

Proposal Preparation Instructions

COVID-19 Focus Funding for Projects Under the Research Grants Programme



These guidelines apply to project proposals for COVID-19 Focus Funding under the Research Grants programme.

A proposal consists of the following three parts:

- A - Proposal Data and Obligations
- B - Project Description
- C - Appendices (For each applicant, please include an academic curriculum vitae with a list of up to ten of his/her most important publications.)

To complete an electronic proposal form, and to transmit your proposal data and related documents securely, please use elan, our electronic proposal processing system

www.elan.dfg.de

Proposals to the programmes mentioned above can only be submitted via elan.

Proposals may be submitted either in German or in English.

A Proposal Data and Obligations

Here you are asked to enter information on the project and participating individuals and accept the required formal obligations. ORCID IDs may be provided for the participating researchers.

Please enter this information via the DFG's electronic proposal form provided in elan:

www.elan.dfg.de

B Project Description

For the description of your project, please use the appropriate template in German or English provided in elan. **Please note that the project description must not exceed 5 pages..** As of section 5, an additional 10 pages are available.

The template formatting must be retained. In particular, the font should not be smaller than Arial 11 point, with line spacing no less than 1.2. For the sections *Project-Related Publications* and *Bibliography*, the font should not be smaller than Arial 9 point.

Deutsche Forschungsgemeinschaft

Kennedyallee 40 · 53175 Bonn · postal address: 53170 Bonn
phone: + 49 228 885-1 · fax: + 49 228 885-2777 · postmaster@dfg.de · www.dfg.de



Template instructions:

1 Starting point

1.1 State of the art and preliminary work

For this Focus Funding measure, you are not required to describe the current state of research or preliminary work as is normally required for research grant proposals.

1.2 Project-related publications

Please list your most significant publications that relate directly to the proposed project. This list serves as an important basis for assessing your proposal.

Please note the “Guidelines for Publication Lists”.

www.dfg.de/formulare/1_91

The DFG may reject any proposals not in compliance with the rules on publication lists.

If you have not published in the proposed project area, please list only the up to ten most important publications that are part of your curriculum vitae (see C. Appendices).

2 Objectives and work programme

2.1 Anticipated total duration of the project (max. 12 months)

Please state the project's intended duration and how long DFG funds will be necessary.

2.2 Objectives

Please give a concise description of your project's research programme and scientific objectives.

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

2.3 Work programme including proposed research methods

For each applicant

Please give an account of the steps planned during the proposed funding period. (For experimental projects, a schedule detailing all planned experiments should be provided.) Explain briefly what funds you are requesting for which purpose.

Please provide a detailed description of the methods that you plan to use in the project: What methods are already available? What methods need to be developed? What assistance is needed from outside your own group/institute?

Please list all **cited** publications pertaining to the description of your research objectives and work programme in your bibliography under section 3.

3 Bibliography concerning the research objectives, and the work programme

In this bibliography, list **only** the works you **cite** in your presentation of the research objectives and the work programme. This bibliography is not the list of publications. Non-published works must be included with the proposal.

4 Relevance of sex, gender and/or diversity

Where applicable, please describe briefly whether and to what extent the sex and/or gender

- of researchers
- of persons under study
- of individuals affected by the implementation of research results
- of animals under study
- with regard to samples taken from humans or animals
- in other respects

is relevant to the research project (methods, work programme, objectives, etc.).

Where applicable, please also describe briefly whether and to what extent diversity in terms of, for example, the state of health, ethnic background or culture of

- researchers
- persons under study
- individuals affected by the implementation of research results
- or diversity in other respects

may be significant for the research project (methods, work programme, objectives, etc.). Please explain to what extent these or similar considerations may also be relevant to animals under study or samples taken from humans or animals.

Additional information is available at

www.dfg.de/diversity_dimensions

5 Supplementary information on the research context

In the section that follows, please comment on the key aspects of the research, using no more than 10 pages. Provide a concise but sufficiently detailed explanation of the aspects listed according to their relevance to your proposed project. Quality assurance elements, such as preregistrations for studies, are important to the assessment of the project and must be explained in sufficient detail.

