

# Supplementary Guidelines and Instructions

Please note that this form has limited applicability; only use this form if you have been referred here from another DFG form.



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# Supplementary Guidelines

## I. Eligibility Requirements

Researchers in Germany, or those working 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.

The following applies to researchers who are employed at one of the institutes or member organisations of the Max Planck Society, Fraunhofer Society, Helmholtz Association or Leibniz Association, researchers working at a publicly funded institute associated with one of these organisations, and researchers working at international research facilities located in Germany:

If you are employed on a permanent contract, you may, as a rule, only submit a proposal for a joint project<sup>1</sup> and in cooperation with a university partner (duty to cooperate). The joint project may only be funded if at least 50% of the award is allocated to the partner at the German university or if the partner at the German university heads the project. You are eligible to submit an independent proposal if you are employed on a fixed-term contract at your institution and are considered a *Nachwuchswissenschaftler*.

If you are not cooperating with a partner from a German university, you are eligible if you are affiliated with a Leibniz institution (WGL), which pays a lump sum to the DFG.

Special conditions apply to proposals for temporary positions for principal investigators which will be located at such research institutions. Please note that the duty to cooperate also applies to young researchers (*Nachwuchswissenschaftler*). You may be exempt from this obligation, however, if you submit your funding proposal for a temporary position as a principal investigator within six years of obtaining your doctorate<sup>2</sup> and if the non-university research institution bears 45% of the costs for the project, including the cost of your position.

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.

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

<sup>2</sup> This 6-year period may be extended on a case-by-case basis with suitable justification, for example due to maternity/paternity leave. In such cases, please contact the DFG's Head Office (Quality Assurance and Programme Development Division) before submitting the proposal, as we will not be able to process your proposal otherwise.

Please contact the DFG's Head Office if you have specific questions.

## II. Scope of Funding

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

### Funding cannot be provided for:

1. Your own salary as principal investigator<sup>3</sup>
2. Secretarial services
3. Buildings, fittings and furnishings or rent
4. General infrastructure (e.g. office furniture, tools, work clothes), office materials, postage and telecommunication costs
5. Property insurance premiums
6. Fees for using the university's computing facilities
7. Instruments that constitute core support in your field of work
8. Upgrades and repair of instruments that are not property of the DFG
9. VAT, if deductible
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:

- Funding may not be granted for projects that are already underway. A project is considered to be underway if legal obligations have been entered into, for example by signing employment contracts or other legal agreements.
- **Renewal proposals** for existing projects 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.

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<sup>3</sup> 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.

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

## IV. Cost Categories

### 1. Personnel<sup>4</sup>

(cf. also section II, 4.1 of the proposal instructions)

The DFG grants funding for staff strictly in the form of standard amounts based on the following categories:

Personnel Cost Category	EUR/Year	EUR/Month	Pay Scale	Explanation
Professor	87,600	7,300	W Grade	
Junior Research Group Leader	67,200	5,600	E 14 Step 4 to E 15 Step 3	
Postdoctoral Researcher and comparable	58,800	4,900	E 13 Step 3 to E 14 Step 2	Employees with doctorate; employees with several years of professional experience (university diploma / master's degree) who do not plan to obtain a doctorate
Temporary Substitute Position for Clinician (Gerok Position)	64,800	5,400	Ä 1 Step 2 to Ä 2 Step 1	TV-Ä employees
Doctoral Researcher and comparable	55,200	4,600	E 13 Step 2 to E 14 Step 1	Doctoral researchers; other research employees with university diploma / master's degree / bachelor's degree with doctoral admission
Other Research Assistant	45,600	3,800	E 9 to E 12	Employees with university bachelor's degree without doctoral admission; employees with degree from a university of applied sciences

<sup>4</sup> The Public Sector Collective Agreement of German Länder (*Tarifvertrag für den öffentlichen Dienst der Länder*, TV-L), which applies at all universities and mostly state-financed non-university research institutions, came into force in November 2006 in each German state, with the exceptions of Hesse and Berlin. Research institutions funded primarily with federal funds, on the other hand, are subject to the Public Sector Collective Bargaining Agreement (*Tarifvertrag öffentlicher Dienst*, TVöD). Until further notice, the assignment to pay scales in the TV-L and the TVöD is based on the classification criteria of the German Federal Collective Agreement for Public Employees (*Bundesangestelltentarifvertrag*, BAT). The following information is based on the regulations stipulated by the TV-L and BAT. If this does not apply at your institution, then the employment rules and regulations (e.g. TVöD or institutional pay scale) valid there shall apply when recruiting new employees.

