

# Evaluation Procedures of the Max Planck Society

---



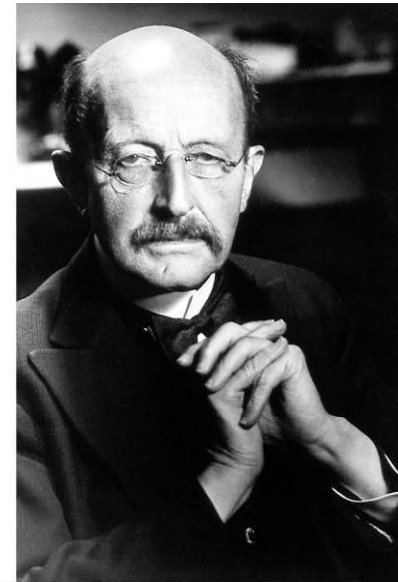
Not presented at the workshop.  
Supplied as additional material.  
For further information, please contact Dr Helene Schruff  
Head of Department  
"Institute Development and Evaluation"  
[helene.schruff@gv.mpg.de](mailto:helene.schruff@gv.mpg.de)

# Max Planck Society for the Advancement of Science

---

## Mission

- **Advancing innovative and interdisciplinary research at the frontiers of knowledge**
- **Providing competitive research conditions for excellent researchers**
- **Promoting young researchers and international cooperation**
- **Devoted to basic research/open to application**



» Knowledge must precede application. «

(Max Planck, 1858 - 1947, Nobel Laureate 1918)



