

Deutsche
Forschungsgemeinschaft
German Research Foundation

Research Grants

Guidelines and Proposal Preparation Instructions

with Supplementary Instructions for Projects with Exploitation Potential

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Guidelines

I. Eligibility Requirements

Researchers in Germany, or those who work at a German research institution abroad, who have completed their academic training (a doctorate as a rule) are eligible to apply for DFG research grants.

Researchers who are employed at non-university research institutions should note the following:

You may submit an independent proposal if you are employed on a fixed-term contract and are not considered a senior scientist (you must be considered a *Nachwuchswissenschaftler*). Established researchers, i.e. those who have a permanent contract at a non-university research institution, may, as a rule, only submit joint proposals for a joint project¹ with a university partner. The joint project may only be funded if at least fifty percent of the funding is allocated to the university partner or if the university partner heads the project. These regulations apply in particular to employees of the Max Planck Society, the Fraunhofer Society and the Helmholtz National Research Centres.

If you do not have a university partner, you may also be eligible to submit proposals if you work at one of the Leibniz institutes, at the Max Delbrück Center, or at an institution whose funding is not used for basic research.

In general you are not eligible to submit a proposal if you work at an institution that is not non-profit or one that does not allow immediate publication of research results in a generally accessible format. Individual questions may be addressed to the DFG's Head Office.

II. Scope of Funding

The DFG provides research grants for research projects with clearly defined topics and durations. The principal cost categories include personnel and direct project costs, such as travel and publication expenses.

¹ This rule does not apply to proposals for research grants submitted within the framework of Priority Programmes or Research Units.

Funding cannot be provided for

1. your own salary as principal investigator²
2. secretarial services
3. buildings, furnishings or rent
4. general infrastructure (e.g. office furniture and working tools), office materials, postage and telecommunication costs
5. operation and maintenance costs (e.g. electricity, gas, water and maintenance contracts)
6. premiums for property insurance
7. fees for using the university's computing facilities
8. instruments that constitute core support in your field of work
9. upgrades and repair of instruments that are not property of the DFG
10. all other cost items that either fall within the responsibility of other institutions, or that are not related to your research work

III. Proposals

In principle, proposals may be submitted to the DFG at any time. However:

- Proposals for renewals should reach the DFG no later than six months before the end of your current funding.
- Priority Programmes, as a rule, have calls for proposals with deadlines that are announced to participants.

The form of application and the information provided must conform to the guidelines specified below.

IV. Cost Categories

1. **Personnel**³
(see section II, 4.1 of the proposal instructions)

1.1 Funding for applicants

1.1.1 Temporary positions for principal investigators

Within six years of your doctoral examination it is possible to apply for your own salary, as a rule according to the German Federal Collective Agreement for Public Employees (*Bundesangestelltentarifvertrag*, BAT) at the IIa level applicable in the western (BAT-West) or eastern (BAT-O) part of Germany BAT (O), as part of your project costs. Exceptions to the six-year time limit are admissible in justified cases (e.g. career interruptions for family reasons). Following the initial two-year funding period, a one-year extension may be granted, if required by your project. As an exception, funding may also be granted irrespective of when your doctoral examination was held.

² Please refer to DFG forms 1.04e (Research Fellowships) and 1.17e (Heisenberg Programme), and section IV, 1.1.1 Temporary Positions for Principal Investigators below.

³ The following information is based on the German Federal Collective Agreement for Public Employees (*Bundesangestelltentarifvertrag*, BAT). If your institution has adopted a different agreement (e.g. the TVöD or its own collective agreement), then the relevant employment rules and regulations would apply.

In order to achieve the programme's goal of attaining early scientific independence, co-applicants are only allowed if the independent project of each co-partner is clearly discernible and able to be independently reviewed. Co-applicants must be equal partners.

If you intend to apply for a temporary position as principal investigator, please enclose a statement from your host institution indicating that it will take over employer responsibilities during your funding period and, in cooperation with you, provide the infrastructure and conditions necessary for you to carry out your project.

The prescribed wording can be found on the DFG's website at www.dfg.de/en/research_funding/promoting_young_researchers/temporary_position

The statement must be signed by an organisational unit entitled to make binding statements of employment. As a rule, this will be institution's administration.

The objective of this DFG funding mechanism is to enable you to devote your working time solely to carrying out your project. Where applicable, this may also include performing scientific services that are directly related to your project. However, tasks that go beyond this may not be performed for your employer (such as teaching, caring for patients or performing any other non-scientific services). You may, however, pursue teaching in accordance with the secondary employment laws applicable at your university, outside of your regular working hours.

International research stays exceeding three months per stay are generally not admissible under this programme. Should extended project-specific research stays abroad be necessary, it is possible to combine this funding instrument with a research fellowship.

It is possible to take advantage of this position part-time (at least 50%) for family reasons. Other reasons for part-time working will not be accepted.

If you have any questions regarding this funding scheme, please contact the DFG's Quality Assurance and Programme Development Division.

1.1.2 Replacement costs

University teachers in the humanities and social sciences⁴ who wish to be relieved of their teaching and administrative duties in order to progress with their planned research project, and who wish to take leave from their civil service obligations with continued payment of their salaries, can apply for funds to finance their replacement for up to 12 months. Where possible, the replacement regulation should be designed such that young researchers are given the opportunity to gain further qualifications.