Service Assistant	40,800	3,400	E 2 Step 1 to E 9 Step 2	Other technical and administrative employees with union contracts, e.g. technical assistants, laboratory and workshop staff
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Amounts are determined by the DFG Head Office based on applicable pay scale criteria, number of working hours (full time / part time) and length of employment. Amounts are based on “gross employer costs”; they include, among other items, the employer share of social security contributions (incl. supplementary plans) and of the employee savings plan contributions as well as annual bonuses (Christmas bonuses). Funding for student assistants may be requested as needed on the basis of customary local rates; there are no standard amounts for student assistants.

## 1.1 Funding for applicants

### 1.1.1 Temporary positions for principal investigators

Principal investigators may request funding for their own temporary position for the duration of a project. Proposals must be submitted under the category “Postdoctoral Researcher and comparable”.

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 conditions necessary for you to carry out your project. The prescribed template can be downloaded from the DFG’s website.

If you are considered a *Nachwuchswissenschaftler*, work at a non-university research institution and wish to take advantage of the exemption from the general duty to cooperate (see section I), please also enclose a legally binding statement from the research institution confirming that it will assume 45% of the project expenses requested in the funding proposal, including funding of the temporary position for the principal investigator.

These statements must be signed by an organisational unit entitled to make binding statements of employment and enter into financial obligations. As a rule, this will be the 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 or performing non-scientific services such as caring for patients). You may, however, accept teaching responsibilities or provide medical care – for example by taking on duties – in accordance with the secondary employment regulations applicable at your university outside regular working hours.

Funding for temporary positions for principal investigators only allows international research visits to a limited extent. The majority of the time spent working on the project should be spent in Germany. Funding for research visits abroad may be applied for with the proposal for a temporary position as a principal investigator. If longer periods abroad are required for completion of the project, a combination of funding for the temporary position as a principal investigator and a research fellowship may be applied for in exceptional cases. If this should be the case, please consult the DFG's Head Office (Quality Assurance and Programme Development Division) before submitting the proposal. If the majority of the time spent working on the project will not be spent in Germany, you should apply for an international research fellowship.

Funding for temporary positions for principal investigators is generally granted for full-time jobs. Funding for part-time jobs (at least 50%) may be granted for **family reasons**. Other reasons for working part-time will not be accepted. For more information on the rules concerning application for a part-time position, please consult the DFG's Head Office (Quality Assurance and Programme Development Division) before submitting the proposal.

### 1.1.2 Replacement costs

Replacement funding may be requested for academics whose job responsibilities include research and who are eligible to request a research sabbatical in accordance with civil service law. Applicants may request funds to pay for a replacement to cover their teaching and administrative duties for up to 12 months in order to enable them to work on a DFG-funded research project.

Replacement funding may be requested if the project requires that the project leader perform certain research tasks to a greater extent than usual and will be able to delegate less work than usual. This module may also be submitted if no other funding is necessary to pursue the project.

The university must be willing to grant the project leader leave for the proposed project duration. Please note that funding cannot be awarded to pay for replacements during a state-funded research sabbatical.

Where possible, replacement regulations should enable early career researchers to gain further qualifications.

Your salary level is the maximum allowable funding amount.

## 1.2 Remuneration of project personnel

### 1.2.1 Scientific staff

The proposed salaries for research staff employed in projects funded by the DFG should be based on the requirements of the individual project and the researchers' qualifications in relation to these requirements.

For **research staff who do not hold a doctoral degree**, funding under the category "Doctoral Researcher and comparable" should generally be requested for positions involving at least 50% of the standard work week. It is also possible to request funding for positions with more than 50%, insofar as this is required to stay nationally and internationally competitive both within and outside the research system.

In many DFG-funded projects research staff are afforded the opportunity to pursue scientific qualification themselves (**preparation for a doctoral degree**). Should research staff who do not yet hold a doctoral degree be employed full-time, they should be given the opportunity to work on their doctorates during regular working hours in accordance with the relevant state tertiary law. However, please note that the majority of the working hours must be spent on the project.