# Max Planck Society for the Advancement of Science

---

## **78 Max Planck Institutes (MPI)**

set emphasis on leading-edge research with

## **264 MP-Directors**

**~4 000 scientists, ~10,900 junior scientists,**

**~8 000 non-scientists**

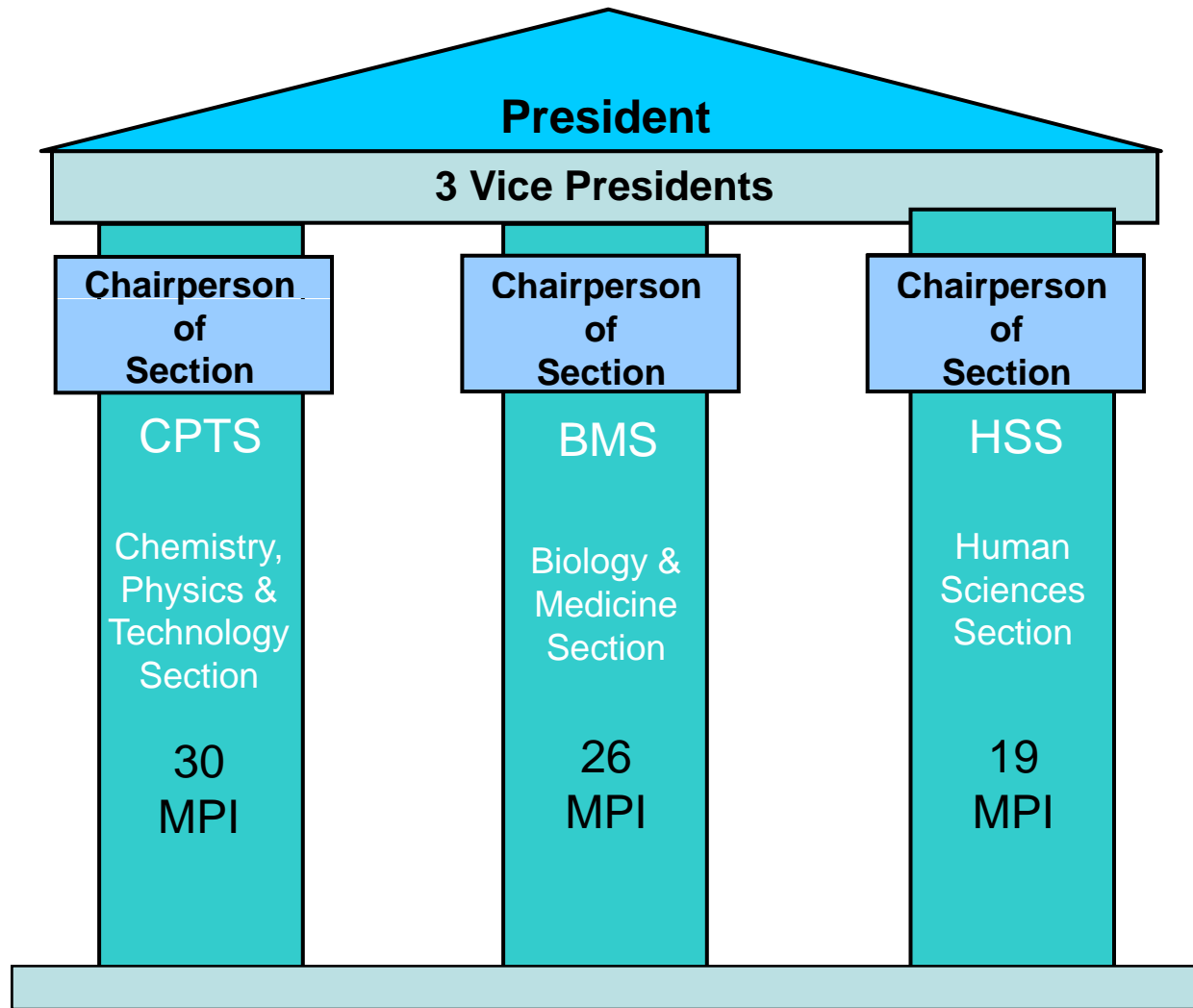
**Annual budget: ~ 1,4 billion Euro**

President of the Max Planck Society: Prof. Dr. Peter Gruss

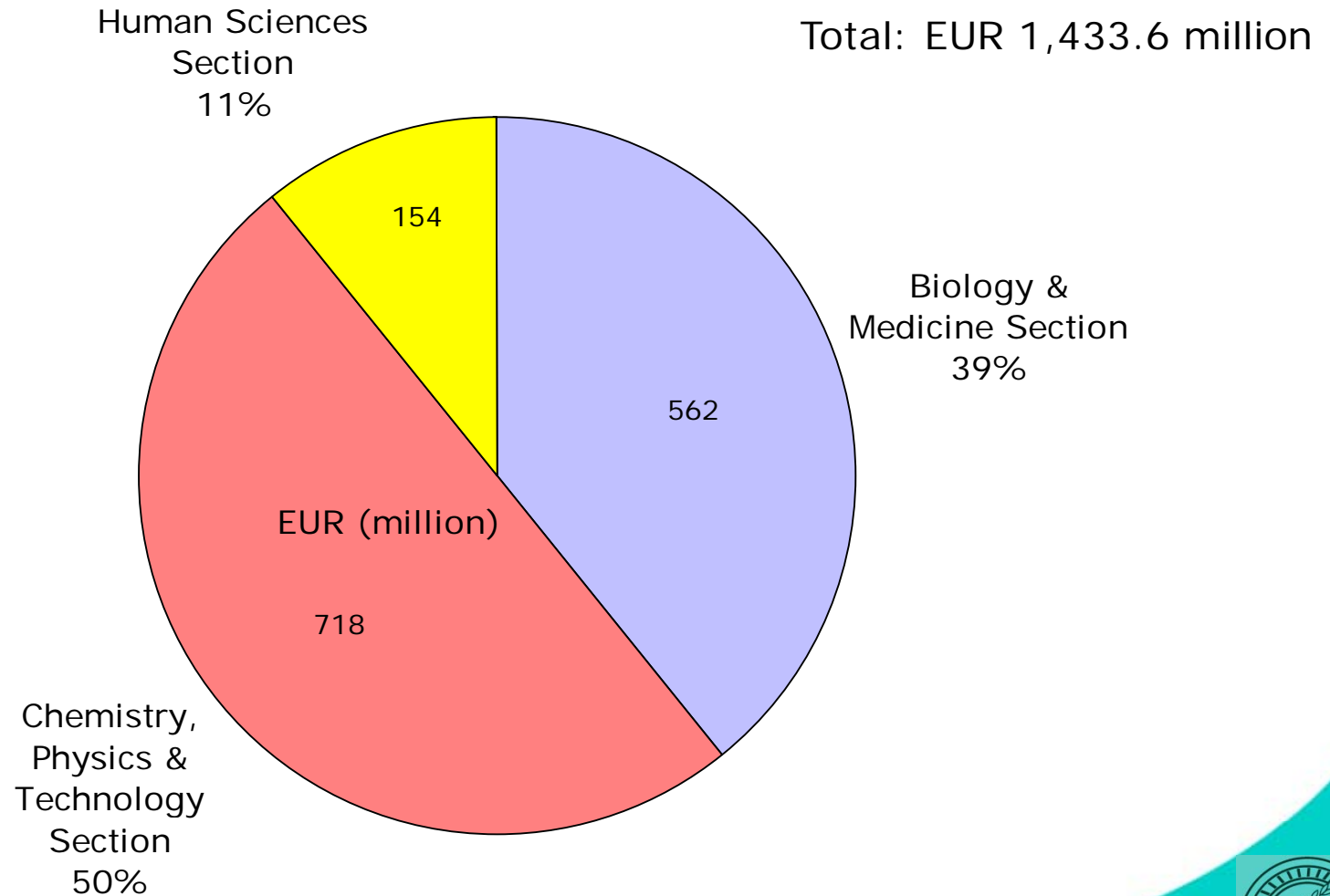
Secretary General: Dr. Barbara Bludau



# Scientific Structure of the MPS



## Expenditure 2007 of the MPG acc. to Sections



# Evaluation in the Max Planck Society

---

## Importance of Evaluation for the Max Planck Society

- ensuring high scientific quality
- assessment of the research
- discussion of research content and research strategy
- appropriate allocation of resources
- justification of the budget





## Types of Evaluation in the Max Planck Society

Ex Ante Evaluation	Ex Post Evaluation	Others
<ul style="list-style-type: none"> <li>• Establishing Institutes and IMPRS</li> <li>• <b>Appointments</b></li> <li>• Program concepts</li> <li>• Concepts for individual scientific proposals</li> </ul>	<ul style="list-style-type: none"> <li>• Regular Evaluation of the Institutes performed every 2 years</li> <li>• Extended Evaluation every 6 years</li> <li>• IMPRS and other</li> </ul>	<ul style="list-style-type: none"> <li>• System Evaluation commissioned by donors and granting agencies</li> <li>• Structure oriented presidential committee</li> <li>• Internal analysis of the activities and the performance</li> </ul>

Peer Review	
-------------	--



# Types of Evaluation in the Max Planck Society

Ex Ante Evaluation	Ex Post Evaluation	Others
<ul style="list-style-type: none"> <li>• Establishing Institutes and IMPRS</li> <li>• <b>Appointments</b></li> <li>• Program concepts</li> <li>• Concepts for individual scientific proposals</li> </ul>	<ul style="list-style-type: none"> <li>• Regular Evaluation of the Institutes performed every 2 years</li> <li>• Extended Evaluation every 6 years</li> <li>• IMPRS and other</li> </ul>	<ul style="list-style-type: none"> <li>• System Evaluations commissioned by donors and granting agencies</li> <li>• Structure oriented presidential committee</li> <li>• Internal analysis of the activities and the performance</li> </ul>
Peer Review		





# Ex Ante Evaluation

---

## Appointment of Scientific Members Peer Review based Evaluation Criteria

- originality of the candidate
- international ranking
- leadership qualities
- integration into the institute's research spectrum
- assessment of the potential contribution to institute's research concept



