

# Guidelines

## Research Units



# I Programme Information

## 1 Objective

Funding for a Research Unit enables outstanding researchers to collaborate closely on specific medium-term projects whose anticipated findings could not be achieved within the scope of Individual Grants Programmes. A Research Unit typically has fewer than ten projects which are coordinated to enable work on a common research topic. The majority of the research projects should be university based.

## 2 Proposals

### 2.1 Eligibility

A proposal for a Research Unit is prepared jointly by several researchers and submitted by the spokesperson. Researchers must work at a university or non-university research institution in Germany or at a German research institution abroad and have completed their academic training (usually with a doctorate). Projects should aim to achieve an appropriate level of participation of female researchers corresponding to their general representation in the relevant subject area.

Researchers from outside the German research system may be involved if their project is of added value to the Research Unit at large. This must be explained in the draft and full proposal.

Researchers who 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, are not eligible to apply.

### 2.2 Format and deadline

Applicants must first submit a draft proposal to the DFG Head Office, which is then forwarded to reviewers. If successful, the DFG will invite the applicants to submit a full proposal. Draft proposals and full proposals may be submitted at any time. For more detailed information on preparing your proposal, please consult the instructions for proposals to establish or renew Research Units.

[www.dfg.de/formulare/54\\_03/](http://www.dfg.de/formulare/54_03/)

Proposals for the individual projects within the Research Unit should be submitted according to the instructions for project proposals.

[www.dfg.de/formulare/54\\_01/](http://www.dfg.de/formulare/54_01/)

### **3 Duration**

For draft proposals and full proposals submitted prior to 1 October 2018, and for full proposals based on draft proposals submitted prior to 1 October 2018, note the following: The total funding duration is generally six years, or eight years in exceptional cases. The first funding period is generally three years. Further funding requires the submission and approval of renewal proposals.

For draft proposals and full proposals based on draft proposals submitted as of 1 October 2018, note the following: The total funding duration is generally eight years. The first funding period is generally four years. Further funding requires the submission and approval of renewal proposals.

### **4 Participants**

The Research Unit consists of the heads of the individual projects. One of the project leaders assumes the role of spokesperson and agrees to coordinate the proposal. He or she represents the Research Unit toward the DFG and third parties and is required to submit reports to the DFG. The spokesperson should be a full-time university teacher at a higher education institution (university or university of applied sciences) in Germany.

Particular requirements apply to the Research Unit's spokesperson with regard to his/her scientific track record, experience in leading projects (including projects funded by third parties), and integration and leadership skills. These criteria will be considered during the review process.

The spokesperson is responsible for managing the central project funds, especially those for coordination.

## II Proposal Modules

To apply for funding in the Research Units programme, the project leader may submit the modules listed below. Please see the respective guidelines for additional information on the modules.

### 1 Basic Module

Use the basic module to request funding for direct project costs, project-specific staff, and instrumentation necessary to carry out the project.

[www.dfg.de/formulare/52\\_01/](http://www.dfg.de/formulare/52_01/)

### 2 Temporary Positions for Principal Investigators

If you would like to propose a position for yourself as the leader of this project, use this module to request funding for your temporary position as principal investigator.

[www.dfg.de/formulare/52\\_02/](http://www.dfg.de/formulare/52_02/)

### 3 Replacements

If your project requires that you be released from teaching or administrative duties, you can use this module to request funding for a replacement to take over these responsibilities.

[www.dfg.de/formulare/52\\_03/](http://www.dfg.de/formulare/52_03/)

**The following modules can be submitted by the project leaders for the individual projects in conjunction with the modules above, or by the spokesperson for the entire Research Unit within the coordination proposal:**

### 4 Professorships

To support the Research Unit, a professorship may be established at one of the participating institutions, with advance and/or partial funding by the DFG. Such funding must enable an early professorial appointment or the implementation of a structural improvement.

