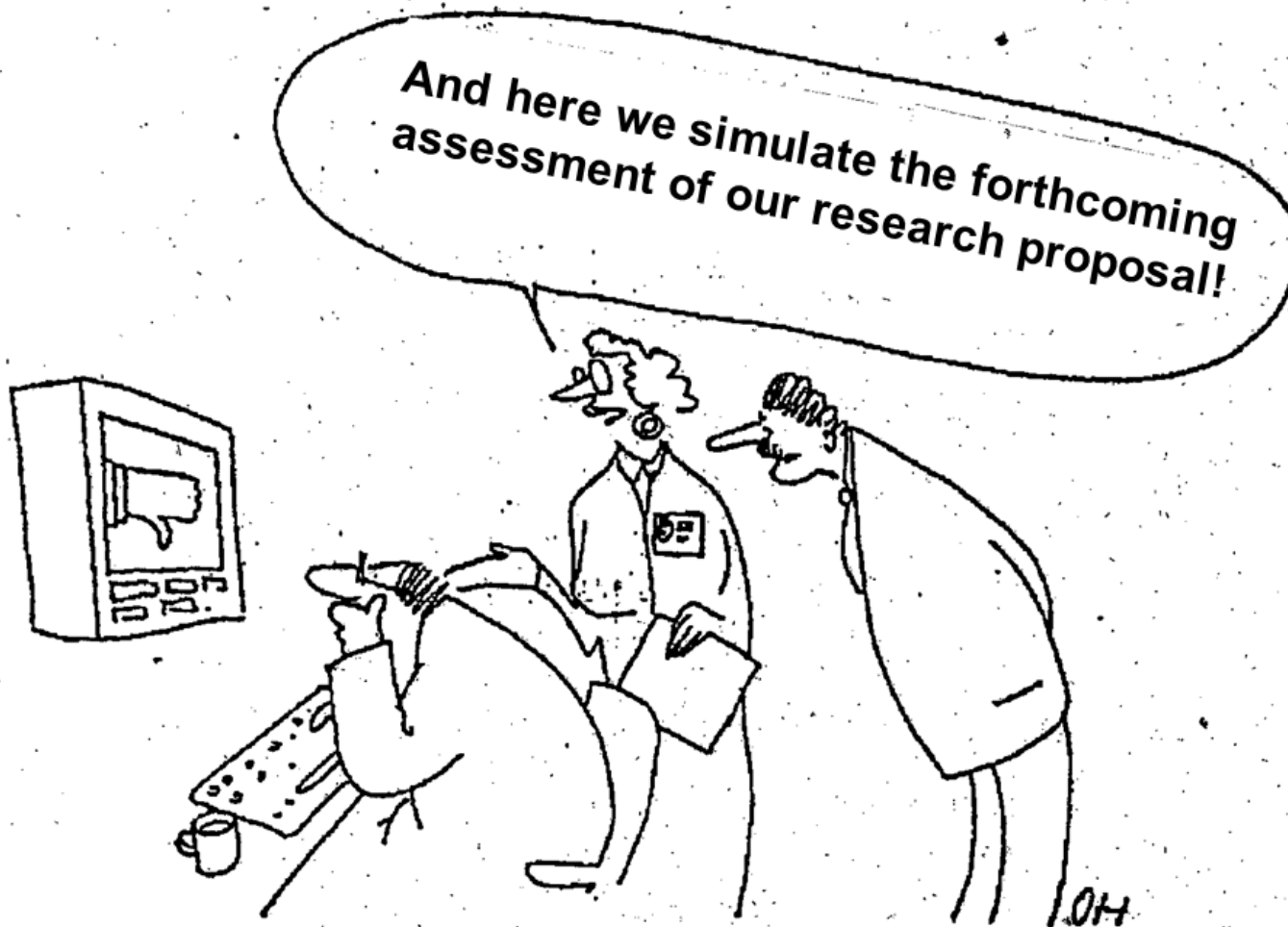
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