Projects limited to working on a thesis are not eligible for DFG funding.

If **special scientific qualifications (doctorate), experience and independence** are **necessary** to meet the project's objectives, funding in the category "Postdoctoral Researcher and comparable" may be requested.

In the category “Other Research Assistant”, funding may be requested for employees needed to meet the project’s objectives who hold a degree from a university of applied sciences or a university bachelor’s degree without doctoral admission.

### 1.2.2 Non-academic staff

Funding for **non-academic support staff** employed on a regular union pay-scale basis should be requested under the category “Service Assistant”.

### 1.2.3 Student research assistants

The DFG welcomes the involvement of **student research assistants** at an early stage in their studies in order to introduce them to research work. Qualified students may be incorporated into project work early on.

Student research assistants should be remunerated according to the regulations applicable at your university.

Where applicable, the DFG also recommends examining whether **secondary school pupils** may also be incorporated into the project on an hourly basis and with appropriate compensation, to give them early hands-on experience in science.

### 1.2.4 General information

Funding can, in accordance with the usage guidelines attached to the award letter, be used, **up to the level** of the approved amount, to **fund union-scale pay** (including ancillary expenses as specified by law and union agreements).

The payments according to the bargaining agreements include allowances that employers may grant according to the applicable bargaining agreement as well as performance-related allowances (see article 18 of the TV-L).

The TV-L scale enables a higher rate of pay (up to two steps within the same salary level) to take into account regional variations, the need to meet staffing requirements, the need to recruit specialists, or to compensate for higher costs of living. Scientific staff who have already attained the highest step in their current salary level may, under certain conditions, be granted an allowance equal to 25% of the amount in step 2 (§§ 40 No. 5 sub-paragraph 2, 16 sub-section 5 Satz 3 TV-L). In addition to this, §§ 40 No. 6, 18, sub-sections 7 and 8 of the TV-L also make provision for payment of performance-related allowances and a one-time performance-related bonus.

It is up to the employer to decide on whether or not to pay the allowances mentioned above, or a performance-related bonus, the performance-related salary portion for each individual employee, or which TV-L level or the sector pay scale for university hospitals (TV-Ä) each employee should be assigned to.

Please note that the “third-party funding allowance” provided for in §§ 40 No. 6, 18 sub-section 6 of the TV-L cannot be granted for projects funded by the DFG for budgetary reasons.

In situations where a **research assistant** has to drop out of the project temporarily for **family reasons** (to care for their children or other family members due to old age or illness), a supplementary proposal may be submitted to request the funding needed to complete the project as envisaged within the current funding period.

If the principal investigator reduces his/her regular working hours due to family reasons (e.g. to care for children or other family members), a supplementary proposal may be submitted to ensure that the scientific work progresses in a timely manner.

Funding of up to €2,000 per person is available for **German language courses for foreign DFG-funded project staff**, provided they are working on the project for a period of at least 12 months.

When determining the amount of funding, the DFG expects that staff paid from it work in Germany for the entire duration of their contracts. Exceptions can be made for short-term travel in the interests of the project. If a DFG-funded project member is to spend a **longer period abroad**, this must be mentioned in the grant proposal, stating the reasons.

## 2. Scientific instrumentation

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

Additional costs incurred in connection with the installation and operation of scientific instrumentation for which funding was applied (such as structural modifications, additional laboratory running expenses, working materials, maintenance costs and operating staff) cannot be covered by the DFG. Applicants must ensure that such costs are provided by their institution before submitting their proposals.

The DFG may approve operating and follow-up expenses for major scientific instrumentation required for the project. These expenses should be given as a lump sum where possible. A user policy should also be submitted. Depreciation and reinvestment expenses for new instrumentation (AfA expenses), whether partial or in full, cannot be approved. Expenses incurred for additional staff can only be included in the lump sum pro rata corresponding to the need for maintaining the instrumentation beyond the regular operation specifically for the purposes of the research project. The instrumentation's basic requirements must be covered by the institution's core support. Increased operating costs resulting from use in the project can be covered by the lump sum. However, the cost of regular upkeep to maintain operation may not be included in the sum.

General operating and running costs that meet the requirements listed above can be requested under item 6 ("Other costs").