# Ex Ante Evaluation

---

and:

- Independent Junior Research Groups
- Max Planck Research Groups at Universities
- Tandem Projects
- International Max Planck Research Schools
- Inter-Institutional Research Initiatives
- Individual Projects



# Types of Evaluation in the Max Planck Society

Ex Ante Evaluation	Ex Post Evaluation	Others
<ul style="list-style-type: none"> <li>• Establishing Institutes and IMPRS</li> <li>• <b>Appointments</b></li> <li>• Program concepts</li> <li>• Concepts for individual scientific proposals</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Regular Evaluation of the Institutes</b> performed every 2 years</li> <li>• Extended Evaluation every 6 years</li> <li>• IMPRS and other</li> </ul>	<ul style="list-style-type: none"> <li>• System Evaluations commissioned by donors and granting agencies</li> <li>• Structure oriented presidential committee</li> <li>• Internal analysis of the activities and the performance</li> </ul>

Peer Review	
-------------	--



# Evaluation criteria

---

## General aspects – significance of the institute

- Significance of the institute within its scientific field both in national and international specialist environments
- Evaluation of the scientific quality of the institute overall
- Development prospects of the research fields in which the institute is active
- Identification of the institute's scientific work that can be described as outstanding in all regards. Identification of new scientific ideas and fields with high development potential



# Evaluation criteria

---

## Regarding individual departments and working areas

- Evaluation of projects on the basis of national and international performance levels
- Evaluation of medium-term working programs
- Evaluation of the personnel structure
- Appropriateness of relevant application of funds (including third-party funds)
- Cooperation within the institute, with other Max Planck Institutes, as well as external partners both in Germany and abroad
- Support for junior scientists



# Evaluation criteria

---

## Recommendation for further development

- Proposals for changes and restructuring
- Ideas for the continuation or closure of departments or working areas, particularly in the case for forthcoming retirements



# Evaluation criteria

---

## Evaluation using standardized categories

- Evaluation categories comprise national and international comparative benchmarks
- Designed to ensure a differentiated evaluation of the performance of the institute

