



Evaluation of STI policies, instruments and organisations: new horizons and new challenges

Techgate Vienna, Austria

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Friday, November 15<sup>th</sup>

***Expectations on the long-term impact of research  
fellowships from a political and an evaluation perspective:  
challenges and limits to measure side-effects***

## Challenges and limits to measure side-effects :

- definition of side-effects
- relation between main effects and side-effects
- measurement of side-effects
- lessons learnt from two evaluation projects

# The Alexander von Humboldt Foundation

Connecting academic excellence worldwide

Knowledge transfer and cooperation at the highest level



# The Humboldt Foundation's intervention

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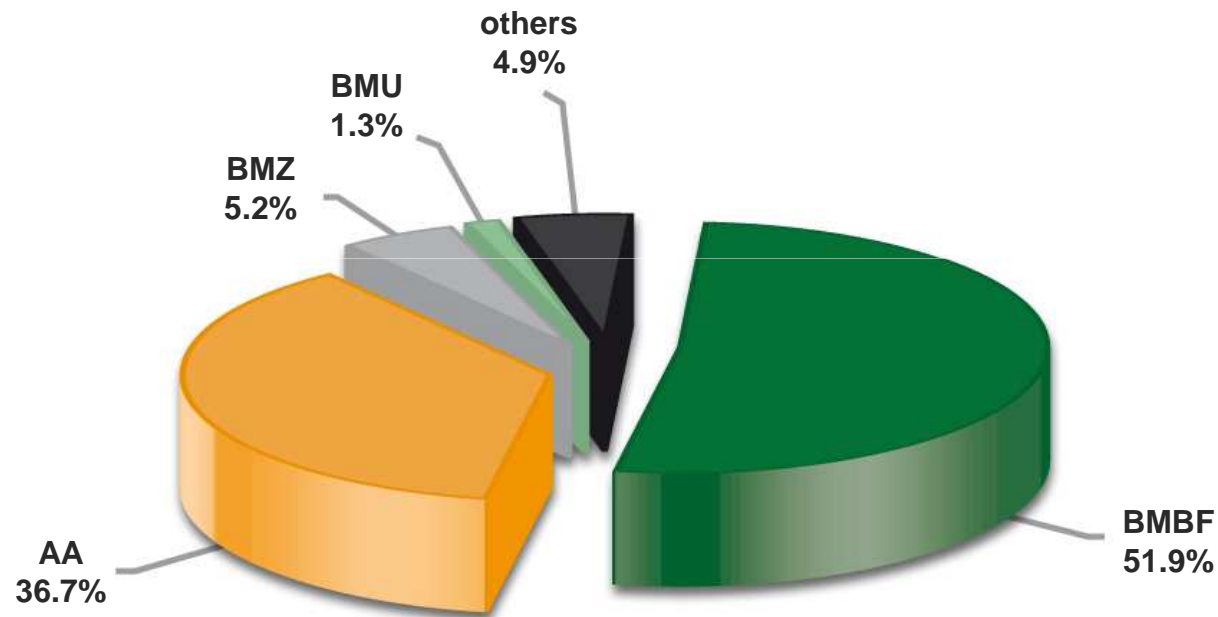
- sponsorship of international academics as part of foreign cultural, educational policy and development cooperation
- impetus for the research location Germany by promoting individuals
- sole selection criterion: academic excellence
- no quotas for countries or disciplines
- exception: Georg Forster Fellowship Programme (developing countries, research project must address issues of significant relevance to the further development of the country of origin)