Members of the teaching body of a university in Germany in salary brackets C2 to C4 (W2 or W3) or a comparable salary bracket, whose duties include research and who are eligible to take sabbatical leave in accordance with civil service law, may apply. Possible state-funded research sabbaticals must be used before, or in conjunction with, DFG funding; replacement costs cannot be provided in such cases. Proposals for research grants that consist solely of replacement costs can be submitted.

Should the grant be approved, funding will be provided to the university to hire the replacement. The level of funding may not exceed the applicant's own salary.

⁴ Cf. DFG form 1.20 on research sabbaticals, available in German only.

1.2 Remuneration of project personnel

1.2.1 Scientific staff

Salary scales for research staff in projects funded by the DFG depend on the demands of the individual project and the researchers' qualifications in relation to these demands. If the project requires the participation of research personnel with a specific qualification (doctorate or equivalent), experience and ability to work independently, the salary scale applied will usually be BAT IIa or BAT-O IIa.

The doctorate level is assumed to have been attained when the written thesis has been submitted and the supervisor certifies that the candidate will be able to devote his/her full working capacity to the project.

Many projects supported by the DFG provide the opportunity for participating research staff to pursue individual scientific qualifications (preparation for a doctoral degree). Doctoral students working in projects will normally receive half-time contracts ($\frac{1}{2}$ BAT or $\frac{1}{2}$ BAT-O IIa); alternatively, contracts may follow the federal or state rules for degree-holding research assistants ("wissenschaftliche Hilfskraft mit Abschlussprüfung").

Projects limited to preparing a doctoral thesis are not eligible for DFG funding. However, it is possible to conclude a working contract that provides the opportunity to pursue a doctorate outside regular working hours.

Applications for a full-time position at the BAT IIa or BAT-O IIa salary level must contain justification showing that a full-time position is required to carry out the proposed work. If a full-time contract, BAT IIa or BAT-O IIa, is to be awarded to a candidate not holding a doctoral degree, this will normally require previous written consent by the DFG. If this candidate's name is available at the time of completing the application, the request for DFG consent may be submitted together with the proposal.

In projects in all fields of engineering, computer science (including business informatics), physics, chemistry and mathematics, full-time (or those exceeding 50%) BAT IIa or BAT-O IIa positions may be given to candidates not holding a doctoral degree without previous written consent by the DFG. This rule also applies for projects in other areas in which engineers, computer scientists, physicists, chemists and mathematicians are employed. In all other cases, full-time contracts for candidates not holding doctoral degrees require previous written consent by the DFG.

Consent may be granted when:

- evidence is provided that qualified personnel for the project cannot be recruited at a salary below BAT IIa or BAT-O IIa, e.g. an equivalent offer of employment to the candidate by a third party that may be submitted together with the proposal or after the grant has been awarded;
- a candidate has specific scientific experience, required by certain demands of the project, which justifies waiving the usual doctorate requirement in his/her case;
- in exceptional cases the job requirements are restricted to routine scientific tasks, and further scientific qualification is intended neither by the candidate nor by the principal investigator (grant holder).

1.2.2 Non-academic staff

Non-academic support staff shall receive a salary as specified in the salary tariffs of BAT or BAT-O. Wages for labourers are to be calculated according to the wage scales of MTArb or MTArb-O (*Manteltarif für Arbeiter*). Occasional labour paid by the hour should be remunerated according to these scales. The application should specify the number of hours required and a total sum.

1.2.3 Student research assistants

The DFG welcomes the integration of student research assistants in the initial stages of their studies, in order to acquaint them with research activities. Qualified students may be incorporated into project work early on. Student assistants should be remunerated according to the regulations applicable at your university.

Where applicable, the DFG requests that projects examine whether secondary school pupils may be incorporated into a project, by the hour, to gain early hands-on experience in science.

1.2.4 General comments

Within the framework of the usage guidelines, which are attached to the award letter, DFG funds can be used up to the level stipulated by the relevant public tariff scales (including fringe benefits/supplementary costs as specified by law and tariff regulations).

If a situation arises in which research assistants require leave for family reasons (child care, care of family members due to old age or illness), a supplemental proposal, requesting funding necessary to attain the results in the funding period, can be submitted. The necessity of these funds must be specified in the proposal.

The DFG supports German language courses for DFG-funded project staff whose native tongue is not German, and who have contracts for 12 months or more. Up to €2,000 is available per person.

When determining the size of the grant, the DFG expects that personnel paid from the research grant work in Germany for the duration of their contracts. Exceptions can be made for short-term travel in the interests of the project. If a project participant paid from DFG funds is to spend a longer period abroad, this must be mentioned and justified in the grant proposal.

2. Scientific instrumentation

(cf. section II, 4.2 of the proposal instructions)

Scientific instrumentation may require installation and running costs, such as building refurbishments, additional laboratory expenses, working materials, maintenance costs and operating staff. These expenses cannot be covered by DFG funding. Applicants must ensure that such costs are provided by their institution before sending in their project.

