UK-German Funding Initiative in the Humanities
Call for proposals 2022/2023

Information for Applicants

OVERVIEW

This document is intended to support the UK-German Funding Initiative in the Humanities Call for Proposals 2022/2023, funded by the Arts and Humanities Research Council (AHRC) and the Deutsche Forschungsgemeinschaft (DFG, German Research Foundation). It should be read in conjunction with the Call Text.

Where the information provided below or in the Call Document raises further questions, applicants should contact the AHRC or DFG. In the first instance, questions relating specifically to the eligibility of UK applicants should be directed to the AHRC. Any other questions, including those relating to wider call details and aims and objectives, should be directed to the DFG.

APPLYING FOR UK-GERMAN PROJECTS

Templates and Guidelines
- All applications must be submitted in English. Your project description must not exceed 25 pages in total (up to 17 pages for sections 1 through 3 and up to 8 pages as of section 4). 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.
- There must be a single integrated proposal template per project.
- If the stated maximum number of pages is exceeded, or if required documents are not included, the proposal will be disqualified.
- Applicants must note that the national agencies retain the right to reject proposals where they fail to comply with the procedures set out in the guidelines. If a proposal is ineligible with one national agency, the complete project will be rejected by both agencies.
- If a proposal has been previously submitted to other AHRC or DFG calls, this must be clearly stated in the case for support document (please also check AHRC and DFG rules regarding submission of a project to more than one scheme).

Required Call Documents

The following are a list of documents that are permitted for this call for the elan submission:

Document	Requirement and maximum page limits (sides of A4)
Project Description	Compulsory. Maximum of 25 sides of A4: section 1-3 max 17 sides, sections 4+5 max 8 sides
Justification of Resources	For UK Costs only. Compulsory. Maximum of two sides of A4.
Curriculum Vitae	Compulsory for the PI, each Co-I and any named researchers, both in the UK and Germany, including publication lists of 10 titles maximum. Maximum of two sides of A4
Data management plan	Compulsory. Maximum of 2 sides of A4.
Project Partner Letter of Support	Not compulsory, but if access to specific data (e.g. documents, artefacts, databases) is essential for conducting the project, please include the agreement of the rights holder(s). Maximum of two sides of A4 per letter.
Head of Department letter	For UK applicants only: please refer to the [research funding guide](#) for additional information about when a head of department letter of support is needed to confirm contractual eligibility.

Project Description (max. 25 sides of A4)
The project description document (also known as a Case for Support) is the main document for your integrated UK-German collaborative research proposal.
You must outline clearly:
- the rationale for the activities
- the approach or methods to be taken
- the context in which they will operate.

Please use the following headings to structure your document.

1 Starting point

1.1 State of the art and preliminary work
Please explain briefly and precisely the state of the art in your field in its direct relationship to your project. This description should make clear in which context you situate your own research and in what areas you intend to make a unique, innovative, promising contribution. Please indicate the current state of your preliminary work. This description must be concise and understandable without referring to additional literature.

To illustrate and enhance your presentation you may refer to your own and others' publications. Please indicate whenever you are referring to other researchers' work. If your preliminary work is publicly available, it must be listed and include the date of publication. Please list all cited publications in your bibliography under section 3. This reference list is not considered your list of publications. Please note that reviewers are not required to read any of the works you cite -reviews will be based only on the text of the actual proposal.

1.2 Project-related publications
Please list your most significant publications that relate directly to the proposed project and document your preliminary work. This list serves as an important basis for assessing your proposal.

2 Objectives and work programme

2.1 Anticipated total duration and start of the project
Please state the project's intended starting date and how long funds will be necessary (min of 24 and max. of 36 months).

2.2 Objectives
Please give a concise description of your project's research programme and objectives.
Please indicate if you anticipate results that may be relevant to fields other than scholarship and research (such as science policy, technology, the economy or society).

2.3 Work programme including proposed research methods
Please give a detailed account of the steps planned during the proposed funding period. The quality of the work programme is critical to the success of a funding proposal. The tasks to be performed within the work programme should correspond to the funds requested. The work programme should therefore indicate and justify what types of funding will be needed and how the funds will be used, providing details on the individual items requested where applicable.

