

Progress Report Preparation Instructions

for Research Training Groups and International Research Training Groups (Renewal Proposals)



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A. General Guidelines

These instructions specify the form and the required content of the progress report that constitutes part of the renewal proposal for a Research Training Group (RTG) or an International Research Training Group (IRTG). In compiling the proposal, please follow the “Proposal Preparation Instructions for Research Training Groups and International Research Training Groups (Renewal Proposals)” (DFG form 54.07).

www.dfg.de/formulare/54_07

While the renewal proposal should explain the plans for the second funding period, the progress report should provide a concise summary of the activities and results from the first 4.5-year funding period. Please take into account that the reviewers have no access to the initial proposal. **Your renewal proposal and progress report should therefore be self-explanatory. Direct references to the first proposal should be avoided.**

Twelve copies of the renewal proposal and the progress report must be submitted to the DFG Head Office. One of these copies should be hole-punched but not stapled; the other copies should be hole-punched and stapled once. You should also save the report, together with the renewal proposal, onto CD-ROMs which should be included with the copies of the proposal (the proposal, appendices to the proposal and the report should be saved as three separate PDF files without password protection or any document reading, copying or printing restrictions).

One additional copy of the proposal and the report must be sent to the responsible state ministry for comment.

Please make your proposal informative and clear in order to provide the DFG reviewers with a good basis for a balanced and appropriate assessment. Please be sure to meet the following obligatory requirements:

- The report – not including cover page, table of contents and appendices – must not exceed 30 pages (for RTGs) or 40 pages (for **IRTGs**) in length (DIN A4, Arial 11pt or similar font, single-spaced, printed on both sides of the paper).

- 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 Research Training Group 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 in the appendix). Other than these elements, the appendix may not include any additional information.

Reports that exceed the allowable length will not be accepted.

- The report must address all the items specified in the template and include all section numbers and titles. Please avoid repetition and refer instead to the relevant report or proposal section(s).
- The report must be prefaced by a table of contents including page numbers.
- Complete all tables/charts provided and augment the report with additional tables and graphs where appropriate.
- The report for a Research Training Group may be written in German or English. Please note that the report for an **IRTG** should usually be written in English. Other languages should be used only after consulting with the DFG Head Office first.

B. Report Template

<Title>

<Applicant university/universities>

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

<Spokespersons for the first funding period>

First 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 the spokespersons and all researchers (for **IRTGs** from both partner institutions) who have participated since the start of the Research Training Group, giving their full names and titles (position and institute) as well as complete work addresses, telephone numbers, fax numbers, e-mail addresses, websites (if applicable), and relevant subject areas. This information should be presented in a table.

Please explain any changes in the group of participating researchers between the submission of the first proposal and submission of this renewal proposal.

Last name, first name, academic title	Chair/depart- ment, work ad- dress	Telephone number, fax number, e-mail address, website	Research area

1.3 Reporting period

Please list the funding period covered by the report.

1.4 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 doctoral and postdoctoral researchers participating with funding from other sources.

2. Integration of Reviewers' Comments

If you were given any instructions, advice or recommendations from the review of the first proposal, please comment on these. Describe whether and how these have been implemented during the first funding period. If you did not receive any specific comments, this section may be omitted.

3. Research Programme

Please summarise the research activities performed to date and the scientific findings achieved during the first funding period. Please describe how the central research idea was implemented during the first funding period and, if applicable, how it evolved. What thematic networking – 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 and student assistants should be included in appendix 3 in accordance with the templates provided (see the explanations in the appendices). IRTGs should also include the aforementioned information for the partner institution.

4. Qualification Programme

4.1 Qualification programme

Please describe the RTG's current qualification programme and its implementation. The description of the qualification programme must include the following information:

- a table of all RTG-specific courses – in the case of **IRTGs** those held at one of the locations or jointly – including type, duration, frequency, contents, target group, instructor, and whether participation is compulsory for RTG members in all locations;
- a chart listing any complementary courses from the universities' general programmes or other (external) programmes, if applicable;
- where applicable, list and describe any training in the rules of good scientific practice offered within the framework of the qualification programme;
- where applicable, a list of training courses held on key skills;
- where applicable, training courses held on research involving animal experiments;
- where applicable, training courses on the collection, storage, editing and long-term provision of research data;

- where applicable, a description of the special programme elements of any qualification phase preceding the doctoral phase for qualifying fellows;
- where applicable, the methods used to integrate student assistants into the qualification programme;
- a description of how the transition from the current generation of doctoral researchers to the next was handled.

4.2 Visiting researcher programme

Please explain the programme implemented and append an overview of the visiting researchers invited, together with a brief outline of their activities relating to the Research Training Group and the length of their stay.