Unless otherwise specified in the award letter, all scientific instruments that exceed a total individual cost of more than €10,000 (including VAT and delivery) 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 institution<sup>5</sup>, 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.

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<sup>5</sup> These include the institutes of the Max Planck Society, the Fraunhofer Society, the Leibniz Association, the Forschungsverbund Berlin e.V. and the Humanities Centres. 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, FZK, GBF, GFZ, GKSS, GMD, GSF, GSI, HMI, IPP, MDC, UFZ).

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 be actively involved 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 solely to attend scientific meetings **cannot be submitted under the Individual Grants Programme or the Priority Programme.**

Calculation of travel (travel expenses, per diem and accommodation) 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, according to German travel regulations 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. If you are applying for a mileage allowance (kilometre allowance), please state the reasons for using your own vehicle in the proposal.

## 5. Publication expenses

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

### 5.1 Publication expenses

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 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 or 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, and
- 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.

Grants may be used for print publications, provided they are made available in bookstores, as well as for electronic publications. 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 at which the research project is carried out and must be included in the institution's inventory.

## V. Obligations

In submitting a proposal to the DFG, you agree to:

1. adhere to the rules of good scientific practice<sup>6</sup>.

The general principles of good scientific practice include, among others:

- maintaining professional standards,
- documenting results,
- rigorous questioning of all findings, and
- attributing honestly any contributions by partners, competitors and predecessors.

In cases of scientific misconduct, the DFG may impose sanctions as listed below. 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.

Depending on the nature and severity of the established misconduct, the DFG may impose one or several sanctions. These include:

- 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 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 acting as a reviewer or from membership in DFG committees;
- denying voting rights and eligibility in elections for DFG statutory bodies and committees.

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<sup>6</sup> The rules of good scientific practice are presented in detail in the white paper "Proposals for Safeguarding Good Scientific Practice" (published by Wiley-VCH) and in the Usage Guidelines for Research Grants, DFG forms 2.01 and 2.02 (available on the internet at [http://www.dfg.de/en/research\\_funding/forms\\_guidelines/](http://www.dfg.de/en/research_funding/forms_guidelines/) 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.

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**.

## **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 work 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 (grant holder's name, institution and location) in the "Programmes and Projects" section of the electronic annual report (<http://www.dfg.de/jahresbericht>). If you do not wish this information to be published electronically, please notify us in writing no later than four weeks after receipt of your award letter.

# Proposal Preparation Instructions

## I. General Information

1. The DFG's funding decisions are based on evaluations made by scientific **reviewers working without compensation**. They form their judgment on the basis of the information presented in the proposal. It is therefore in your own interest to work out a clearly written proposal.
2. The proposal, including publication list, should be no more than **20 pages** in length. 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 a **period of up to three years**.
5. If the **topic of your research project is related** to the work of a **Collaborative Research Centre** (SFB) located 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 clinical trials must be submitted to this programme. Please consult the DFG and BMBF websites for programme announcements and additional 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 guidelines<sup>7</sup> (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.)
- adhere to the numbering system of these guidelines and repeat the complete headline in each section;
- submit the proposal and appendices in duplicate (for Priority Programmes, the number of copies as specified in the respective guidelines);
- submit your completed proposal in Arial 10 pt. font, unbound and hole punched, on A4 paper;
- submit an electronic version of the proposal on a CD ROM, preferably as a PDF file (or RTF file) that is not password protected or restricted in any other way. The document security settings should allow your documents to be read, copied and printed. Appendices should be included as separate PDF files (individual files must be smaller than 5 MB). Exception: for supporting documents exceeding 200 pages in length, we ask that you send two hard copies in addition to the electronic version; please do not include appendices beyond those submitted per hard copy—the print version and the electronic version of your proposal must be identical;
- save PDF documents according to the naming protocol listed in the appendix at the end of this document (cf. last page) to facilitate the processing of your proposal;

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<sup>7</sup> “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

- include in your cover letter a list of documents, including exact file names, provided electronically. A **printed copy** of your cover letter must be submitted with original signatures of all applicants.

## 8. Publication lists

Your proposal must include two types of publication lists. With exception to those instances listed under section a) below, these lists may not contain articles that have not been published.

