

Preparation Instructions

for Final Reports

Research Training Groups and

International Research Training Groups



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A. General Guidelines

After a Research Training Group concludes, a final report must be prepared. These instructions are designed to assist you in preparing the final report and specify the form and the required content of the report. They apply to Research Training Groups (RTGs) including International Research Training Groups (IRTGs).

The final report documents the research results and the structural effect of an RTG after nine years of funding. It should account for the main research findings and the structural aspects of the RTG. The final report will be reviewed and then submitted along with the reviews to the relevant DFG committees. In addition to scientific stocktaking, it also serves as the basis of project and programme evaluations. Furthermore, it is the basis for the audit of the use of funds according to programme guidelines and part of the reporting requirements of the DFG to its financial backers.

The final report is due six months after the completion of the nine-year funding period.

Three printed copies of the report must be submitted to the DFG Head Office. One of these copies should bear the original signatures of the spokesperson and the university administration, and be hole-punched but not stapled; the other copies should be hole-punched and stapled once. Please include with each of the three printed copies of the report a CD-ROM with the electronic version of the report as a PDF file without password protection or any restrictions on reading, copying or printing the electronic documents.

Please make your report informative and clear in order to provide the DFG reviewers with a good basis for a balanced and appropriate assessment. The report should be understandable without reference to additional literature. Please note that the establishment and renewal proposals will not be available to the reviewers. The final report should therefore be self-explanatory. References to the respective establishment or renewal proposal should be avoided.

Research Training Groups that do not reach the maximum funding period due to rejection of the renewal proposal are required to submit only a reduced final report six months after the end of completion funding. Any further reporting obligation is deemed fulfilled through the submission of a progress report as part of the renewal proposal. The reduced final report includes only the summary (cf. 2.) and the separate, complete list of all publications by the doctoral and, if applicable, postdoctoral researchers throughout the total duration of DFG funding (cf. Appendix 6). In addition, a list of the up to ten most important publications of the RTG overall may be included. These may have been authored by the participating researchers and/or (post-)doctoral researchers of the RTG. This list may be used to document the yield of the joint research efforts.

Research Training Groups that have not submitted a renewal proposal must prepare a complete final report on the 4.5-year funding period.

When preparing the report, please take into account the following points:

- The general part of the report (items 1 to 6) – not including cover page, table of contents and appendices – must not exceed 15 pages in length (A4 paper, Arial 11pt or similar font, single-spaced, printed on both sides).
- The following additional information should be appended to the report: overview lists of the persons funded by the Research Training Group and their activities within the framework of the Research Training Group, the duration of employment (or fellowship) contracts, the number of men and women involved in the RTG and their qualification levels, individual reports by the (post-)doctoral researchers, a list of their publications and publications of the RTG, an example of the supervision agreement used, and, where applicable, reports on any sabbaticals and knowledge transfer projects funded by the RTG (see explanations on the appendices). Other than these items, the appendices may not include any additional information.
- The report must address all the items specified in the template and include all section numbers and titles.
- The report must be prefaced by a table of contents including page numbers.
- Use the templates provided and augment the report with additional tables and graphs where appropriate.

- The final report should be written in the language in which the previous proposals were written.

The final report will be reviewed and submitted along with the result of the review to the Senate Committee on Research Training Groups. Any comments, suggestions and assessments arising out of the review process will be communicated in writing to the spokesperson and the applicant university.

Finally, the summary in section 2 and the publication lists in Appendix 6 will be published in the GEPRIS database of funded projects. This serves to inform the public and the financial backers.

You may opt out of such publication by notifying the responsible Research Careers Division office in writing, either together with the final report or separately by e-mail.

B. Report Template

<Title>

<Applicant university/universities>

<For **International Research Training Groups**: Foreign partner institution>

<Spokespersons>

Funding period: <day month year> to <day month year>

<Today's date>

1. General Information

1.1 Title in German and English

Please state the title of your Research Training Group or International Research Training Group (IRTG) in German and English.

1.2 Participating researchers

Please name all researchers – for IRTGs, include both sides – who have participated in the Research Training Group at any point during its entire funding duration, including the period during which they were part of the RTG and their area of research. This information should be presented in a table.

| Last name, first name, academic title | Chair/department | Period | Research area |
|---|------------------|--------|---------------|
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1.3 Number of doctoral and postdoctoral researchers, qualifying fellows and student assistants

Please provide the following information for all locations:

- the number of doctoral and postdoctoral researchers, qualifying fellows and student assistants funded by the Research Training Group (including the type of funding – position or fellowship – and the level of funding – position salary or fellowship amount);
- the number of participating doctoral and postdoctoral researchers with funding from other sources.

