

Attachment 3: Guidelines for preparing an evaluation package (with instructions)

Preparing the evaluation package – content guidelines

I.

The purpose of the evaluation package is to inform the Review Board about the institution's activities since the previous evaluation as well as about the prospects for its future development. The Review Board's work is made easier if the package is as clear and concise as possible.

The package (excluding appendices and tables) should not exceed 120 pages. Maximum numbers of pages are stipulated for each chapter, indicating how they could be structured. The maximum numbers of pages refer to the text only, not including tables and lists. Please do not include any appendices with information not specifically requested.

II.

The institution's activities should be presented in their overall context, with the exception of Chapter 7 where you are asked to focus on appropriate subdivisions within the institution to explain their performance and work planning at this level. It is up to the institution to decide whether the subdivisions they present are composed, for example, of organisational units, work focus areas, research fields, programme areas or other units. The template consistently refers to "subdivision". This generic term will have to be adapted to the specifics of the respective institution. The subdivisions described in the evaluation package will be presented during the evaluation visit (as part of the "poster session").

III.

Some of the points require statistical details. They usually refer to calendar years and should cover the last three complete years prior to submitting the evaluation package. In a few cases, the details refer to a reporting date. Please round the figures up or down, as appropriate.

The blue explanations in italics are editorial notes for preparing the evaluation package and should be omitted later.

Preparing the evaluation package – organisational guidelines

Please take note of the following points:

- (a) Format: DIN A4, font 11pt, line spacing 1.15, line spacing for paragraphs: 6 (up and down).
- (b) Hard copies:
 - please start new chapters on a new, uneven numbered page,
 - double-sided,
 - loose sheets of paper in a folder, as slim as possible,
 - lightweight, recycled paper (not high gloss paper).

Once the evaluation package has been prepared:

- (a) Please send a preliminary hard copy as well as an electronic version of the evaluation package to the Evaluation Office which will feed back to you whether the package is complete.
- (b) Please make the document digitally available to the members and guests of the Review Board. You will receive a list with the contact details from the Evaluation Office.
- (c) The Evaluation Office will clarify how many members and guests of the review board would also like to receive a hard copy of the evaluation package. Please send two hard copies of the package to the Evaluation Unit itself.
- (d) Please provide the Evaluation Office with Word docs of both the preliminary copy and the final copy of the package (tables in Excel, please).

The Evaluation Office will be pleased to answer any questions that arise.

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1. Key data: statutory mission, organisation, budget, human resources (max. 2 pages)

Appendices to Chapter 1.:

- Items of organisational law (*Statutes, Articles of Association or similar*)
- Professional CVs of senior scientific staff (*two pages max.*)

Key data:

Year established:

Admission to joint funding by Federal and *Länder* Governments:

Admission to the Leibniz Association:

Year of last statement by the Leibniz Senate or the German Council of Science and Humanities:

Legal form:

Responsible department at *Länder* level:

Responsible department at Federal level:

Revenue 20zz (see overview "The institution's revenue and expenses" in Chapter 4):

€ __m revenue from institutional funding

€ __m revenue from project grants

€ __m revenue from services

Number of staff (as of dd.mm.20zz; see overview in Chapter 5):

__ individuals "research and scientific services"

__ individuals "science supporting staff (laboratories, technical support etc.)"

__ individuals "science supporting staff (administration)"

Statutory mission (*quoted from the Statutes, Articles of Association or similar*):

Organisation:

With reference to the organisational chart, please explain briefly how work is divided up in the subdivisions in Chapter 7. Please include the following overview in the appropriate place:

i) Organisational chart (*clearly legible and on one page only please*)

ii) List of senior scientific staff

If there are professors at your institution who do not hold a leadership position, please include them at the end of this list.

Name	Leadership position	At the institute since	Year and salary grade of appointment as well as partner university, if applicable
Family name, first name	Head of institute	July 2002	2002, W3, HU Berlin
	Department xyz		
	Research group xyz		
	Junior research group xyz		

2. Overall concept and core results (max. 10 pages)

2.1 Overall concept

Explain briefly and concisely the overall concept of your institution. For orientation: The profile of Leibniz institutions can generally be described and understood well on the basis of the three types of activity "research infrastructures (development and operation as a basis for research)", "research" and "knowledge transfer (into social areas beyond science such as economy, politics, education etc.)" (see "Items and criteria for the evaluation of institutions in the Leibniz Association").

