

JOINT GUIDELINES FOR IMPLEMENTATION
OF THE
MEMORANDUM OF UNDERSTANDING
BETWEEN
THE DEUTSCHE FORSCHUNGSGEMEINSCHAFT (DFG)
AND
THE RUSSIAN FOUNDATION FOR BASIC RESEARCH (RFBR)

In accordance with Article V of the MoU the following Joint Guidelines are agreed upon between DFG and RFBR to provide methods of implementation of the programme referred to in the MoU. For the researchers in Russia, the regulations and procedures of RFBR are applicable. For the researchers in Germany, the regulations and procedures of DFG are applicable.

I. Forms of Cooperation

I.1. Joint Research Projects

The duration of a Joint Research Project is normally up to three years. However, extension may be granted, if deemed appropriate. Joint research projects are carried out, in principle, by two research teams, one of each side.

I.2. Bilateral workshops, trips abroad and guest visits

Small scale meetings for a period of up to one week like seminars, workshops and symposiums can be funded within the framework of joint research projects according to the respective DFG and RFBR guidelines. They can be held in either Germany or Russia with participation of up to ten scientists from each side including one organizer.

I. 3. German-Russian International Graduate Colleges (Internationale Graduiertenkollegs – IGK)

DFG has established the programme of IGKs in order to promote doctoral researchers. RFBR has decided to collaborate with the programme of IGKs in order to promote fundamental research carried out by different categories of young scientists. The German-Russian IGKs are aimed to encourage bilateral scientific collaboration between German and Russian universities and research institutes involving graduate and postgraduate (doctoral) researchers. They offer doctoral researchers an extended (approximately six to twelve months) period of research work at the respective foreign partner's site and also a joint

supervision of their theses. Each IGK has its own research programme designed and implemented jointly by its participants from the respective German and Russian university or research institute. The doctoral researchers work under the supervision of the principal investigators (PIs) in small teams on research projects coordinated within the research programme of the IGK. Criteria for approving of a new IGK include scientific excellence of the individual research sites as well as mutual benefit from complementary expertise.

I. 4. German-Russian Collaborative Research Centres (CRC) (Sonderforschungsbereiche – SFB)

DFG has developed the Programme on German-Russian Collaborative Research Centers (CRC) in order to promote the establishment of platforms for scientists from both countries to conduct jointly long-term and interdisciplinary research at an internationally competitive level. CRCs are research institutions that enable researchers to pursue an outstanding research programme, crossing the boundaries of disciplines and research institutes and may also collaborate with industry and business. They facilitate scientifically ambitious, complex, long-term research by concentrating and coordinating the resources available at the research institutions. Groups of researchers from research institutions of both countries can combine their expertise, agree on a common research topic, identify common research goals and submit joint proposals to both funding agencies.

II. Funding of collaborative activities

II. 1. Joint research projects

Subject to the availability of appropriate funds, each side shall support mobility of its own country's research team by covering its travel fares and living costs, while the receiving side shall provide the visitors with the necessary resources to carry out their joint projects and cover their research costs. In general, the Russian and German researchers' activities will be supported according to the relevant RFBR and DFG rules respectively. When appropriate, other financial arrangements can be agreed on. It is expected that, in addition to above funding to cover the costs of visiting the counterpart's country, participating scientists will obtain research funds in their own country.

II. 2. Bilateral workshops, trips abroad and guest visits

As described in paragraph II.1. the sending side shall support the travel fares and living costs of the participants from its own country, while the receiving side shall support the costs related to the meeting. When appropriate, other financial arrangements can be agreed upon.

II. 3. German-Russian International Graduate Colleges (internationale Graduiertenkollegs – IGK)

Subject of funding are research projects coordinated within the research programme of the IGKs. IGKs are funded for a period of up to nine years. The DFG grants a maximum of two funding periods of 4.5 years each. RFBR offers alternating funding periods of 3 years and after new applications of another 2 years plus 3 years plus 1 year. Both sides fund the projects according to their financial possibilities and rules.

Both sides provide funding for the (post)doctoral researchers, including consumables, small equipment and mobility funds for visits at the respective partner site. In addition, DFG allocates within the IGK programme funds for mobility, joint seminars, workshops and symposia. The Russian participants of the IGK are encouraged to submit proposals for additional travel grants, joint seminars, workshops and symposia within the RFBR special programme to promote mobility and research activities of young scientists. Generally, the sending side will assume the international and domestic travel fares and living costs of the doctoral students and the senior researchers participating in the scientific exchange, while the receiving side shall support the research costs, as described in paragraph II.1. When appropriate, other financial arrangements can be agreed upon.