**outstanding:** at the head of a broad research field both nationally and internationally

**excellent:** a leader in its relevant research field both nationally and internationally

**very good:** is a member of a broad group of national and international leaders, and is a leader in a specialist field

**good:** very solid research when measured using national and international benchmarks

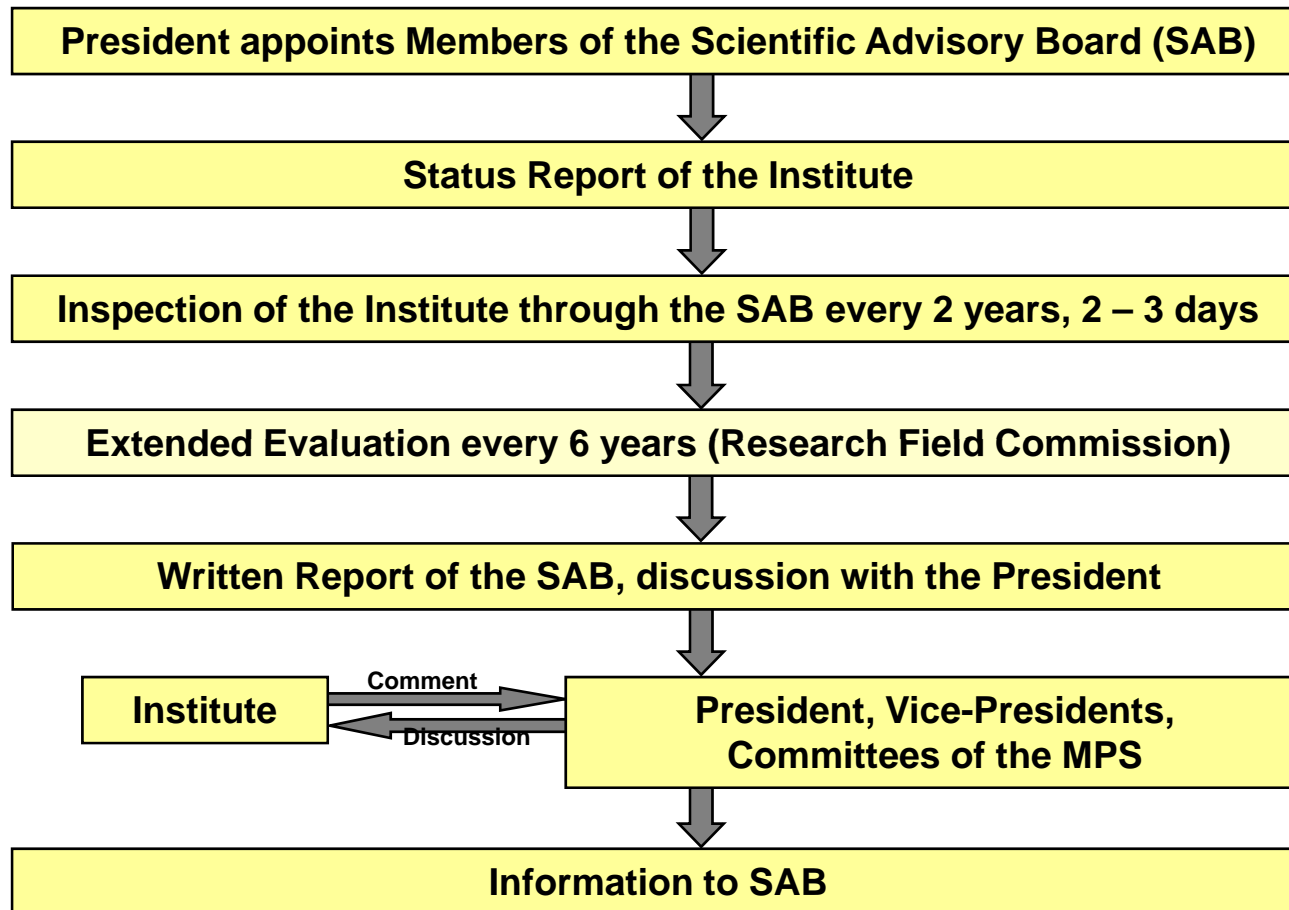
**average:** average working results with limited impact when measured using both national and international benchmarks