2.2 Core results

Describe up to ten core results ("highlights") of the institution that have been achieved since the last evaluation. It can facilitate the overview to assign the core results to the areas "research infrastructures", "research" and "knowledge transfer". The overview of the core results can be depicted as follows, for example (please assign numbers from 1 to 10 to the results; intermediate headings do not interrupt the numbering):

Sample introductory sentence that you can adopt in this or a similar way (to make clear that naming the results as "highlights" is predetermined and a maximum number is set):

We are asked to list up to ten core results ("highlights"):

Research infrastructures

- 1) Subdivision A of our institute developed the ABC database in the years X-Y. After a pilot phase of 24 months, it was made publicly accessible from 20XX. [further explanation, one paragraph]

[link to the database]

Usage: XY hits/accesses / year

- 2) [...]

Research

- 3) The new method Z developed at the institute showed that [...].

[link to the publication]

- 4) [...]

Knowledge transfer

- 5) The special exhibition XYZ was created in close cooperation between subdivisions A, B and F. [...]

Duration: 02/20XX to 07/20XX - number of visits: XYZ.

- 6) The work on xyz led to the spin-off of company Z in 20xy.

In addition to qualitative information, we ask you to provide quantitative information as well:

- *Please indicate the number of publications according to the specifications in the guidelines and, if applicable, the number of patents and other property rights as well as policy advice papers (excluding academic reviews, for example of academic theses).*
- *Please provide overviews of research infrastructures and knowledge transfer if this corresponds to your institution's range of tasks (the tables below contain examples only, please adapt accordingly). If this is more suitable for your institution, you can also use the overviews in a subdivision in chapter 7 instead of chapter 2.*

The institution's publications (20xx–20zz)

Please indicate in brackets how many of the publications mentioned are available in open access on the reference date of the evaluation package (corresponding to the reference date of the staff tables).

Numbers of publications	20xx	20yy	20zz
	number (of which OA)	number (of which OA)	number (of which OA)
Articles in peer-reviewed journals	14 (5)	23 (7)	19 (3)
Articles in other journals			
Individual contributions to edited volumes			
Monographs			
Working and discussion papers			
Editorship of edited volumes			
Independently published data sets in data journals or repositories			

Property rights held by the institution (20xx–20zz)

Property rights (numbers)	20xx	20yy	20zz
Patents			
- Applications giving rise to a right of priority (in the calendar year)	2		
- Patents (number held as of 31.12. of the year)	4		
- Patent families (number held as of 31.12. of the year)	1		
Other property rights			
- Applications giving rise to a right of priority (in the calendar year)	2		
- Property rights (number held as of 31.12. of the year)	4		
- Patent families (number held as of 31.12. of the year)	1		

Expert reviews produced by the institution (20xx–20zz)

Number of expert reviews	20xx	20yy	20zz
Expert reviews on behalf of federal ministries	4		
Published statements and position papers	5		
...			

Central research infrastructures (20xx-20zz)

If appropriate, please prepare an overview in tabular form to list the central research infrastructures available at your institution (with details of their extent) and their use. Overview with examples:

	20xx	20yy	20zz
Databases			
Database xy (extent: 000 data records) - unique visits - downloads - ...	10.000 3.500 ...		
...			
Collections			
Collection xy (volume: 000 objects) - digital use – number of accesses - analogical use – number of visits	130.000 550		
...			
Large-scale equipment			
telescope XY (availability: 00 h / day) - usage by employees of the institute - number of days - usage by external users - number of days	150 120		
...			
Fellow programme			
XY programme with short and long term stays - short stays (up to 00 days) – number of guests - long term stays (00 to 00 months) – number of guests	42 10		
...			
...			
...			

Central formats for knowledge transfer (20xx–20zz)

If appropriate, please prepare a tabular overview to record the central formats for knowledge transfer (with details of the extent) and their use. Overview with examples:

	20xx	20yy	20zz
Media products			
Newsletter XY (publication frequency: 00/year) – number of hits			
Blog XY (000 entries) – number of hits			
...			
Exhibitions			
Special exhibition A (duration: from-to) – number of visits			
Permanent exhibition B – number of visits			
...			
...			
...			