If any of the topics mentioned are of central importance to the research question of your proposed project, list the relevant topics in context in sections 1 and 2 and include appropriate references in the sections accordingly.

5.1 Ethical and/or legal aspects of the project

5.1.1 General ethical aspects

Taking into account the discipline-specific standards and ethical regulations relevant to your project, indicate whether you anticipate any risks and/or harm to individuals or groups and/or the potential for other negative effects that might be posed by your research. If so, how do you intend to address these issues within the project?

In general, applicants should examine whether their projects require a statement by an ethics committee.

5.1.2 Descriptions of proposed investigations involving experiments on humans or human materials

Please describe the ethical and legal aspects of your project:

- treatment or experiment
- criteria for selecting test persons
- description of potential risks and precautions taken

- method of informed consent.

Note that in addition to accepting the formal obligations in part A, an ethics committee vote must be included as well. The use of human material obtained for diagnostic purposes also requires a statement by the chair of the local ethics committee. To enable a more rapid funding decision, ethics statements may be submitted at a later date. Please contact the DFG Head Office should this be necessary.

5.1.3 Descriptions of proposed investigations involving experiments on animals

Note that in addition to accepting the formal obligations in part A with regard to compliance with the regulations and provisions of the German Animal Welfare Act and the German Experimental Animals Ordinance, the planned animal experiments must be described. Please explain how the principle of the 3Rs (replacement, reduction and refinement) will be implemented with regard to various aspects of scientific validity. If you have addressed these topics in previous sections, reference them here.

Additional information and guidelines are available in the publication *Animal Experimentation in Research: The 3Rs Principle and the Validity of Scientific Research*¹.

5.1.4 Descriptions of projects involving genetic resources (or associated traditional knowledge) from a foreign country

For research conducted abroad involving biological materials (or associated traditional knowledge) or research on biological objects originating from outside Germany, note that such projects may be subject to the regulatory requirements of the Nagoya Protocol under the Convention on Biological Diversity and the access and benefit-sharing (ABS) portions contained therein. Guidance on conducting such projects can be found, for example, in the publication *Proposals for Research and/or Development Projects Involving Access to Genetic Resources and/or Traditional Knowledge Associated with Genetic Resources*, published by the DFG Permanent Senate Commission on Fundamental Issues of Biological Diversity.

www.dfg.de/en/dfg_profile/statutory_bodies/senate/biological_diversity

¹ https://www.dfg.de/download/pdf/dfg_im_profil/geschaeftsstelle/publikationen/handreichung_sk_tierver-suche_en.pdf

Please comment on the ABS requirements that affect your project and indicate any steps you have taken or plan to take to fulfil these requirements. Discuss the role of your project's cooperation partner with regard to the provider country (the country providing access to the material/traditional knowledge). Explain what materials may be transported to Germany. Note that in addition to access and benefit-sharing agreements with the provider country, a declaration of due diligence may also be required in line with the German law "Gesetz zur Umsetzung der Verpflichtungen nach dem Nagoya-Protokoll und zur Durchführung der Verordnung (EU) No 511/2014 sowie zur Änderung des Patentgesetzes".

5.1.5 Descriptions of investigations involving dual use research of concern, foreign trade regulations

Please examine whether your proposed project involves an immediate risk of yielding knowledge, products or technology that could intentionally be misused (also by third parties) to cause substantial harm. If such a risk exists, please describe the benefits of pursuing this work weighed against the risks of potential misuse and what measures are planned to minimise these risks. Refer to the guidelines contained in the publication *Scientific Freedom and Scientific Responsibility – Recommendations on Handling Security-Relevant Research*, published by the DFG and the German National Academy of Sciences Leopoldina, 28 May 2014. If your university or research institution has a research ethics committee, consult with them and attach a statement by the committee with your proposal. If this is not possible before the submission deadline, please contact the DFG Head Office.

Projects must comply with foreign trade regulations (especially the War Weapons Control Act [Kriegswaffenkontrollgesetz], EC Regulation No. 428/2009 [EC Dual Use Regulation], the Foreign Trade and Payments Act [Außenwirtschaftsgesetz], the Foreign Trade and Payments Ordinance [Außenwirtschaftsverordnung] or embargo regulations) relating to the non-proliferation strategy and the handling of potentially critical goods, including technologies, software and sensitive knowledge transfer; applicants are advised to examine their projects accordingly. Information for researchers is available on

the website of the German Federal Office for Economic Affairs and Export Control (BAFA)².