## The Humboldt Foundation's funding

Budget for 2012: approx. 101 million EUR

Financed by federal funds: approx. 96%

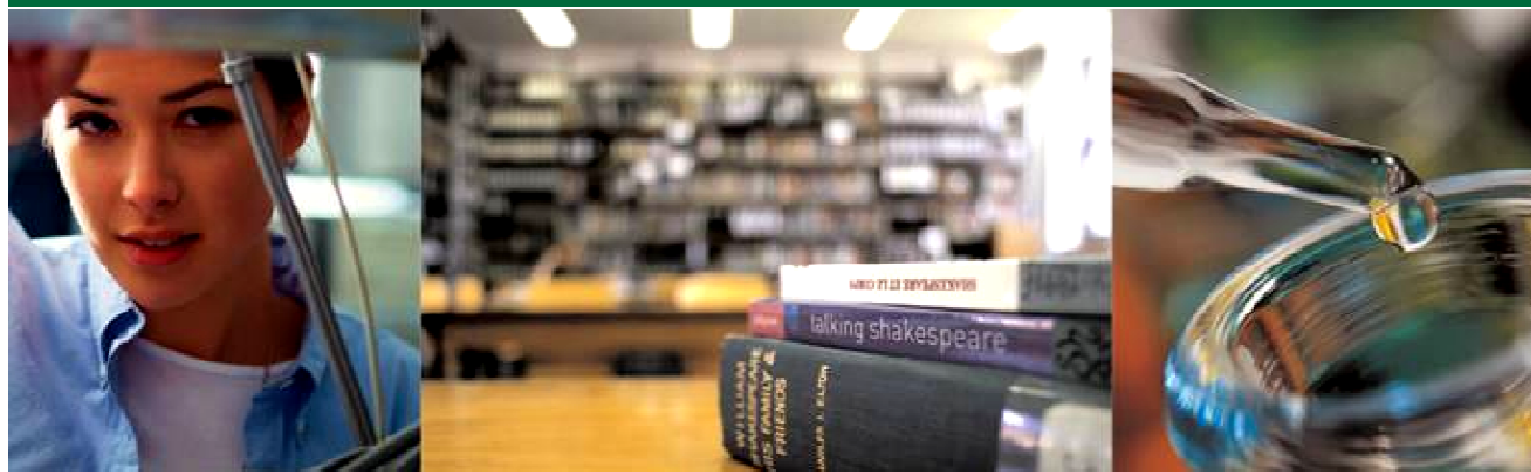


AA: Federal Foreign Office  
BMBF: Federal Ministry of Education and Research  
BMZ: Federal Ministry for Economic Cooperation and Development  
BMU: Federal Ministry for the Environment, Nature Conservation and Nuclear Safety



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# Sponsorship Opportunities offered by the Alexander von Humboldt Foundation



# Key sponsorship programmes at a glance

<div>Origin</div> <div>Career stages</div>	Academics from abroad	Academics from Germany
<b>Postdoctoral researchers</b> (up to 4 years after completion of doctorate)	<ul style="list-style-type: none"> <li>● Humboldt Research Fellowship</li> </ul>	<ul style="list-style-type: none"> <li>● Feodor Lynen Research Fellowship</li> </ul>
<b>Experienced researchers</b> (up to 12 years after completion of doctorate)	<ul style="list-style-type: none"> <li>● Georg Forster Research Fellowship</li> </ul>	
(up to 18 years after completion of doctorate)	<ul style="list-style-type: none"> <li>● Friedrich Wilhelm Bessel Research Award</li> </ul>	
<b>Internationally renowned academics</b>	<ul style="list-style-type: none"> <li>● Humboldt Research Award</li> <li>● Anneliese Maier Research Award</li> <li>● Max Planck Research Award</li> <li>● Alexander von Humboldt Professorship</li> </ul>	<ul style="list-style-type: none"> <li>● Max Planck Research Award</li> </ul>

# Alumni sponsorship and international networking

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- more than 25,000 Humboldtians in over 130 countries:  
“Once a Humboldtian – always a Humboldtian“
- Alumni sponsorship and international networking through e.g.
  - further research stays
  - Research Group Linkage Programme
  - Humboldt Colloquia and Kollegs
  - Humboldt Alumni Associations
  - Humboldt Alumni Award





## Definition of „side-effects“?

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- Humboldt Fellowship Programme (Federal Foreign Office):
  - flagship-programme (around 500 fellowships per year)
  - first programme after second world war
  - adress intellectual elite worldwide
  - important careers inside and outside academia





## Definition of „side-effects“?

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- Georg Forster Fellowship Programme (Federal Ministry for Economic Cooperation and Development)
  - started in the 90-ties
  - around 60 fellowships per year
  - addresses development countries (except India and China)
  - research project with special focus
  - careers with significant relevance to the further development of the country of origin of the applicant/ alumni





## Relation main effects and “side-effects”

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- Main effects (excellent academic careers) necessary and/ or sufficient?
- Selections procedure gives direction for programme evaluation.