1. A list of your most important publications, regardless of relevance to the proposed project. This list is part of your CV (cf. section II.1.1).
2. A project-specific list of own publications (cf. section II.2.2).

Please structure both types of lists as follows:

- a) Articles which at the time of proposal submission have been published or officially accepted by publication outlets with scientific quality assurance, listed in standard format; book publications. For works that have been accepted for publication but not yet published, the manuscript must be submitted along with the publisher's acknowledgement of acceptance.
- b) Other publications
- c) Patents, subdivided into pending and issued

Please note the maximum number of works you may list under a) and b) combined:

1. Important publications: up to five
2. Project-specific publications:
  - Single applicant: two publications per year of the funding duration
  - Multiple applicants: three publications per year of the funding duration

Please note that these rules refer to the funding duration for new proposals as currently proposed and the completed duration for renewal proposals.

Please note that the DFG may reject any proposals not in compliance with these rules.

## 9. 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)

Please state the name of the programme to which you are applying.

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

If you are applying for a temporary position as a principal investigator as part of this proposal, please mention this here.

If you are submitting a proposal for DFG funding for the first time, please indicate “first-time proposal” here. Reviewers will consider the fact that you are submitting your first proposal. Previous proposals for research fellowships (*Forschungsstipendien*), publication grants, travel allowances, or funding for scientific networks are not considered. If you are submitting a “first-time proposal” and it is part of a joint proposal, please note that your independent project must be distinct from the other projects.

If you have already submitted a proposal as a co-applicant for a research grant and have received a letter informing you of the funding decision, or if you have led an independent research group or project in a Collaborative Research Centre or Research Unit, you are no longer eligible to submit a “first proposal”. Should your first proposal be rejected, you may resubmit the application, in revised form, as a first-time proposal for the same project.

#### 1.1 Applicant(s) (Antragstellerin/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 that it is a “joint proposal” (*Gemeinschaftsantrag*). If this is the case, the requested funding in item 4 should be listed separately according to applicant. Please note that the funding recipient shall serve as the sole contact person for the DFG. If one of the applicants is applying for a temporary position as PI, please also list the individual work packages according to applicant in item 3.2.

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

#### Deutsche Forschungsgemeinschaft

Kennedyallee 40 · 53175 Bonn · Postanschrift: 53170 Bonn

Telefon: + 49 228 885-1 · Telefax: + 49 228 885-2777 · postmaster@dfg.de · www.dfg.de



- First name, last name, academic title
- Employment status (including duration of contract, if on a fixed-term contract)
- Date of birth and nationality
- DFG reference number of the last proposal or of any previous application(s) for project funding
- Institution and department (full name)
- Work address
- Telephone number (dialling code, switchboard, direct line or extension)
- Fax number
- E-mail address
- Home 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

- whether the project will be conducted as part of an agreement between the DFG and a partner organisation (see [http://www.dfg.de/en/dfg\\_profile/international\\_context/int\\_partners/](http://www.dfg.de/en/dfg_profile/international_context/int_partners/))
- and, if so, state whether the cooperation partner has applied for funding from the partner organisation.

If you are submitting a proposal for the first time (your first proposal to the DFG) or a new proposal (the first proposal for a new project), please attach a tabular CV with the proposal. To enable us to assess your scientific track record appropriately, please indicate any circumstances that might have had a negative impact on your scientific work in your CV, for example periods in which you were unable to work continuously due to child care obligations or due to a prolonged serious illness or disability. Please note that your CV should also include a list of up to your five most important publications (cf. section I.8).

## 1.2 Topic (Thema)

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

If the topic relates to other countries or subcontinents, please include the names here.

### 1.3 Research area and field of work (Fach- und Arbeitsrichtung)

Please include your discipline (e.g. theoretical physics, pre-history) and your field of specialisation (e.g. theory of the ferromagnetism, settlement archaeology, etc.), so the project can be categorised with regard to its main focus.

Should the main focuses of your proposal be covered by more than one review board, please indicate which ones you feel would be most suitable to assess your proposal.

For more information on the DFG's review boards, including a current list, please refer to [http://www.dfg.de/en/dfg\\_profile/statutory\\_bodies/review\\_boards/](http://www.dfg.de/en/dfg_profile/statutory_bodies/review_boards/)

### 1.4 Anticipated total duration (Voraussichtliche Gesamtdauer)

Please include:

- when the project began
- when DFG funding commenced
- the project's intended duration<sup>8</sup> and how long DFG funds will be necessary

### 1.5 Application period (Antragszeitraum)

Please state the period for which funding is requested (up to 36 months)<sup>9</sup>.