If you require further clarification, please contact BAFA directly. For projects subject to licensing, please note that licences must be obtained from the responsible authority prior to beginning research on the project.

5.2 Data handling

Improving the management and 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 archiving and curation of research data, the DFG funds projects that seek to achieve an efficient reuse of research data. Please refer to the recommendations and guidelines of the Global Research Data Alliance community on sharing data relevant to COVID-19 (<https://www.rd-alliance.org/global-research-data-alliance-community-response-global-covid-19-pandemic>).

If research data or information will be systematically produced in the project, explain the nature, scope and documentation of the data and how they will be stored. In addition, discuss the possibility of subsequent reuse by other researchers. Please regard existing standards and data repositories or archives in your discipline where appropriate.

Additional information and best practice examples can be found at

www.dfg.de/proposal_process/research_data

Project costs associated with making research data available for future reuse can be requested with your project. In this case, describe how the institutions participating in the project will contribute to data and information management.

If the reuse of the research data being generated is closely linked to research objects (such as tissues, cell lines, installations, materials, artefacts, or similar), also address the proposed storage of such objects.

² https://www.bafa.de/EN/Foreign_Trade/Export_Control/Export_Control_and_Academia/export_control_academia_node.html

5.3 Other information

Please use this section for any additional information you feel is relevant which has not been provided elsewhere.

6 People/collaborations/funding

6.1 Employment status information

For each applicant, state the last name, first name, and employment status (including duration of contract and funding body, if on a fixed-term contract).

6.2 First-time proposal data

Only if applicable: Last name, first name of first-time applicant.

If this is your first proposal, reviewers will consider this fact when assessing your proposal. Previous proposals for publication grants and scientific networks are not considered first proposals, nor are proposals to the Walter Benjamin Programme or Research Fellowship Programme. If you are submitting a “first-time proposal” and it is part of a joint proposal, please note that your independent project share must be distinct from that of the others.

If you have already submitted a proposal as an applicant for an individual research grant and have received a letter informing you of the funding decision, or if you have led a project in a Collaborative Research Centre or Research Unit, you are no longer eligible to submit a “first proposal”.

6.3 Composition of the project group

List only those individuals who will work on the project but will not be paid out of the project funds. State each person’s name, academic title, employment status, and type of funding.

Please list separately the individuals paid by your institution and those paid using other third-party funding (including fellowships).

Please give appropriate consideration to diversity when composing the members of the project group (regardless of the individual funding sources). Additional information can be found under

www.dfg.de/diversity/en

6.4 Researchers in Germany with whom you have agreed to cooperate on this project

If you will be pursuing your project jointly with researchers working in Germany and have shared responsibility for the conduct of the project, list the names of these individuals under co-applicants. The term co-applicant refers to individuals who are eligible to submit proposals but who neither request nor receive project funding.

In addition, list the names of researchers in Germany with whom you will be collaborating on the proposed project but who will **not** share responsibility for the conduct of the project, and include a copy of the cooperation agreement, where applicable, with your proposal.

For clinical trials, please also provide the name of the biometrician or statistician responsible for the trial.

6.5 Researchers abroad with whom you have agreed to cooperate on this project

If you will be conducting your project in close collaboration with researchers based outside Germany, please list them as cooperation partners and indicate what contribution these individuals will make to your project.

▪

Collaborations with developing countries (DFG form 54.013) and Middle East collaborations (DFG form 54.016) are possible with the Focus Funding measure. Cross-border collaborations with Austria, Switzerland or Luxembourg in a lead agency process are **not** available as part of this measure.

6.6 Researchers with whom you have collaborated scientifically within the past three years

This information will assist the DFG's Head Office in avoiding potential conflicts of interest during the review process.

6.7 Project-relevant cooperation with commercial enterprises

If you will be conducting your project in cooperation with a commercial enterprise, please note the EU guidelines on state aid³ or contact your research institution in this regard.