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 team/institute?

Concepts and starting points for quality-promoting measures that specifically contribute to the validity or plausibility of your research results are welcome here. For more in-depth and subject-specific recommendations, see the "Research Integrity" portal.

Please list all cited publications pertaining to the description of your work programme in your bibliography under section 3.
You must include a summary of the professional development opportunities which the project will make available to any research staff employed or any other support for early career researchers which you have built into your proposal.

2.4 Added value of international cooperation
The cooperation among the partners involved and the expected added value of the planned UK-German cooperation should be described in detail.

2.5 Relevance of sex, gender and/or diversity
Where applicable, please describe 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 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 DFG's Diversity Dimensions in Research.

2.6 Resubmission changes (if applicable)
A resubmission is only allowed once within the AHRC-DFG bilateral programme.
Immediate resubmission of unsuccessful proposals from one opportunity to the next is not permitted. As such, resubmission of unsuccessful proposals from the fourth opportunity to the fifth opportunity is not permitted.
However, applicants involved in unsuccessful applications under the fourth opportunity may submit, or be involved in, different or new proposals for the fifth opportunity.
If submitting a reworked resubmission from the first, second or third funding opportunity, under this heading you should summarise the changes, for example changes to research questions, methodology or the project team.

3 Bibliography concerning the state of the art, the research objectives, and the work programme
In this bibliography, list only the works you cite in your presentation of the state of the art, the research objectives, and the work programme. This bibliography is not the list of publications. Non-published works may not be cited.

In the following sections, we ask you for information regarding important topics in research. In keeping with the relevance of each topic for your proposed research project, please provide a concise but sufficiently comprehensive explanation. If any of these topics are of central importance to the research question of your proposed project, please discuss them in context under sections 1 and 2 and reference them accordingly in the following sections.

4 Supplementary information on the research context

4.1 Ethical and/or legal aspects of the project
4.1.1 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.

4.1.2 Descriptions of proposed investigations on humans, human materials or identifiable data
Please describe the ethical and/or legal aspects of your project:
- criteria for selecting test persons
- justification of the number of test persons or sample size
- description of potential risks and precautions taken
- explanation provided for test persons and method of informed consent.

Note that in addition to accepting the formal obligations in elan, an ethics committee vote for the German part may have to 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.

4.1.3 Descriptions of proposed investigations involving experiments on animals

Note that in addition to accepting the formal obligations in elan 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.

4.1.4 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 or the UK, 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.

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 or the UK. 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".

4.1.5 Explanations regarding any possible safety-related aspects ("Dual Use Research of Concern"; foreign trade law

Please check whether there are indications in your planned research project that possible research results could produce knowledge, products or technologies that might be directly misused for significant harmful purposes (Dual Use Research of Concern, DURC).

If there are such indications, please familiarise yourself with the recommendations issued by the DFG and Leopoldina on handling security-relevant research (see DFG and Leopoldina Handbook on Freedom and Responsibility in Research, Recommendations for Handling Security-Relevant Research, last revised 28 May 2014). In your proposal, describe how the risk/benefit ratio is to be assessed and what measures are planned to minimise the risk.

If due to the regulations at your university or research institution, a committee for ethics in security-relevant research (KEF) or a comparable body is to be involved in advance and asked to issue a statement on the project, please include this statement with the proposal. For further information, see the DFG website on handling security-relevant research.

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).

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.

4.2 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).

For UK applicants, please refer to the AHRC research funding guide for additional information about when a head of department letter of support is needed to confirm contractual eligibility.

4.3 Composition of the project group
State each person's name, academic title, and organisation. Please indicate the UK PI if there are multiple people in the UK team.
Please give appropriate consideration to diversity when composing the members of the project group. Additional information can be found under DFG's Equal Opportunities and Diversity.

4.4 Researchers with whom you have agreed to cooperate on this project
List the names of researchers with whom you will be collaborating on the proposed project but who will not share responsibility for the conduct of the project. If access to specific data (e.g. documents, artefacts, databases) is essential for conducting the project, please include the agreement of the rights holder(s).

4.5 Researchers with whom the members of the project group have collaborated within the past three years
This information will assist the DFG's and AHRC's Head Offices in avoiding potential conflicts of interest during the review process.

