

Austausch zu PoF V – Strategische Bewertung

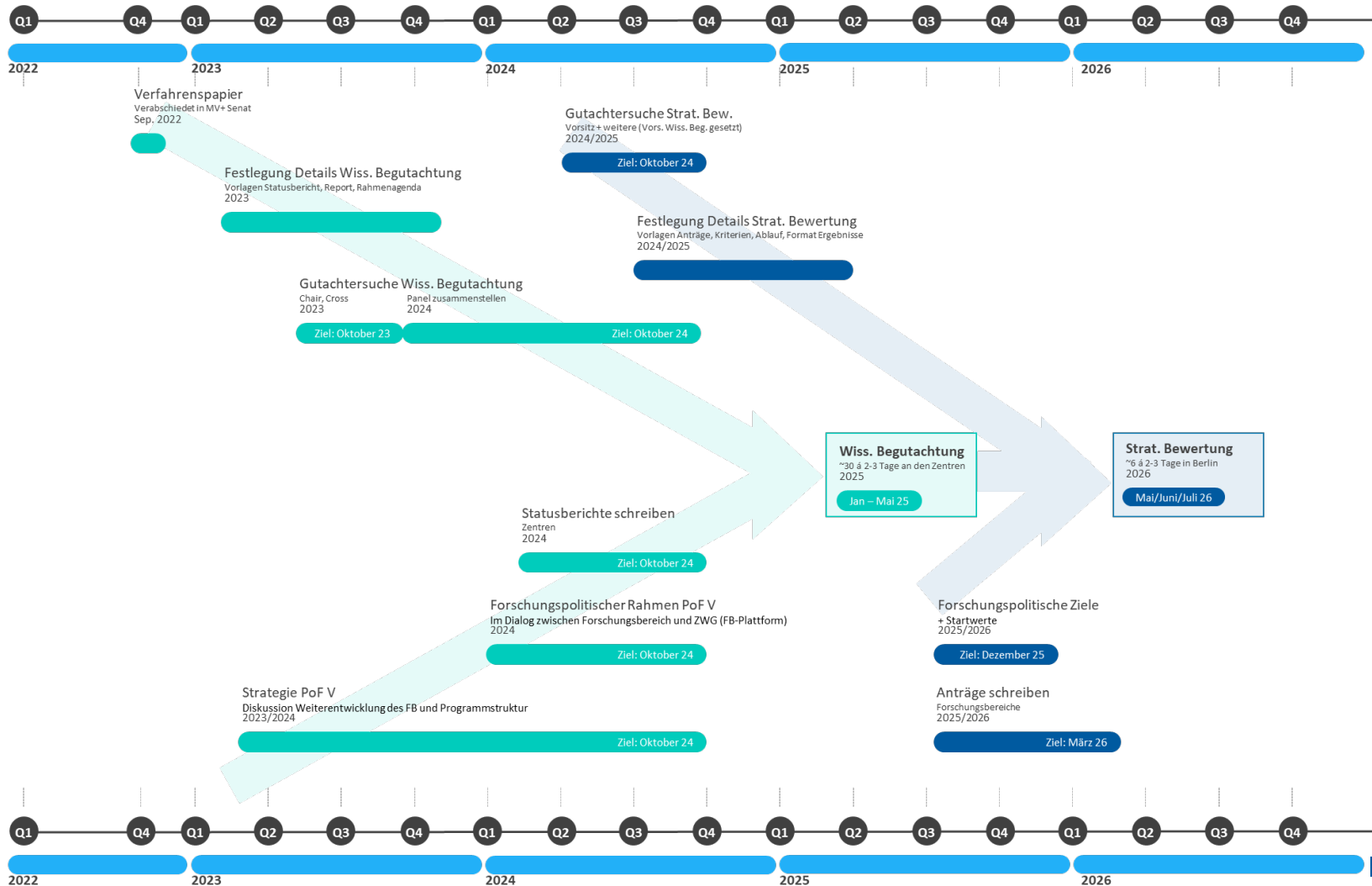
Treffen der Helmholtz-Arbeitsgruppen,
15.10.2024