If you are planning to cooperate with an application partner on a transfer project, i.e. a project that tests the results generated by a DFG-funded research project or develops basic-research findings into prototypes or exemplary applications, note the supplementary instructions contained in DFG form 54.014.

www.dfg.de/formulare/54_014

6.8 Project-relevant participation in commercial enterprises

Please indicate if you are the owner of a commercial enterprise or a stakeholder in one (e.g. a director). If so, please state how your research project is linked to the company's production branch or activities.

6.9 Scientific equipment

List larger instruments that will be available to you for the project. These may include large computer facilities if computing capacity will be needed.

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. Please note that instrumentation funding, which means funds for scientific instruments with an individual value of over €10,000 (purchase price including VAT and additional costs), cannot be requested in this funding measure.

6.10 Other submissions

List any funding proposals for this project and/or major instrumentation previously submitted to a third party.

7 Requested modules/funds

Explain each item for each applicant (stating last name, first name).

³ Framework for State Aid for Research and Development and Innovation (2014/C 198/01)

Note that for the Focus Funding measure, only the basic module (not including instrumentation funding with an individual value of over €10,000) can be requested.

For electronic proposal submissions, please note that euro amounts will automatically be rounded to the nearest hundred, which could result in slight discrepancies in the staffing amounts.

C Appendices

The proposal must include each applicant's academic curriculum vitae including a list of up to ten of his/her most important publications.

To enable reviewers to assess an applicant's scientific track record appropriately, applicants may indicate in their CVs any circumstances that might have hampered their scientific work, for example periods in which a researcher was unable to work continuously due to childcare obligations or due to a prolonged serious illness or disability.

Each CV must include a list of up to ten of the applicant's most important publications. These publications need not be related to the proposed project.

Please note the "Guidelines for Publication Lists".

www.dfg.de/formulare/1_91

Additional appendices should be included if applicable (e.g. a statement from the host institution, ethics statements, research papers, etc.).

For **proposals submitted electronically via elan**, you will be asked to upload the required documents. Please make sure that the security settings for the PDF documents allow your documents to be read, copied and printed, and note the maximum size of 10 MB per document.

Save PDF documents according to the naming protocol listed at the end of this document to facilitate the processing of your proposal.

For B: Project Description

Proposals for COVID-19 Focus Funding differ from regular research grants in a number of points. Please therefore use the Project Description template.

www.dfg.de/download/pdf/foerderung/covid_19_funding_elan.rtf

In addition to the template instructions provided in part B, please note the following:

Requested modules/funds

For COVID-19 Focus Funding, only the basic module can be requested. Funds for scientific instruments with an individual value of over €10,000 (purchase price including VAT and additional costs), **cannot** be requested. Within the basic module, structure your funding requests according to the module guidelines and state the desired funding amount for each item (e.g. 1. Funding for staff, 2. Funding for direct project costs, 2.1 Equipment up to €10,000, software and consumables, 2.2 Travel, 2.3 Visiting researchers, 2.4 Experimental animals, 2.5 Other, 2.6 Project-related publication expenses).

For C: Appendices

Include all proposal appendices as separate PDF documents (less than 10 MB per document).

Please name PDF documents according to the naming protocol at the end of this document to facilitate the processing of your proposal.

Naming Protocol for Proposal Documents

Document	Document Name
instrumentation quote (Angebote zu Geräten)	Angebot_<instrument type>_<manufacturer>
employment offer (Arbeitsplatzzusage)	Arbeitsplatzzusage
project description (Beschreibung des Vorhabens) (part B of proposal)	Beschreibung_des_Vorhabens
ethics statement (Ethikvotum)	Ethikvotum
staff questionnaire (Fragebogen Mitarbeiter)	Fragebogen_<last name of respondent>
curriculum vitae and list of most important publications (Wissenschaftlicher Lebenslauf mit Verzeichnis wichtigster Publikationen)	CV_PubList_<person's last name>
certificates (Zeugnisse) in one document	Zeugnisse_<person's last name>
accepted manuscripts (Zulässige Manuskripte; erforderliche Annahmebestätigung)	<year>_<last name_author>_<keyword> Bestätigung_<year>_<last name_author>_<keyword>