

**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. 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 figure 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.
- (b) Hard copy: double-sided. Please start new chapters on a new, uneven numbered page.
- (c) Type of paper: lightweight paper (not high gloss paper).
- (d) Loose sheets of paper in a folder, as slim as possible.

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) Depending on the number of reviewers and guests of the Review Board, once the package has been finalised, approx. 25 copies (hard copies as well as pdf electronic versions) will be required.
- (c) Please send the package to the members of the Review Board and guests participating in the evaluation visit directly. You will receive the relevant address list from the Evaluation Office. Please also send two copies of the package to the Evaluation Office 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:

Total budget (see overview in Chapter 4.1):

€ \_\_m institutional funding

€ \_\_m revenue from project grants

€ \_\_m revenue from services

Number of staff (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.)*

<b>Name</b>	<b>Leadership position</b>	<b>At the institute since</b>	<b>Year and salary grade of appointment as well as partner university, if applicable</b>
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)**

### **Appendix to Chapter 2:**

- List of third-party funded projects (20xx–20zz)

*Explain briefly (ca. 2 pages) the overall concept of your institution. What role do the three types of activity research, development and operation of research infrastructures, and transfer play at your institution (see "Items and criteria for the evaluation of institutions in the Leibniz Association")?*

*Describe the institution's core results (highlights) in the three types of activity (it is possible that you mainly or even exclusively explain the 10 most important results [see list i] in detail). Please describe other quantitative indicators if they are not covered by the overviews i)-iv) below but are of relevance to your institution (e.g. user statistics for infrastructures, number of visitors to exhibitions etc.).*

*Please insert the following overviews at the appropriate place:*

- i) List of the most important results (ten max.) since the previous evaluation

*Until a few years ago, a list of the 10 most important scientific publications was requested. This list has now been opened up, so that other, clearly defined work results of the types of activity "research infrastructures" (e.g. the online provision of a database) and "knowledge transfer" (e.g. a policy advice report) can also be listed.*

- ii) The institution's publication figures (20xx–20zz)

<b>Type of publication</b>	<b>20xx</b>	<b>20yy</b>	<b>20zz</b>
Monographs			
Individual contributions to edited volumes			
Articles in peer-reviewed journals (contributions that have been accepted for publication but not yet appeared may be added in parentheses for the respective year)			
Articles in other journals			
Working and discussion papers			
Editorship of edited volumes			

- iii) The number of patents and other industrial property rights (20xx–20zz)

<b>Patents</b>	<b>20xx</b>	<b>20yy</b>	<b>20zz</b>
Applications giving rise to a right of priority (in the calendar year)			
Patents (number held as of 31.12. of the year)			
Patent families (number held as of 31.12. of the year)			

<b>Other industrial property rights</b>	<b>20xx</b>	<b>20yy</b>	<b>20zz</b>
Applications giving rise to a right of priority (in the calendar year)			
Property rights (number held as of 31.12. of the year)			
Property right families (number held as of 31.12. of the year)			

- iv) The number of expert reviews produced by the institution (20xx–20zz)

*Expert reviews refer to expert reports and opinions for science policy-makers, business, associations etc., not reviews of academic theses or peer reviews for publications or grant applications.*

	<b>20xx</b>	<b>20yy</b>	<b>20zz</b>
Number of expert reviews			

### **3. Changes and planning (max. 10 pages)**

#### **3.1 Development since the previous evaluation**

#### **3.2 Strategic work planning for the coming years**

##### **Appendices to Chapter 3.2:**

- most recent programme budget

*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. If appropriate, one sub-chapter can be used for both purposes.*

#### **3.3 Planning for additional funds deriving from institutional funding**

##### **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**

	<b>1st year</b>	<b>2nd year</b>	<b>3rd year</b>	<b>4th year</b>	<b>Permanently</b>
<b>Own funds + additional funds =</b> „extraordinary item of expenditure“	850 k€	917 k€	924 k€	951 k€	951 k€
<b>Own funds</b> from existing funding by institution (at least 3 % of core budget)	450 k€	457 k€	464 k€	471 k€	471 k€
<b>Additional funds</b> 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 Facilities, equipment and funding**

*Please briefly explain the institution's total budget in accordance with the overview at the end of the chapter (revenue from institutional funding, revenue from project grants, revenue from services).*

*What targets are there for revenue from third-party funding (revenue from project grants, revenue from services)? In particular, are there targets relating to revenue from specific third-party funders or to the composition of the third-party funding portfolio?*

*Describe the facilities and equipment. If relevant, discuss the specifics of the institution, e.g. in relation to large-scale equipment, laboratory facilities and equipment, collections etc.*

*Please elucidate the institution's IT strategy (including data backup)*

*At the end of Chapter 4.1, please insert the following overview (preferably on one page):*