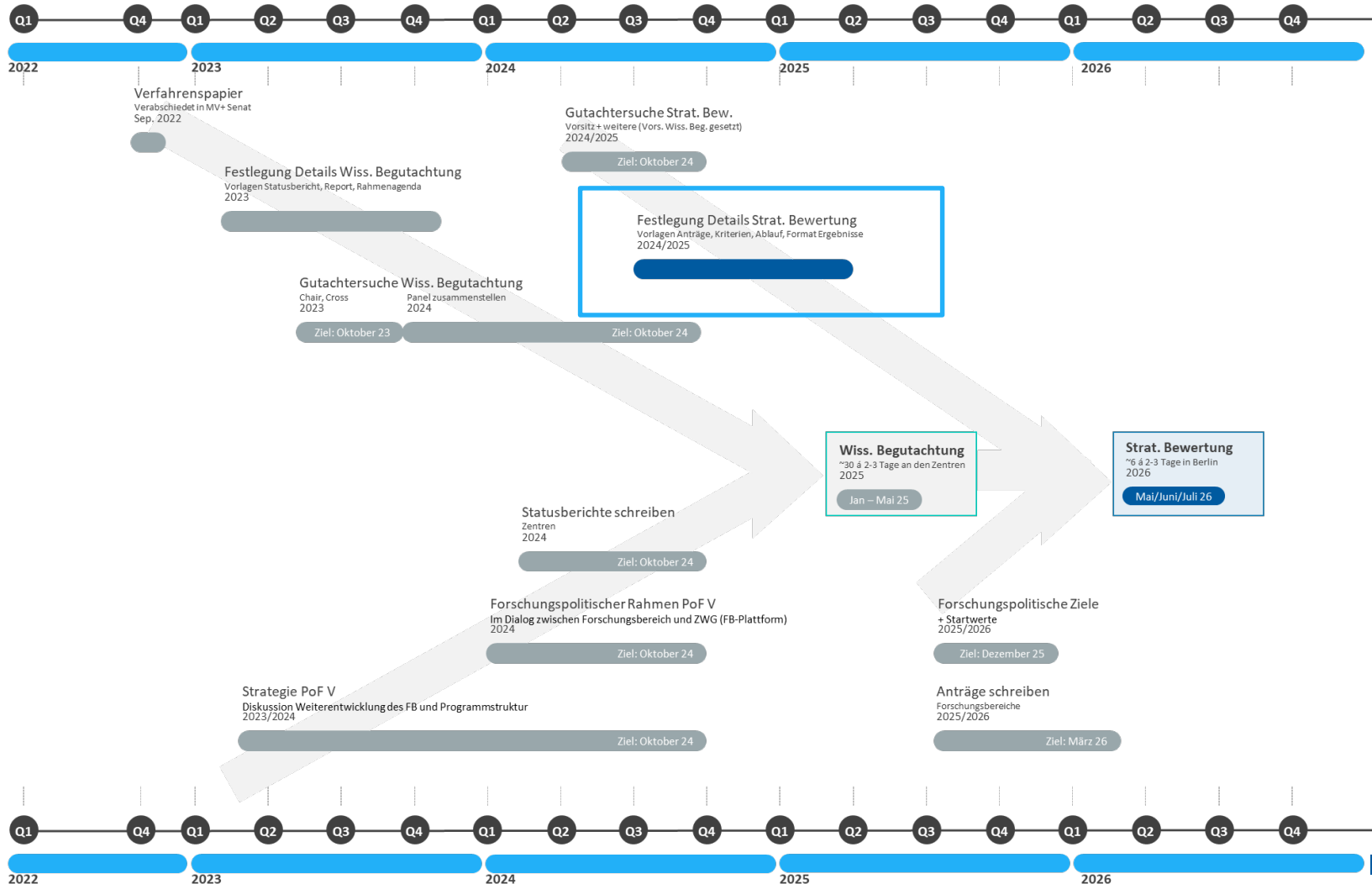
Agenda



Strategische Bewertung

Überblick Zeitplan





Strategische Bewertung

Grundlagen

Strategische Bewertung

Grundlage

[Auszug Verfahrenspapier]