II. 4. German-Russian Collaborative Research Centres (CRC) (Sonderforschungsbereiche – SFB)

Subject of funding are research projects coordinated within the approved CRC research programme. Both DFG and RFBR grant a maximum of three funding periods of 4 years each. CRCs consist of a number of individual research projects. DFG funds the projects in Germany, RFBR funds the projects in Russia, and both sides fund their parts of bilateral projects, according to their financial possibilities and rules.

III. Applications

III. 1. Joint research projects

Counterpart scientists from the two countries should consult with each other in advance and submit their joint proposal harmonized and simultaneously to their respective institution at any time. Proposals should comply with the formal requirements set forth by DFG and RFBR. The respective proposal guidelines are published on the websites of both DFG and RFBR. Applications from the German cooperation partners have to follow the DFG-guidelines. The proposals should contain:

- ✦ a detailed description of the objectives, methods and cost of research projects / seminars;
- ✦ a detailed implementation schedule of seminar topics;
- ✦ biographical data and the qualification of the participating scientists.

III. 2. Bilateral workshops, trips abroad and guest visits

As described in paragraph III.1. counterpart scientists from the two countries should consult with each other in advance and submit their joint proposal harmonized and simultaneously to

their respective institution at any time. Proposals should comply with the formal requirements set forth by DFG and RFBR. Applications from German cooperation partners for “bilateral workshops”, “trips abroad” and “guest visits” of up to 3 months have to follow the respective DFG-guidelines.

III. 3. German-Russian International Graduate Colleges (Internationale Graduiertenkollegs – IGK)

Applications from the German cooperation partners have to follow the respective DFG-guidelines. For establishment proposals for IGKs the application procedure includes the following steps:

- a joint preliminary proposal (in English, according to DFG guidelines), submitted to DFG by the German and Russian coordinators,
- a joint full proposal (in English, according to DFG guidelines), submitted to DFG and RFBR by the German and Russian coordinators,
- individual proposals (in Russian, according to RFBR guidelines) for the joint research projects, submitted to RFBR by the Russian PIs.

For renewal proposals for IGKs the application procedure includes the following steps:

- individual proposals (in Russian, according to RFBR guidelines) for the joint research projects, submitted to RFBR by the Russian PIs, for renewal after the first 3 years (for another 2 years) of funding,
- a joint renewal proposal (in English, according to DFG guidelines), submitted to DFG and RFBR by the German and Russian coordinators, for renewal after the first 4.5 years of funding.
- individual proposals (in Russian, according to RFBR guidelines) for the joint research projects, submitted to RFBR by the Russian PIs, for renewal after 5 years (for another 3 years) and after 8 years (for the last year) of funding.

III. 4. German-Russian Collaborative Research Centres (CRC) (Sonderforschungsbereiche – SFB)

The selection procedure comprises two steps, an assessment of a preliminary proposal and a full proposal evaluation.

1. Proposal submission under the respective CRC-Programme generally requires a prior consultation phase on the basis of a preliminary proposal. The consultation process involving respective German and Russian institutions provides the basis for a first selection step. A joint preliminary proposal (in English) has to be submitted to DFG and RFBR.
2. If the first selection procedure is successful a joint full proposal (in English) has to be submitted to DFG and RFBR by the applying university on the German side and the Russian coordinators of the proposed CRC project.

If the first selection procedure is successful additional individual proposals (in Russian, according to RFBR guidelines) for the first 4-year period of the joint research projects with Russian participation within the respective CRC have to be submitted to RFBR by the Russian PIs.

The application procedure for the proposals for the CRC research projects upon finishing their first or second 4-year term is as follows:

- * a joint renewal proposal (in English) is to be submitted to DFG and RFBR by the German and Russian applicants during the last year of a continuing funding period
- * additional individual proposals (in Russian) for the joint research projects, have to be submitted to RFBR by the Russian PIs, for renewal during the last year of a continuing funding period.

IV. Proposal Selection

IV. 1. Joint research projects

Based on peer reviews by DFG and RFBR using their normal procedures, the two sides will consult with each other and give their final coordinated approval on pending proposals.

IV. 2. Bilateral workshops, trips abroad and guest visits

Based on peer reviews by DFG and RFBR using their normal procedures, the two sides will consult with each other and give their final coordinated approval on pending proposals.