## The institution's revenue and expenses

Revenue		20xx			20yy			20zz <sup>1)</sup>		
		k€	% <sup>2)</sup>	% <sup>3)</sup>	k€	% <sup>2)</sup>	% <sup>3)</sup>	k€	% <sup>2)</sup>	% <sup>3)</sup>
<b>Total revenue (sum of I., II. and III.; excluding DFG fees)</b>										
I.	<b>Revenue (sum of I.1., I.2. and I.3)</b>	10.000	100 %			100 %			100 %	
1.	<b>INSTITUTIONAL FUNDING (EXCLUDING CONSTRUCTION PROJECTS AND ACQUISITION OF PROPERTY)</b>	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.	<b>REVENUE FROM PROJECT GRANTS</b>	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.	<b>REVENUE FROM SERVICES</b>	1.000	10 %							
3.1	Revenue from commissioned work	1.000								
3.2	Revenue from publications									
3.3	Revenue from exploitation of intellectual property for which the institution holds industrial property rights (patents, utility models etc.)									
3.4	Revenue from exploitation of intellectual property without industrial property rights									
3.5	<i>If applicable: other services</i>									
II.	<b>Miscellaneous revenue</b> (e.g. membership fees, donations, rental income, funds drawn from reserves)									
III.	<b>Revenue for construction projects</b> (institutional funding by Federal and Länder governments, EU structural funds, etc.)									
<b>Expenditures</b>		<b>k€</b>			<b>k€</b>			<b>k€</b>		
<b>Expenditures (excluding DFG fees)</b>										
1.	Personnel									
2.	Material expenses									
2.1	<i>Proportion of these expenditures used for registering industrial property rights (patents, utility models etc.)</i>									
3.	Equipment investments									
4.	Construction projects, acquisition of property									
5.	Other operating expenses									
DFG fees (if paid for the institution – 2.5% of revenue from institutional funding)										

[1] Preliminary data: yes / no

[2] Figures I.1., I.2 and I.3 add up to 100 %. The information requested here is thus the percentage of "Institutional funding (excluding construction projects and acquisition of property)" in relation to "Revenue from project grants" and "Revenue from services".

[3] Figures I.2.1 to I.2.7 add up to 100 %. The information requested here is thus the percentage of the various sources of "Revenue from project grants".



## 4.2 Organisational and operational structure

*How is the institution organised (structure and personnel composition of management and management bodies, organisation of subdivisions and other organisational units, if applicable)?*

*How is the institution operated (decision-making processes, particularly control of institute activities)?*

## 4.3 Quality management

*Please explain your quality assurance measures, if appropriate with reference to the Leibniz Association's relevant guidelines. Please focus on the following themes, in so far as they play a role at your institution:*

- *measures to ensure good scientific practice*
- *animal welfare measures, if applicable*
- *publication strategy (including handling of open access)*
- *technology transfer strategy (e.g. acquiring/holding industrial property rights and patents)*
- *quality management measures for research infrastructures*
- *research data management (including handling of open data)*
- *internal performance incentives such as performance-based funding allocation (LOM)*
- *budget management via the programme budget*
- *management of fundamental administrative workflows*

## 4.4 Quality management by advisory boards and supervisory board

### **Appendices to Chapter 4.4:**

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

*i) Please state the Scientific Advisory Board's mission (quoting from the Statutes or comparable document).*

List of the members of the institution's Scientific Advisory Board (current members and members during the last seven years)

<b>Member</b>	<b>Institution</b>	<b>Discipline</b>	<b>Period in office</b>
n.n. (Chair)			
n.n. (Vice-Chair)			
n.n.			

*Add specific information, if necessary.*

*ii) Use the same format for the User Advisory Board, if appropriate.*

*iii) Use the same format for the Supervisory Board, whereby the column "Discipline" in the list of members should be deleted.*

## **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 as well as joint professors.*

### **5.2 Staff with a doctoral degree**

*How does your institution promote staff with a doctoral degree, especially in the “post-doc phase”? Have staff at your institution been appointed to professorships or transferred to other leading positions during the reporting period? How does your institution deal with fixed-term contracts and tenure?*

### **5.3 Doctoral candidates**

*Please describe your institution’s supervision strategy for doctoral candidates, including structured programmes, if applicable. What is the average length of doctorates?*

*How do you assure the quality/success of your doctoral training? Do you keep track of your graduates’ career paths? Do you stay in contact with former doctoral candidates (e.g. via an alumni network)?*

*Please insert the following overview at an appropriate place:*

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

	<b>20xx</b>	<b>20yy</b>	<b>20zz</b>
Degrees qualifying candidates to study for a doctorate			
Doctorates			
Habilitations			

### **5.4 Science supporting staff**

*Please describe vocational training measures. How many traineeships and which qualifications does your institution offer? Please state the number of vocational qualifications completed between 20xx and 20zz.*