„Gegenstand der strategischen Bewertung als zweitem Element sind die Vorschläge für die zukünftigen Programme eines Forschungsbereichs, die auf Basis der Strategie, der wissenschaftlichen Kompetenz und forschungspolitischen Ziele entwickelt wurden.“

Auftrag an die Gutachtergruppe

- (1) Bewertung der Programme und ihrer Topics unter Berücksichtigung der Ergebnisse der wissenschaftlichen Begutachtung
- (2) Bewertung der Planungen für die LK II-Infrastrukturen im Forschungsbereich
- (3) Empfehlungen für die Weiterentwicklung des Forschungsbereichs sowie ggf. konkrete Vorschläge zur Modifikation der Programme und Topics und ihren Startwerten
- (4) Erarbeiten eines Finanzierungsvorschlags für die einzelnen Topics der Programme innerhalb des zur Verfügung stehenden Budgets.

„Die Bewertung der vorgeschlagenen Programme für die nächste Programmperiode erfolgt vergleichend innerhalb des Forschungsbereichs durch eine Gutachtergruppe.“

Dimensionen

- (i) Bewertung der (wissenschaftlichen) **Ziele** entlang der forschungspolitischen Ziele im Kontext der internationalen Entwicklungen im Feld
- (ii) Bewertung der **wissenschaftlichen Kompetenz** der Programmbeteiligten: Die Gutachtergruppe beurteilt die wissenschaftliche Kompetenz mit Blick auf das Erreichen der Ziele der vorgeschlagenen Programme, inwieweit sie diejenigen umfasst, die für das Erreichen der Ziele erforderlich sind. Sollte sie im Vergleich zur wissenschaftlichen Begutachtung zu anderen Bewertungen kommen, muss sie dies klar begründen und transparent kommunizieren.
- (iii) **Umsetzungsstrategie**: Bewertung des **Arbeitsprogramms** und der personellen und finanziellen **Ressourcen**

Die Bewertungen entlang der drei Dimensionen umfassen jeweils auch eine Benotung (in Analogie zur wissenschaftlichen Begutachtung).

Strategische Bewertung

Kriterien für Nutzergeräte

[Auszug Verfahrenspapier]

Die **Bewertung der Planungen für die LK II-Infrastrukturen** erfolgt ebenfalls auf Basis der wissenschaftlichen Begutachtung, die die folgenden Kriterien beinhaltet:

- Scientific quality and strategic relevance
- Access and service for users
- Appropriateness of resources used and future costs

Auf dieser Basis fokussiert die strategische Bewertung auf die (inter-)nationale Relevanz der Nutzergeräte für die nächste Programmperiode (und darüber hinaus) sowie ihre Relevanz für die Programme bzw. den Forschungsbereich.

Strategische Bewertung

Finanzierungsvorschlag für die Programme

[Auszug Verfahrenspapier]

Neben der qualitativen Bewertung des Forschungsbereichs, der Programme und der Topics sowie der LK II-Infrastrukturen erarbeitet die Gutachtergruppe einen Finanzierungsvorschlag für die Programme. Konkret sollen auf Ebene der einzelnen Topics Aussagen dazu getroffen werden,

- ob die von den Zentren vorgeschlagenen Startwerte für seine Topicanteile adäquat sind oder ggf. modifiziert werden sollten;
- in welchem Maße sich ihre Finanzierung über die Programmperiode entwickelt. [...]

Auf Basis der (ggf. modifizierten) Startwerte für die einzelnen Topics und ihrer Bewertung ordnet die Gutachtergruppe diese jeweils einer der folgenden drei Finanzierungskategorien zu:

- **Kategorie A:** Topics mit herausragender Bewertung in allen drei Dimensionen erhalten einen Aufwuchs, der über der Steigerungsrate des Forschungsbereichs liegt.
- **Kategorie B:** Topics mit sehr guter Bewertung erhalten einen Aufwuchs, der sich an 50% der Steigerungsrate des Forschungsbereichs orientiert.
- **Kategorie C:** Topics mit Abstrichen in der Bewertung erhalten keinen Aufwuchs...