#### For new proposals (Bei Neuanträgen)

The date when you wish funding to begin

#### For renewal proposals (Bei Fortsetzungsanträgen)

- Date of the previous grant
- Current funding for personnel will probably last until .....
- Current funding for direct project costs is anticipated to last until .....

### 1.6 Summary (Zusammenfassung)

Please summarise the main goals of the project. This should not exceed 15 lines (max 1600 characters).

The summary has two main goals:

<sup>8</sup> Please refer to DFG form 1.01 for information on long-term projects.

<sup>9</sup> Up to 60 months in the Emmy Noether Programme

- 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 and preliminary work (Stand der Forschung, eigene Vorarbeiten)**

### **2.1 Description (Darstellung)**

For new proposals please explain briefly and precisely the state of the art in your field in its direct relationship to your project. This description should make clear in which context you situate your own research and in what areas you intend to make an innovative, promising contribution. This description must be concise and understandable without referring to additional literature.

For renewal proposals, please enclose a report on your previous work. This progress report should reflect the initial questions and the advances in knowledge since the last proposal, also with regard to the findings of other scientists (including foreign scientists) who work in this field. It should also briefly describe your own work since the last grant, highlighting the findings and their significance. In your report you should also mention your specific experiences, e.g. the usefulness of the applied methods, availability and productivity of the material, suitability of instruments, failures, and difficulties. This report should also be concise and understandable without referring to additional literature.

To illustrate and enhance your presentation you may refer to your own and others' publications. Make it clear whenever you are referring to other researchers' work and explain your own preparatory work. Please list all **cited** publications in your bibliography. This reference list is not considered your list of publications. Any unpublished work must be included with the proposal. However, note that reviewers are not required to read any of the works you cite. This also applies to review sessions that are held on site. In this case, manuscripts and publications that provide more information on the progress reports and are published up to the review panel's meeting may be made available at the meeting to enable reviewers to read through the information. Reviews will be based only on the text of the actual proposal.

Please note that the DFG may reject any proposals not in compliance with these rules.

**For first-time proposals, please also note the following:**

Please provide a concise description of your previous postgraduate training and research, highlighting your abilities and demonstrating that you are capable of carrying out the proposed project. Describe your scientific track record to date, mentioning research topics that you've worked on so far.

Previous scientific accomplishments must not be directly related to the project.

## **2.2 Project-related list of publications**

Please include a list of own publications that are related to the proposed project. It serves as an important basis for assessing your proposal. Please note the stipulations provided under section I.8.

If you are submitting a proposal to the DFG for the first time and have therefore not published in the proposed research area, please list the up to five most important publications as stipulated under section I.1.1.

## **3. Objectives and work programme (Ziele und Arbeitsprogramm)**

### **3.1 Objectives (Ziele)**

Please give a concise description of the scientific programme and the scientific objectives. For clinical trials, please describe the study design (e.g. double blind, randomised, crossover, etc.; why monocentric?). Please list all cited publications in your bibliography (cf. 2.1.).

Please indicate if you anticipate results that may be relevant to fields other than science (such as science policy, technology, the economy or society).

### **3.2 Work programme (Arbeitsprogramm)**

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

The quality of the work programme is critical to the success of a funding proposal. You should therefore pay special attention to the design 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, providing details on individual items where applicable.

Please provide a detailed description of the methods that you plan to use in the project: Which methods are already available? Which methods need to be developed? What assistance is needed from outside your own group/institute? (Instrumentation should be mentioned in section II, 4.2.) Please list all cited publications pertaining to the description of your work programme in your bibliography (cf. 2.1.).

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

Experiments involving humans, including identifiable 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 observed.

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 potential risks and precautions taken
- method of informed consent

A statement from the local ethics committee is required for all projects involving human subjects. The use of human material obtained for diagnostic purposes also requires a statement by the chair of the local ethics committee. Please include a copy of the statement by the relevant ethics committee 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 you contact the approval authorities (Robert Koch Institute, Berlin) stated in § 7, para 1 clause 1 of the Stem Cell Act at the same time as you submit the proposal to the DFG, in order to accelerate a decision on the proposal.