3. Changes and planning (max. 10 pages)

3.1 Development since the previous evaluation

3.2 Strategic work planning for the coming years

In the two sub-chapters, please explain the development of the institution since the previous evaluation (Chapter 3.1) and the strategic work planning for the coming years (Chapter 3.2), taking account of major changes (particularly the winding up and/or development of new research fields as well as new appointments to scientifically important positions) and the recommendations issued at the previous evaluation.

3.3 Planning for additional funds deriving from institutional funding (“Sondertatbestand”)

General remarks concerning ‘extraordinary items of expenditure’ („Sondertatbestände“)

A “temporary extraordinary item of expenditure” (“temporärer Sondertatbestand”) can be evaluated in the context of the regular evaluation procedure. A positive vote in the evaluation report and Senate’s statement will be submitted to the committees of the Joint Science Conference for a decision.

A “minor extraordinary item of expenditure of a scientific-strategic nature” („kleiner Sondertatbestand inhaltlich-strategischer Natur“) can undergo an initial evaluation in the context of the regular procedure. Please note that a positive vote in the evaluation report and Senate’s statement is followed by another procedure that serves to prioritise ‘extraordinary items of expenditure’ submitted by Leibniz institutions in the Senate Strategic Committee (SAS). Subsequently, the committee of the Joint Science Conference will make a decision on the prioritised ‘extraordinary items of expenditure’.

For procedures see the “WGL resolutions” by the Joint Science Conference and the “Manual on Leibniz institution budgets”. Both documents are publicly available on the website of the Joint Science Conference.

Remarks to the required information in the evaluation package

In case the institute’s planning requires an “extraordinary item of expenditure” to be assessed in the context of the evaluation, the following information is required:

- Reference to the Supervisory Board’s agreement to propose the planning for an “extraordinary item of expenditure” in the evaluation package.*
- Content planning for the “extraordinary item of expenditure”.*
- Financial planning of the “extraordinary item of expenditure”: a) explanation and amount of funding for human resources (with information on designated positions), non-staff costs, investments, b) summary of the funds planning showing own and additional funds for the ‘extraordinary item of expenditure’
(please use the following table)*

„Extraordinary item of expenditure“: summary of funds planning

	1st year	2nd year	3rd year	4th year	Permanently
Own funds + additional funds = „extraordinary item of expenditure“	850 k€	910 k€	910 k€	930 k€	930 k€
Own funds from existing funding by institution (at least 3 % of core budget)	450 k€	450 k€	450 k€	450 k€	450 k€
Additional funds of institutional funding	400 k€	460 k€	460 k€	480 k€	480 k€

Explanation of the table:

Please fill in the actual year (e.g. 2020 instead of „1st year“).

A “minor extraordinary item of expenditure of a scientific-strategic nature” will be transferred to the core budget after four years maximum. In case it should be transferred earlier to the core budget, please delete the corresponding columns (4th, 3rd and 2nd year if applicable).

A “temporary extraordinary item of expenditure” can be provided for four years maximum. In this case, please delete irrelevant columns (always column “permanently” and 4th, 3rd, 2nd year if applicable).

4. Controlling and quality management (max. 10 pages)

4.1 Organisational and operational structure

Name the functionaries (i.e. usually persons with management responsibilities) and/or internal committees with personnel and budget responsibility as well as other decision-making bodies.

How are the procedures (decision-making processes for managing the institute's work, internal communication) organised at the institution?

4.2 Financial resources

Appendices to Chapter 4.2.:

- most recent programme budget
- List of third-party funded projects (20xx–20zz)

Institutional funding

In this table, please enter the sums stated in the respective approval letter. The actual revenue and expenses recorded at your institution in the relevant years are entered in the next table.