Strategische Bewertung

Ergebnisbericht – Formatvorlage

Ergebnisbericht – Formatvorlage

Gliederung

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Ergebnisbericht – Formatvorlage

Struktur auf Topic-Ebene

(Dimension 1) Scientific goals and strategic relevance

Please assess the (scientific) **objectives** in line with research policy objectives in the context of international developments in the field:

- How would you rate the objectives of the topic with regard to scientific relevance and leadership? Which pressing societal or scientific challenges does it address?
- How would you rate the topic's potential impact with regard to the research field, its technologies and its societal context?
- How would you evaluate its alignment with the research policy objectives of the research field (and with the strategy of the program)?
- Do you envision further objectives that the topic should consider addressing?

(Dimension 2) Scientific competence

Please assess the **scientific competence** of those involved in the topic. For this aspect, please take the scientific evaluation into account, which assessed each topic's scientific achievements, originality and innovative potential, and international standing and competitiveness. On this basis,

- how would you rate the competence profile of the planned topic and its scientists to achieve the proposed goals?
- (If you disagree with the assessment of the scientific evaluation (or certain aspects of it), please comment.)

Ergebnisbericht – Formatvorlage

Struktur auf Topic-Ebene

(Dimension 3) Implementation

Please assess the **implementation** including the human and financial **resources**.

- How would you rate the proposed **work plan** with respect to the objectives? Is its focus innovative and is the approach unique? How coherent is the research concept/approach on the relevant level? Are important aspects missing?
- How are the key competences of the partners integrated with regard to their complementarity? How do they benefit from collaboration?
- How would you evaluate the **organizational structure** and the management? Does it provide tools for ideas, innovation, flexibility and reflectivity?
- How would you assess the **resource planning** with regard to the scope of the topic?
- Optional: To what extent does the topic depend and benefit from the associated **user facilities**?

Strategic Recommendations

[Text]

Ergebnisbericht – Formatvorlage

Rating auf Topic-Ebene

Rating topic n

Scientific goals and strategic relevance				
☐ Outstanding	☐ Excellent	☐ Very good	☐ Good	☐ Fair
Scientific competence				
☐ Outstanding	☐ Excellent	☐ Very good	☐ Good	☐ Fair
Implementation				
☐ Outstanding	☐ Excellent	☐ Very good	☐ Good	☐ Fair

Definition of grades	
outstanding	internationally leading, ground-breaking research, transformative impact on the research field and/or high potential for significant societal or economic impact, essentially no weakness
excellent	internationally highly visible, although not leading, innovative research with significant impact on the research field and/or potential for significant societal or economic impact, only few minor weaknesses
very good	internationally visible, considerable impact on the research field, minor weaknesses
good	limited international visibility, moderate contribution to the research field, several minor weaknesses
fair	minor contribution to the research field, major weaknesses

Ergebnisbericht – Formatvorlage

Struktur auf Programm-Ebene

Nach Bewertung der einzelnen Topics Einschätzung zum Programm:

Please describe your overall impressions of the program, which is comprised of the topics described above.

- *How well do the program's **goals** align with both, the overall mission of the research field and the research policy objectives? Which pressing societal or scientific challenges does the program address?*
- *How effectively do the individual topics within the program integrate and complement each other to create a cohesive **and synergistic research** effort?*
- *How would you evaluate the **organizational structure** and the management? Does it provide tools for ideas, innovation, flexibility, and reflectivity?*
- *How would you assess the **resource planning** with regard to the scope of the program?*
- *What are the **future directions** and potential growth areas identified for the program?*

Strategic Recommendations

[Text]

Ergebnisbericht – Formatvorlage

Struktur für User facility

General remarks

Based on the scientific evaluation, please assess the (inter)national relevance of the user facility for the next program period (and beyond) as well as their relevance for the programs and the research area:

- How would you rate the relevance of the facility on a national, European or international level now and (in view of planned/proposed upgrades, if applicable) towards the end of the forth-coming program period?*
- What role does the facility play for the associated program(s) and the research field in the forthcoming program period?*

Strategic Recommendations

[Text]

Ergebnisbericht – Formatvorlage

Struktur auf Forschungsbereichs-Ebene

Introduction

Please describe your overall impressions of the research field, its goals and strategy.

