

Additional information to Information for Researchers No. 81 2 December 2019

Joint Sino-German Research Projects 2020

NSFC-DFG collaboration in the fields of mathematics and physics, geosciences, engineering and material sciences, and information sciences

Full call text including specific instructions for applicants from Germany

The Deutsche Forschungsgemeinschaft (DFG, German Research Foundation) and the National Natural Science Foundation of China (NSFC) are continuing their long-standing collaboration in the field of joint Sino-German research projects.

This initiative aims to bring together relevant and competitive researchers from Germany and China to design and carry out jointly organised research projects of outstanding scientific quality. Funding within this initiative will be available for collaborative research projects consisting of researchers from both partner countries. Within these research teams, each national funding organisation will generally only fund those project components that are carried out within its own country. The collaborative research projects must involve active communication and cooperation between the participating researchers.

It is important to note that there are no separate funds available for these efforts; proposals must succeed on the strengths of their intellectual merit and teams in competition with all other proposals in the funding programme “Sachbeihilfe/Research Grants”.

The collaborative projects selected to take part in the initiative will receive research funding for a period of up to three years.

Objectives

The objectives of the initiative are:

- to fund research projects of outstanding quality in the participating countries
- to stimulate the mobility of researchers between the participating countries
- to promote the training of researchers
- to accelerate the exchange of new scientific knowledge among researchers and between researchers and other interested groups

Research areas

The present initiative is open to joint research projects in the fields **of mathematics and physics, geosciences, engineering and material sciences, and information sciences**. A further call for proposals, dedicated to the fields of chemistry, life sciences, medical sciences and management sciences, is scheduled for launch at the end of 2020 with a tentative deadline in February 2021.

Eligibility

Funding is available for bilateral collaborative research projects comprising researchers from the two participating countries. Within a research project, contributions from Germany and China should be roughly balanced with regard to scientific contents. Applicants are required to fulfil any national requirements for funding and follow the general regulations of their respective funding organisation (see below). Proposals that do not meet these requirements will not be considered.

Evaluation procedure and criteria for project selection

The assessment of all proposals will be based on a peer review process at both the DFG and the NSFC. The results of these review processes will be shared between the agencies. Support will be granted for those proposals where both NSFC and DFG recommend funding. Unilateral funding of only one part of a joint initiative will not be possible.

The most important criteria applied in this selection process are the following:

- scientific quality and innovativeness of the research project
- feasibility of the research plan
- cost-effectiveness of the budgetary plan
- competence and expertise of the researchers or research teams
- effective communication and cooperation between the researchers in each country and added value of the collaboration
- mobility of researchers between the participating countries

Initiation of collaboration is not covered by this call. For funding programmes that support the initiation phase of a collaboration between Germany and China, please refer to the funding programmes of the Sino-German Center for Research Promotion. Funding within one of these programmes is certainly of advantage when preparing a joint proposal, but not a compulsory prerequisite to applying for a joint research project.

Allowable costs

All requested cost items must be in accordance with the respective national administrative regulations. At the DFG, only costs for the German share of projects are eligible. At the NSFC, only costs of the Chinese share of the projects are eligible according to the regulations of NSFC.

In the case of mutual visits of scientists between Germany and China, the visiting scientist will cover international flights and the host will provide the local accommodation together with a daily maintenance allowance and domestic travel costs.

Submission of project proposals

Applicants for a bilateral collaborative project within this call must submit their joint proposal to their national funding organisation. Chinese principle investigators (PI) submit their documents to the NSFC, German PI to the DFG, following the formal requirements of their respective funding organisations. All documents must be written in English. **Please note that the documents submitted to the DFG and the NSFC must not differ with regard to the scientific content of the proposal or with regard to the applicants involved.**

Additional requirements for German and Chinese applicants are specified below. Proposals arriving late and/or those not fulfilling the national requirements will not be considered. No legal entitlement can be derived from the submission of a project description.

All proposals must be submitted by **12 February 2020**.

Specific instructions for applicants from Germany

Applicants to be funded by the DFG are required to fulfil the eligibility requirements of DFG Research Grants. This includes the duty to cooperate (“Kooperationspflicht”) within Germany for members of non-university institutions with permanent positions. For more information see the corresponding guidelines for the Research Grants Programme, DFG form 50.01.

As part of the proposal, applicants from Germany may submit one or more of the modules outlined in the DFG guidelines for the Research Grants Programme (DFG form 50.01).

Proposals within this call must be prepared according to the Proposal Preparation Instructions, DFG form 54.01. Please note that for joint proposals, the list of up to ten project-related publications may include papers authored by the German applicant(s) and papers authored by the Chinese applicant(s).

Please note additionally:

While the electronic budget figures via elan only have to be provided for the German applicant(s), the proposal itself should contain not only the German budget part but a budget overview for the Chinese part as well, to provide appropriate information to the reviewers.