### Humboldt Research Fellowship:

- academic excellence = sole selection criterion (but some country bonuses); necessary and sufficient

### Georg Forster Fellowship:

- significant relevance for development of country necessary, academic excellence = necessary but not sufficient



# Measurement of side-effects: Humboldt Humboldt Research Fellowship ( technopolis |group| Katharina Warta and Anton Geyer)

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Programme goal:

- PO 4: To facilitate access to international experts and decision-makers in the fields of academia, politics, culture and business for partners from the relevant sectors in Germany.
- PO 5: To convey a multifaceted, realistic image of Germany by creating personal and cultural bonds, breaking down prejudices and promoting knowledge of the science system.

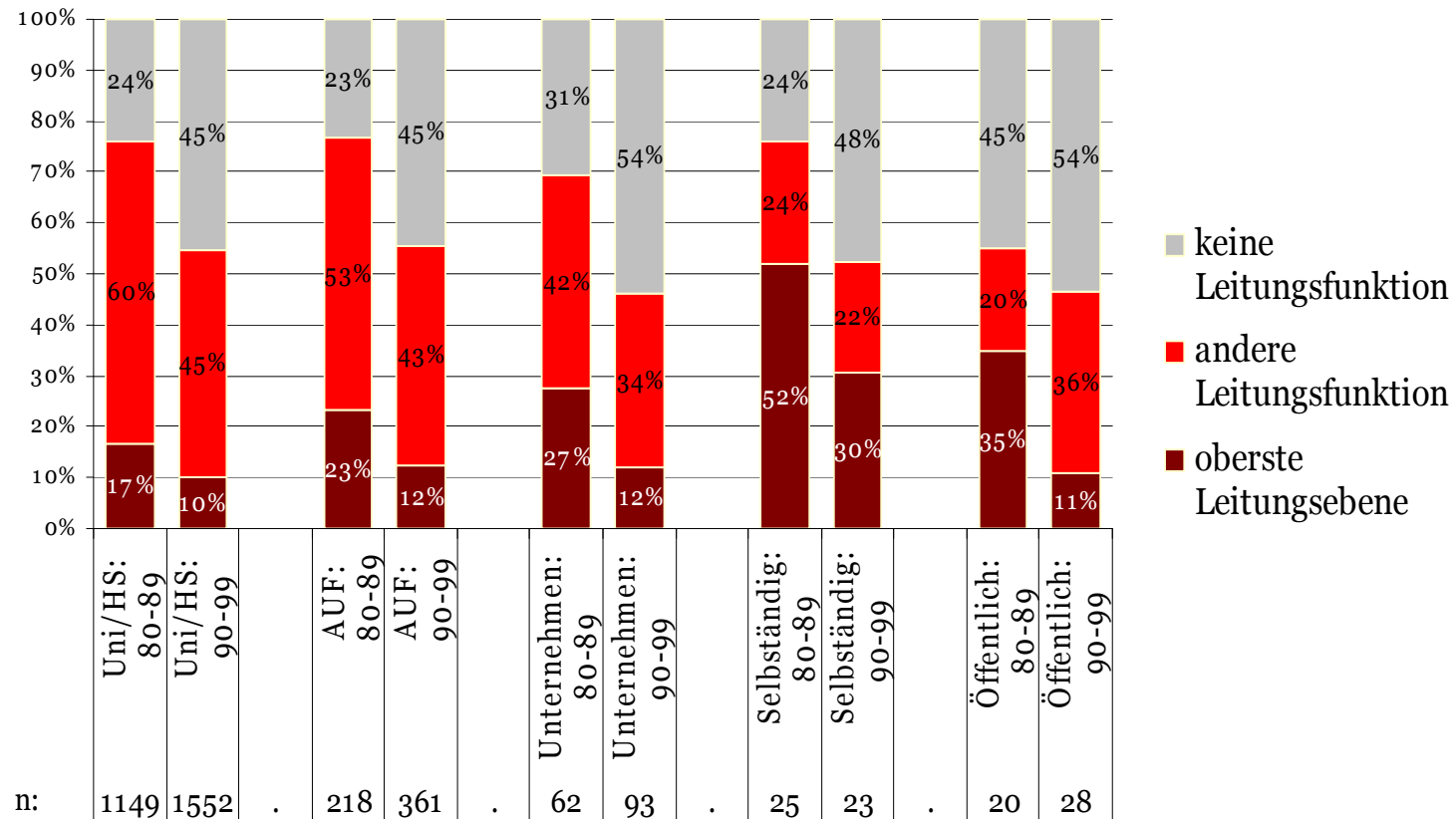


# Measurement of side-effects: Humboldt Humboldt Research Fellowship ( technopolis |group| Katharina Warta and Anton Geyer)



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Results PO 4: HFST-Alumni in leading positions, regarding main fields,  
accepted cohorts 1980-1999.