Unless the award letter specifies other arrangements, all scientific instruments that exceed a total individual cost (including VAT and delivery costs) of more than €10,000 will be purchased by the DFG and provided on loan to the grant holder for the duration of the project. Smaller instruments are usually purchased by the grant holder. If he or she works at a public

institution⁵, the instrumentation will become the property of the institution and must be registered in its inventory at the time of delivery. The grant holder alone has the right to use the equipment for the duration of the research project.

In special cases smaller instruments remain DFG property and are provided to the grant holder on loan for the duration of the project. Examples include accessories and additions to DFG-owned instruments, instruments that are required for a short time and may be used elsewhere, or cases where the grant holder will change his/her institutional affiliation. Further information will be specified in the award letter.

3. Consumables

(cf. section II, 4.3 of the proposal instructions)

4. Travel

(cf. section II, 4.4 of the proposal instructions)

The DFG may fund travel or invitations for visiting scientists that are necessary for carrying out a research project. It is also possible to apply for funding to attend scientific events. Applicants must, however, play an active role in the event. Funds can be used to cover travel, maintenance and conference fees.

If you are applying for a research grant and plan to request conference trip funding as well, please note that this must be indicated in your research grant proposal. It is not possible to submit a separate proposal for conference trip funding once you have requested funding through other DFG programmes.

Applications restricted to costs for attending scientific meetings cannot be submitted to the Individual Grants and Priority Programmes. However, the DFG supports participation in short scientific and technical courses in Germany and abroad, and participation in scientific summer courses, by contributing to the costs of travel, maintenance and course fees. Proposals for research grants may be submitted for these purposes.

Calculation of travel costs should be based on the federal legal regulations for travel costs or the state regulations according to the state in which the applicant works. If vehicles belonging to your institution are used, a contribution to their running costs can be granted; this must be specified in the grant proposal. If you are using a private vehicle, you may only be eligible for funding up to the level of the cost of public transport, unless specific reasons necessitate the use of your private vehicle. These must be detailed in the grant proposal when applying for such funding.

5. Publication expenses

(cf. section II, 4.5 of the proposal instructions)

5.1 Publication expenses for the project

The DFG may contribute up to €750 per year towards publishing the scientific results of a project. You can select the form of publication, with the exception of grey literature. If you believe that the most appropriate form of publishing for you is in book format, which is more expensive, and you have justified this accordingly, you may be eligible to receive up to €5,000 per year. These funds are only available to meet publication costs and cannot be

⁵ These include the institutes of the Max Planck Society, the Fraunhofer Society, and the Leibniz Association, the Forschungsverbund Berlin e.V. and the Humanities Centres in Berlin, Potsdam and Leipzig. These also include large-scale research facilities according to section 2 of the Framework Agreement on Research Promotion (*Rahmenvereinbarung Forschungsförderung*) (e.g. AWI, DESY, DKFZ, DLR, FZJ, GBF, GFZ, GKSS, GMD, GSF, GSI, HMI, IPP, MDC, UFZ).

used for any other purpose. You can increase these funds by reallocating funds intended to cover other project costs, or accumulate these funds during the whole duration of the project (including funding periods covered by renewal proposals). The funds must be used within two years of completion of the project.

For book publications exceeding the amount mentioned above, particularly for long-term projects or projects whose main objectives are to collect and catalogue information or disseminate research results (e.g. literary editions, text volumes, illustrated volumes, excavation reports), it is possible to apply for publication funding upon completion of your project according to 5.2. below. This option will be decided upon within the first project proposal; therefore, it must be both requested and reviewed at this stage.

5.2 Publication grants

Proposals exclusively for publication costs (publication grants) will only be accepted if

- they concern basic material that is to be made available for further research, such as editions of primary texts and manuscript material;
- the work to be published is of exceptional scientific importance and constitutes the first publication of outstanding results. Funds for printing a doctoral thesis will be awarded in exceptional cases; one condition for such an application is that the thesis must have received the highest mark possible.

Festschriften and articles in scientific journals are not eligible for funding.

Publication grants may be used for print media, provided that the publications are made available in bookstores, as well as for electronic media. The proposal should contain cost estimates from two publishers and an explanation of the choice of publisher. Publication grants are to be used to help defray the technical publication costs.

Funds for publishing the results of a DFG-funded project can generally only be applied for within the scope of the grant proposal (see 5.1 above).

6. Other costs

(cf. section II, 4.6 of the proposal instructions)

Other costs may include third-party service contracts, compensation for volunteers in experiments, costs for information retrieval services and data bases, rent or loan of vehicles or other facilities, costs for laboratory animals, and funding for project-specific software.

Funds for purchasing specialised scientific publications may be granted in exceptional cases where the publications in question must either be permanently available to the project but are not purchased by the institution, or when they are not available through inter-library loan. In such cases, please submit a list including the author, title, publisher, year of publication, and price for each publication requested.

Unless otherwise specified, such publications become the property of the institution in which the research project is carried out and must be included in the institution's inventory.

V. Obligations

In submitting a proposal for a research grant to the DFG, you agree to:

1. adhere to the rules of good scientific practice⁶.

In cases of scientific misconduct, the DFG may impose sanctions. Scientific misconduct is defined as the intentional and grossly negligent statement of false facts in a scientific context, the violation of intellectual property or impeding another person's research activities. The circumstances of each case will be considered on an individual basis.

