

# Guidelines

## Workshops for Early Career Investigators with Proposal Preparation Instructions



**These guidelines have been completely revised and  
proposal preparation instructions have been added.**

Disclaimer: The English translation of this document is provided for informational purposes. In the event of a discrepancy between the English and the German versions, the German text takes precedence.

**German Research Foundation**

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## Guidelines

### I Programme Information

#### 1 Objective

The objective of the Workshops for Early Career Investigators Programme is to prepare researchers at an early stage of their career to conduct research projects independently and to enable them to lead a first project of their own and raise third party funds. Workshops for early career investigators generally consist of a week of workshops and optional additional colloquia.

An early career investigator workshop is a strategic funding instrument, open to all subject areas. Workshops can only be initiated in areas where there is a shortage of researchers in early career phases. Having a significantly lower proportion of women researchers in a particular subject area can also be considered a shortage; in this case, a workshop exclusively for female researchers in early career phases can be established. A shortage may also be deemed to exist if the research area is a new one at the boundaries of current knowledge (an emerging field).

Not eligible for funding are workshops for early career investigators, or similar workshops, that are part of regular or special teaching programmes of universities and research institutions, that are intended only for participants from specific regions or institutions, or that are offered regularly by learned societies/associations.

In addition, workshops for early career investigators and colloquia cannot be funded if they are to be held outside Germany.

#### 2 Structure

Proposals are normally initiated by DFG review boards, but can also be suggested by individual researchers with a recognised track record.

After the workshop has been approved by the DFG, the workshop leader publishes a nationwide announcement inviting researchers in early career phases to apply to participate.

During the workshop week, sessions will be held for up to 20 participating researchers in early career phases focusing on how to prepare and write a first project proposal. The workshop typically lasts one week and is held in Germany. The purpose is to qualify researchers in early career phases on a specific topic of scientific relevance. The workshop week may include excursions. Participants expand their scientific and methodological knowledge, are mentored by experienced researchers to develop their own research project, and exchange ideas with other researchers in early career phases.

Participants have the opportunity to submit a first project funding proposal to the DFG following the workshop week. The DFG's funding decisions on proposals that result from an early career investigator workshop are made according to the usual rules and procedures for research grants.

Optionally, additional colloquia may be held in conjunction with ongoing projects that have emerged from workshops or after such projects have been concluded.

### **3 Proposals**

#### **3.1 Eligibility**

Researchers based in Germany, or those working at a German research institution abroad, who have completed their academic training (normally a doctorate) are eligible to apply for funding in the Workshops for Early Career Investigators Programme. A good track record in the relevant area(s) is expected.

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 findings in a generally accessible form. Rules relating to the duty to cooperate do not apply to proposals for Workshops for Early Career Investigators.

#### **3.2 Format and deadline**

Proposals for early career investigator workshops can be submitted at any time in accordance with the instructions provided in this document.

#### **3.3 Duration**

The maximum funding duration is two years.

## II Proposal Module

Within the Workshops for Early Career Investigators Programme, you can request funding through the Project-Specific Workshops module to carry out the workshop week and any additional colloquia, and perform coordination tasks.

[www.dfg.de/formulare/52\\_06](http://www.dfg.de/formulare/52_06)

For more details, please see the guidelines for this module.

The budget should be designed to include cost-sharing by the workshop participants.

## III Carrying Out the Early Career Investigator Workshop

### 1 Announcement and selection of participants

After the workshop has been approved by the DFG, the workshop leader publishes a nationwide announcement inviting researchers in early career phases to apply to participate. The announcement is made in close coordination with the DFG Head Office and is also posted on the DFG website.

The criteria for participation are defined in the announcement. With a view towards the purpose of the workshop, applicants should be close to completing their doctorate, or should have completed their doctorate within the last six years.

Prospective participants apply by submitting to the leader a brief project outline for a research project, describing the project idea, the basic design, and necessary preparations. Applications are reviewed and selected by the leader. On the basis of this selection, the leader invites those selected to participate in the workshop. Only these individuals may participate in the workshop.

### 2 Carrying out the workshop week

An essential feature of the workshop week is the scientific interaction and cooperation among researchers by way of lectures, seminars and excursions. Within this framework, participants present their project outlines and then discuss them with the other partici-

pants and experienced researchers. National and international experts should be involved as speakers to give participants the opportunity to establish contacts, as well as experience presentations on specific scientific and methodological topics and obtain advice on how to design their grant proposals. Members of the DFG Head Office may be invited to advise on the funding portfolio and the submission process.

### 3 Project proposals by workshop participants

Based on the experience and suggestions gained in the workshop, participants can revise and elaborate their project outline and submit it to the DFG under the Research Grants Programme.