### **5.5 Equal opportunities and work-life balance**

*The Leibniz Association has committed itself to implementing the DFG’s “Research-Oriented Standards on Gender Equality” (which include the cascade model) and developed them further into the „Leibniz-Gleichstellungsstandards“. Please explain the measures adopted and the status reached at your institution with regard to the five principles contained in the „Leibniz-Gleichstellungsstandards“: women in leadership positions, gender equality as a guiding principle, gender equality officer, reconciliation of work and family life, external certification. What problems are you still facing? How can they be solved?*

*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
<b>Research and scientific services</b>	<b>8</b>	<b>50 %</b>					
1 <sup>st</sup> level (scientific directors)	1	-					
2 <sup>nd</sup> level (department leaders or equi.)	1	-					
3 <sup>rd</sup> level (group leaders or equi.)	1	100 %					
Junior research group leaders (if applicable)	1	100 %					
Further academic staff in executive positions	1	-					
Scientists in non-executive positions (A13, A14, E13, E14 or equivalent)	1	-					
Doctoral candidates (A13, E13, E13/2 or equi.)	2	100 %					
<b>Science supporting staff</b> (laboratories, technical support etc.)	<b>8</b>	<b>50 %</b>					
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)							
<b>Science supporting staff</b> (administration)	<b>4</b>						
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						
<b>Student assistants</b>							
<b>Trainees</b>							
<b>Scholarship recipients at the institution</b>	<b>2</b>						
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 describe your institution's major collaborations, taking account of the following aspects and broken down in a form appropriate to your institution:*

- *collaborations with universities, especially if they involve joint appointments*
- *total scope of teaching activities by institute staff at universities*
- *involvement in and coordination of alliances such as Collaborative Research Centres, excellence clusters, Leibniz ScienceCampi etc.*
- *cooperation with Leibniz institutes, involvement in Leibniz research alliances*
- *other collaborations*

### **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 (it is possible that you mainly or even exclusively explain the 10 most important results [see list i] in detail)
- 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. 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 most important results (ten max.) since the previous evaluation

Until a few years ago, a list of the 10 most important scientific publications was requested. This list has now been opened up, so that other, clearly defined work results of the types of activity "research infrastructures" (e.g. the online provision of a database) and "knowledge transfer" (e.g. a policy advice report) can also be listed.

iii) 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 in overview iv) "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.

The following additional information may be included:

Visit [www.institut.de](http://www.institut.de) for a complete list of the subdivision's publications

## iv) Key data

	Number of FTEs (as of: day/month/20xx)	
	Total	on third-party funding (in %)
<b>Personnel <sup>1)</sup></b>	<b>100</b>	
Research and scientific services (excluding doctoral candidates)	70	
Doctoral candidates	20	
Science supporting staff (laboratories, technical support etc.)	10	

	20xx	20yy	20zz
<b>Institutional funding (excluding construction projects and acquisition of property) by Federal and <i>Länder</i> governments according to AV-WGL (in k€)</b>	<b>3.000</b>		
<b>Revenue from project grants (in k€)</b>	<b>1.000</b>		
DFG	500		
Leibniz Association (competitive procedure)	300		
Federal, <i>Länder</i> governments	100		
EU	100		
Industry			
Foundations			
<i>If applicable: Other sponsors</i>			
<b>Revenue from services (in k€)</b>	<b>1.000</b>		
Revenue from commissioned work	500		
Revenue from publications	100		
Revenue from the exploitation of intellectual property for which the institution holds industrial property rights (patents, utility models etc.)	400		
Revenue from exploitation of intellectual property without industrial property rights			
<i>If applicable: revenue for other services; please specify</i>			

Monographs			
Individual contributions to edited volumes			
Articles in peer-reviewed journals (contributions which have been accepted for publication in the past year may be added in parentheses)			
Articles in other journals			
Work and discussion papers			
Editorship of edited volumes			
Number publications co-authored with scientists from other subdivisions			

Patents: applications giving rise to a right of priority (in the calendar year)			
Patents (number held as of 31.12. of the year)			
Patent families (number held as of 31.12. of the year)			

Property rights: applications giving rise to a right of priority (in the calendar year)			
Property rights (number held as of 31.12. of the year)			
Property right families (number held as of 31.12. of the year)			

Number of expert reviews			
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Academic degrees leading to doctoral work			
Doctoral degrees			
Habilitations			

<sup>1</sup> As per the annex to section 5.

**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.*)

### Appendix to Chapter 2:

- List of third-party funded projects (20xx–20zz)

Third-party funder	Project leader	Grant (in €k)	Duration	Project title (short title, if appropriate)	Responsible subdivision

*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 name of the project leader. If one and the same leader has several projects financed by the same third-party funder, please cite the project with the highest funding in first place, followed by the second highest etc. Please indicate in the last column which subdivision is responsible for the project or, in the case of projects with several subdivisions involved, which one is in charge.*

### Appendix to Chapter 3.2:

- Most recent programme budget

### 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