Depending on the nature and extent of the misconduct exposed, the DFG may:

- issue a written reprimand to those involved;
 - exclude those found responsible from the right to apply for DFG funds for a period of one to eight years, depending on the severity of the scientific misconduct;
 - revoke funding decisions (completely or partially revoke approvals and demand the return of authorised funds or the repayment of funds spent);
 - demand that those concerned either retract the publications containing false data, correct the false data (by publishing an erratum) or include a reference regarding the DFG's retraction of funds;
 - exclude those found responsible from acting as a reviewer or from membership on DFG committees;
 - deny those responsible the right to vote in DFG elections.
2. devote the funds granted exclusively to the expeditious realisation of the research project supported by the grant. Therefore the use and accounting of funds must conform to the relevant regulations of the DFG.
 3. submit progress reports on the research according to the dates specified in the award letter and to present financial accounts to the DFG detailing the use of the funds granted.

The DFG expects that the results of the research projects carried out with its support are made available to the public.

⁶ The rules of good scientific practice are presented in detail in the white paper "Proposals for Safeguarding Good Scientific Practice" and in the Usage Guidelines for Research Grants, DFG form 2.01 and 2.02 (available on the internet at http://www.dfg.de/en/research_funding/forms/index/html or under "Proposal Process"). They are based on the recommendations of an international commission on self-regulation in science and on a decision by the DFG's General Assembly, endorsed by the German Rectors' Conference, dated 17 June 1998. According to a decision made by the General Assembly on 4 July 2001, from 1 July 2002 onwards, research institutions that have not implemented the rules of good scientific practice, or do not abide by them, will not be eligible to apply or receive DFG funding.

VI. Publication of Data on Grant Holders and Research Projects

The data necessary for processing your grant proposal will be stored and processed electronically by the DFG. If a grant is awarded, your professional address (e.g. telephone, fax, e-mail, internet website), as well as information on the content of your research project (e.g. topic, summary, keywords, international cooperation), will be published in the DFG's project database GEPRIS (<http://www.dfg.de/gepris>) and - in excerpts (name, institution and location of the applicant) - in the section "Programmes and Projects" of the electronic annual report (<http://www.dfg.de/jahresbericht>). If you do not wish this information to be published, please notify us in writing no later than four weeks after receipt of your award letter.

Proposal Preparation Instructions

I. General Comments:

1. The DFG's decision on funding proposed projects is based on evaluations made by scientific reviewers working without compensation. They form their judgment on the basis of the information contained in the application that you submit. It is therefore in your own interests to work out a clearly written proposal.
2. The length of the proposal should not exceed 20 pages. It should be self-explanatory and not require reviewers to read the literature that is either quoted or enclosed.
3. You may also submit your proposal in English. If you wish to do so, the following items must also be provided in German: the topic (1.2), summary (1.6) and proposed budget (4).
4. You can apply for research grants for a period of up to three years. It is only possible to submit proposals for "Temporary Positions for Principal Investigators" for two years. Funding for a third year requires submission of a renewal proposal and may only be granted in exceptional cases. The regulations stipulated in the guidelines for the Emmy Noether Programme apply to that programme only.
5. If the topic of your research project is related to the work of a Collaborative Research Centre (SFB) at your university, you should enclose a statement by the SFB's coordinator on the topical relationship of your work to the SFB and the intent to include your project in the next SFB application.
6. Clinical Trials

For the duration of the DFG-BMBF clinical trials programme, proposals to fund multicentric, interventional must be submitted to this programme; such proposals are not eligible for funding under the DFG research grants programme. Please consult the websites of the DFG and the BMBF for programme announcements and information.

Other types of clinical trials (such as non-interventional trials, pilot studies to test hypotheses or calculate sample sizes, monocentric trials, etc.) may be submitted to the individual grants programme. In such cases, please describe and justify the chosen trial design and provide the name of the biometrician/statistician responsible for the trial. Such trials also require a study protocol, in compliance with GCP guidelines⁷ (including a study synopsis). Please contact the DFG prior to submitting your proposal, should you have any questions.

7. When completing your proposal, please:
 - answer all relevant questions fully, according to general scientific practices, and correctly describe your own preliminary work and that of others. (Leave all non-relevant questions blank.)
 - stick to the numbering system of these guidelines and repeat the complete headline (German and English) in each section;

⁷ „Guideline for Good Clinical Practice“ of the International Conference on Harmonisation of Technical Requirements for Registration of Pharmaceuticals for Human Use (ICH GCP), <http://www.emea.eu.int>; chapter 6

- submit the proposal plus appendices in two copies (there are some special programmes that require more copies; please consult their respective guidelines);
- submit your completed proposal in Arial font, unbound and hole punched, on A4 paper;
- submit an unrestricted electronic version, preferably as a PDF file (or RTF file) (for example, on a CD-ROM); additional information, such as publications, your habilitation and dissertation theses, CV, statement by the ethics committee, working reports, and a study protocol in compliance with GCP guidelines, should be included as separate PDF files. To facilitate the processing of your proposal, the document security settings should allow your documents to be read, copied and printed.
- Include in your cover letter a list of documents, including exact file names, provided electronically. A paper copy of your cover letter must be submitted with your original signature.