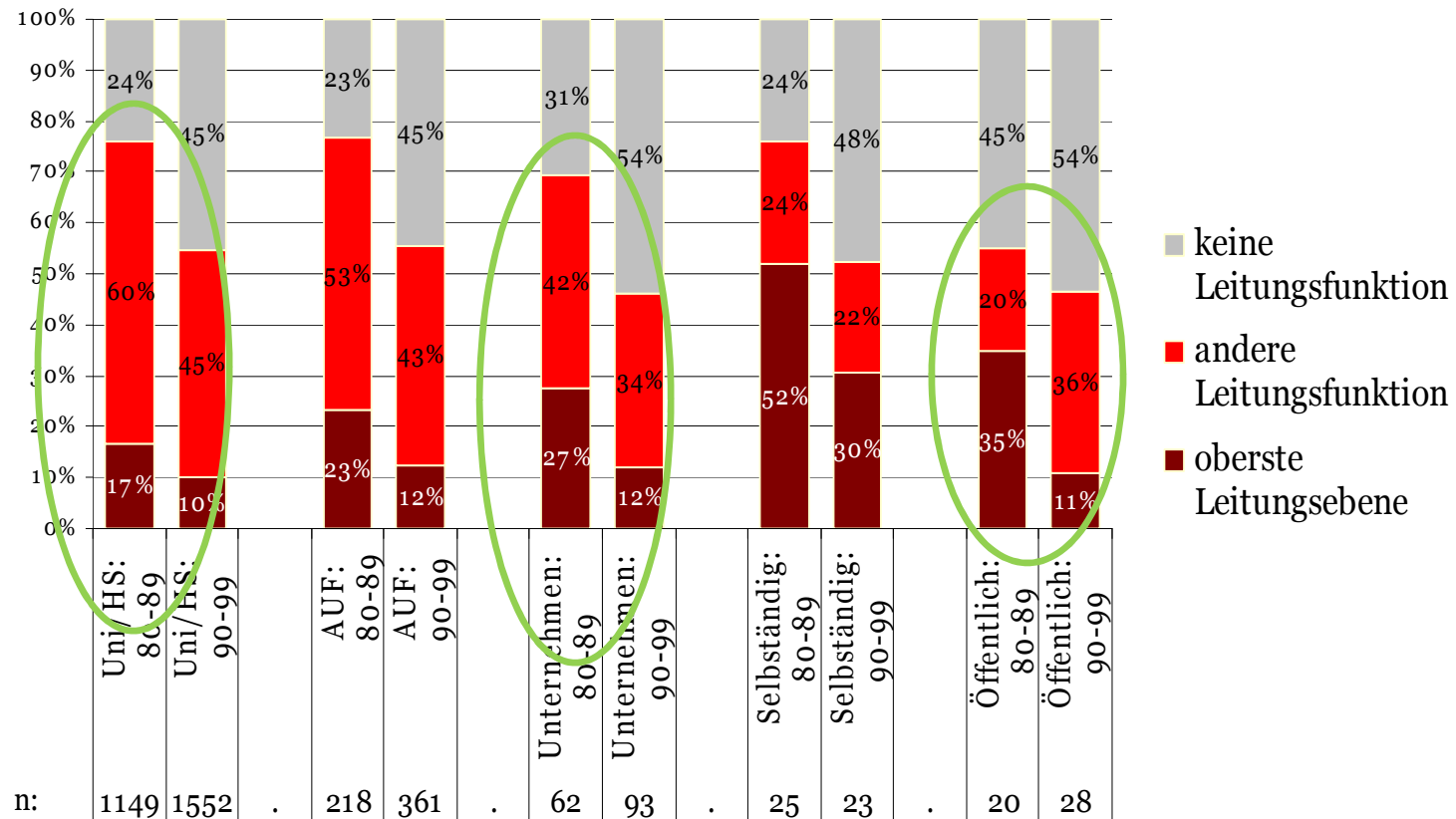


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