If your proposal is approved, the funds earmarked for work with human embryonic stem cells will 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 provisions of the Animal Protection Law (*Tierschutzgesetz*) be observed. For animal experiments that require approval by the local authorities, the DFG recommends that you seek the necessary approval either prior to submitting your proposal, or when you submit your proposal to the DFG. Research work may only start once 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 work may not commence until the required approval, according to this law and the relevant decrees, has been obtained.

### **3.6 Research subject to the Convention on Biological Diversity (CBD)**

If your research project, or parts thereof, are subject to the Convention on Biological Diversity, follow the *Guidelines for Funding Proposals Concerning Research Projects within the Scope of the Convention on Biological Diversity (CBD)* (DFG form 1.021e). In your proposal, affirm that you have familiarised yourself with these guidelines and intend to conduct the project according to the principles described therein.

In your proposal, please mention the status of the preparations in the host country, as explained in the abovementioned guidelines under heading VII.

### **3.7 Data handling**

Improving the 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 preservation of research data, the DFG funds projects that seek to achieve an efficient and sustained use of research data.

If research data will be systematically produced using DFG project funds, describe what measures will be implemented to ensure their management, curation and long-term preservation for future reuse. Please regard existing standards and data repositories in your discipline where appropriate.

## **4. Funds requested (Beantragte Mittel)**

(see section IV)

Funding requests spanning more than one year 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 costs (Personalkosten)**

The following information is required:

- For proposals concerning funding for temporary positions for principal investigators: A statement from the host institution in accordance with section IV 1.1.1 of the Supplementary Guidelines.

If you are working in a foreign science system when you submit your proposal, your proposal must also be accompanied by a statement from a scientist at the hosting institution including a personal reference and details of the project.

If you are working as a young researcher at a non-university research institution and wish to take advantage of the exemption from the duty to cooperate (see section I), please state the date on which you obtained your doctorate. Please also enclose a binding statement from the institution where you intend to work confirming that it will bear 45% of the project funds requested, including the temporary position for the principal investigator. The 45% contribution is calculated on the basis of the total staff expenses (including the temporary position for the principal investigator), direct project expenses, and publication costs. The staff costs should be calculated in accordance with the amount specified for the category “Postdoctoral Researcher and comparable” (see table in section IV no. 1 of the guidelines).

- 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 work 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 applicable salary scales (TV-L, BAT or MTArb [east or west]), please state:
    - ⇒ how long he/she will be employed in the project
    - ⇒ one of the following categories:

**Professor**  
**Junior Research Group Leader**  
**Postdoctoral Researcher and comparable**  
**Doctoral Researcher and comparable**  
**Other Research Assistant**  
**Service Assistant**

⇒ the planned working hours as a percentage of the standard work week

- b) For student assistants (with or without a degree), please state:

⇒ how long he/she will be employed in the project

⇒ the required funds in €, based on the customary rates at your institution

An important criterion for the approval of funding for assistants without degree is their qualified involvement in the project. This must be justified in the proposal.

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 commence.

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 require funding for visiting scientists, over and above 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) All requested *instrumentation costing more than €10,000* per item (purchase price including VAT and other expenses) will generally be purchased by the DFG if the proposal is approved. 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 ..... dated .....

**Accessories**

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

**Instrument B**

Etc. ....  
 .....  
 .....



Purchase price 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 specifications should be given precisely for the DFG to be able to purchase it without needing to make further enquiries.

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 obtain information about the instrumentation on the market that meets the required specifications. The models that you are considering should be compared in terms of their suitability for the project, stating the manufacturer, accessories, performance and price. Please 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 aspects such as the availability of equipment in the university department, your experience with similar instruments, the exchange of measuring programmes, issues relating to technical maintenance, etc., may also play a role in selecting the appropriate model. If the choice of equipment is not explained in detail, the DFG will make the selection based solely on price.

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

- b) All requested instrumentation costing less than €10,000 per item should also be listed according to the format above, naming different models and prices and including an explanation as to why this equipment is necessary.
- c) If existing instrumentation and computing facilities required by your project are 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, etc.):

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

Total 4.3 ..... EUR

**4.4 Travel (Reisen)**

Please explain the necessity for the different kinds of travel costs (e.g. cooperation with partners/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 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 e-mail address).