8. Research Units / Clinical Research Units

For electronic proposals for Research Units or Clinical Research Units, please save the general project information and the documents pertaining to individual research projects in separate files.

II. Proposal Format

1. General information (Allgemeine Angaben)

Proposal for a research grant

Please state whether this is a new application, a renewal proposal or an application for a publication grant.

1.1 Applicant(s) (Antragsteller)

If there are several applicants, please identify who will act as Principal Investigator(s), assuming responsibility to the DFG for the overall management of the project and being accountable for the use of the DFG funds granted.

Should separate awards be given to several applicants, please indicate "Joint Proposal" (Gemeinschaftsantrag). If this is the case, the requested funding in item 4 should be listed separately according to applicant.

Please include the following information for each applicant and/or co-applicant:

- First name, surname, academic title
- Employment status (including duration of contract, if on a time-limited contract)
- Date of birth
- Nationality
- The DFG reference number of the latest proposal or of any previous application(s) for project funding by the DFG
- Institution and department (complete name)
- Office address
- Telephone number at the institution
- Fax number
- E-mail address
- Private address and telephone number

If you will be conducting your project with a cooperation partner from outside Germany, please provide the information listed above for this person as well. In addition, please indicate if the project will be conducted within the framework of an agreement between the DFG and the partner organisation and, if so, whether the cooperation partner has applied for funding from one of the DFG's partner organisations.

Please refer to section 5.3 for more information.

For first-time proposals to the DFG or new proposals (a new application for a new project), please attach a tabular CV.

1.2 Topic (Thema)

Please give a short and precise description of the project, not exceeding 140 characters. This topic will be quoted in the DFG annual report, should funding be awarded.

1.3 Scientific discipline and field of work (Fachgebiet und Arbeitsrichtung)

Please include your discipline (e.g. theoretical physics, pre-history) and your special field of work (such as theory of the ferromagnetism, archaeology of dwellings, etc.), so the project can be categorised with regard to its main intention.

1.4 Scheduled total duration (Voraussichtliche Gesamtdauer)

Please include:

- when the project began
- when DFG funding commenced
- the project's intended duration⁸, how long DFG funds will be necessary

1.5 Application period (Antragszeitraum)

Please include the time period for which funding is requested (up to 36 months)⁹.

First proposal (Bei Neuanträgen)

Date when funding should begin

For renewal proposals (Bei Fortsetzungsanträgen)

- Date of the previous grant
- Current funding for personnel will probably last until
- Current funding for consumables will probably last until

1.6 Summary (Zusammenfassung)

Please give a summary of the main goals of the project; this should not exceed 15 lines (max 1600 characters).

The project summary will serve two main goals:

- It will inform the interdisciplinary committees of the DFG, which make the final decision on your grant, of the principal aims of your project.
- If your project is funded, the summary will be published on the internet through an electronic information system (see section VI). It should therefore be concise as well as comprehensible to a lay public. An electronic search will be helped if you avoid abbreviations and include suitable key words.

2. State of the art, preliminary work (Stand der Forschung, eigene Vorarbeiten)

2.1 State of the art (Stand der Forschung)

Please explain briefly and precisely the state of the art in your field in its direct relationship to your project as the starting point for your own work, quoting the most important relevant work of other scientists.

This description should make clear in which context you situate your own research and to which questions you wish to make an innovative, promising contribution.

⁸ Please refer to DFG form 1.01 for information on long-term projects.

⁹ In the "Temporary Positions for Principal Investigators" scheme, initially only for 24 months, in the Emmy Noether Programme, up to 60 months.

2.2 Preliminary work, progress report (Eigene Vorarbeiten, Arbeitsbericht)

Please give a precise and complete summary of your previous work with exact references to your own and others' publications. Unpublished work should be quoted as "... (in print)", "(accepted)" or "submitted to ...".

New and renewal proposals should be accompanied by a list of your relevant scientific publications over the previous five years, which may be referred to in the project description. Your first proposal to the DFG should contain a complete list of your publications.

New proposals

Please summarise the most important results of relevant previous work by yourself and, if applicable, by your group.

Please enclose copies of those publications and/or publication manuscripts that are important for assessing your application (not a complete collection of all your previous publications, please). You should only include recent publications that are related to the subject or methods of the intended project or that show especially characteristic examples of your work. In general, doctoral theses or other theses should not be included. The DFG will keep these documents until the final decision about your application has been made.

Renewal proposals

Please enclose a report on your previous work. This report should reflect the initial questions and the advances in knowledge since the last application, also with regard to the results of other scientists (including foreign scientists) who work in this field; it should briefly describe your own work since the last grant, highlighting the results and their importance. Published results need not be repeated in detail. Instead you should enclose copies and/or publication manuscripts indicating where they will be published.

In your report you should also mention your specific experiences, e.g. the usefulness of the applied methods, availability and productivity of the used material, suitability of instruments, failures, and difficulties.

Larger documents will be returned to you after a funding decision has been made; other papers (copies of publications) will only be returned if explicitly requested.

