



Arts and
Humanities
Research Council



Deutsche
Forschungsgemeinschaft
German Research Foundation

UK-German Funding Initiative in the Humanities Call for proposals 2020/2021

OVERVIEW

This document is intended to support the UK-German Funding Initiative in the Humanities Call for Proposals 2020/2021, 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 Guidance 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, aims and objectives, and areas of thematic focus and context, should be directed to the DFG.

APPLYING FOR UK-GERMAN PROJECTS

Applicants

All applicants and their institutions must fulfil national eligibility rules for research proposals as set by the relevant funding agency (please see the AHRC Funding Guide <https://ahrc.ukri.org/funding/research/researchfundingguide/> and DFG “Guidelines Research Grants Program” http://www.dfg.de/formulare/50_01/50_01_en.pdf).

Applicants will also need to ensure that their research falls within the remits of both funding agencies prior to submission:

for AHRC’s remit, please see: <https://ahrc.ukri.org/funding/research/subjectcoverage/ahrc-disciplines/>

for DFG’s remit, please see:

http://www.dfg.de/en/dfg_profile/statutory_bodies/review_boards/subject_areas/index.jsp

The outcomes from the first call can be found at: <https://ahrc.ukri.org/newsevents/news/uk-and-german-research-collaboration-supports-innovation-in-the-arts-and-humanities/> and at www.dfg.de/ahrc.

Templates and Guidelines

- All applications must be submitted in English. Where appropriate for the research topic, applicants may also submit their proposals in both English and German, although they are not required to do so. The case for support must not exceed 25 pages in total length (section 1-4 not

more than 15 and section 5-7 not more than 10 pages). Applicants are obliged to ensure that the proposal contains sufficient information for evaluation.

- 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.
- Immediate resubmission of unsuccessful proposals from one call under the AHRC-DFG MOU to the next call is not permitted but is acceptable for future calls. Any application judged to be a resubmission of an application under the second call will be rejected.

First AHRC-DFG Call (2018/2019) - Unsuccessful Applicants:

Applicants unsuccessful under the first call may submit a reworked proposal under this call.

Second AHRC-DFG Call (2019/2020) - Unsuccessful Applicants:

Applicants involved in unsuccessful applications under the second call may submit, or be involved in, *different* or *new* proposals for this third call. Applicants unsuccessful under the second call may submit a reworked proposal under the 2021/2022 call to be launched in November 2021.

- 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).
- All text based attachments should use an Arial or other standard sans-serif type font no smaller than point 11, with line spacing no less than 1.2, using standard (2cm) margins.

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.
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
Project Partner Letter of Support	Project partners are not compulsory, but letters of support will be required if included. Maximum of two sides of A4.

Project Description (max. 25 sides of A4)

Your project description must not exceed 25 pages in total (up to 15 pages for sections 1 through 4 and up to 10 pages as of section 5). 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.

1 Starting point

1.1 State of the art and preliminary work

For new proposals 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.

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.

2 Objectives and work programme

2.1 Anticipated total duration of the project

Please state the project's intended duration and how long funds will be necessary (max. of three years).

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 science 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 group/institute?

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

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.

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 must be included with the proposal.

4 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 www.dfg.de/diversity_dimensions

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.

5 Supplementary information on the research context

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 elan, the German PI must also include an ethics committee vote. The use of human material obtained for diagnostic purposes also requires a statement by the chair of the local ethics committee.

5.1.3 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.

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

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 in advance and attach a statement by the committee with your proposal.

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.

5.2 Data handling

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 the German project part. 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.

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).

For UK applicants, please refer to the research funding guide (<https://ahrc.ukri.org/documents/guides/research-funding-guide1/>) for additional information about when a head of department letter of support is needed to confirm contractual eligibility.

6.2 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 www.dfg.de/diversity/en

6.3 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, and include a copy of the cooperation agreement, where applicable, with your proposal.

6.4 Researchers with whom you have collaborated scientifically 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.

6.5 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.

6.6 Other submissions

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

7 Requested modules/funds for the German project part (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.

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.

Justification of Resources (only UK Budget)

The budget requested from AHRC may not exceed £350,000 at 100% FEC (£280,000 at 80% FEC Research Council contribution). Standard AHRC funding requirements apply to the UK component as outlined in AHRC's Research Funding Guide. UK costs should be approved by an eligible UK research organisation in line with the requirements of full economic costing for applications to UK Research Councils. Please note that international Co-Investigators outside of Germany may be included within the UK component, but that funding for project-linked studentships is not an eligible cost on the UK side.

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 (www.dfg.de/ahrc).

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 major publications/outputs in the last five years. 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.

Project Partner Letters of Support (max. 2 sides of A4)

You should include letters of support from all collaborating researchers (see “Project Description” under 6.3) and non-academic organisations. A Project Partner is an organisation which contributes in cash or in kind to the project but which is not requesting any money.

PROPOSAL SUBMISSION

The DFG is leading the administration of this third 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 **24th February 2021 CET (midnight)**.

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

DFG

AHRC-Ausschreibung@dfg.de

Sigrid Claßen

Tel. +49 (0)228 885-2209

Dr Nora Böttcher

Tel. +49 (0)228 885-2693

AHRC

enquiries@ahrc.ukri.org

Please put DFG in the subject heading

Dr James Davies, International Partnerships and Engagement Manager

Tel. +44 (0)1793 416060