

Performance Indicator Third Party Funds

The evaluation of a department is based on the third party funds spent over 3 years¹. For the internal research evaluation, the following weighing is applied:

Third party funds obtained through a peer-reviewed process from public financing bodies such as the DFG, BMBF, EU, and foundations are weighed at a factor of 1.0, while the *non-peer reviewed* funds e.g., for contract research, are weighed at a factor of 0.5² (see Table 1).

The funds spent for individual projects at a department over a year are initially assessed via the information entered in SAP by assessing the amounts spent and entered into the respective cost center for third party funds³. All cost centers listed in Table 1 are taken into account, with the weighing factors listed in the table.

Table 1: External Funding Source and SAP-fund with their Weighing Factors for Internal Research Evaluation

Funding Source	SAP-FUND Identifier	Weighing Factor
DFG (<i>Research Center</i>)	DFG/FZT	1.0
DFG (<i>Cluster of Excellence</i>)	DFG/EXZ	1.0
DFG (<i>Collaborative Research Centers</i>)	DFG/SFB	1.0
DFG (<i>Research Training Groups</i>)	DFG/GK	1.0
DFG (<i>Other Projects</i>)	DFG	1.0
BMBF	BMBF; BUND-AF	1.0
BMG	BMG	1.0
Other Federal Ministries	BM-SONST	1.0
European Union	EU	1.0
Other Examined Projects	SONST.BEW; S.INAT.BEW	1.0
German Cancer Foundation	DT.KREBSH.	1.0
Volkswagen Foundation	STIFT.VW	1.0
Foundations (<i>with external peer-review process</i>)	STIFTUNGEN	1.0
Foundations (<i>without external peer-review process</i>)	STIFTUNGEN	0.5
Contract Research	ENTG.AF; UNTERSTÜTZ, ENTG.SPEZ ⁴	0.5
State of Lower Saxony	LAND	Not evaluated
Niedersächsisches Vorab	VW-VORAB	Not evaluated
Donations	SPENDEN	Not evaluated
Others	MISCHF; SZ-SONST; VERANSTALT	Not evaluated

Special Features:

- The funds accounted under “Foundation” are differentiated into “Foundation *with* peer review process” and “Foundations *without* peer review process” based on the declarations by the recipient of the funds and a vote from the research commission.

¹ Since the impact factors of a given year are not published until summer of the following year, and the final declaration of third-party funds are not available until the audit of annual accounts in the middle of the following year, the productivity is considered in the internal evaluation with a delay of one year. For example, the result of the internal evaluation determined in 2011 for the period 2008-2010 is the basis for the performance-related budgeting in 2012.

² Financial means from the fund „own acquisition” are considered as contract research means with factor of 0.5.

³ Cost centers that start with the numbers 13 or 17 are cost centers for third-party funds.

⁴ ENTG.SPEZ = own acquisition, see also Footnote 2.

- For Collaborative Research Centers (Sonderforschungsbereiche, SFB) and Research Training Groups (Graduiertenkollegs, GK) for which no department-specific cost centers exist, the report on expenditure of funds will be consulted, requested from the offices responsible for the distribution of funds among the participating institutions.

Following the recommendation of the research commission⁵, staff appropriations and consumables are allocated to the speaker (from 2006). For subprojects of SFBs and GKs, respectively, where the speaker is not based at the UMG, central funds are not considered.

- For joint research projects such as the DFG Research Center Molecular Physiology of the Brain (CMPB) or other BMBF joint research projects, financial means are allocated to the participating departments based on information from the participating institutions and the project secretariats of the departments, respectively.

Three exceptions exist to the principle that third-party funds must be managed by the budget of the UMG in order to be taken into account during internal evaluation (see Table 2).

- Scholarships procured by a department and its members that are paid directly to the scholarship holder by the funding body are considered with their full amount of funding, (from 2003)⁶.
- Financial means for tandem projects with departments of the Max Planck Institutes (MPI) are considered categorically with 50% of the annual amount of funding for the cooperating department of the UMG, (from 2005).
- Financial means for clinical studies that are carried out through the Institut für anwendungsorientierte Forschung und klinische Studien (IFS; subsidiary of the UMG) are considered with their annually spent sum and the weighing factor 0.5 (from 2005)⁷.

Table 2: Third-party Funds that are not Managed by the UMG but are Considered for Internal Research Evaluation

Type of Third-party Fund	Consideration
Scholarships (<i>incomings, outgoings</i>) that are paid directly to the scholarship holder	100% of the GRANTED sum
Tandem projects with the Max Planck Society (MPI)	50% of the GRANTED sum
Clinical studies and research projects that are carried out through the Institut für anwendungsorientierte Forschung und klinische Studien (IFS; subsidiary of the UMG)	100% of the SPENT sum, at a factor of 0.5

As of October 2011

⁵ Meeting of 5 February 2007

⁶ Because of the compulsory conclusion of a scholarship contract the necessary information are present at the G1-3 International Relations. The G1-1 annually requests the data from the G1-3.

⁷ The G1-1 annually requests these data from the management of the IFS.