3. Goals and work schedule (Ziele und Arbeitsprogramm)

3.1 Goals (Ziele)

Please give a concise description of the scientific programme and the scientific goals. For clinical trials, please describe the study design (e.g. double blind, randomised, crossover, etc.; why monocentric?).

If you expect results that may be significant to fields other than science (e.g. science policy, technology, the economy or society), please point this out.

3.2 Work schedule (Arbeitsprogramm)

Please give a detailed account of the steps planned during the proposed funding period. (For experimental projects, a plan detailing all intended experiments should be mapped out).

A high-quality work programme will be essential if you are to qualify for a grant. You should pay special attention to a comprehensive description of the work programme. It may be helpful to know that this normally comprises half the text of the entire application. The work programme should clearly state why the funds are needed and how they will be used.

Please provide a detailed description of the methods that are to be used in the project: Which methods are already established; which methods must be developed; what assistance is needed from outside your own group/institute? (Shared instrumentation should be mentioned in section II, 4.2).

3.3 Experiments involving humans or human materials (Untersuchungen am Menschen oder an vom Menschen entnommenem Material)

Experiments involving humans, including samples taken from humans and research using patient data, must comply with the June 1964 Declaration of Helsinki (entitled "Ethical Principles for Medical Research Involving Human Subjects"), as last revised, concluded by the World Medical Association. Please note that the regulations of the German Embryo Protection Law (*Embryonenschutzgesetz*) and Stem Cell Act (*Stammzellgesetz*), and the laws concerning pharmaceutical (§§ 40-42 *Arzneimittelgesetz*) and medical products (§§ 17-19 *Medizinproduktegesetz*), in their current forms must also be complied with.

Please discuss the ethical and legal aspects of your project in a form accessible to peer review:

- treatment or experiment
- criteria for selecting test persons
- description of possible risks and of precautions planned
- informed consent

For all projects including human subjects, a statement by the local ethics committee or institutional review board must be included. Use of human material for diagnostic purposes also requires approval by the chair of the relevant aforementioned committee. Please include a copy of the statement with your proposal documents.

Research involving human embryonic stem cells

Proposals for research involving human embryonic stem cells can only be funded if the authorisation required by §6 of the Stem Cell Act has been granted. The DFG therefore recommends that contact be taken up with the approval authorities (Robert Koch Institute, Berlin) stated in § 7, para 1 clause 1 of the Stem Cell Act at the same time as the proposal is submitted to the DFG, in order to accelerate a decision on the proposal.

If your proposal is successful, the funds earmarked for work with human embryonic stem cells remain locked until the DFG receives confirmation of approval by the Robert Koch Institute.

3.4 Experiments with animals (Tierversuche)

Proposed animal experiments must be described in the work programme in a form suitable for peer review. The DFG expects that the rules of the Animal Protection Law (*Tierschutzgesetz*) be observed. For animal experiments that have to be approved by local authorities, the DFG recommends that you ask for the necessary approval either prior to submitting your proposal, or when you submit your proposal to the DFG. Research work may only start when approval has been obtained.

3.5 Experiments with recombinant DNA (Gentechnologische Experimente)

If you plan experiments involving recombinant DNA, you must observe the *Gesetz zur Regelung von Fragen der Gentechnik* of 20 June 1990 (*Bundesgesetzblatt*, 1990 I, page 1080). Research may not commence until the required approval, according to this law and the relevant decrees, has been obtained.

4. Funds requested (Beantragte Mittel) (see section IV)

Requests for more than one year of funding may either be detailed in separate amounts for each year or added together for up to three years; please specify the exact time period.

4.1 Staff (Personalbedarf)

The following information must be provided:

- For proposals in the scheme "Temporary Positions for Principal Investigators": Please provide the date of your doctoral examination and, if applicable, the reasons that justify why the six-year time limit was exceeded. Also enclose a statement from the institution where you intend to work (refer to section IV, 1.1.1) and a reference from one of your peers regarding your character and your scientific project. If you are working outside the German research system at the time of application, you must indicate that you intend to continue your research career in Germany upon completion of your grant.
- **(valid only for the humanities and social sciences):**
If you are applying for replacement costs, please include information as contained in section IV, 1.1.2 relating to the nature of the proposed replacement regulations and their costs, as well as the duration of the research period applied for. In the working programme, please state why a leave would be necessary in order to carry out the research project.
- For research staff
 - a) For all research staff to be paid according to the official statutory salary scales, BAT or MTArb East or West, please quote:
 - ⇒ how long he/she will be employed in the project
 - ⇒ at which wage level
 - b) For research assistants and student research assistants (degree and non-degree holding), please quote:
 - ⇒ how long he/she will be employed in the project
 - ⇒ the number of hours per month

An important criterion for the approval of funding for student research assistants is their qualified employment in the project. This must be justified in the grant proposal.

Please do not quote amounts in euro. The amounts will be calculated by the DFG staff. Please provide a brief description of the tasks for each proposed DFG-funded researcher. The tasks must correspond to those referred to in the work programme. Please also indicate the date when payment from DFG funds should begin.

If the names of proposed co-workers are available, please list them in your proposal. For every scientist, please include a completed research grant personnel questionnaire (DFG form 10.03).