		20xx	20yy	20zz ¹⁾
		k€	k€	k€
A	Contribution of institutional funding for the respective year			
I.	<u>Contribution according to AV-WGL</u>			
1.	Contribution for ongoing measures (without DFG fee)			
1.1	<i>Including: specific extraordinary items of expenditure</i>			
2.	Contribution for construction investments			
II	Contribution from further institutional funding by <u>[enter funding body]</u>			
B	Contributed funds according to AV-WGL that were not used in the year but were made available for use in the following year			
I.	Funds designated by the Land contributing the funding by Federal and <i>Länder</i> Governments for use by the Leibniz institution in the following year			

[1] Preliminary data (if applicable; please delete the footnote if you are entering final data)

Please briefly elaborate on the funds which were made available for use in the following year by the contributing Land and explain how your institution has used or will use these funds in a manner appropriate for scientific purposes (Section 2.10.4. of the WGL resolutions provides three instruments for this: (I) contribution/allocation of funds for self-management ("Zuwendung/Zuweisung von Mitteln zur Selbstbewirtschaftung"), (II) accumulation of cash assets at the institutions in accordance with state budgetary law, (III) creation and transfer of expenditure reserves in the state budget).

Third-party funds

Describe your third-party funding strategy including the following aspects:

- What volume and proportion of income from grants for project funding is the institution aiming for?
- In particular, are there targets in relation to grants from specific third-party funding providers or in relation to the composition of the third-party funding portfolio?
- If applicable: Does the institution aim to generate income from services? If so, with what strategic goal and to what extent?

Please name (with reference to the appendix) three to five third-party funded projects that exemplify the implementation of your third-party funding strategy.

Please include the following statement in this section:

Federal and *Länder* Governments pay a "DFG fee" for each Leibniz institution, amounting to

2.5% of the institutional funding. This enables the respective Leibniz institution to submit proposals to the DFG. The most recent contribution stood at 000 k€ (20zz).

Internal budget management

How does the institution manage the budget? Briefly describe the instruments used, e.g:

- *programme budget,*
- *internal performance incentives,*
- *building up and subsequent use of reserves generated from own revenue,*
- *if applicable, further instruments for budget management (e.g. definition of a fixed basic budget for the subdivisions of your institution).*

If necessary, please include a statement of the following type in this section:

As of 31/12/20zz, our institution had reserves amounting to 000 k€ that are not attributable to institutional funding or temporary funding (e.g. for projects).

Insert the following overview at the end of section 4.2 (on one page if possible):

Revenue and expenses ⁴⁾

Revenue		20xx			20yy			20zz ¹⁾		
		k€	% ²⁾	% ³⁾	k€	% ²⁾	% ³⁾	k€	% ²⁾	% ³⁾
Total revenue (sum of I., II. and III.)										
I.	Revenue (sum of I.1., I.2. and I.3)	10.000	100 %		100 %		100 %			
1.	REVENUE FROM INSTITUTIONAL FUNDING (EXCLUDING CONSTRUCTION PROJECTS AND ACQUISITION OF PROPERTY)	7.000	70 %							
1.1	Institutional funding (excluding construction projects and acquisition of property) by Federal and Länder governments according to AV-WGL	7.000								
1.2	Institutional funding (excluding construction projects and acquisition of property) not received in accordance with AV-WGL									
2.	REVENUE FROM PROJECT GRANTS	2.000	20 %	100 %			100 %			100 %
2.1	DFG	1.000		50 %						
2.2	Leibniz Association (competitive procedure)	1.000		50 %						
2.3	Federal, Länder governments									
2.4	EU									
2.5	Industry									
2.6	Foundations									
2.7	<i>If applicable: other sponsors</i>									
3.	REVENUE FROM SERVICES	1.000	10 %							
3.1	Commissioned work	1.000								
3.2	Services									
3.3	Property rights and licenses									
3.4	Exploitation of intellectual property without property rights									
3.5	<i>If applicable: other services</i>									
II.	Miscellaneous revenue (e.g. membership fees, donations, rental income, funds drawn from reserves)									
1.	Funds drawn from reserves									
2.	Other miscellaneous revenue (e.g. membership fees, donations)									
III.	Revenue for construction projects (e.g. institutional funding by Federal Government and Land which hosts the institution, EU structural funds, etc.)									

Expenditures		k€	k€	k€
Expenditures				
1.	Personnel			
2.	Material			
3.1	Depreciation for fixed assets			
3.2	Allocation to special reserve for fixed assets			
4.	Construction projects, acquisition of property			
5.	Other operating expenses (to be specified as required)			
6.	Allocation to a designated reserve			

[1] Preliminary data (if applicable; please delete the footnote if you are entering final data)

[2] For the Institute's information only (i.e. please delete the footnote): Figures I.1, I.2 and I.3 add up to 100 %. The information requested here is thus the percentage relation between "Revenue from institutional funding (excluding construction projects and acquisition of property)", "Revenue from project grants" and "Revenue from services".