[www.dfg.de/formulare/52\\_10/](http://www.dfg.de/formulare/52_10/)

## 5 Temporary Substitutes for Clinicians

If this project requires that clinicians conduct research, you can use this module to request funding for temporary substitutes to take over their patient-care responsibilities.

[www.dfg.de/formulare/52\\_04/](http://www.dfg.de/formulare/52_04/)

## 6 Project-Specific Workshops

If you would like to conduct workshops for your projects or for the entire Research Unit, you may request funding to help you do so.

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

## 7 Mercator Fellows

This module enables you to pursue an intensive and long-term exchange with researchers in Germany and abroad. Fellows will partially be on site but will remain in contact with the Research Unit even after their stay.

[www.dfg.de/formulare/52\\_05/](http://www.dfg.de/formulare/52_05/)

## 8 Public Relations

To enable you to present your work to the general lay public, you can request funding for public relations.

[www.dfg.de/formulare/52\\_07/](http://www.dfg.de/formulare/52_07/)

**The following modules can only be submitted by the spokesperson on behalf of the entire Research Unit within the coordination proposal:**

## 9 Coordination

The spokesperson may apply for funds needed to coordinate the various projects within the network.

[www.dfg.de/formulare/52\\_12/](http://www.dfg.de/formulare/52_12/)

## 10 Network Funds

Use this module to request funds for the entire network.

[www.dfg.de/formulare/52\\_13/](http://www.dfg.de/formulare/52_13/)

## 11 Start-Up Funding

Through this module, research networks can receive funds to help promising early career researchers pursue independent projects.

[www.dfg.de/formulare/52\\_11/](http://www.dfg.de/formulare/52_11/)

## 12 Gender Equality Measures in Research Networks

This module enables research networks to implement targeted measures to promote gender equality in science and academia.

[www.dfg.de/formulare/52\\_14/](http://www.dfg.de/formulare/52_14/)

A total of €15,000 per year may be requested.

## III Special Provisions

### 1 Projects in Other Countries

Collaboration with researchers based outside Germany is possible within a Research Unit. To facilitate such collaboration, direct project funding requested through the basic module (travel expenses and funding for guests) and the Mercator fellow module may be used.

Inclusion of projects by researchers in Austria, Luxembourg and Switzerland is possible on the basis of special agreements. Such projects must generally be funded by the participating partner organisations.

Funding may be requested for projects based in other countries if these projects promise added value and satisfy the same high scientific standards as domestic projects.

### 2 Association of Emmy Noether Independent Junior Research Groups

Research Units may associate Emmy Noether Independent Junior Research Groups that investigate related topics. In this case, the Research Unit proposal and the Emmy Noether proposal should refer to one another. Decisions on both proposals will be made independently of each other. If both the Research Unit and the Emmy Noether group are established, the junior research group leader will participate in the Research Unit's

shared events. The association can also be established afterwards at the spokesperson's discretion.

### 3 Role of participating institutions

Funds must be allotted in such a way that core support - especially laboratory/office space, as well as set-up and running costs - is covered by the institution's own funding sources. For Research Units with a local focus, the value of the unit to the host university or institution should also be reflected in the scope and extent of the core support provided.

### 4 Transfer projects

Transfer projects are projects involving direct cooperation with industrial partners. Their objective is to bring basic research conducted at universities and industrial research closer together. The following conditions apply:

- There must be firm evidence of mutual benefit, rather than a one-way transfer of knowledge.
- Basic research must remain the prime focus of the university project. Therefore, the standard review criteria apply.
- The industrial partner must submit a funding proposal, which is also assessed by the review panel.

The industrial partner must bear the costs for its own contribution; the sharing of any profits arising from the research must be established in advance, and this agreement may not put the university at any disadvantage. The project findings must be published appropriately; it is possible to delay publication subject to prior agreement.

## IV Obligations

In submitting your draft or full proposal to the DFG, you agree to:

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

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

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:

- 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 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.

## **V Publication of Data on Grant Holders and Research Projects**

The data necessary for processing your 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.