

Guidelines

for the Written Review of Transfer Projects

in the Individual Grants Programme, Priority Programmes,
and Research Units



I. What Are We Asking You to Do?

We are asking you to provide a written review that will serve as the basis for the funding decision regarding the attached proposal that has been submitted to the DFG.

- **First, please make sure that you feel you have the necessary scientific expertise.**
If you do not feel that you have the expertise required to evaluate the subject matter, please return the proposal as quickly as possible. In this case we would be grateful if you could assist us by suggesting other possible reviewers.
- **Please examine whether circumstances exist that could be interpreted as your having a conflict of interest.**
For more information on apparent conflicts of interest, see item IV.3.
- **Please treat the documentation confidentially and do not make it available to third parties.**
- **Please base your assessment of the research project on the text of the proposal you have received.**
You may also refer to the publications cited in the proposal; however, the bibliography of cited works and the manuscripts are not per se the subject of the review.

The proposal also includes two lists of publications:

- a list of the applicant's five most important publications in the curriculum vitae, and
- an overview of the applicant's most important project-specific publications.

Please consider both lists of publications as part of your review. ¹

- **If you have any questions about the proposal, please contact the DFG Head Office exclusively.**
- **Please limit your review to two pages or less.**

¹ The DFG provides clear instructions on how the lists of publications should be structured. In particular, the number of publications that can be listed is limited. This rule has two main objectives: first, to place emphasis on the content of the most important project-relevant publications, without regard to numerical indicators; second, to reduce the pressure for excessive publication.

- **Please provide a clear recommendation as to whether you believe the project should be funded.**

II. What Criteria Should You Use?

Transfer projects are based on results generated by DFG-funded research projects. They serve to test scientific insights in practice and, in collaboration with an application partner, develop basic-research findings into prototypes or exemplary applications. The application partner, based in Germany or abroad, may be a commercial enterprise or a non-profit institution, especially in the public sector.

The core of the project is a **joint work programme**, focusing on intensive mutual exchange of scientific knowledge on the one hand, and corresponding application issues on the other hand.

Appropriate **input by the application partner**, especially in terms of subject and staff, is expected. Funds for the application partner cannot be requested.

All legal matters, especially regarding publications and rights to the results generated, should be the subject of a **cooperation agreement**. A cooperation agreement must be approved by the DFG and, signed by the research institution as well as the application partner, be provided at the time of proposal submission. It is not the subject of the review. The DFG provides a model agreement for this purpose.

1. Quality of the project

- Evaluate the scientific quality of the results generated with the help of previous or current DFG funding. How will this scientific expertise be used in the transfer project?
- What is the significance of the project from a technical, economic, cultural, and/or societal point of view (also in relation to its cost)?
- To what extent is the transfer project an innovative transfer of the findings?
- In what way is the transfer project expected to have an impact on the scientific community (and, in the case of coordinated funding, on the research network)?

2. Application partner

- Please evaluate the suitability of the application partner in relation to the proposed project.
- For projects with commercial partners: Is the transfer project in a pre-competitive area? Give reasons for your assessment.

3. Objectives and work programme

- Are the transfer project's objectives and success criteria plausible? Can they be evaluated?
- Will the work programme be jointly supported by the cooperation partners?
- Is the partner's contribution of staff, subject and material resources adequate? Give reasons for your assessment.
- Assess the extent to which the work programme is appropriate to achieve the stated objectives.

4. Working conditions and setting

- Please assess whether the staff, institutional, spatial and instrumental resources are adequate to successfully undertake the project.
- Assess the possibilities for participating research associates to further their scientific and professional qualification.

5. Proposed scope of funding

- Does the work programme justify the proposed staffing requirements?
- Is the proposed instrumentation necessary for the project, and will it be fully utilised by it? Can it be considered contemporary core support?
- What budget will the project need for consumables, travel and other costs? Please review the individual items in the proposal and suggest an appropriate amount, either for each item or for the total.

6. Diversity and equal opportunities in German research

Proposal reviews should not disadvantage applicants due to extra-scientific reasons, such as age, gender or disability. Consider the applicant's scientific career development rather than his/her age. You may compensate for certain extra-scientific disad-

vantages; unavoidable delays in the applicant's scientific career (for example childcare responsibilities causing longer periods of qualification, gaps in publications, or less time spent abroad) should be taken into consideration.

Information on diversity and equal opportunities can be found at www.dfg.de/en/research_careers/equal_opportunities. You may also contact the relevant person at the DFG Head Office for more information.