4.4 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.

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

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

5 Requested modules/funds for the <u>German project part</u> (UK costings to be added as a separate attachment)

Explain and justify each item for each German applicant (stating last name, first name). Please note that it is not sufficient merely to list what is required.

Note that additional instructions on submitting proposal modules can be found in the relevant module guidelines.

Please note that euro amounts will automatically be rounded to the nearest hundred, which could result in slight discrepancies in the staffing amounts.

Separate Attachments to be uploaded in elan

Justification of Resources (only UK Budget)

The budget requested from AHRC may not exceed £420,000 at 100% FEC (£336,000 at 80% FEC Research Council contribution). Standard AHRC funding requirements apply to the UK component as outlined in AHRC's Research Funding Guide.

Within the Justification of Resources document, you should:

- Explain why the indicated resources are needed, taking account of the nature and complexity of the research proposed. Please note that it is not sufficient merely to list what is required.
- Have regard for the breakdown of resources into the summary fund headings: Directly Incurred, Directly Allocated and (where appropriate) Exceptions.
- In the following cases, the basis of the costing need not be justified, but the need for the resources does need justification:
    - Investigator Time
    - Use of Internal Facilities
    - Shared Staff Costs
- Please attempt to be explicit about the need for the level of investigator time sought.
- Please do not justify estates and indirect costs.

PLEASE NOTE:
The German budget will be entered into elan, the UK budget will be itemized using the AHRC financial form, which is available for download on the DFG website.

Curriculum Vitae including Publication Lists 10 titles max. (max. 2 sides of A4)

A summary curriculum vitae should be attached as a separate document for each Principal Investigator and Co-Investigator or named postdoctoral researcher. CVs should include basic information about education, employment history, and academic responsibilities. For Each individual, please include a maximum of 10 publications. These should cover the publications/outputs that are most relevant to this research proposal.Brief articles, conference papers, etc. need not be included. You should asterisk those publications of particular relevance to your current research proposal. Unpublished publications/outputs may not be included.

Data Management Plan (max. 2 sides of A4)

A data management plan should be provided in line with the requirements outlined in line with the AHRC Research Funding Guide.

Improving the management and handling of research data is a priority both for national and international research organisations and for research in general.

Please consider existing standards and data repositories or archives in your disciplines and in UK or German national and international contexts where appropriate.

Project Partner Letters of Support (max. 2 sides of A4 each)
If access to specific data (e.g. documents, artefacts, databases) is essential for conducting the project, please include the agreement of the rights holder(s).
You should include letters of support from all non-academic organisations who will need to be entered on the Je-S form as 'project partners'. A project partner is an organisation which contributes in cash or in kind to the project but which is not requesting any money.
If there is an international co-investigator included within the UK budget, a head of department letter of support must be included.
If a UK investigator is an honorary fellow, visiting fellow or on a fixed term contract, a head of department letter of support is required.
No generic letters of support should be included.
You should evidence how partnerships (if present within your project) are equitable, ethical, responsible and meaningful.

PROPOSAL SUBMISSION

The DFG is leading the administration of this fifth call and should therefore be the first point of contact for general enquiries relating to the call.

A single integrated proposal with separate financial sections for each national agency must be submitted by the German PI via DFG's submission system "elan" no later than

15th February 2023 (23:59 hrs German time).

Proposals received after the deadline will not be eligible.

Please note that when submitting the proposal via "elan", the UK Principal Investigator and Co-Investigator(s) must, for technical reasons, be entered as "cooperation partners". Within "elan", only those who apply for funds from DFG can be entered as "applicants".

Please also note that in order to prevent server overload towards the end of the submission period, it is advisable to upload your proposal well before the deadline. Both German PIs and Co-Is have to be registered with elan. Please ensure that you register with plenty of time to spare, because registrations are processed manually by DFG employees.

CONTACT INFORMATION

Lead responsibility for the administration of calls rotates between the AHRC and the DFG. The DFG is leading the administration of this fifth call and should therefore be the first point of contact for general enquiries relating to the call.

DFG

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Include 'DFG' in the subject line.
We aim to respond within five working days.