4.3 Additional qualification measures and (for IRTGs) research visits to the partner institution

Please describe additional measures that were offered and employed to further the research and professional qualification of doctoral researchers, such as research visits to other universities and internships at cultural institutions or businesses.

For IRTGs: Please comment particularly on visits made by doctoral researchers to the relevant partner institution abroad. Describe how these visits were coordinated, the role they played in the research programme and how they were integrated into the doctoral phase.

5. Supervision and Career Advancement, Gender Equality, Organisation and Quality Management

5.1 Announcement and selection procedure

Please provide information on the methods used to recruit candidates for the Research Training Group. Describe the criteria used to select suitable candidates and the admission procedure. Describe the number and quality of the applications received and provide an assessment of these. If you also recruited for postdoctoral positions, please detail the announcement and selection processes for these positions accordingly. Please describe any joint selection committees and processes used in **IRTGs**.

5.2 Supervision and career advancement

Please describe the individual supervision model developed by the Research Training Group for the individual doctoral researchers. Your explanation should address the following issues:

- How were advisors for the individual doctoral researchers chosen?
- How was supervision designed and organised? Were the supervisory structures successful? Did joint or committee supervision take place?
- **For IRTGs:** How were both international partners involved in the supervision of doctoral researchers? Was a joint supervision strategy implemented and if so, what do you consider the added value of this concept? Did any problems occur on account of the joint supervision? How was adequate supervision ensured during researchers' visits to partner institutions abroad?
- How was the doctoral researchers' scientific independence supported? Did the Research Training Group help plan lecture trips and visits abroad? Were participants encouraged to publish? How were doctoral researchers introduced to and integrated into the national and international research network?
- Were regular progress checks arranged and, if so, how were they carried out? Were performance reports issued?
- Were any agreements (such as supervision agreements) made between the Research Training Group and the doctoral researchers which stipulated the rights and obligations on both sides? An example of the agreement used must be included in appendix 6.

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 of the doctoral researchers in question (appendix 2a).

If, during the first funding period, 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, for example by supporting the creation of their own independent proposals. Please also explain how their careers have developed since.

In the appendices, please provide detailed descriptions of how many persons received funding, the duration of the funding period and the form (position, fellowship and/or direct project costs) in which the funding was provided (see table 1f).

If the Research Training Group was provided with resources to fund postdoctoral posts, 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 of postdoctoral researchers (appendix 2b).

5.3 Gender equality in research

Please describe the measures already adopted by the university and/or other participating institutions to promote gender equality in science and academia, to promote the career advancement of women and work-life balance. Explain how the Research Training Group has benefited from existing structures and programmes and what additional measures have been adopted by the Research Training Group.

5.4 Organisation

Please describe the organisational structure of the Research Training Group as it developed during the first funding period and the specific modalities of management. Please describe, for example, the decision-making processes which were established, how and by whom the qualification and visiting researcher programmes were organised, and what opportunities doctoral researchers were given to help shape the RTG.

For IRTGs: Please detail how cooperation between the partners was organised. You should also describe the rules according to which doctoral degrees were granted, which institution awarded them, or whether joint doctoral degrees were awarded.

5.5 Additional aspects of quality management

Additional quality management aspects include, for example, the collection and usage of data within the Research Training Group, the criteria used to evaluate the success of the results to date, targeted measures and, where appropriate, any changes that have been made in order to optimise the joint research and qualification programmes. Please comment on these points.

6. Environment of the Research Training Group

Please describe the scientific and structural environment of the Research Training Group – in the case of **IRTGs** at all partner locations – taking into account the following aspects:

- the RTG's integration to date into the German university's research environment and infrastructure, e.g. in Germany networking and cooperation with other coordinated funding programmes, such as Collaborative Research Centres and Research Units, Clusters of Excellence and federal, state and EU programmes;
- networking and cooperation with non-university research institutes;
- the positioning of the Research Training Group compared to other local programmes for early career researchers and structured doctoral training programmes, for Germany particularly in relation to graduate schools funded under the Excellence Initiative or any cooperation between these programmes and the RTG;

- how the RTG fits into the existing academic structure, in particular with regard to current exam regulations. If the Research Training Group plans to implement an additional qualification phase for fellows with a BA degree or a degree from a university of applied sciences on the German side, please provide more information on this scheme;
- the structural and scientific impact of the Research Training Group on academic structures, doctoral degree regulations, the creation of core research focus areas, etc. For **IRTGs**, this item refers to the German university.

Research Training Groups are university training programmes established for a specific time period. The German university is expected to provide core support, including appropriate office and laboratory space and equipment. Additionally, the German university is called upon to provide active support for the Research Training Group, for instance by

- furnishing additional direct project funding and coordination funds,
- funding short-term extension grants for completion of theses in instances where the maximum funding period has been exceeded and/or after the Research Training Group has finished,
- providing childcare opportunities,
- supporting doctoral researchers from abroad,
- considering the involvement of professors in the Research Training Group when assigning teaching loads and awarding performance-related funds.