# Ex Post Evaluation

## Evaluation of an MPI - „informed peer-review“



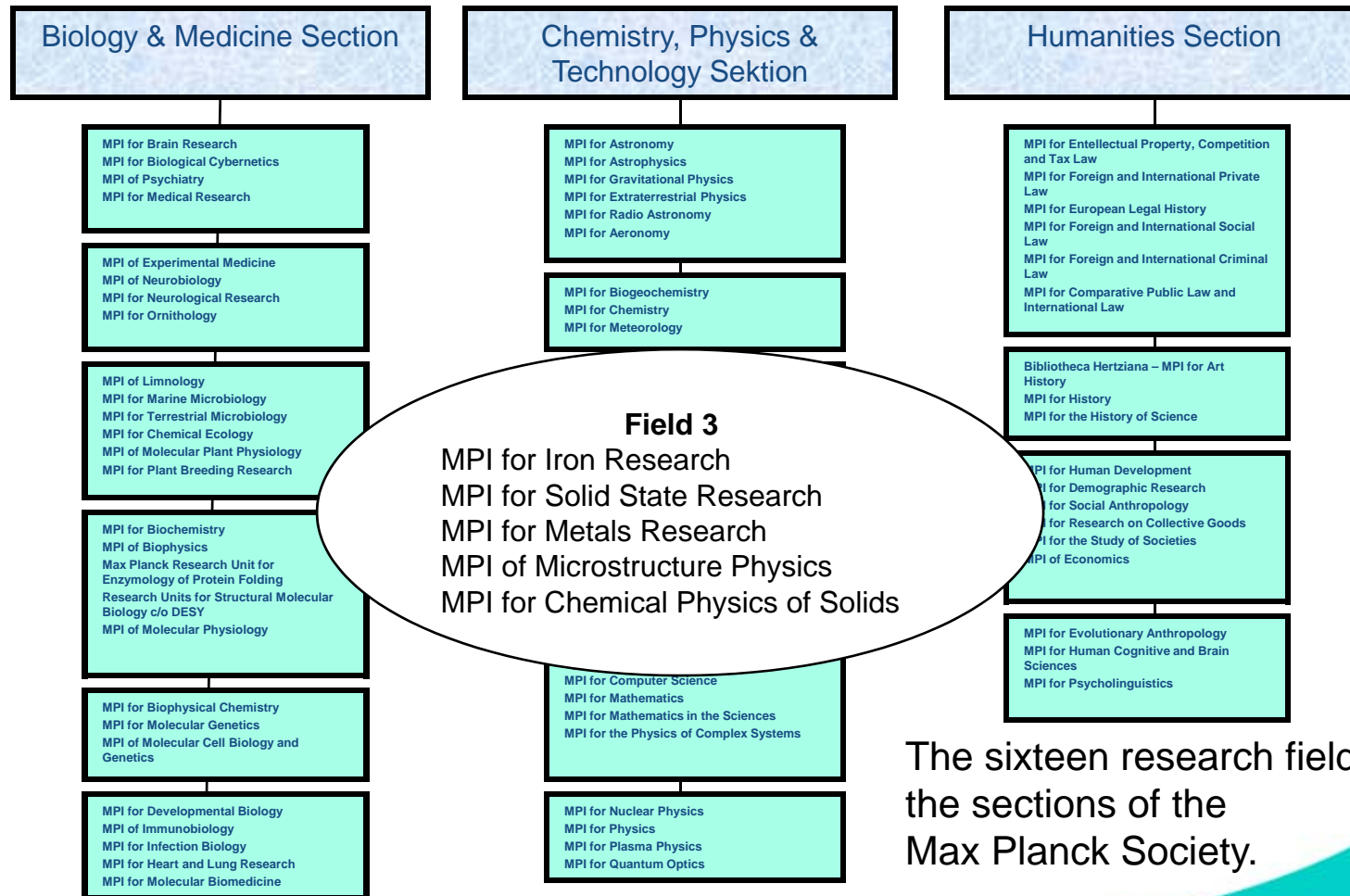
# Types of Evaluation in the Max Planck Society

Ex Ante Evaluation	Ex Post Evaluation	Others
<ul style="list-style-type: none"> <li>• Establishing Institutes and IMPRS</li> <li>• <b>Appointments</b></li> <li>• Program concepts</li> <li>• Concepts for individual scientific proposals</li> </ul>	<ul style="list-style-type: none"> <li>• Regular Evaluation of the Institutes performed every 2 years</li> <li>• <b>Extended Evaluation every 6 years</b></li> <li>• IMPRS and other</li> </ul>	<ul style="list-style-type: none"> <li>• System Evaluations commissioned by donors and granting agencies</li> <li>• Structure oriented presidential committee</li> <li>• Internal analysis of the activities and the performance</li> </ul>
Peer Review		



# Extended Evaluation

Example of a Research Field:



The sixteen research fields of the sections of the Max Planck Society.



## Extended Evaluation every 6 years

---

- 4 - 6 thematically and structurally similar institutes are organized into research fields
- president appoints two internationally reputed scientists per research field as rapporteurs
- attention given to inter-institutional comparative viewpoints within the research field
- thorough assessment of the institutes and the use of resources in the scope of the scientific importance of the research project
- a final discussion takes place in the research field committee and a written statement is drawn up



# Evaluation criteria

---

## Additional aspects for an extended evaluation

- Extensive evaluation of the effective application resources of the institute and of its departments (including third-party funds), and their distribution relating to the scientific significance of research projects
- Proposals for changes taking into account cross-institute, comparative aspects of research facilities consolidated in one research field