In the proposal submitted by the German applicant(s) to the DFG, an academic curriculum vitae for all Chinese PIs should be submitted to complete the reviewers’ information. In the DFG proposal and the electronic submission procedure in elan, all Chinese partners who apply for funding at the NSFC need to be recorded under the category “Other Participating Individuals” > “Cooperation Partners”. Employees whose positions are requested for funding should not be assigned to this category.

All proposals must be submitted through DFG’s electronic proposal processing system (elan). After logging in, please use the link “Proposal for a Research Grant” in the Proposal Forms column (Proposal Submission > New Project > Individual Grants Programme > Proposal for a Research Grant). Please select “China-NSFC-DFG 2020” to tag your proposal for this specific call.

As mentioned, all proposals must be submitted by **12 February 2020**. If you are using the elan system for the first time, please note that you need to register yourself and your institutional addresses before you are able to submit a proposal. Also, if you are planning to move to a different institution, you need to register the new institutional address beforehand. Please make sure that all applicants for your project (if there is more than one) start their registration no later than **29 January 2020**. The registration requests are handled manually by the DFG staff.

Personal data contained in an applicant’s proposal or a proposal submitted by an applicant’s institution/organisation and any data collected on the applicant in relation to DFG funding will be transferred, if necessary, to the National Natural Science Foundation of China (NSFC) and reviewers. Note that their base or place of data processing is not located in a member state of the European Union or in another state party to the Agreement on the European Economic Area. This information is transferred as part of the decision-making process on the proposal and in conjunction with implementing the project.

This transfer is permissible as an exception because it is necessary

- for the performance of the funding contract between the applicant and the DFG and for the implementation of pre-contractual measures relating to the proposal (Art. 49 (1) (b) GDPR),
- for the performance of the (employment) contract between an applicant and an applicant's employer or the applicant institution/organisation (Art. 49 (1) (b), (c) GDPR) or
- for the conclusion and/or performance of the funding contract concluded in the interest of the applicant between a third party and/or the applicant's institution/organisation and the DFG (Art. 49 (1) (c) GDPR).

Please examine whether your proposed project involves an immediate risk of yielding knowledge, products or technology that could intentionally be misused (also by third parties) to cause substantial harm. If such a risk exists, please describe the benefits of pursuing this work weighed against the risks of potential misuse and what measures are planned to minimise these risks. Refer to the guidelines contained in the publication "Scientific Freedom and Scientific Responsibility – Recommendations on Handling Security-Relevant Research", published by the DFG and the German National Academy of Sciences Leopoldina, 28 May 2014. If your university or research institution has a research ethics committee, consult with them in advance and attach a statement by the committee with your proposal.

Projects must comply with foreign trade regulations (especially the War Weapons Control Act [Kriegswaffenkontrollgesetz], EC Regulation No. 428/2009 [EC Dual Use Regulation], the Foreign Trade and Payments Act [Außenwirtschaftsgesetz], the Foreign Trade and Payments Ordinance [Außenwirtschaftsverordnung] or embargo regulations) relating to the non-proliferation strategy and the handling of potentially critical goods, including technologies, software and sensitive knowledge transfer; applicants are advised to examine their projects accordingly. Information for researchers is available on the website of the German Federal Office for Economic Affairs and Export Control (BAFA) at https://www.bafa.de/EN/Foreign_Trade/Export_Control/Export_Control_and_Academia/export_control_academia_node.html.

If you require further clarification, please contact BAFA directly. For projects subject to licensing, please note that licences must be obtained from the responsible authority prior to beginning research on the project.

Specific instructions for applicants from China

Chinese applicants are kindly requested to conform to all the requirements listed in the Chinese call for proposals that is published on the NSFC website and to submit their documents to the NSFC.

Notification of results

Applicants will be informed in writing of the results of the review and, where applicable, of the subsequent administrative steps according to the respective national regulations. The selection of the projects will be completed by the end of 2020.

Further information for researchers in Germany

Forms and Guidelines

To submit a proposal to the DFG, please follow the "Guidelines for the Research Grants Programme" (form 50.01) and the "Proposal Preparation Instructions – Project Proposals" (form 54.01) at: <http://www.dfg.de/foerderung/formulare>

General information for German PIs on Research Grants

www.dfg.de/en/research_funding/programmes/individual/research_grants

The DFG's electronic portal "elan" can be found at:

<https://elan.dfg.de>

Further general information on elan:

www.dfg.de/en/research_funding/principles_dfg_funding/elan/

elan flyer:

www.dfg.de/download/pdf/foerderung/antragstellung/elan/flyer_eant_en.pdf

elan FAQ:

www.dfg.de/download/pdf/foerderung/antragstellung/elan/faq_eant_en.pdf

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Further information for researchers in China

<http://bic.nsfc.gov.cn/Show.aspx?CI=22>