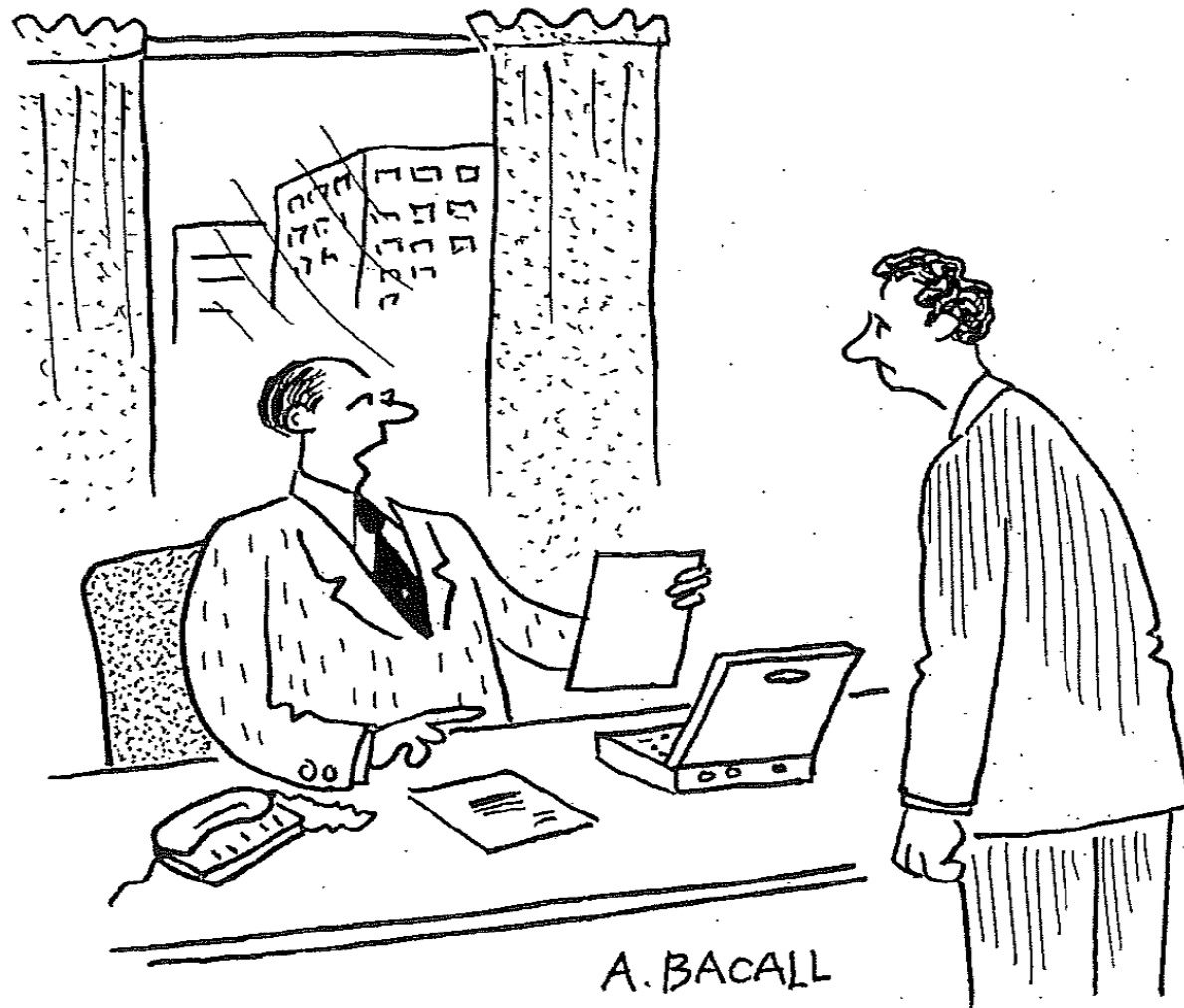
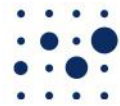