If you are requesting a lump sum for research assistants or student research assistants, please justify this in your proposal.

If you require funding for visiting scientists, above and beyond their travel and maintenance costs (such as honoraria), you may request the required costs as "other personnel expenses". These items must be specified and justified accordingly.

4.2 Scientific instrumentation (Wissenschaftliche Geräte)

- a) If the DFG finances the project, all requested *instrumentation that costs more than €10,000* per item (sales price including taxes and other) will be purchased by the DFG. Please list the information and prices as follows, and mark the relevant items in the offers (which must also be enclosed):

Instrument A (type)

Offer by of EUR
Company date

Accessories

(Listed separately by brief reference. Mark the relevant items in the offer.)

Instrument B

.....

.....

.....

Cost of purchases 4.2 **EUR**

Please explain why this instrumentation is essential to the project and justify its necessity in relation to the core support furnished by the institution. Requested instrumentation must be described in sufficient detail (i.e. technical specification) to assure that the capabilities meet the requirements described in the work programme (e.g. measuring field, resolution, sensitivity, etc.). In addition, please justify the need for the accessories as requested. The technical specification of instrumentation should be stated precisely so that the equipment can be ordered by the DFG without further inquiries.

Please state the total period of instrumentation use in the scope of the proposed research project and, where applicable, possible use by other scientists.

Please make inquiries about the prices of requested instrumentation that fulfil the necessary specifications. The models that you are considering should be compared concerning their suitability for the project. Please list the manufacturers, the type of accessories, performance and prices and submit relevant comparable offers. Your preference should be explained in detail, especially if there is only one model that you regard as suitable for your purpose. In addition to the technical data and the price, other conditions, such as the availability of equipment in the university area, your experience with comparable instruments, the exchange of measuring programmes, the possibility of technical maintenance and similar reasons, may play a role. If the choice of equipment is not explained in detail, the DFG will make the selection based solely upon price criteria.

If you request instrumentation with a purchase price of more than €50,000, the DFG expects a formal statement that the maintenance/running costs and the installation have been clarified with your host institution prior to the application.

- b) All requested instrumentation that costs less than €10,000 per item should also be listed according to the format above, naming different types and price and including an explanation as to why this equipment is necessary.
- c) If existing instrumentation required for your project is only accessible to you by paying a fee, please quote these costs and give details.

4.3 Consumables (Verbrauchsmaterial)

Please explain the need for each individual item (e.g. chemicals, glassware):

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.....

total 4.3 EUR

4.4 Travel (Reisen)

Please explain the necessity for the different kinds of travel costs (e.g. cooperation with partners, including invitations for visiting scientists, workshops, archival work, field work, conferences and meetings), and quote the amount needed during the grant period:

.....
.....
.....

total 4.4 EUR

If you are applying for a research grant and plan to request conference trip funding as well, please note that this must be indicated in your research grant proposal. It is not possible to submit a separate proposal for conference trip funding once you have requested funding through other DFG programmes.

If you will be collaborating with research partners outside Germany, please include the number and duration of projected trips. For stays exceeding one month, please specify the foreign partner's name, academic title and office address (including an email address).

If you are requesting funds for visiting scientists, please include the number and duration of stays.

4.5 Publication expenses (Publikationskosten)

- a) Please state whether you wish to apply for publication funds (max. €750 per year) in the scope of the project. If you require funding above this amount, or if you plan to request a publication grant upon completion of your project, please refer to section IV, 5.1. Please specify the projected expenses of the proposed publication, if possible.
- b) For proposals directed specifically at publication grants, please submit an informal application and a statement that the results have not been achieved in the scope of a DFG-funded project and provide information according to section II, 1.1, 1.2, 1.6 and 6. Please state how the conditions listed under section IV, 5.2 apply to your application.

The application must include the following items:

- the finished manuscript
- detailed cost estimates by two publishers (in accordance with DFG form 11.05)
- an explanation of the choice of publisher
- in the case of a Habilitationsschrift: copies of all examiners' reports provided to the faculty

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total 4.5

..... EUR

4.6 Other costs (Sonstige Kosten)

Please explain the need for each individual item (e.g. services rendered by third parties, paying research subjects, laboratory animals (species and number), documentation and scientific literature, etc.):

.....

.....

.....

total 4.6

..... EUR

5. Prerequisites for carrying out the project (Voraussetzungen für die Durchführung des Vorhabens)

What resources, including all types of funding, will probably be available to you for the project (excluding the funds requested in this application)? Which other requirements have been met?

Please give the following information:

5.1 Your team (Zusammensetzung der Arbeitsgruppe)

Names, academic titles and employment grades of participating scientists and research assistants, as well as the number of technical employees, who will be working on the project but not funded by the DFG. Please list separately the persons paid by the institution's basic funding and those paid from other grants (including fellowships).

5.2 Cooperation with other scientists (Zusammenarbeit mit anderen Wissenschaftlern)

Please mention only those scientists with whom you have, or plan, a definite cooperation in this particular project, or with whom you will coordinate this specific work. For clinical trials, please provide the name of the biometrician or statistician responsible for the trial.