[3] For the Institute's information only (i.e. please delete the footnote): Figures I.2.1 to I.2.7 add up to 100 %. The information requested here is thus the percentage relation between the various sources of "Revenue from project grants".

[4] For the Institute's information only (i.e. please delete the footnote): Including settlement for amounts receivable and payable within the scope of the projects.

4.3 Infrastructural equipment and its usage

Spatial provisions / room situation

Briefly describe the general room situation of your institute (i.e. with regard to offices, meeting rooms, social space etc.).

Research infrastructure equipment and framework conditions for its use

Describe the IT equipment, the concept for IT security and, if applicable, the specifics of your institution regarding hardware and software requirements for digital research infrastructures.

If applicable, describe the specifics of your institution regarding physical research infrastructures (e.g. laboratories, large-scale equipment, animal husbandry, accommodation of collections).

Sustainable and resource-conserving use of equipment

Based on examples, please show how the institution has achieved or intends to further establish a sustainable and resource-conserving use of the infrastructural equipment in the research process and/or in the internal organisation.

4.4 Quality assurance of the scientific work

Explain the quality assurance measures and concepts, referring to relevant guidelines of the Leibniz Association where appropriate. All Leibniz institutions are expected to provide information on "scientific integrity" and "publications". Further concepts and measures are to be added depending on the range of tasks and are explained below for some common topics:

Ensuring scientific integrity

Please explain how scientific integrity is ensured. If applicable, please include the following sentence: The DFG Code of Conduct "Guidelines for Safeguarding Good Scientific Practice" of 3 July 2019 and the "Leibniz Code of Good Scientific Practice" of 18 November 2021 are implemented at our institution.

If applicable, please address further aspects (e.g. research involving animals, ethics of research, dealing with risks in international collaborations).

Quality assurance of publications

Please explain the institution's publication concept. Guiding questions for orientation:

- *Which specialist communities would you like to reach?*
- *How do you ensure that your articles appear in quality-assured analogue or digital media (e.g. via positive lists)?*
- *What internal guidelines does your institution have on open access?*
- *Do you see any specific challenges for your institution in view of the ongoing changes in the international market for scientific publications driven by digitisation? If so, how do you deal with this?*
- *If the institution publishes its own series or journals, please also address their quality assurance.*

Quality assurance of research data

Explain the institution's research data concept. Guiding questions for orientation:

- *Does the institution apply the [FAIR principles](#) for handling data?*
- *How is the quality of data collection ensured? How is the long-term storage and usability of the data collected by the institution ensured?*
- *How is data made accessible? Which specialist communities does the institution aim to reach? How is usage documented (usage figures)?*

Quality assurance of collections

Explain your institution's collection concept (development/reduction of collections, protection/conservation/maintenance of collections, digitalisation of collections, public access to analogue/digital collections, documentation of use).

Quality assurance of knowledge transfer

Which target groups are your transfer activities aimed at and how would you like to reach them? How do you monitor the reception of your transfer offers? If appropriate, address specifics or name the sub-chapter differently, e.g. "Quality assurance of technology transfer" (with information on dealing with patents or property rights).

4.5 Quality management by advisory boards and supervisory board

Appendices to Chapter 4.5.:

- audit report
- minutes of meetings of Scientific Advisory Board and, if applicable, User Advisory Board (20xx–20zz)

Scientific Advisory Board

*Usually, it is sufficient to state the **tasks** (quote from the statutes or the comparable document) and the **frequency of meetings**.*

Members of the Scientific Advisory Board (current members and members during the last seven years)

Member	Institution	Discipline	Period in office
n.n. (Chair)			
n.n. (Vice-Chair)			
n.n.			

User Advisory Board

*Only in case a User Advisory Board exists. Usually, it is sufficient to state the **tasks** (quote from the statutes or the comparable document) and the **frequency of meetings**.*

Members of the User Advisory Board (current members and members during the last seven years)

Member	Institution	Discipline	Period in office
n.n. (Chair)			
n.n. (Vice-Chair)			
n.n.			

Supervisory Board

*Usually, it is sufficient to state the **tasks** (quote from the statutes or the comparable document) and the **frequency of meetings**.*

Members of the Supervisory Board (current members and members during the last seven years)

Member	Institution	Period in office
n.n. (Chair)		
n.n. (Vice-Chair)		
n.n.		

