

# Guidelines

## Reinhart Koselleck Projects with Proposal Preparation Instructions



## **Guidelines**

### **I Programme Information**

#### **1 Objective**

The objective of the programme is to enable researchers with an outstanding scientific track record to pursue particularly innovative or, in a positive sense, higher-risk projects over a period of five years. The programme gives researchers the opportunity to work on projects that cannot be implemented within the framework of their own institution or funded through other DFG funding programmes.

The programme is aimed at researchers with high scientific potential and an outstanding academic CV.

#### **2 Proposals**

##### **2.1 Eligibility**

Researchers who hold professorships and those who are eligible to hold professorships and work at a university are eligible to apply. In general, researchers are not eligible to submit a proposal if they 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. Researchers based at non-university research institutions may also apply if they intend to propose a project that cannot be carried out as part of the regular work at their institution.

##### **2.2 Format and deadline**

Proposals may be submitted to the DFG at any time. Proposals should be submitted according to the instructions for project proposals below.

#### **3 Duration**

The funding duration is five years.

#### **4 Extent of funding**

Funds in the amount of €500,000 to €1.25 million will be made available for this period. Within these limits, you can request funding in €250,000 increments, so that the total grant amount over the five-year funding period can be €500,000, €750,000, €1,000,000 or €1,250,000.

## **II Special Provisions**

### **1 Proposal requirements**

Reinhart Koselleck projects are characterised by the following features:

- They are especially innovative or, in a positive sense, higher-risk.
- As a result of these factors, they cannot be carried out as part of the applicant's work at his/her institution or under other DFG grant programmes.
- On the basis of these factors, they cannot be described in detail in the proposal, as the progress of the project tends to be even less predictable than with other research activities.

Approving a grant based on a proposal that only roughly describes the project requires a particular leap of faith in the review and decision-making process, which has to be justified by the applicant's academic curriculum vitae.

Reinhart Koselleck projects are generally proposed by a single applicant. If complementary expertise is required to carry out the project (e.g. in the case of interdisciplinary projects), this can normally be achieved by integrating other participants.

In exceptional cases, joint proposals may be submitted if both parts of the project are of approximately equal importance and both applicants are appropriately qualified.

### **2 Relationship to other funding instruments**

The prerequisite for submitting proposals for projects involving clinical trials is that the proposed project is not eligible for submission under the DFG's Clinical Trials programme.

During the duration of an approved Reinhart Koselleck project, funding for other research projects may be requested under all other DFG grant programmes according to their respective requirements.

Recipients of the Gottfried Wilhelm Leibniz Prize are ineligible to apply for a Reinhart Koselleck project during the period in which the prize money is available to them and for a period of two years thereafter, as funding has already been granted to them to use as they wish based on their scientific track record. However, it is possible to be awarded the Leibniz Prize while a Reinhart Koselleck project is ongoing.

### 3 Submitting multiple proposals for Reinhart Koselleck projects

Researchers may propose multiple Reinhart Koselleck projects in the course of their career. However, an approved Reinhart Koselleck project must be completed before a new one can be submitted.

## III Obligations

In submitting a proposal, you agree to:

1. adhere to the **rules of good scientific practice**.<sup>1</sup>

The general principles of good scientific practice include, among others: maintaining professional standards, documenting results, rigorously questioning all findings, and attributing honestly any contributions by partners, competitors and predecessors.

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, depending on the nature and severity of the scientific misconduct:

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<sup>1</sup> The rules of good scientific practice can be found in detail in the white paper [Safeguarding Good Scientific Practice](#) and in the [Funding Guidelines: General Terms and Conditions of DFG Grants](#) (DFG form 2.00).

- 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 (complete or partial cancellation of the grant, recalling granted funds, demanding repayment of funds spent);
- demanding that those concerned either retract the discredited publication 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 acting as a reviewer or from membership in DFG 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 statutory 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:

2. 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.
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 funds.