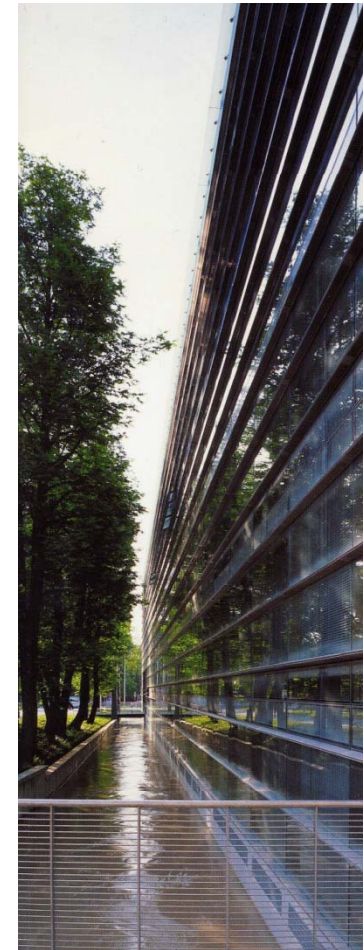


# Types of Evaluation in the Max Planck Society

Ex Ante Evaluation	Ex Post Evaluation	Others
<ul style="list-style-type: none"> <li>• Establishing Institutes and IMPRS</li> <li>• <b>Appointments</b></li> <li>• Program concepts</li> <li>• Concepts for individual scientific proposals</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Regular Evaluation of the Institutes</b> performed every 2 years</li> <li>• Extended Evaluation every 6 years</li> <li>• IMPRS and other</li> </ul>	<ul style="list-style-type: none"> <li>• System Evaluations commissioned by donors and granting agencies</li> <li>• Structure oriented presidential committee</li> <li>• Internal analysis of the activities and the performance</li> </ul>
Peer Review		







*Thank you very much*

**Dr. Helene Schruff**

**Head of the Division Institutional Development and Evaluation  
Max Planck Society  
Administrative Headquarters  
D- 80539 Munich**