5.3 Foreign contacts and collaborations (Arbeiten im Ausland und Kooperation mit ausländischen Partnern)

Please state

- whether the project deals entirely or partly with other countries. If applicable, name these countries.
- whether you will carry out your project entirely or partly in a foreign country. If applicable, name these countries.
- whether you are specifically cooperating with partners abroad. If applicable, please list the countries in which these partners are working.

In such cases, please show the type and extent of the proposed collaboration with institutions or scientists in the host country. These may include e.g. field research, research in libraries or archives, cooperative projects, joint evaluations of research results, assistance in carrying out the project, etc. Please also provide the names, addresses and employment grades of the foreign partners.

If projects are carried out in cooperation with partners in other countries, the DFG generally expects the funding of the foreign partners to be covered from local sources. Local support for foreign partners from DFG funds is possible, if it is essential for the collaboration and if support from foreign sources cannot reasonably be expected.

If you are applying for funds for partners in a foreign country, please contact the DFG prior to proposal submission to discuss the type and amount of funding. Please provide a separate cost plan according to sections 4.1 to 4.6 of these guidelines and give reasons why these funds are necessary. If granted, the funds will be made available to you and your institution, and earmarked for your foreign partners. You will be responsible to the DFG for the use of the funds.

5.4 Scientific equipment available (Apparative Ausstattung)

Please list those larger instruments available to you for the project. These may include large computer centres, should you anticipate needing substantial amounts of computer time.

If you are applying for instruments that are available where you work, but are not at the project's disposal, please give the reasons for this.

5.5 Your institution's general contribution (Laufende Mittel für Sachausgaben)

Please state the annual amount available from the institution's budget, or any other third party (please list separately), to pay for the research that your project is a part of. Use estimates where applicable.

5.6 Conflicts of interest with economic activities (Interessenkonflikte bei wirtschaftlichen Aktivitäten)

Please indicate if you are the owner of a commercial enterprise, or a stakeholder in one. If so, please state how your scientific project is linked to company's production branch.

5.7 Other requirements (Sonstige Voraussetzungen)

Please state other preconditions that are not covered by the questions in numbers 5.1 to 5.6 (if applicable).

If your project is planned to run for more than 7 years, please refer to the relevant questions as listed in DFG form 1.01.

6. Declarations (Erklärungen)

If you have submitted the same request for funding to other institutions, please mention this here. The same applies if larger instruments, as listed under section 4.2, have been, or will be, requested from other sources (e.g. according to the *Hochschulbauförderungsgesetz* or within a Collaborative Research Centre).

If this is not the case, please declare:

"A request for funding this project has not been submitted to any other addressee. In the event that I submit such a request, I will inform the Deutsche Forschungsgemeinschaft immediately".

If you are employed at a university that is member of the DFG, you should inform your university's DFG liaison officer about this application and mention this here.

If you are employed at a Max Planck institute, please inform the head office of the Max Planck Society about this application and mention this here.

7. Signature(s) (Unterschrift(en))

The application must be signed by you and all co-applicants.

8. List of attachments (Verzeichnis der Anlagen)

Please list all proposal attachments and mark those that you wish to have returned after completion of the review process.

Supplementary Instructions for Projects with Exploitation Potential¹⁰

Please refer to the proposal preparation instructions for research grants as the basis for completing your proposal. In addition, please note the information contained below regarding the contribution of the collaborating partner.

1. Collaborating partner (Kooperationspartner)

Include the name of the person who will be responsible for the applied aspects of the project, listing the following information:

- First name, surname and academic title
- Position
- Company
- Work address
- Telephone number (including the area code, direct extension and switchboard)
- Fax number
- E-mail address

2. Scientific area and field of work (Fach- und Arbeitsrichtung)

Please list the company's objectives as they relate to the scientific goals of the project and, based on this, describe the reasons that led to the choice of the collaborating partner.

3. State of the art (Stand der Forschung)

Concisely describe the state of the art, in terms of technical developments, with regard to the proposed project. Describe the added value of the project as opposed to competitive products from other companies.

4. Preliminary work and progress report (Eigene Vorarbeiten / Arbeitsbericht)

Please describe your relevant research and developments.

5. Work schedule (Arbeitsprogramm)

A detailed work schedule, or experimental plan, must be included for the proposed funding period. Particular mention must be made of milestones and measurable success criteria.

¹⁰ Exploitation does not only refer to added value in commercial terms, but also includes the use of scientific results in a non-university, non-commercial field.

In the case of a spin-off, please attach the business concept according to the High-Tech Gründerfonds¹¹. Overlapping areas can be covered by referring to the business concept.

6. Contribution by the collaborating partner (Eigenbeteiligung des Kooperationspartners)

Collaborating partners are expected to make an appropriate contribution to the joint project. Referring to the requested funding section, please describe the funding being provided to this project by the collaborating partner (financial resources, personnel, instrumentation, etc.). Please note that suitable core support must be available at the partner's location to carry out the project.

7. Cooperation agreement (Kooperationsvertrag)

All legal matters, particularly questions regarding the scientific exploitation of research results and publication output, must be specified by the collaborative partners in a cooperation agreement.¹²

8. Signature (Unterschrift)

¹¹ <http://www.high-tech-gruenderfonds.de>

¹² Please refer to <http://www.dfg.de> for a template (DFG-form 41.026).