The purpose of this proposal is to give researchers in early career phases the opportunity to start investigating a topic. This should normally be achieved by applying for a grant of limited duration and volume to conduct pilot studies or preliminary research.

The DFG's funding decisions on proposals that result from a workshop are made according to the usual rules and procedures for research grants.

## IV Obligations

In submitting a proposal to the DFG, you

1. agree to adhere to the **principles of good research practice**.<sup>1</sup>

The principles of good scientific practice include, among others: maintaining professional standards, maintaining strict honesty with regard to one's own contributions and those of third parties, documenting results and rigorously questioning all findings.

2. recognise the DFG's **Rules of Procedure for Dealing with Scientific Misconduct** (Verfahrensordnung zum Umgang mit wissenschaftlichem Fehlverhalten – VerfOwF)<sup>2</sup> as legally binding.

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<sup>1</sup> The principles of good scientific practice can be found in detail in the DFG [Code of Conduct - Guidelines for Safeguarding Good Research Practice](#) and in the and in the [Funding Guidelines: General Terms and Conditions of DFG Grants \(DFG form 2.00\)](#).

<sup>2</sup> [DFG Rules of Procedure for Dealing with Scientific Misconduct, DFG form 80.01](#)

Scientific misconduct is defined as the intentional and grossly negligent statement of falsehoods in a scientific context, the violation of intellectual property rights or impeding another person's research work. The circumstances of each case will be considered on an individual basis. In cases where scientific misconduct has been established, the DFG may impose one or more of the following sanctions in accordance with its Rules of Procedure, depending on the nature and severity of the scientific misconduct:

- issuing a written reprimand to those involved;
- exclusion from the right to apply for DFG funds for a period of one to eight years, depending on the severity of the scientific misconduct;
- revoking funding decisions (full or partial termination of the grant contract, demanding repayment of funds spent);
- demanding that those concerned either retract the discredited publications or correct the falsified data (in particular by publishing an erratum), or appropriately indicate the DFG's retraction of funding in the discredited publications;
- exclusion from serving as a reviewer for a period of one to eight years, depending on the severity of the scientific misconduct;
- exclusion from membership in DFG bodies and committees for a period of one to eight years, depending on the severity of the scientific misconduct.
- denying voting rights and eligibility in elections for DFG bodies and committees for a period of one to eight years, depending on the severity of the scientific misconduct.

By accepting funding, the recipient agrees to

3. use the grant exclusively and in a targeted manner to realise the funded project. The use and accounting of funds must conform to the relevant regulations of the DFG.
4. 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 funds.

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The DFG expects that the findings of the projects it funds be made available to the public.

## **V Data Protection**

Please note the DFG's data protection notice on research funding, which can be viewed and downloaded at [www.dfg.de/privacy\\_policy](http://www.dfg.de/privacy_policy). If necessary, please also forward this information to those individuals whose data will be processed by the DFG due to their involvement in your project.

[www.dfg.de/privacy\\_policy](http://www.dfg.de/privacy_policy)

## Proposal Preparation Instructions

A proposal for an early career investigator workshop consists of the following three parts:

A - Proposal Data and Obligations

B - Project Description

C - Appendices (always: include an academic curriculum vitae with a list of the most important scientific results)

To complete an electronic proposal form, and to transmit your proposal data and related documents securely, please use elan, our electronic proposal processing system.

[elan.dfg.de](http://elan.dfg.de)

Proposals to set up an early career investigator workshop can only be submitted via elan. Proposals may be submitted either in German or in English.

### A Proposal Data and Obligations

Here you are asked to enter information on the project and participating individuals and accept the required formal obligations. This information includes a summary of the proposal in German and in English.

Please enter this information via the DFG's electronic proposal form provided in elan.

[elan.dfg.de](http://elan.dfg.de)

### B Project Description

For the description of your project, please use the appropriate template in German or English provided in elan. Your project description must not exceed 20 pages in total.

Note the instructions below:



## **1 Content and organisational design of the early career investigator workshop**

### **1.1 Workshop topic, including its position within the current scientific discourse**

The description must be understandable without referring to additional literature. In section 1 you may refer to an unlimited number of your own works and those of others that are publicly available. Please list the publications you cite here in the Project- and subject-related list of publications (section 2).

Indicate clearly throughout the proposal whenever you are referring to your own work or that of other researchers. The absence of any such indication may constitute a breach of good research practice, and in individual cases may constitute research misconduct according to the Rules of Procedure for Dealing with Scientific Misconduct (VerfOWF). Your own preliminary work, if publicly available, is to be listed with the date of publication. If this preliminary work was based on DFG funding, please refer to the respective stage of a funding period in the text of the proposal.