5. Human resources (max. 10 pages)

5.1 Leading scientific and administrative positions

Please elucidate the **procedures used for appointing leading scientific and administrative management positions**. Depending on the structure and size of the Leibniz institution, it may make sense to address other leading scientific positions in addition to the head of the institute (e.g. heads of departments, groups, junior research groups).

Please also address **joint appointments** of leading staff. Are there plans to extend joint appointments (e.g. to the second management level) and how do you coordinate this with the partner university/universities?

5.2 Academic staff after the qualification phase

How does your institution recruit academic staff from Germany and abroad who are not part of the management staff (as in section 5.1.) and are not in an academic qualification phase (as in section 5.3.)?

How does the institution promote staff in this category?

Under what conditions does your institution offer permanent contracts?

5.3 Academic staff during a qualification phase

Staff with a doctoral degree

How does your institution recruit staff with a doctoral degree during a qualification phase from Germany and abroad?

How does the institution support the career development of this category of staff before they take up further employment within or outside academia? Please indicate the transfers to senior positions since the last evaluation (professorships, other senior positions in and outside academia).

If applicable, please explain how the institution systematically maintains contact with former postdocs (e.g. alumni network; a reference to the section on doctoral candidates may be sufficient).

Doctoral candidates

How does your institution promote doctoral candidates from Germany and abroad?

How does the institution structure the doctoral phase (e.g. via supervision agreements and structured doctoral programs)?

What framework conditions apply to doctoral candidates with regard to the type of supervision (e.g. individual or by a thesis committee) and funding (employment with full-time positions, scholarships)?

What is the average length of doctorates (median) since the last evaluation (or, in case the number is high or figures are not available: in the years 20xx-20zz)?

If applicable, please explain how the institution systematically maintains contact with former doctoral candidates (e.g. alumni network; a reference to the section on staff with a doctoral degree may be sufficient).

Degrees completed at the institution (20xx–20zz)

	20xx	20yy	20zz
Degrees qualifying candidates to study for a doctorate			
Doctorates (by employees or scholarship holders at the institution)			
Habilitations			

5.4 Science supporting staff

How does your institution recruit science supporting staff from Germany and, if applicable, from abroad?

How does the institution promote staff in this category?

Which and how many traineeships are offered? How many trainings have been completed since the last evaluation (alternatively, if the number is high or figures are not available: in the years 20xx-20zz)?

5.5 Equal opportunities

Please explain how your institution promotes **equal opportunities**. The specific framework for the measures taken by Leibniz institutions with regard to equality and diversity, which goes beyond legal regulations on equal treatment, for example, is provided by the AV-Glei of 2003, the “Leibniz Gleichstellungsstandards” of 2020 and the DFG’s Research-Oriented Standards on Gender Equality and Diversity of 2023 (Enhancement of the Research-Oriented Standards on Gender Equality of 2008).

Please explain in particular how **gender equality** is ensured. Please indicate in this context:

- proportion of women at (a) management level, (b) post-doctoral level and (c) doctoral student level at the time of the previous evaluation and now (according to the respective reference dates in the previous and current evaluation document).
- whether your institution achieved the target quotas stipulated in the programme budget in the years 20xx-20yy.

Please explain how the **compatibility of family care work and career** is ensured.

At the end of Chapter 5, please insert the following overview (one page only, if possible, and adapted as appropriate):

Institution staff (as of: dd.mm.yyyy)