Please provide a description of all such supportive activities provided by the German university.

7. Summary and Outlook

Finally, please provide an interim report of the first funding period. Please summarise your experiences during the first funding period and how you have used or will use these to further the development of the Research Training Group. If you have any comments or suggestions regarding how to enhance the Research Training Group funding programme, we invite you to share them with us.

For IRTGs: For an International Research Training Group, it is particularly relevant to discuss the collaborations of the partner institutions and of all participating researchers. Therefore, please summarise the measures and results of the collaboration with regard to the partner location. In doing so, you may include references to previous sections.

In particular, please detail the following:

- the extent to which the planned mutual research stays were implemented successfully, including any difficulties encountered and the strategies used to solve these difficulties;
- the extent to which the doctoral researchers and the participating researchers from the partner institution took part in the qualification programme and had an active role in shaping it;
- the additional scientific/academic and structural aspects that document the success of the international collaboration (for example, from the joint publications of the doctoral researchers listed in appendix 5 to this report and/or the joint publications of the participating researchers of both locations listed in the renewal proposal, holding joint conferences or offering joint degree programmes, initiating additional collaboration at the partner location outside of the Research Training Group where applicable, etc.);
- the solution found for the necessary complementary funding.

8. 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 (table 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 3a).

- **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 first 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:**

Individual reports by all doctoral and postdoctoral researchers, independent of their funding arrangements, who participated in the Research Training Group during the first 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 3.

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 3a), but can also be limited to the relevant information.

- **Appendix 4:**

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 4). 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 4, templates 4c and 4d). This information should also be presented in a table.

- **Appendix 5:**

A separate, complete list of all publications by doctoral and (where applicable) postdoctoral researchers (appendix 5.1) that have resulted within the framework of the Research Training Group. 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 for Research Training Groups and International Research Training Groups (Renewal Proposals)"; however, the maximum of 10 publications per person does not apply here.
- A list of the 10 most important publications of the Research Training Group as a whole may also be given (appendix 5.2). 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 in the first funding phase.
- **Appendix 6:**
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 7:**
If replacement costs for one or more research sabbaticals for participating professors were financed by the Research Training Group during the first funding period, a report on the project and its results must be included here.
- **Appendix 8:**
If knowledge transfer projects were funded during the first 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 ¹	Member of RTG (from / to)	Date of doctoral degree	Grade	Occupation(s) following doctorate	Cf. individual report on page

¹ 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 (from Germany, funded by other sources)

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

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 ³	Member of RTG (from / to)	Date of doctoral degree	Grade	Occupation(s) following doctorate	Cf. individual report on page

² See footnote 1 on the previous page.

³ See footnote 1 on the previous page.

Template 1f: RTG researchers who received start-up funding after their doctorates

Name	Aim of funding (e.g. individual project proposal on topic XY)	Date of doctorate	Funding period	Type of funding (position/ fellowship, direct project costs, etc.)	Occupation(s) after start-up funding	Cf. individual report on page

Template 1g: Qualifying fellows

Name	Supervisors	Academic qualification (type of qualification, subject, date and university)	Member of RTG (from / to)	Date of admission to doctoral programme	Occupation(s) after completion of qualifying phase	Cf. individual report on page

Template 1h: Student assistants (support staff)

Name	Supervisors	Course/field of study	Member of RTG (from / to)

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 3: Template for Individual Reports

Appendix 3a: 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): ⁴ <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 ⁵ and (anticipated) date of doctoral degree ⁶ :
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 ⁷ :
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.⁸

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 publications⁹:

⁴ 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.

⁵ 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.

⁶ If the individual concerned has discontinued work on his/her thesis or has left the RTG, please note these circumstances and the reasons here.

⁷ See footnote 10 on the following page.

⁸ See footnote 11 on the following page.

⁹ See footnote 12 on the following page.

Appendix 3b: Template for Individual Reports by Postdoctoral Researchers

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: ¹⁰
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.¹¹
3. Description of individual RTG-specific tasks
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:¹²

¹⁰To 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.

¹¹The 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 proposal. On the day of the on-site review, additional publications and manuscripts may be made available to the peer review panel. However, the review will be based only on the proposal itself; it is up to the reviewers' discretion whether they read any additional documents.

¹²The format of the list of publications should follow the rules for biographical sketches of participating researchers according to the "Proposal Preparation Instructions for Research Training Groups and International Research Training Groups (Renewal Proposals)" (DFG form 54.07); however, the maximum of ten publications per person does not apply here.