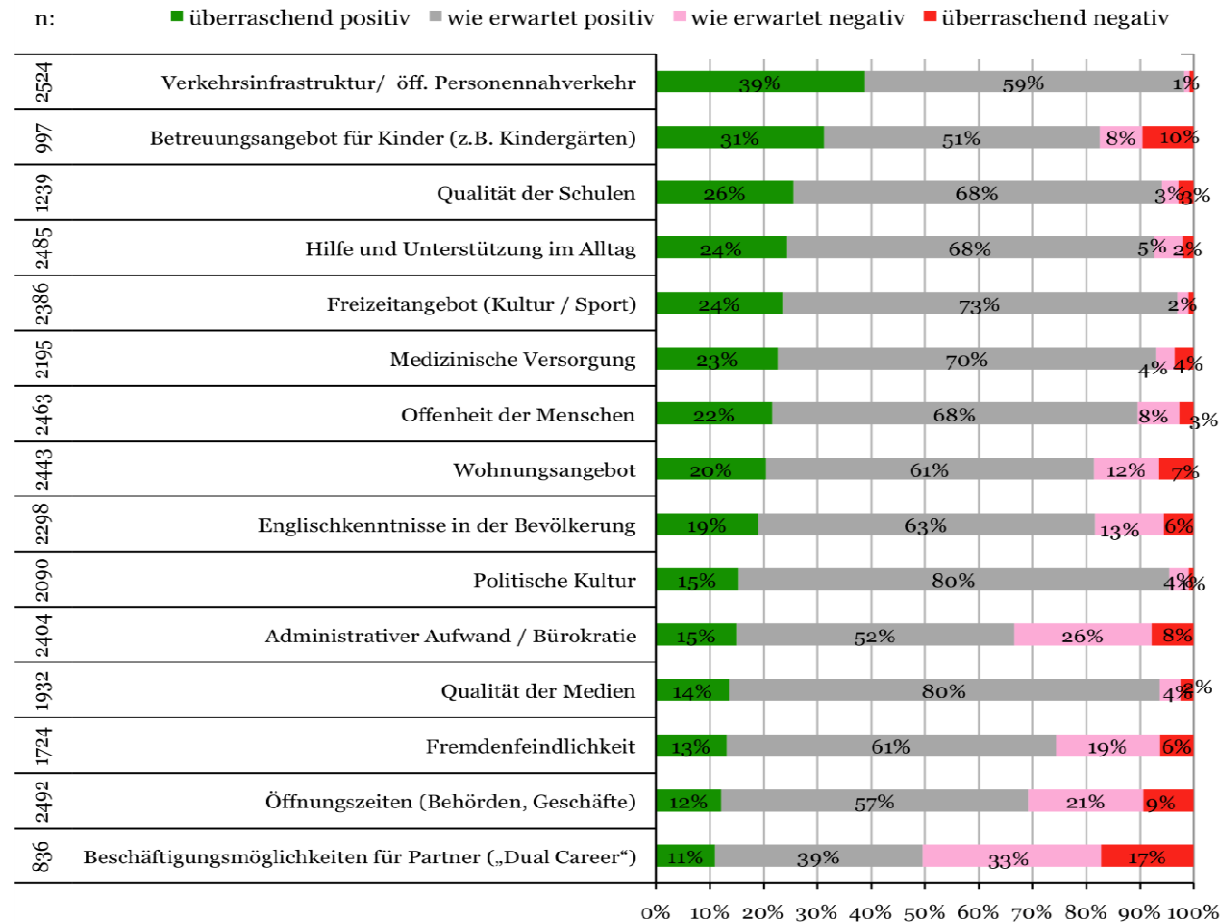