	Full time equivalents		Persons		Women		foreigners
	Total	on third-party funding	Total	on temporary contracts	Total	on temporary contracts	Total
	Number	Percent	Number	Percent	Number	Percent	Number
Research and scientific services	8	50 %					
Scientific directors (or equi. = 1 st management level)	1	-					
Department leaders (or equi. = 2 nd management level)	1	-					
Group leaders (or equi. = 3 rd management level)	1	100 %					
Junior research group leaders	1	100 %					
Staff after the qualification phase without management tasks (A13, A14, E13, E14 or equivalent)	1	-					
Staff in the qualification phase with a doctorate (A13, A14, E13, E14 or equivalent)	1	-					
Doctoral candidates (A13, E13, E13/2 or equi.)	2	100 %					
Science supporting staff (laboratories, technical support etc.)	8	50 %					
Laboratory (E9 to E12, upper-mid-level service)	2	-					
Laboratory (E5 to E8, mid-level service)	2	-					
Animal care (E5 to E8, mid-level service)	2	100 %					
Workshops (E5 to E8, mid-level service)	2	100 %					
Library (from E13, senior service)							
Library (E9 to E12, upper-mid-level service)							
Library (E5 to E8, mid-level service)							
Information technology - IT (E9 to E12, upper-mid-level service)							
Technical (large equipment, service) (E5 to E8, mid-level service)							
Science supporting staff (administration)	4						
Head of the administration	1						
Staff positions (from E13, senior service)	-						
Staff positions (E9 to E12, upper-mid-level service)	-						
Internal administration (financial administration, personell etc.) (from E13, senior service)	1						
Internal administration (financial administration, personnel etc.) (E9 to E12, upper-mid-level service)	1						
Building service (E1 to E4)	1						
Student assistants							
Trainees							
Scholarship recipients at the institution	2						
Doctoral candidates	1						
Post-doctoral researchers	1						

6. Cooperation and environment (max. 7 pages)

6.1 Cooperation

Appendix to Chapter 6.1.:

- collaborative agreements with universities with which appointments are made jointly

*Please explain the institutional cooperation with the **university/universities** most important for the institution. This is/are usually the university/universities with which joint appointments are made:*

- *How does the institution cooperate in research, e.g. in alliances (via participation in clusters of excellence, collaborative research centres, graduate schools)?*
- *How does the institution participate in the university's teaching (e.g. through involvement in the development of degree programmes) and what is the teaching load of the Leibniz institution's staff (please specify in aggregated form; no list of all courses)?*

[Please explain the joint appointments in chapter 5.]

Cooperation with universities

Cooperation with other institutions in Germany and abroad

*Please explain the collaborations with other domestic or foreign **institutions** (universities only in case they are not among the most important university/universities mentioned above), e.g. other Leibniz institutions, Max Planck Institutes, Helmholtz Centers, etc.; if applicable, companies as well.*

Please give examples of three to five specific activities that have resulted from these collaborations in the past seven years (e.g. a jointly published research result, the establishment of a joint research infrastructure, the creation of a permanent exchange format):

We are asked to name up to five specific activities that have resulted from these collaborations:

- 1)
- 2)
- 3)
- 4)
- 5)

6.2 Institution's status in the specialist environment

Please name between three and five of the most important institutions in your institution's environment. How do you rate your position in comparison with these institutions? Where do you identify overlaps?

7. Subdivisions (max. 6 pages per subdivision)

In this chapter, please present the subdivisions at your institution. Use a sub-chapter for each individual subdivision, taking account of the following scheme:

- Summary (half a page max. - the text should be so concise that it can be copied without any changes into the "status report")
- Activities and core results
Please list up to 10 core results. This can be structured similarly to chapter 2 (below you will find an example of a possible structure) or as a simple list (e.g. list of up to 10 publications and/or specific research infrastructure and knowledge transfer results).
- Development of the subdivision since the previous evaluation as well as central planning for its future.

7.1 Subdivision I

Taking note of the above points, please describe Subdivision I. If you organize the core results for the subdivision in the same way as in chapter 2, here is an example of how to structure it:

We are asked to list up to ten core results ("highlights") of the subdivision:

Research infrastructures

- 1) In the period from X to Y, the subdivision developed the database XYZ, which has been publicly accessible since X. [Link to the database]. Usage: XY accesses / year
- 2) [...]

Research

- 3) Using the method we developed to observe X, it was shown that... This led to the following publication: [Link to publication]
- 4) [...]

Knowledge transfer

- 5) Since 2013, the subdivision has organised a student workshop three times a year on the topic [...] Participation in the years 20xx-20yy: 120 students on average.
- 6) [...]

At the end of Chapter 7.1, please insert the following overviews at an appropriate place in the text:

i) Overview of researchers (as of: dd.mm.yyyy)

Name	Position	At the institute since	Sub-unit, if applicable
Family name, first name	Head of Subdivision I	January 2011	Research group xyz
Family name, first name	Doctoral candidate	July 2017	Junior res. group xyz

ii) List of the ten journals in which Subdivision staff published most frequently (20xx–20zz)

Please cite the ten journals in which staff in the Subdivision published most frequently between 20xx and 20zz. Reference should be made to the categories mentioned below "Papers in peer-reviewed journals" and "Papers in other journals". Please arrange them in descending order of the number of papers published.