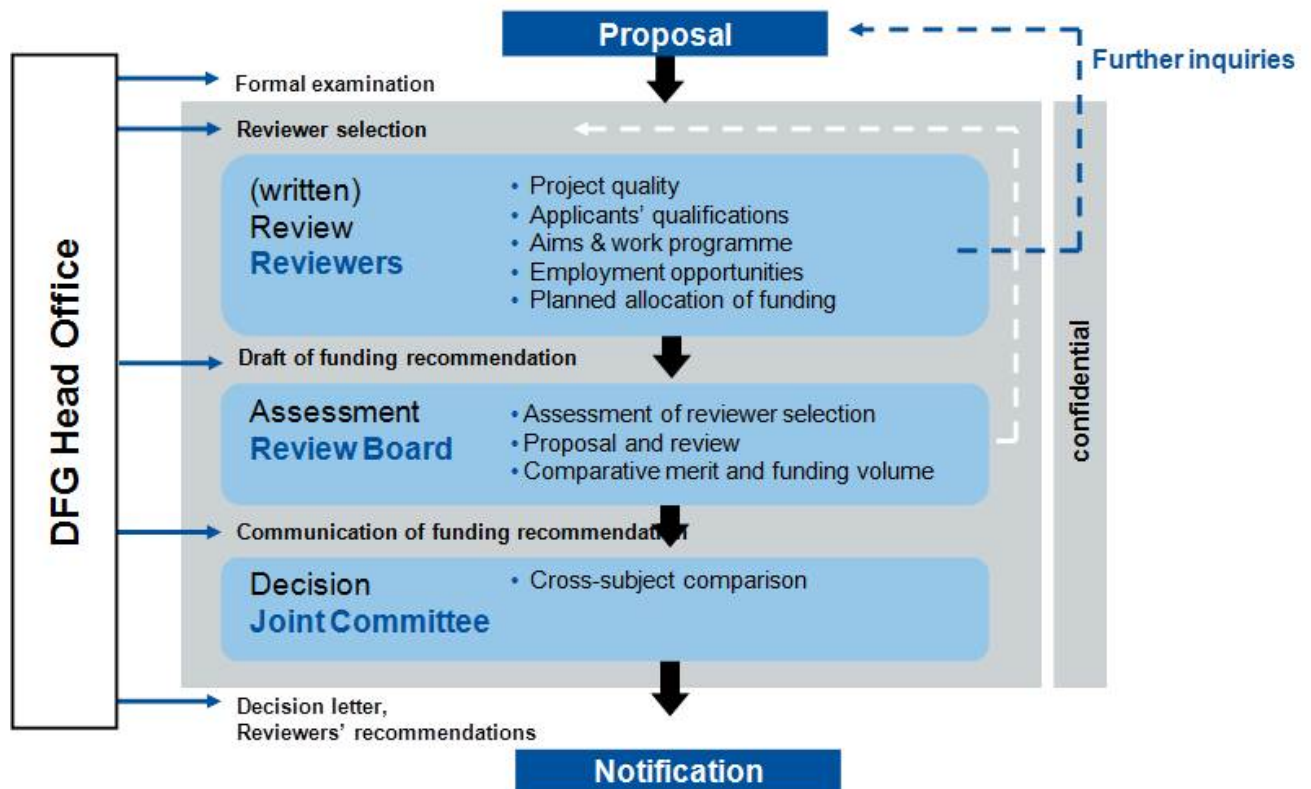
III. What Happens with Your Review?

As a rule, each proposal is evaluated independently by two reviewers. On the basis of these reviews, the DFG Head Office prepares a funding recommendation for the responsible review board (several review boards will be involved if necessary).

The review boards are elected statutory bodies of the DFG, made up of experts who serve on a volunteer basis. They are responsible for the quality of the review process and, especially in the case of individual grants, for comparatively evaluating all the proposals in a subject area.

The official funding decision is made by the interdisciplinary Joint Committee of the DFG, based on the recommendations by the review boards.

All reviewers participating in the process will be informed of the final decision.



IV. What Else Is Important?

1. Confidentiality

All proposals submitted to the DFG, the correspondence with reviewers, the reviews and the identity of the reviewers and review board members participating in the evaluation must be treated confidentially. We ask that you not identify yourself as a reviewer to the applicant or to any third party. This entails that the responsibilities of a reviewer may only be undertaken personally and may not be delegated to third parties, as well as that the DFG will submit the contents and arguments of the reviews in a completely anonymised and, if necessary, edited form to the applicants.

The scientific content of the proposal may not be exploited for personal and/or other scientific purposes.

2. Obligation to follow rules of good scientific practice

The rules of good scientific practice also apply to reviewers. A violation of these rules can result in a charge of scientific misconduct. In particular, any infringement against the principle of confidentiality as per IV.1. is considered scientific misconduct.

3. Conflicts of interest

The DFG Head Office is not able to investigate all circumstances that could be interpreted as a conflict of interest. Therefore, the DFG relies on your assistance so that, if necessary, another reviewer may be found at an early stage to participate in the written review process.

Should circumstances exist that may be interpreted as a conflict of interest, please inform the responsible DFG division before submitting your written review. If you submit a written review to the DFG without first having contacted the DFG about a possible conflict of interest, the DFG will assume that, to the best of your knowledge, no apparent conflict of interest exists. If, after submitting a written review, or during or following a meeting, you realise that there may be – or may have been – an apparent conflict of interest, you should also contact the DFG Head Office immediately.

The DFG Guidelines for Avoiding Conflicts of Interest (DFG form 10.201e) can be found on the DFG website.

http://www.dfg.de/formulare/10_201e/10_201e.pdf