### **1.2 Description of the shortage of researchers in early career phases in the relevant research area(s)**

### **1.3 Programme and organisational design of the workshop week and any additional accompanying colloquia (where applicable, distinct from any existing regular or special events offered by the research institution or offered regularly by the respective learned society/association)**

### **1.4 Recruitment of up to 20 workshop participants (definition of target group, selection criteria and process)**

### **1.5 Workshop guests, if known (names, expertise and contribution to the workshop week)**

## **2 Project- and subject-related list of publications**

In this list of publications, list only the works you cited in your description of the early career investigator workshop in section 1. The font used for the publication list should not be less than Arial 9 point. This bibliography is not considered your list of publications. You can refer to your own works and those of others; there is no limit to the total number of publications listed. Works which are not in the public domain are not considered publications and cannot be cited. An exception is made for papers that have already been

accepted for publication, in which case the manuscript and the editor's confirmation of acceptance must be enclosed.

**A maximum of ten of your own** publications that are most relevant to the project can be **highlighted** in bold or some other way.

### **3 Anticipated total duration of the early career investigator workshop**

Please state the anticipated total duration of the workshop. Funding for early career investigator workshops (the workshop week and any additional colloquia) is offered over a maximum period of two years.

### **4 Supplementary information**

#### 4.1 Employment status information

*Employment status of applicant (including duration of contract and funding body, if on a fixed-term contract)*

#### 4.2 Researchers in Germany with whom you have agreed to cooperate on this workshop

*Please only list individuals whose contribution will exceed that of guest status (e.g. giving presentations during the workshop week).*

If you intend to conduct the early career investigator workshop together with researchers working in Germany who will assume joint responsibility for the workshop, please provide the names of these individuals (co-applicants). The term co-applicant refers to individuals who are eligible to submit proposals but who neither request nor receive project funding.

#### 4.3 Researchers with whom you have collaborated scientifically within the past three years

This information will assist the DFG's Head Office in avoiding potential conflicts of interest during the review process.

#### 4.4 Other submissions

List any funding proposals for this project previously submitted to a third party.

#### 4.5 Other information

Please use this section for any additional information you feel is relevant which has not been provided elsewhere.

### 5 Requested module/funds

Module Project-Specific Workshops

Funding for the workshop week and any additional colloquia can be requested through the Project-Specific Workshops module. Note the additional information in the module guidelines. Please apply for the funds required less the participants' own contribution (cf. section 6).

For electronic proposal submissions, please note that euro amounts will automatically be rounded to the nearest hundred, which could result in slight discrepancies.

### 6 Participant contributions

The participants selected must contribute to the costs of the workshop. List the number of participants (a maximum of 20 is possible) and the amount of each individual's contribution.

## C Appendices

The proposal must include the applicant's academic curriculum vitae (and where applicable that of the individual entered as a co-applicant in section 4.2) with a list of their most important scientific results.

The template provided (DFG form 53.200) must be used for this purpose.

[www.dfg.de/formulare/53\\_200\\_elan](http://www.dfg.de/formulare/53_200_elan)

Each academic curriculum vitae must include the list of the most important publications or published results of the applicant in question. The information can relate to the person's entire academic career; the publications need not be directly related to the proposed project. The list is to be divided into two parts:

- The first **mandatory** category (A) may contain articles in peer-reviewed journals, peer-reviewed contributions to conferences or anthology volumes, and book publications; a maximum of ten publications.
- The number of publications listed in the second **optional** category (B) is like-wise limited to a maximum of ten. Any other form of published results can be cited here (e.g. articles on preprint servers and non-peer-reviewed contributions to conferences or anthology volumes, data sets, protocols of clinical trials, software packages, patents applied for and granted, blog contributions, infrastructures or transfer). You may also indicate other forms of academic output here, such as contributions to the (technical) infrastructure of an academic community (including in an international context) and contributions to science communication.

Please note the “Guidelines for Preparing Publication Lists”.

[www.dfg.de/formulare/1\\_91](http://www.dfg.de/formulare/1_91)

**Additional appendices** should also be included if applicable (especially works that have been accepted for publication but not yet published).

For **proposals submitted electronically via elan**, you will be asked to upload the required documents before submission. Please make sure that the security settings for the PDF documents allow your documents to be read, copied and printed, and note the maximum size of 10 MB per document.

Save PDF documents according to the naming protocol below to facilitate the processing of your proposal.

### Naming Protocol for Proposal Documents

Document	Document Name
Curriculum vitae with a list of scientific results (Wissenschaftlicher Lebenslauf mit Verzeichnis wissenschaftlicher Ergebnisse)	CV_PubList_<person’s last name>
Accepted manuscripts; acknowledgement of acceptance (Zulässige Manuskripte; erforderliche Annahmestätigung)	<year>_<last name_author>_<keyword> Bestätigung_<year>_< last name_author >_<keyword>