Generic Definitions of Originality by Discipline

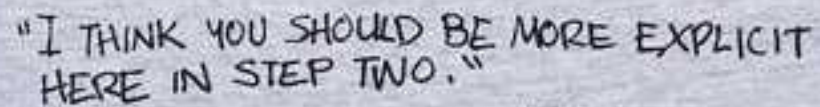
Times mentioned



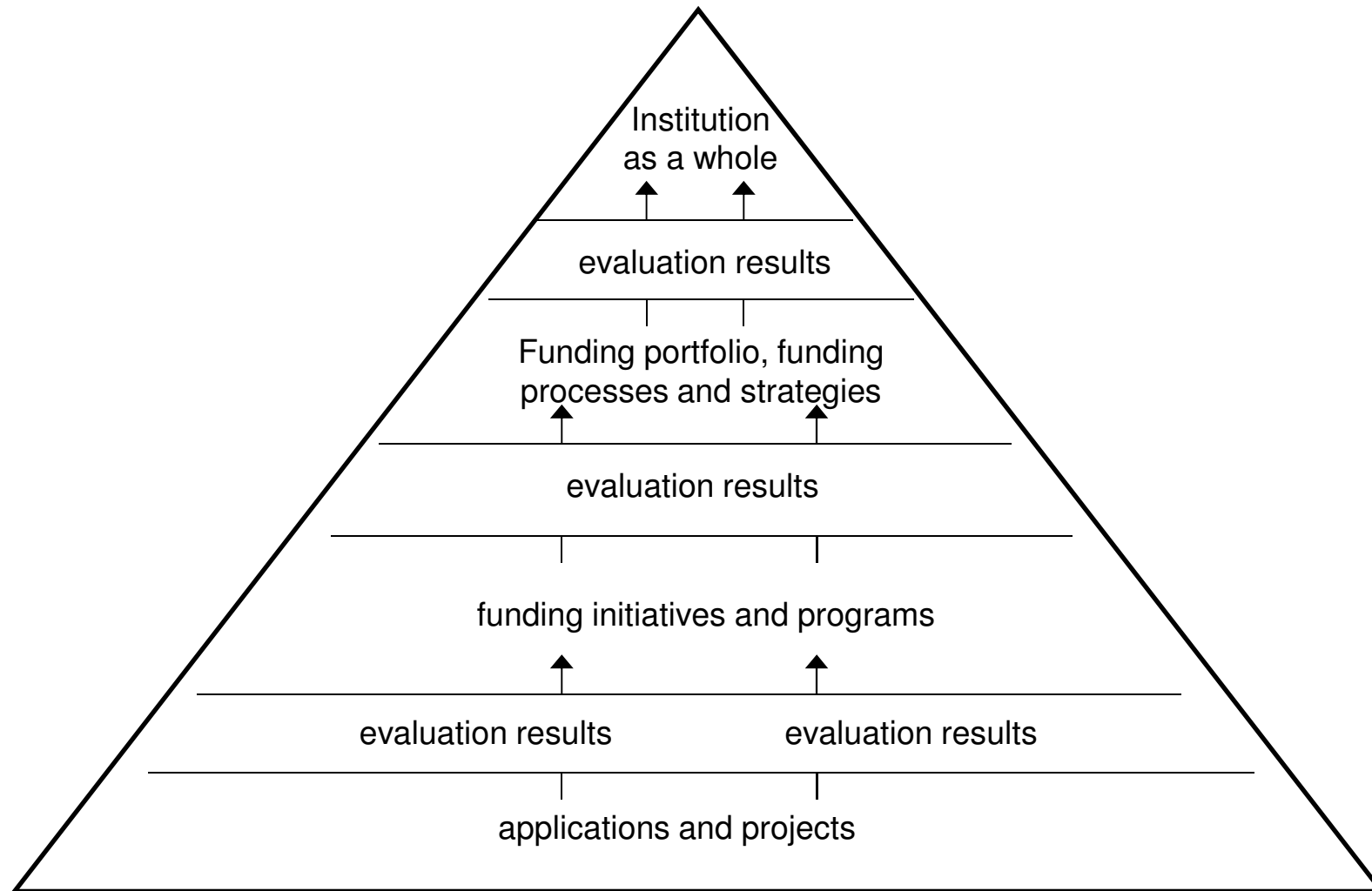




"Your proposal is innovative. Unfortunately, we won't be able to use it because we've never tried something like this before."