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

#### **IV 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.

By submitting a proposal you agree that, if the proposal is approved, your work address and contact details (name, institution and location, phone, fax, e-mail and website) as well as information about the content of the project (e.g. topic, summary, keywords, subject area, DFG programme, funding period, international connections) will be published in the GEPRIS information system

[gepris.dfg.de/en](https://gepris.dfg.de/en)

and may be published in other, non-commercial publications and databases created in cooperation with the DFG.

You may withdraw your consent to full/partial publication at any time, without affecting the lawfulness of any processing carried out prior to your withdrawal. If you would like to withdraw your consent, please notify the responsible DFG programme contact, preferably in electronic form.

## Proposal Preparation Instructions

A Reinhart Koselleck proposal consists of the following three parts:

A - Proposal Data and Obligations

B - Project Description

C - Appendices (for each applicant: academic CV including a list of up to ten of his/her most important publications)

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

<https://elan.dfg.de/en>

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

<https://elan.dfg.de>

### B Project Description

For the description of your project, please use the appropriate template in German or English provided in elan.

#### Template instructions:

##### 1 Description of the project

Please outline the project that you would like to undertake on a **maximum of five pages**, starting from the current state of the art in your field. This description should make clear in which context you categorise your own research and to which issues you wish to make a unique, innovative and ongoing contribution. This description must be understandable without references to additional literature.

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Please list your most important project-related preliminary work in section 2. To illustrate and enhance your presentation, you may refer to your own and others' publications. Indicate whenever you are referring to other researchers' work. Please list the cited publications in your bibliography under section 3. This bibliography is not considered the list of publications. Note that reviewers are not required to read any of the works you cite.

## 2 Project-related publications

Please list your most important publications that relate directly to the proposed project and that document **your preliminary work**. This list serves as an important basis for assessing your proposal.

Please note the "Guidelines for Publication Lists".

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

The DFG may reject any proposals not in compliance with the rules on publication lists.

## 3 Explanations and descriptions

### 3.1 Uniqueness of the project

Please briefly explain what makes your project unique and why it cannot be implemented within the framework of other funding programmes (particularly the Research Grants programme).

Non-university applicants should explain why the project cannot be carried out within the scope of their institution's work.

### 3.2 Data handling

Improving the management and handling of research data is a priority both for national and international research organisations and for science in general. In order to enhance the long-term archiving and curation of research data, the DFG funds projects that seek to achieve an efficient reuse of research data.

If research data or information will be systematically produced using DFG project funds, describe if and how these will be made available for future reuse by other researchers. Please regard existing standards and data repositories or archives in your discipline where appropriate.



Additional information and best practice examples can be found at:

[www.dfg.de/proposal\\_process/research\\_data](http://www.dfg.de/proposal_process/research_data)

Project costs associated with making research data available for future reuse can be requested with your project. In this case, please describe how the institutions participating in the project will contribute to data and information management.

If the reuse of the research data being generated is closely linked to research objects (such as tissues, cell lines, installations, materials, art objects, or similar), please also comment on the proposed storage of such objects.

### 3.3 Descriptions of proposed investigations involving experiments on humans, human materials or animals as well as dual use research of concern

#### **Experiments involving humans or human materials**

Please describe the ethical and legal aspects of your project:

- treatment or experiment,
- criteria for selecting test persons,
- description of potential risks and precautions taken,
- method of informed consent.

Note that in addition to accepting the formal obligations in part A, an ethics committee vote must be included as well. The use of human material obtained for diagnostic purposes also requires a statement by the chair of the local ethics committee.

#### **Animal experiments**

Note that in addition to accepting the formal obligations in part A, the planned animal experiments must be described. Please explain how the principle of the 3Rs (replacement, reduction and refinement) will be implemented. For the analysis and reporting of results, the DFG expects you to comply with established international standards, such as the ARRIVE guidelines (<https://www.nc3rs.org.uk/arrive-guidelines>).

#### **Dual use research of concern**

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.

### 3.4 Information on scientific and financial involvement of international cooperation partners

If you will be conducting your project in close collaboration with researchers based outside Germany, please indicate:

- whether the project will be conducted as part of an agreement between the DFG and a partner organisation, cf.