2. Summary (max. one A4 page)

This summary will be published in the GEPRIS database of funded projects. Please summarise in generally accessible language the main findings and progress of the Research Training Group for the scientifically interested public.

3. Responses to Reviewer Comments on the Renewal Proposal

If you were given any instructions, notes or recommendations based on the review of the renewal proposal, please comment on these. Describe whether and how these have been implemented. If you did not receive any specific comments, this section may be omitted.

4. Research Programme

Please summarise the research activities performed and the overall scientific yield from the nine-year funding period. Please describe how the research objectives pursued with the original research programme have been reached, how the central research idea was implemented and, if applicable, how it evolved, and what thematic interplay – in the case of **IRTGs** particularly between the partner locations – has taken place within the Research Training Group.

For IRTGs: In particular, please describe the specific scientific added value which has resulted from the international cooperation.

Reports on the individual projects carried out by the doctoral researchers, the postdoctoral researchers and, where applicable, by the qualifying fellows should be included in Appendix 4 in accordance with the templates provided (see explanations on the appendices).

5. Qualification, Supervision and Partnerships

- Briefly summarise the qualification programme and the supervision strategy. Discuss the effects of the RTG's training programme and supervision structures on the academic training of the doctoral researchers and the doctoral training period.
- If the Research Training Group was given the option of extending, in individual cases, the funding period of individual doctoral researchers beyond the standard period of 36 months, please briefly explain these cases and describe the general decision-making criteria and processes used for this purpose. Reference may also be made to the individual reports by the doctoral researchers in question (Appendix 4a)
- If start-up funding was made available to researchers who completed their doctorates within the framework of the Research Training Group, please explain how these individuals were selected to receive such funding, what supporting measures were undertaken by both the Research Training Group and the university (equipment, etc.) to foster their scientific independence, and how their careers have developed since.
- If the Research Training Group was provided with resources to fund postdoctoral positions, please describe relevant qualification and career development activities offered by the RTG and the university. If, on the basis of a specific, reviewed career concept, you were also permitted the option of flexibly adapting the amount of time spent by postdoctoral researchers in the group, please comment on the use of this option. Reference may also be made to the individual reports by postdoctoral researchers (Appendix 4b).
- Please provide information on the impact of the RTG on a restructuring of doctoral training or on topically related programmes at the applicant university.
- Briefly explain the gender equality measures and the difference the RTG has made regarding gender opportunities for women and men in research and work-life balance.

- Take stock of any collaboration with other entities and structured doctoral programmes within the host university, as well as with non-university research institutions, other RTGs, industry, and international partners.
- For **IRTGs**: Take stock of the collaboration with the foreign partner in the qualification programme and in joint supervision.

6. Feedback to the DFG

For the further development of the Research Training Groups Programme, it is important for the reviewers, committees and Head Office of the DFG to learn about your opinions regarding the proposal process and programme design. Your criticisms, comments and recommendations are valuable for the further development of the programme.

7. Appendices to the Report

The appendices to the report should only contain the items listed in the following sections. Please use the templates provided for all overviews and individual reports.

- **Appendix 1:**

A list of all doctoral and postdoctoral researchers, qualifying fellows and student assistants (in the case of **IRTGs** from both the German and the partner institution) who have participated in the (International) Research Training Group to date. If start-up funding for researchers who completed their doctorates within the RTG programme was used, please give detailed information on the number of persons who received such funding, for how long and in what form (position or fellowship and/or direct project costs) such funding was provided (Template 1f).

Please use the tables provided in Appendix 1 and provide all requested information. The information in the tables should be completed in chronological order, according to the date on which the person entered the Research Training Group.

Please note that table 1c applies to **IRTGs** only.

If the Research Training Group was given the option of extending, in justified individual cases, the funding period of doctoral researchers from the standard period of 36 months to up to 48 months, please highlight the relevant persons in table 1a. Doctoral researchers are requested to comment on the extension in their individual reports (Appendix 4a).

- **Appendix 2:**

In Appendix 2, please summarise in a table the duration of employment (or fellowship) contracts of doctoral and postdoctoral researchers who participated in the second 4.5-year funding period and were funded by the Research Training Group. For individuals with consecutive contracts, note the duration of each.

- **Appendix 3:**

Gender equality in science and academia: Statistics on the number of men and women involved in the RTG and their levels of qualification. Please use the tables in Appendix 3. In Table A, include both DFG-funded and associated doctoral researchers and provide totals since inception of the RTG.

- **Appendix 4:**

Individual reports by all doctoral and postdoctoral researchers, independent of their funding arrangements, who participated in the Research Training Group during the second 4.5-year funding period. **For IRTGs:** We request that these reports also be provided for the partners.