**helene.schruff@gv.mpg.de  
Tel. 0049 89 2108 1430**







# Ex Post Evaluation

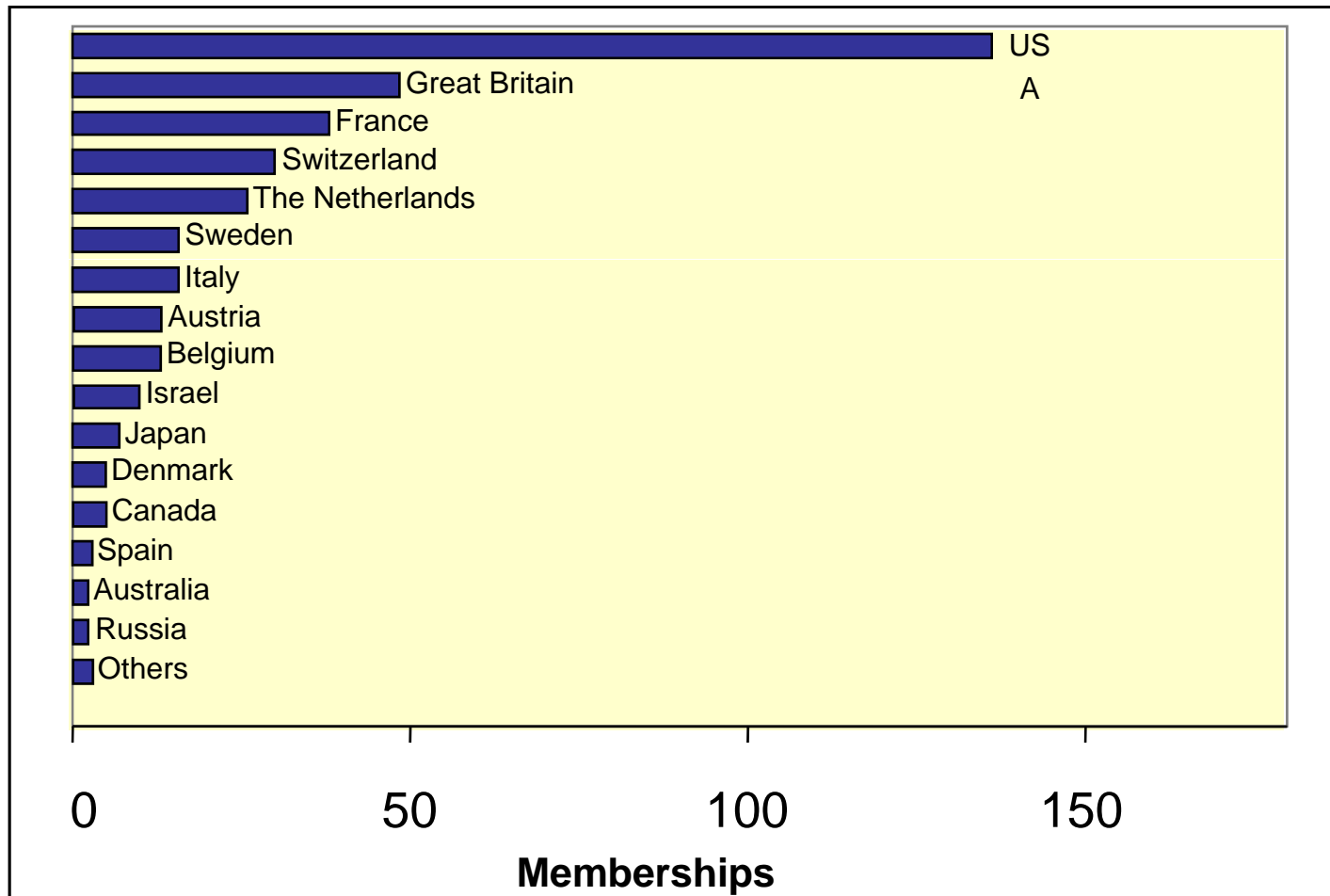
---

## Members for the Scientific Advisory Board

- proposed by the institute
- appointed by the president for 6 years
- usually half are replaced after 6 years
- total 650 members  
(over 95 % are external, over 60 % are from abroad)



## Countries of Origin



# Ex Post Evaluation

## Contents of the Institute's Status Report

- Research concept
- Highlights of the research
- Publications
- Junior scientists and guest scientists
- Cooperation with national and international research facilities

- Budget
- Third-party funds
- Personnel structure
- Equipment and spatial arrangements

- Teaching activities
- Appointments, scientific awards, and memberships
- Contacts to the business world, politics, and society
- Events
- Public relations work



# Ex Post Evaluation

---

## Meeting of the Scientific Advisory Board

Day 1: Pre-Meeting + “closed session“

- vice president welcomes members of the scientific advisory board and introduces to the MPS system
- election of the chairman of the scientific advisory board
- report of the managing director

Day 2: - lectures from individual departments

- poster presentation
- discussion with scientists in individual departments

Day 3: - closed meeting of the scientific advisory board

- discussion with the president, vice president, and the directors
- most important results are disclosed to the president/ vice president and a written report is prepared for the president



# Ex Post Evaluation

---

## Report of the Scientific Advisory Board

- chairman writes the report in coordination with the other members
- discussion of the institute's standing in a national and international context
- evaluation of the scientific results and research performance
- evaluation of the scientific importance in relation to the allocation of funds incl. third-party funds
- opinion on future endeavors and concentrations



# Ex Post Evaluation

---

## Report of the Scientific Advisory Board

- assessment of the cooperation within the institute and with external colleagues
- contains proposals for changes and restructuring
- recommends continuing or closing a department
- in individual cases, a confidential letter to the president is included with the report
- report is passed on to the institute
- comments of the institute are passed on to the president