Strategic recommendations

[Please provide statements which apply to the research field in its entirety, its proposed program structure and infrastructures as well as to what extend the individual programs synergistically contribute to the mission of the research field.

- Are there effective mechanisms in place to ensure crosstalk and synergy among the programs?*
- (If applicable, to which degree do the cross-cutting activities provide added value for the research field and beyond?)*
- What is the strategic vision for the future of the research field?*

Please comment on the distribution of the budget across these programs and topics. It might include recommendations for the re-distribution of the budget and for new strategic topics and initiatives (and their funding).]

Ergebnisbericht – Formatvorlage

Finanzierungsempfehlungen

- Nach dem Assessment der einzelnen Topics inkl. Bewertung mit Note (von *outstanding* bis *fair*) ist das Panel gebeten, jedes einer der Finanzierungskategorien zuzuordnen
- Relative vs. absolute Skala

Definition of funding categories	
Category A	Topics with exceptional evaluations in all three dimensions receive an increase that is above the growth rate of the research field.
Category B	Topics with strong evaluations receive an increase based on 50% of the growth rate of the research field.
Category C	Topics with lower evaluations or other (strategic) constraints receive no increase or a decrease (e.g. staggered -1% in the first year to -5% in the last year).

	Funding categories			Resource Plan
	A	B	C	Assessment
Program 1				
Topic n				
Topic n+1				
Program 2				
Topic n				
Topic n+1				
Topic n+2				
Topic n+3				
Topic n+4				
Program 3				
Topic n				
Topic n+1				
Topic n+2				
Topic n+3				
Program 4				
Topic n				
Topic n+1				

Strategische Bewertung

Programmantrag – Formatvorlage

Programmantrag – Formatvorlage

Gliederung

Content

1	Introduction	1
1.1	Helmholtz Association [responsible author: Helmholtz President]	1
1.2	Research Field xy [responsible author: Vice President]	1
1.3	Research Policy Objectives [responsible author: AZG]	1
2	Program n [responsible author: program board]	2
2.1	Overview	2
2.2	Topic n [Text]	3
2.2.1	Challenges and objectives	3
2.2.2	Competences and expertise	3
2.2.3	Results of scientific evaluation [responsible author: Cross-reviewers]	4
2.2.4	Implementation.....	4
3	User facilities [responsible author: program board]	4
3.1	User facility n [responsible author: center participants]	4
4	Cross-cutting research activities [Vice President].....	5
4.1	Helmholtz Quantum	5
4.2	Helmholtz Climate	5
4.3	Information and Data Science.....	5
5	List of abbreviations	5

Programmantrag – Formatvorlage

Kapitel 1 - Introduction

Chap.	Content	Responsible author	pages
1	Introduction		1
1.1	Helmholtz Association	President	2
1.2	Research Field xy strategy paper of the research field <i>Are there effective mechanisms in place to ensure crosstalk and synergy among the programs?</i> <i>(If applicable, to which degree do the cross-cutting activities provide added value for the research field and beyond?)</i> <i>What is the strategic vision for the future of the research field?</i>	Vice President	10
1.3	Research Policy Objectives	AZG	?