[www.dfg.de/international/partners](http://www.dfg.de/international/partners)

Please note the individual country information provided.

- whether the cooperation partner has applied for funding from the partner organisation, and if so, for what amount.

### 3.5 Other information

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

## 4 Bibliography

In this bibliography, list **only** the works you **cite** in the project description. This bibliography is not the list of publications. Non-published works must be included with the proposal.

## 5 Requested funds

You can request a total of €500,000 to €1.25 million for project-specific costs for the five-year duration. Within these limits, you can request funding in €250,000 increments, such that the total grant amount over the five-year funding period can be €500,000, €750,000, €1,000,000 or €1,250,000.

Please give a brief explanation of how you have calculated the corresponding estimation of costs. However, you are explicitly **not** required to compile a cost plan. Please note that the requested project sum can be reduced to the next lower level if considered appropriate by the reviewers and the decision-making body.

If there will be more than one applicant, please explain how the funds will be distributed.

## **6 Project requirements**

### **6.1 Employment status information**

For each applicant, state the last name, first name, and employment status (including duration of contract and funding body, if on a fixed-term contract).

### **6.2 Composition of the project group**

List only those individuals who will work on the project but will not be paid out of the project funds. State each person's name, academic title, employment status, and type of funding.

Please list separately the individuals paid by your institution and those paid using other third-party funding (including fellowships).

### **6.3 Cooperation with other researchers**

#### **6.3.1 Researchers with whom you have agreed to cooperate on this project**

#### **6.3.2 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.

### **6.4 Scientific equipment**

List larger instruments that will be available to you for the project. These may include large computer facilities if computing capacity will be needed.

If you are applying for instruments that are available at your institution, but are not at the project's disposal, please explain why this is the case.

## 6.5 Project-relevant cooperation with commercial enterprises

If you will be conducting your project in cooperation with a commercial enterprise, please note the EU guidelines on state aid<sup>2</sup> or contact your research institution in this regard.

If you are planning to cooperate with an application partner on a transfer project, i.e. a project that tests the results generated by a DFG-funded research project or develops basic-research findings into prototypes or exemplary applications, note the supplementary instructions contained in DFG form 54.014 “Supplementary Instructions for Knowledge Transfer Projects”.

[www.dfg.de/formulare/54\\_014/](http://www.dfg.de/formulare/54_014/)

## 6.6 Project-relevant participation in commercial enterprises

Please indicate if you are the owner of a commercial enterprise or a stakeholder in one (e.g. a director). If so, please state how your research project is linked to the company's production or activities.

## 7 Additional information

Mention any funding proposals for this project and/or major instrumentation previously submitted to a third party.

## C Appendices

The proposal must include each applicant's academic curriculum vitae including a list of up to ten of his/her most important publications.

To enable reviewers to assess an applicant's scientific track record appropriately, applicants may indicate in their CVs any circumstances that might have hampered their scientific work, for example periods in which a researcher was unable to work continuously due to childcare obligations or due to a prolonged serious illness or disability.

Each CV must include a list of up to ten of the applicant's most important publications. These publications need not be related to the proposed project.

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<sup>2</sup> Framework for State Aid for Research and Development and Innovation (2014/C 198/01)

Please note the “Guidelines for Publication Lists” (DFG form 1.91).

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

**Additional appendices** should be included if applicable (e.g. ethics statements, research papers, etc.).

For **proposals submitted electronically via elan**, you will be asked to upload the required documents. 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 listed at the end of this document to facilitate the processing of your proposal.

## Naming Protocol for Proposal Documents

Document	Document Name
Project description (part B of proposal)	Beschreibung_des_Vorhabens
Ethics statement (Ethikvotum)	Ethikvotum
Curriculum vitae and list of most important publications (Wissenschaftlicher Lebenslauf mit Verzeichnis wichtigster Publikationen)	CV_PubList_<person's last name>
Accepted manuscripts; acknowledgment of acceptance (Zulässige Manuskripte; erforderliche Annahmebestätigung)	<year>_<last name_author>_<keyword> Bestätigung_<year>_<last name_author>_<keyword>