Title of journal	Peer review (yes/no)	Number
1. Zeitschrift für...	yes	8
2. Journal for ...	no	6
3. Proceedings of...	yes	4

4.		
5.		
6.		
7.		
8.		
9.		
10.		

In addition to the list, please complete the following:

Between 20xx and 20zz, papers were published in a total of __ different peer-reviewed journals and a total of __ other journals.

Visit www.institut.de for a list of the subdivision's publications.

If publications on online repositories are relevant, you can provide additional information:

iii) List of max. five online repositories where further contributions (esp. data sets) have been published

Name of repository	Number
1. Repository XY	
2.	
3.	
4.	
5.	

iv) Key data

	Number of FTEs (as of: day/month/20xx)	
	Total	on third-party funding (in %)
Personnel ¹⁾	27	
Research and scientific services (excluding doctoral candidates)	16	
Doctoral candidates (employees and scholarship holders at the institution)	4	
Science supporting staff (laboratories, technical support etc.)	7	

	20xx	20yy	20zz
Institutional funding (in k€)	3.000		
Revenue from project grants (in k€)	1.000		
DFG	500		
Leibniz Association (competitive procedure)	300		
Federal, <i>Länder</i> governments	100		
EU	100		
Industry			
Foundations			

¹ As per overview "Institution staff" in section 5.

<i>If applicable: Other sponsors</i>			
Revenue from services (in k€)	1.000		
Commissioned work	500		
Services	100		
Property rights and licenses	400		
Exploitation of intellectual property without property rights			
<i>If applicable: revenue for other services; please specify</i>			

Please indicate in brackets how many of the publications mentioned are available in open access on the reference date of the document (corresponding to the reference date of the staff tables).

Numbers of publications	20xx	20yy	20zz
	number (of which OA)	number (of which OA)	number (of which OA)
Articles in peer-reviewed journals	14 (5)	23 (7)	19 (3)
Articles in other journals			
Individual contributions to edited volumes			
Monographs			
Working and discussion papers			
Editorship of edited volumes			
Independently published data sets in data journals or repositories			

Property rights (numbers)	20xx	20yy	20zz
Patents			
- Applications giving rise to a right of priority (in the calendar year)	2		
- Patents (number held as of 31.12. of the year)	4		
- Patent families (number held as of 31.12. of the year)	1		
Other property rights			
- Applications giving rise to a right of priority (in the calendar year)	2		
- Property rights (number held as of 31.12. of the year)	4		
- Patent families (number held as of 31.12. of the year)	1		

Number of expert reviews	20xx	20yy	20zz
Expert reviews on behalf of federal ministries	4		
Published statements and position papers	5		
...			

	20xx	20yy	20zz
Degrees qualifying candidates to study for a doctorate			
Doctorates (by employees or scholarship holders at the institution)			
Habilitations			

Handling of recommendations from the previous evaluation (*max. 2 pages*)

Please quote the recommendations issued at the previous evaluation and briefly describe how they have been implemented. For details, refer to the relevant passages in the text of the document. The two-page guideline refers to the text excluding the recommendations quoted.

Appendices**Appendices to Chapter 1.:**

- Items of organisational law (*Statutes, Articles of Association or similar*)
- Professional CVs of senior scientific staff (*two pages max.*)

Appendices to Chapter 4.2.:

- Most recent programme budget
- List of third-party funded projects (20xx–20zz)

Third-party funder	Subdivision	Project leader	Grant (in €k)	Duration	Project title (short title, if appropriate)	If applicable: co-management at another institution

Please arrange the columns as follows: Put together all the projects financed by the same third-party funder (e.g. BMBF, DFG) and arrange this group in alphabetical order according to the subdivision and, within the subdivision, according to the name of the project leader.

Appendices to Chapter 4.4.:

- Audit report
- Minutes of meetings of Scientific Advisory Board and, if appropriate, User Advisory Board (20xx–20zz)

Appendix to Chapter 6.1.:

- Collaborative agreements with universities with which appointments are made jointly