Please categorise these reports into contributions from RTG-funded and associated doctoral researchers and RTG-funded and associated postdoctoral researchers, and sort them according to the date of admission into the RTG. The reports should, as a rule, be three pages in length and are not to exceed five pages. They should be structured according to the template provided in Appendix 4.

If applicable, the appendix should also include short individual reports by the RTG-funded qualifying fellows on their activities in the Research Training Group and the support they have received. The format of the individual reports can be based on the format specified for the individual reports by the doctoral researchers (cf. Template 4a), but can also be limited to the relevant information.

- **Appendix 5:**

For the second 4.5-year funding period, overviews of the participation of (post-)doctoral researchers in conferences and on research stays or internships at other institutions (such as other research institutes, cultural institutes or businesses, etc.) both at home and abroad (see Appendix 5). This information should be presented in a table.

For IRTGs: Additional overviews of research stays by (post-)doctoral researchers at their respective partner universities (see Appendix 5, Templates 5c and 5d). This information should also be presented in a table.

- **Appendix 6:**

A separate, complete list of all publications and theses¹ by doctoral and (where applicable) postdoctoral researchers that resulted within the framework of the nine-year DFG-funded Research Training Group (Appendix 6.1). The names of the (post-)doctoral researchers should be marked and the list, in the case of **IRTGs** at least for the German side, should be divided into two categories: (post-)doctoral researchers who received RTG funds and those funded by other sources.

For IRTGs: Please highlight joint publications by participants from the German and international partner institution(s).

When compiling and structuring the publications list, please adhere to the information on structuring the biographical sketches of the participating researchers given in DFG form 54.07 “Proposal Preparation Instructions: Research Training Groups and International Research Training Groups (Renewal Proposals)”; however, the maximum of 10 publications per person does not apply here.

¹ Unpublished theses may be listed, but must be clearly labelled as such. They will not be included in the publication of the results of the Research Training Group in the GEPRIS database of funded projects. The RTG is requested to notify the DFG of later publications of such papers so that they can also be included in GEPRIS.

A list of the 20 most important publications of the Research Training Group as a whole may also be given (Appendix 6.2). These may be the work of the participating researchers and/or the doctoral/postdoctoral members. This allows the RTG to document its joint research efforts during the nine-year funding period.

- **Appendix 7:**
An example of the supervision agreement used by the Research Training Group to define the rights and obligations of both the Research Training Group and its participants must be attached.
- **Appendix 8:**
If replacement costs for one or more research sabbaticals for participating professors were financed by the Research Training Group during the second funding period, a report on the project and its results must be included here.
- **Appendix 9:**
If knowledge transfer projects were funded during the second funding period within the framework of the Research Training Group, please describe the progress and any results obtained.

C. Annex to the Instructions: Templates for the Appendices to the Report

Appendix 1: List of All Persons Funded by the Research Training Group to Date

Template 1a: Doctoral record of RTG doctoral researchers (financed by the DFG through RTG funds)

| Name | Thesis title | Supervisors | Field of study; university and degree date (diploma, MA, etc.) | Start of doctoral training ² | Member of RTG (from / to) | Date of doctoral degree | Grade | Occupation(s) following doctorate | Cf. individual report on page |
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² Please provide the date on which the doctoral researcher considers that he or she began his or her doctoral research. This date may differ from the date of entry into the Research Training Group or from the date on which the researcher began receiving financial support from the RTG.

Template 1b: Doctoral record of RTG doctoral researchers (in Germany, funded by other sources)

| Name | Thesis title | Supervisors | Field of study; university and degree date (diploma, MA, etc.) | Start of doctoral training ³ | Member of RTG (from / to) | Date of doctoral degree | Grade | Occupation(s) following doctorate | Cf. individual report on page |
|------|--------------|-------------|--|---|---------------------------|-------------------------|-------|-----------------------------------|-------------------------------|
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Template 1c: International Research Training Groups only: Doctoral record of doctoral researchers at the partner institution

| Name | Thesis title | Supervisors | Field of study; university and degree date (diploma, MA, etc.) | Start of doctoral training ⁴ | Member of RTG (from / to) | Date of doctoral degree | Grade | Occupation(s) following doctorate | Cf. individual report on page |
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³ See footnote 2 on the previous page.

⁴ See footnote 2 on the previous page.