IV. 3. German-Russian International Graduate Colleges (Internationale Graduiertenkollegs – IGK)

The review process for IGK proposals includes the following steps:

- * The preliminary proposals for establishment of an IGK are subject to review and evaluation by DFG. In case of a positive evaluation, the applicants are invited to submit a full proposal.
- * DFG and RFBR will carry out a joint evaluation of the joint establishment proposals and of the joint renewal proposals for renewal after the first 4.5 years of funding. RFBR experts join their DFG counterparts for an on-site evaluation. DFG will reimburse the travel costs of the Russian reviewers for participation in on-site-evaluations in Germany.
- * On the basis of the on-site evaluation the DFG Grants Committee on International Graduate Colleges (IGK) decides on the funding of the German side of the IGK.
- * In case of approval by the DFG, the Russian PIs of the IGK are invited to submit their individual proposals for their joint research projects for registration and review according to RFBR requirements. On the basis of the on-site evaluation, the RFBR-Board decides on the funding of the Russian side of the IGK. RFBR will implement a mechanism to ensure that the interdependency between the individual proposals will be adequately represented in the evaluation process.

IV. 4. German-Russian Collaborative Research Centres (CRC) (Sonderforschungsbereiche – SFB)

The review process for the CRC proposals includes the following steps:

- RFBR and DFG shall consult each other and the coordinators on the issues such as eligibility for funding, the suitable form of cooperation, and the further processing of the initiative. The preliminary proposals for establishment of a CRC are subject to review and evaluation by DFG and RFBR.
- If RFBR and DFG agree to proceed, they will organize a joint consultation in Germany or Russia, including scientific experts nominated by RFBR and DFG for the presentation and discussion of the scientific merit of the preliminary proposal and its suitability for a CRC. The result of this consultation, based on the advice given by the scientific experts, will be summarized in minutes jointly agreed upon by RFBR and DFG.
- If RFBR and DFG agree to proceed, the coordinators' host university/institute may submit a joint full proposal to DFG and RFBR, based on the latter's respective regulations and procedures. In particular, the full proposal shall contain detailed information on the joint research plan, the institutional background, the individual contributions of the participating scientists, the level and procedures suggested for the Russian-German cooperation, and the level of support requested. In addition, individual proposals for the joint research projects asking for funding from RFBR have to be submitted to RFBR by the Russian PIs.
- The full proposal shall be evaluated in the framework of an on-site visit organized by DFG at either the principal Russian or the principal German location. RFBR and DFG will jointly nominate a review panel. The advice given by the review panel shall be summarized in minutes jointly agreed upon by RFBR and DFG.
- Both RFBR and DFG take funding decisions regarding establishment of a CRC, and funding of the individual research projects in the framework of an established CRC through their responsible decision-making bodies. The joint Russian-German CRC can be established if RFBR and DFG take a positive joint decision.
- During the last year of a current funding period, the applicants are invited to submit a renewal proposal for the next funding period. For renewal, a preliminary proposal will not be required. The evaluation and the decision on another funding period follow the procedure of the initial review and decision making process.
- For the nomination of the scientific experts participating in the joint consultation and the review panel for the evaluation of the full proposal, the guidelines of the RFBR and the DFG for conflict of interest are applicable. RFBR experts join their DFG counterparts for the consultations and the on-site evaluations.

V. Assistance

Whenever necessary, DFG and RFBR shall offer their assistance in identifying research partners and in establishing contacts.

A sufficient international health insurance is subject to the care of the participating scientists.

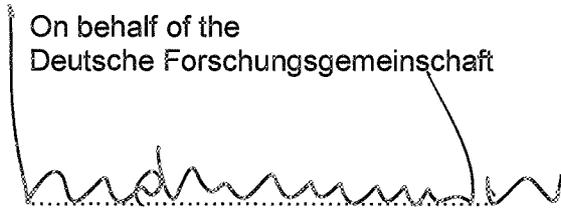
VI. Others

Communication with regard to the implementation of the programme will be carried out between the DFG Department of International Scientific Relations and the RFBR International Relations Department.

These Guidelines shall come into force when signed by the representatives of the two sides and may be modified by mutual agreement.

Bonn, 6. 8. 2014

On behalf of the
Deutsche Forschungsgemeinschaft



Prof. Dr. Peter Strohschneider
President of DFG

Moscow, 21. 08. 2014

On behalf of the
Russian Foundation for Basic Research



Academician Vladislav Y. Panchenko
RFBR Board Chairman