If you are requesting funds for visiting scientists, please include the anticipated 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 specifically for publication grants, please submit an informal application including a statement that the publication was not written as part of a DFG-funded project and provide the details specified in sections 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

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

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, compensation for test persons, laboratory animals (species and number), documentation and scientific literature, project-specific software, operating and maintenance/running expenses for major scientific instrumentation [cf. section IV. 2 Scientific Instrumentation], etc.):

.....

.....

.....

Total 4.6

..... **EUR**

**5. Project requirements (Voraussetzungen für die Durchführung des Vorhabens)**

What resources, including other third-party funding, do you anticipate will be available to you for this project (excluding the funding requested in this application)? What other conditions have been met?

In answering these questions, please provide the following information:

**5.1 Your team (Zusammensetzung der Arbeitsgruppe)**

Please state the names, academic titles and employment grades of everyone who will be working on the project, but not funded by the DFG. When listing technical staff and support staff, it is sufficient to state the number of people employed. Please list the people paid by your institution and those paid using other third-party funding (including fellowships) separately.

## **5.2 Cooperation with other scientists (Zusammenarbeit mit anderen Wissenschaftlern)**

a) Please mention those scientists (apart from those listed in 1.1) with whom you are cooperating or have agreed to cooperate with on this particular project, or with whom you will coordinate this work. For clinical trials, please provide the name of the biometrician or statistician responsible for the trial.

b) Please list all scientists and academics, both at home and abroad, with whom you have collaborated on joint scientific projects within the past three years. (This will assist the DFG's Head Office in avoiding potential conflicts of interest during the review process.)

## **5.3 Scientific equipment (Apparative Ausstattung)**

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

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.

## **5.4 Running costs for materials (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.

## **5.5 Conflicts of interest with commercial 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 research project is linked to the company's production branch.

## **5.6 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 you are planning a long-term project, please refer to the relevant questions as listed in DFG form 1.01.

## 6. Declarations (Erklärungen)

### 6.1 Proposal submitted elsewhere

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. in the Major Research Instrumentation Programme [*Forschungsgroßgeräte*] as per Art. 91b GG or within a Collaborative Research Centre).

If this is not the case, please include the following statement:

"I have not requested funding for this project from any other sources. In the event that I submit such a request, I will inform the Deutsche Forschungsgemeinschaft immediately."

### 6.2 Rules of good scientific practice

With regard to the rules of good scientific practice, please confirm the following:

"In submitting a proposal to the DFG, I agree to adhere to the DFG's rules of good scientific practice."

### 6.3 Publication list and bibliography

With regard to the guidelines for publication lists and bibliographies listed under section I.8 and II.2., please state the following:

"In preparing my proposal, I have adhered to the guidelines for publication lists (section I.8) and bibliographies (section II.2)."

### 6.4 Other

If you work 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 work 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))**

You, as the applicant submitting the proposal, are required to sign it.

**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.

## Appendix: Naming Protocol for Proposal Documents

To facilitate the processing of your proposal, we request that you use the following document names when submitting your proposal.

Document	Document Name
final report (Abschlussbericht)	Abschlussbericht
instrumentation quote (Angebote zu Geräten)	Angebot_<instrument type>_<manufacturer>
proposal (Antrag)	Antrag
employment offer (Arbeitsplatzzusage)	Arbeitsplatzzusage
reference (Befuerwortung)	Befuerwortung_<last name of person providing reference>
ethics statement (Ethikvotum)	Ethikvotum
staff questionnaire (Fragebogen Mitarbeiter)	Fragebogen_<last name of respondent>
curriculum vitae and list of most important publications (Lebenslauf mit Verzeichnis wichtigster Publikationen)	CV_PubList_<person's last name>
project-specific list of publications (projektspezifisches Publikationsverzeichnis, acc. to section II.2.2.)	Proj_PubList
certificates (Zeugnisse)	<type of certificate>_<person's last name>
accepted manuscripts (Zulässige Manuskripte; erforderliche Annahmebestätigung)	<year>_<last name_author>_<keyword> Bestätigung_<year>_<last name_author>_<keyword>
interim report (Zwischenbericht)	Zwischenbericht