Appendix 2: Duration of Employment and Fellowship Contracts

Duration of contracts of doctoral and postdoctoral researchers
 (financed by the DFG through RTG funds)

| Contract duration | Number of contracts for | | Number of contracts for | | Total number of contracts |
|---------------------|-----------------------------|---------------------------|---------------------------------|-------------------------------|---------------------------|
| | Female doctoral researchers | Male doctoral researchers | Female postdoctoral researchers | Male postdoctoral researchers | |
| Up to 12 months | | | | | |
| Up to 24 months | | | | | |
| Up to 36 months | | | | | |
| Exceeding 36 months | | | | | |

Appendix 4: Template for Individual Reports

Appendix 4a: Template for Individual Reports by Doctoral Researchers

| |
|---|
| Project number: |
| First and last name of doctoral researcher: |
| (Working) title of doctoral project: |
| Name of supervisors: |

1. General information:

| |
|--|
| Duration of Research Training Group membership: <i>Example: 01 October 2005 to 30 November 2008</i> |
| Funding (type and duration): ⁵ <i>Example: RTG fellowship (1 October 2005 to 30 September 2008); research assistant at the Institute for Nuclear Physics (1 October to 30 November 2008)</i> |
| Start of doctoral training ⁶ and (anticipated) date of doctoral degree ⁷ : |
| Commencement of studies; subject; university and date of degree (diploma, MA, etc.): |
| Where applicable, please note any circumstances which could have affected your scientific work ⁸ : |
| Occupation after leaving the RTG, if applicable: |

2. Description of doctoral project and research results achieved to date:

The initial hypothesis and aims of the project, the current project status, a description of results achieved to date and, if applicable, information on the anticipated work schedule, networking with other RTG projects. For **IRTGs**: integration of stays abroad into individual research work; optional: references on the state of the art.⁹

3. Comments on the qualification programme and supervision strategy:

To what extent were the courses helpful to you and your work? Was their scope appropriate? How were you involved in the design or organisation of the programme? What could still be improved/expanded upon? How was the supervision structured? For **IRTGs**: How would you rate your stays at the foreign partner university; what skills did you acquire there? Any other comments?

| |
|---|
| Participation in the following Research Training Group events: |
| Research stays or internships at other research institutions both at home and abroad. For IRTGs : stays at the partner university: |
| Participation in conferences, congresses, etc., at home and abroad: |

4. Individual publications¹⁰:

⁵ If applicable: If the standard DFG funding period of 36 months has been extended through a decision by the Research Training Group, please describe the circumstances that led to this under 2 and/or 3.

⁶ Please provide the date on which you believe that the doctoral research began. This date may differ from the date of entry into the Research Training Group or from the date on which the researcher began receiving financial support from the RTG.

⁷ If the individual concerned has discontinued work on his/her thesis or has left the RTG, please note these circumstances and the reasons here.

⁸ See footnote 11 on the following page.

⁹ See footnote 12 on the following page.

¹⁰ See footnote 13 on the following page.

Appendix 4b: Template for Individual Reports by Postdoctoral Researchers

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|---|
| Project number: |
| First and last name of postdoctoral researcher: |
| (Working) title of doctoral project: |

1. General information:

| |
|--|
| Duration of Research Training Group membership: <i>Example: 01 May 2005 to 30 November 2007</i> |
| Funding (type and duration): <i>Example: research assistant at the Institute for Nuclear Physics, funded by the Volkswagen Foundation (1 May 2005 to 31 December 2005); Postdoctoral position in the RTG (1 January 2006 to 30 November 2007)</i> |
| Subject; institution; start date of doctoral programme; degree date: |
| Commencement of studies; subject; university and date of degree (diploma, MA, etc.): |
| Any circumstances which may have affected your scientific work: ¹¹ |
| Occupation after leaving the RTG, if applicable: |

2. Description of individual research project and research results achieved to date:
Initial hypothesis and aims of the project, current project status, description of results achieved to date, where applicable information on the anticipated work schedule, networking with other projects; optional: references on the state of the art.¹²
3. Description of individual RTG-specific tasks
E.g. in the qualification programme and supervision strategy
4. Statement on career development measures
E.g. qualification measures offered by the RTG or the university; integration in university personnel development strategies, etc.

| |
|---|
| Participation in or organisation of RTG-related events: |
| Research stays at other research institutions at home and abroad, for IRTGs also research stays at the partner university: |
| Participation in conferences, congresses, etc., at home and abroad: |

5. Individual publications:¹³

¹¹ To ensure that scientific achievements are appropriately assessed, we recommend that you note any circumstances which may have affected your scientific work. Inform the reviewers about any periods of childcare, long-term illnesses or disabilities.

¹² The presentation of the project should be able to stand on its own and be understandable, coherent and assessable without the need to read additional documents. For a more comprehensive presentation of the current state of the art, additional papers (by the participating researchers and/or others) may be cited here. To the extent that these documents are non-published works by the participating researchers, they must be submitted on CD together with the report. However, the review will be based only on the report itself; it is up to the reviewers' discretion whether they read any additional documents.

¹³ The format of the list of publications should follow the rules for biographical sketches of participating researchers according to the "Proposal Preparation Instructions: Research Training Groups and International Research Training Groups (Renewal Proposals)" (DFG form 54.07).