# Measurement of side-effects: Humboldt Humboldt Research Fellowship ( technopolis |group| Katharina Warta and Anton Geyer)



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## Results PO 5: Experiences in Germany

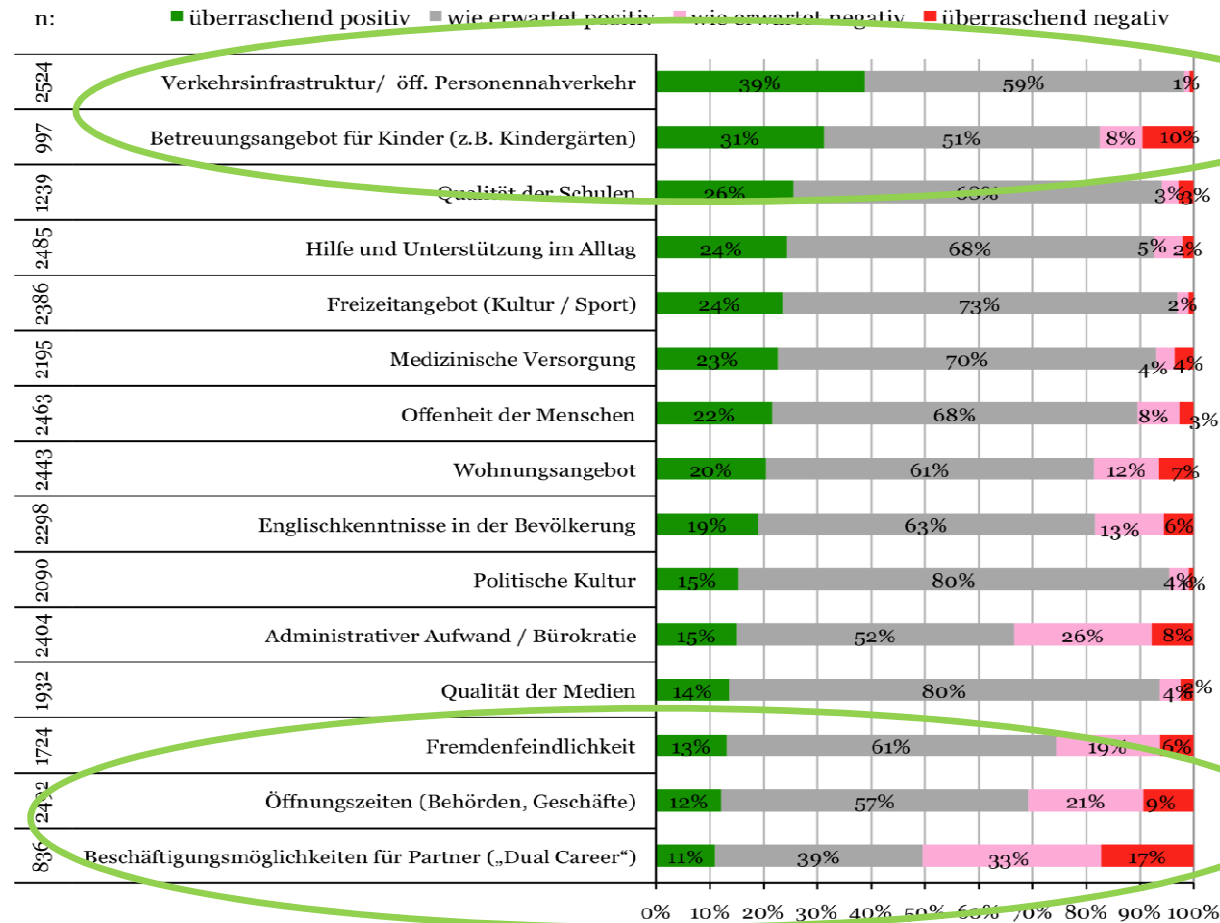


# Measurement of side-effects: Humboldt Humboldt Research Fellowship ( technopolis |group| Katharina Warta and Anton Geyer)



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## Results PO 5: Experiences in Germany



# Measurement of side-effects: Georg Forster Research Fellowship, Arnold Bergstraesser Institute, Freiburg, Germany

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Programme Goal 3:

**Support of qualified researchers from developing and threshold countries in their role as important change agents in reform processes in research, economy, politics and society.**

Indicators:

- self-assessment of the relevance of the own research and publications for the development of the country
- counseling and co-working with important institutions in research, economy, politics and society
- reviewer and counselor for development cooperation

# Measurement of side-effects: Georg Forster Research Fellowship, Arnold Bergstraesser Institute, Freiburg, Germany

Tabelle 3.3: Einflüsse des GFS auf Stipendiaten und Heimatland, N = 299 Befragte

Possible effects	Very important	Important	Less important	Not important	N
Improving my academic knowledge	79%	20%	1%	*	298
Improving my methodological skills	72%	24%	4%	*	295
Improving my capacity to act as a multiplier in Higher Education and Research	68%	28%	4%	*	299
Understanding a different culture of knowledge (management)	51%	37%	11%	1%	297
My research results contribute to solving development challenges	45%	42%	11%	3%	295
Positive impact on my activities in other fields (civil society, social/cultural/political activity, etc.)	42%	36%	19%	3%	298
Relevance for crucial economic, social and political problems in my country	34%	35%	22%	9%	297

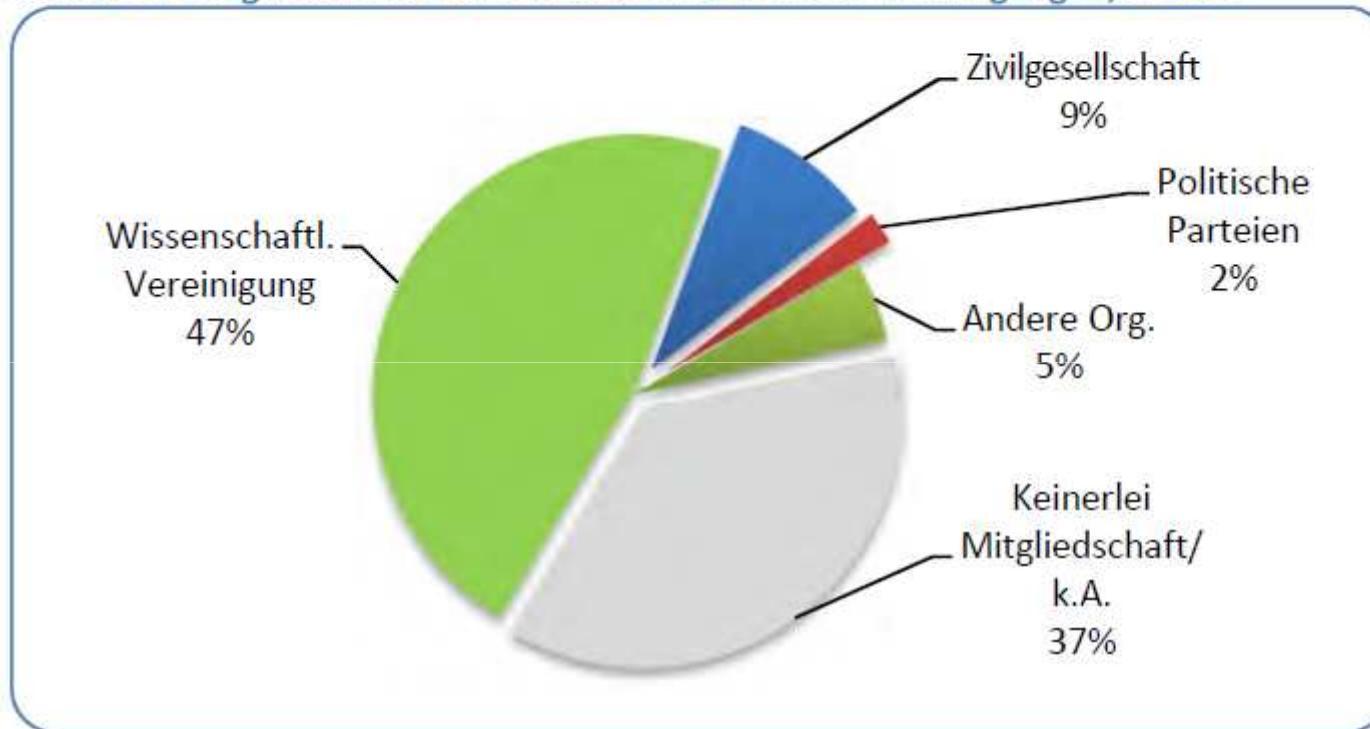
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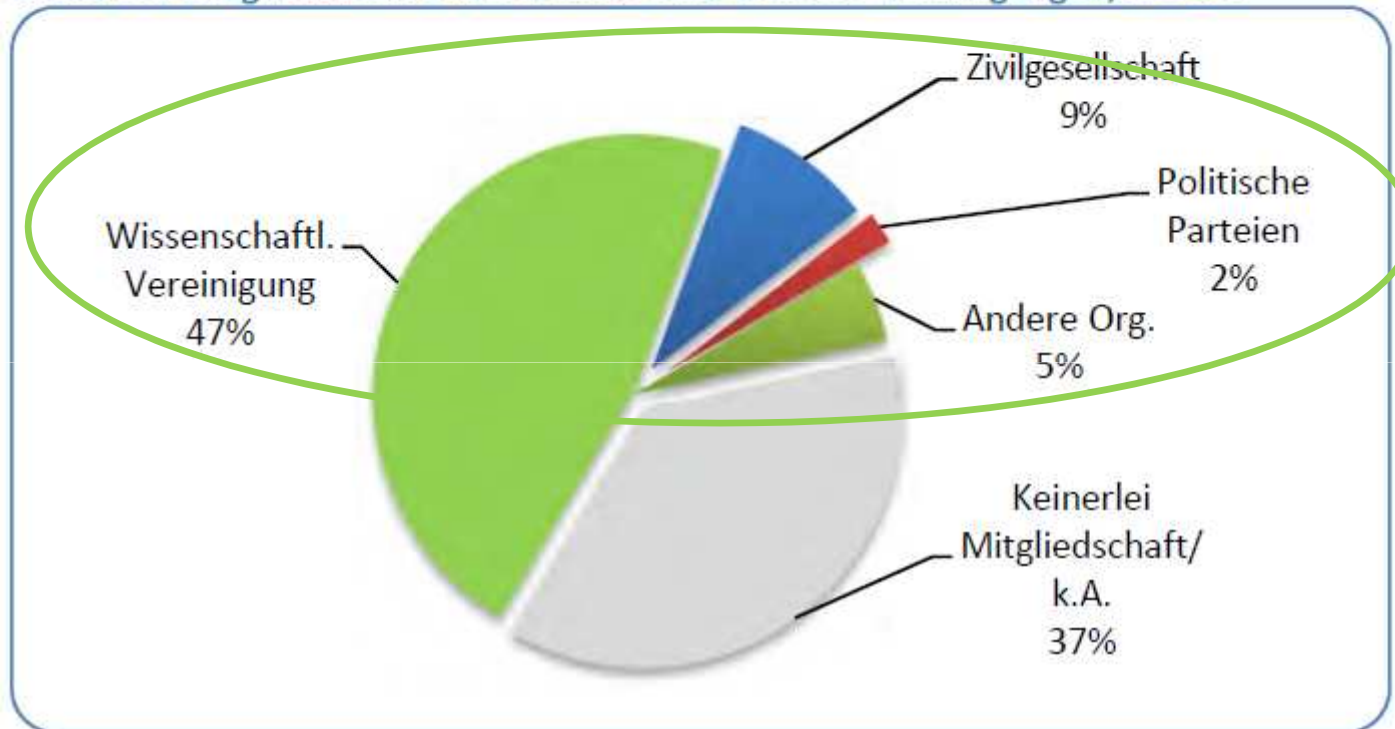
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Grafik 3.6. Mitgliedschaft in beruflichen oder anderen Vereinigungen, N = 299



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Grafik 3.6. Mitgliedschaft in beruflichen oder anderen Vereinigungen, N = 299





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# Lessons learnt





## Lessons learnt

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- common understanding of relation of main effects and side effects for funding ministries, evaluators and foundation important
- dialogue about reasonable indicators necessary
- aggregation of data vs. Individual careers/ case studies
- mixed methods approach necessary





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