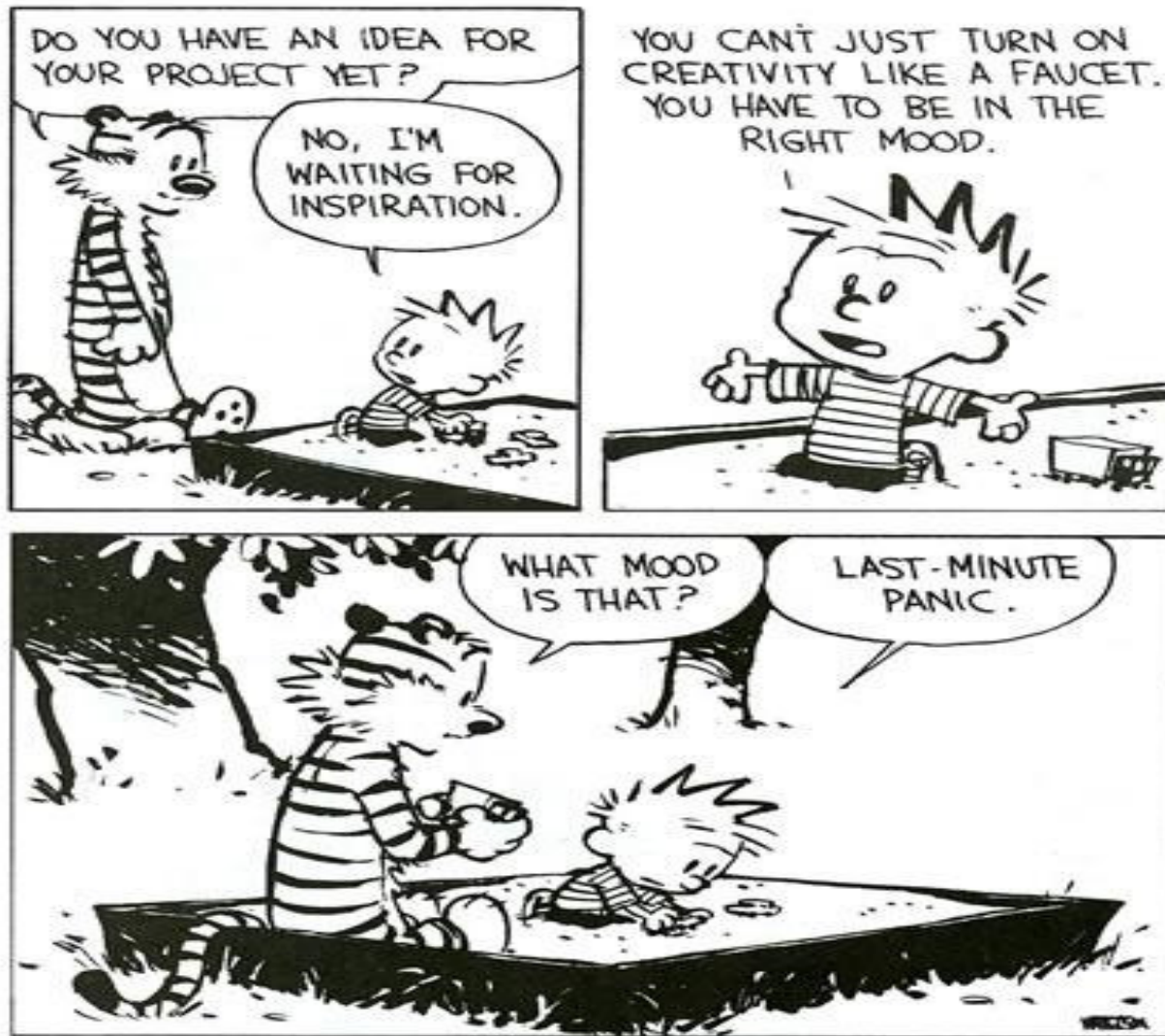


The Evaluation Pyramid



And what does the Volkswagen Foundation do?

- **Key Issues for Academia and Society**
- **Experiment! – In Search of Bold Ideas**
- **Off the Beaten Track (Offen – für Außergewöhnliches)**
- **Lichtenberg Professorships**
- **Dilthey / Schumpeter Fellowships**
- **Freigeist Fellowships**
- **Peter Paul Ewald Fellowships**
- **Post-doctoral Fellowships in the Humanities at Universities and Research Institutes in the U.S. and in Germany**



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OCTOBER 19TH-25TH 2013

Economist.com

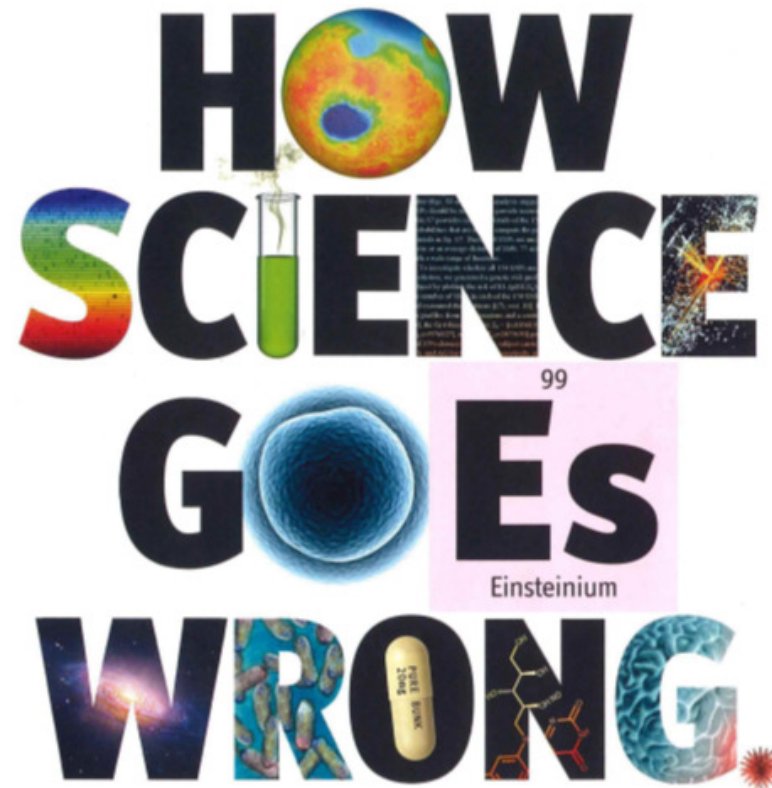
Britain's angry white men

How to do a nuclear deal with Iran

Investment tips from Nobel economists

Junk bonds are back

The meaning of Sachin Tendulkar





Thank you for your attention!

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