Programmantrag – Formatvorlage

Kapitel 2 – Program

Chap.	Content	pages
2	<i>Introductory words on the program</i>	up to ½ page
2.1	Overview <i>Brief overview of the program and its topics with reference to unique and Helmholtz-typical features. Please describe the overall impressions of the program, which is comprised of the topics described below</i> • How effectively do the individual topics within the program integrate and complement each other to create a cohesive and synergistic research effort? • What are the future directions and potential growth areas identified for the program?	4 pages
	Objectives and strategy <i>Executive summary of the program objectives and goals and its strategy</i> • How well do the program's goals align with both, the overall mission of the research field and the research policy objectives? Which pressing societal or scientific challenges does the program address?	2 pages
	Structure of the program and planned resources • How would you evaluate the organizational structure and the management? Does it provide tools for ideas, innovation, flexibility and reflectivity? • How would you assess the resource planning with regard to the scope of the program?	1 page

Programmantrag – Formatvorlage

Kapitel 2 – Topic

Chap.	Content	pages
2.2	<i>In-depth description of the topic strategy starting with a brief description of the topic</i>	in total less than 1/10 page per FTE
2.2.1	Challenges and objectives <i>Brief description of challenges, scientific goals and strategic relevance</i> • How would you rate the objectives of the topic with regard to scientific relevance and leadership? Which pressing societal or scientific challenges does it address? • How would you rate the topic's potential impact with regard to the research field, its technologies and its societal context? • How would you evaluate its alignment with the research policy objectives of the research field (and with the strategy of the program?) • Do you envision further objectives that the topic should consider addressing?	
2.2.2	Competences and expertise <i>Brief description of the scientific competence and expertise within the topic</i> • How would you rate the competence profile of the planned topic and its scientists to achieve the proposed goals? • (If you disagree with the assessment of the scientific evaluation (or certain aspects of it), please comment.)	

Programmantrag – Formatvorlage

Kapitel 2 – Topic

Chap.	Content	pages
2.2.3	Results of scientific evaluation <i>Brief description of the results of the scientific evaluations at the corresponding research centers; summary provided by panel chairs and cross-reviewers as results of the adjustments of the scientific reviews towards PoF V programs, marked as outcome of the scientific evaluations</i>	2 pages
2.2.4	Implementation <i>Brief description of topic strategy and implementation plan including topic organization and resources with goals and milestones</i> • How would you rate the proposed work plan with respect to the objectives? Is its focus innovative and is the approach unique? How coherent is the research concept/approach on the relevant level? Are important aspects missing? • How are the key competences of the partners integrated with regard to their complementarity? How do they benefit from collaboration? • How would you evaluate the organizational structure and the management? Does it provide tools for ideas, innovation, flexibility and reflectivity? • How would you assess the resource planning with regard to the scope of the topic? • Optional: To what extent does the topic depend and benefit from the associated user facilities?	in total less than 1/10 page per FTE

Programmantrag – Formatvorlage

Kapitel 3 – User facilities

Chap.	Content	pages
3	<i>Brief summary of the facility topics (if applicable) and the corresponding user facilities associated to the programs of this research field</i> <i>Key questions related to the assessment of the (inter)national relevance of the user facilities for the next program period (and beyond) as well as their relevance for the programs and the research area:</i> Based on the scientific evaluation, please assess the (inter)national relevance of the user facility for the next program period (and beyond) as well as their relevance for the programs and the research area.	1 - 2 pages per facility topic
3.1	User facility n <i>Description of the facility n</i> • How would you rate the relevance of the facility on a national, European or international level now and (in view of planed/proposed upgrades, if applicable) towards the end of the forth-coming program period? • What role does the facility play for the associated program(s) and the research field in the forthcoming program period?	10

Kapitel 4 – Cross-cutting research activities

Chap.	Content	pages
4	<i>Brief coordinated descriptions of the respective coordinating body on the perspective at the Helmholtz level, followed by a field-related specific text on the topic</i>	2
4.1	Helmholtz Quantum <i>Brief coordinated descriptions of the respective coordinating body on the perspective at the Helmholtz level, followed by a field-related specific text on the topic</i>	2
4.2	Helmholtz Climate <i>Brief coordinated descriptions of the respective coordinating body on the perspective at the Helmholtz level, followed by a field-related specific text on the topic</i>	2
4.3	Information & Data Science <i>Brief coordinated descriptions of the respective coordinating body on the perspective at the Helmholtz level, followed by a field-related specific text on the topic</i>	2

Austausch zu PoF V – Strategische Bewertung

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