

# Proposal Preparation Instructions

## Project Proposals in the Area of Scientific Library Services and Information Systems (LIS)



These guidelines apply to project proposals in the DFG's Scientific Library Services and Information Systems (LIS) Programme. **Please note that you need to choose between the different LIS funding programmes.**

To learn more about a programme's formal requirements and specifications, please refer to the relevant **guidelines (in some cases, guidelines with supplementary instructions)** or, for time-limited funding opportunities, the call for proposals (generally referred to in the following as the "**programme guidelines**"). If you need advice, please contact the members of staff named in the programme guidelines.

A proposal consists of the following three parts:

- A Proposal Data and Obligations
- B Project Description
- C Appendices

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

[elan.dfg.de](http://elan.dfg.de)

Proposals can only be submitted via the elan portal. If you do not have an elan account, please register for one and allow at least 48 hours for authorisation. Proposals can only be submitted once registration has been completed.

If you cannot find the appropriate programme opportunity in the elan portal for your proposal, please contact a staff member in the Scientific Library Services and Information Systems division.

Proposals may be submitted either in German or in English.

## **A Proposal Data and Obligations**

In section A, you are asked to enter information on the project, participating institutions and individuals, and to accept the required formal obligations.

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

[elan.dfg.de](http://elan.dfg.de)

When writing your project summary in section A, please note that if funding is awarded, the summary will be published on the DFG website, including the GEPRIIS database. It should therefore be comprehensible to a general audience and should not exceed 3,000 characters in length. The summary should characterise the project as a whole and not only the activities during the proposed funding period.

Please give the title of the proposed project in section A (a maximum of 300 characters with no special characters) and the summary in German and English.

## **B Project Description**

For the description of your project, please use the appropriate German or English template provided in elan. Your project description **may not exceed 15 pages in length for sections 1 to 3. A maximum of an additional 10 pages** is available as of section 4.

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

When describing your project, please indicate the LIS funding programme or the call under which you would like to submit your proposal and note the **instructions given in the programme guidelines**, particularly sections I (Programme Information) and II (Proposal Modules/Funding).

Template instructions (numbered as in the template):

### **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 and your preliminary work in their direct relationship to the infrastructure project you are planning.

This explanation should demonstrate why you want to undertake the project and the developments or experience from which it is derived. Please give details in particular of how it addresses proven needs of the scientific community and how these needs have been determined.

Explain where you situate your own research or that of your institution and in what areas you or your institution intend to make a unique, innovative, and promising contribution beyond a local or regional scope. You should also explicitly describe any relevant international developments or circumstances. This presentation must be understandable without references to additional literature.

For renewal proposals, please also describe the work you have already done on this project and the results you have obtained. Please attach a detailed interim report. This information and the interim report must be understandable without references to additional literature.

To illustrate and enhance your presentation you may refer to your own and others' works. Indicate clearly whenever you are referring to the work of other researchers or institutions (even if you collaborated in the work yourself as a co-author). The absence of any indication may constitute a breach of good research practice, and in individual cases may constitute scientific misconduct according to the Rules of Procedure for Dealing with Scientific Misconduct (VerfOWF). Your own preliminary work, if publicly available, must always be listed and include the date of publication and, if based on DFG funding, the relevant stage of a funding period. Please list the cited publications in your bibliography under item 3. This bibliography is not the list of publications. Note that reviewers are not required to read any of the works you cite; the text of your proposal forms the only basis for assessment.

## 1.2 Project-related publications

If applicable, list your most significant publications **that relate directly to the proposed project** and document your preliminary work.

Please note the "Guidelines for Publication Lists"

[www.dfg.de/formulare/1\\_91](http://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 a maximum of ten of the most important publications that form part of your curriculum vitae (see C. Appendices).

## 2 Objectives and work programme

### 2.1 Anticipated total duration of the project

Please state

- the project's intended duration and how long DFG funds will be necessary,
- for ongoing projects: since when the project has been active.

### 2.2 Objectives

Please give a concise description of your project objective, relating it directly to the **objectives given in the programme guidelines**. Explain what specific results can be anticipated by optimising the information infrastructure, how they fit into existing national or international structures, and how these will benefit research.

State to what extent the project should be seen as a model or a pilot project and what needs would be met beyond those of your own institution.

Please indicate if you anticipate results that, as well as improving the information infrastructure, may be relevant from both research and non-research related perspectives (such as science policy, technology, the economy or society).

### 2.3 Work programme and proposed research methods

Please give a detailed account of the steps you are planning to take during the proposed funding period and describe the methods you will use. Indicate which methods are already available and what relevant standards and best practices must be observed. Also detail any assistance that will be required from outside of your working group or institution.

If relevant, explain any alternative approaches to the research methods. Where possible, explain any factors which, in your view, represent a risk to the implementation of the

project. Where relevant, explain how you plan to avoid these risks and handle such situations.

List the steps planned for each applicant and draw up a clear overview of the structure and a schedule of work for those participating in the project.

The quality of the work programme is critical to the success of the proposal. The work programme should clearly state how much funding will be requested, for what period, why the funds are needed and how they will be used, providing details on individual items or your own financial contributions under item 5.9 where applicable.

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

### **3 Bibliography**

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

***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, discuss them in context under sections 1 and 2 and reference them accordingly in the following sections.***

***Section 4ff must not exceed 10 pages in total.***

### **4 Supplementary information on the project context**

#### **4.1 General ethical aspects**

Taking into account the discipline-specific standards and ethical guidelines 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 may 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 from an ethics committee.

#### 4.2 Measures to meet funding requirements and handle project results

Describe concisely your approach to meeting the **funding requirements described in item I.2.2 of the programme guidelines**, irrespective of whether you are applying for funds for the aspects in question. For projects that are focused on building up longer-term nationwide structures, illustrate your sustainability plan.

Describe measures to safeguard and disseminate the project results and to feed them back into the information sector and scientific communities; name the institutions/facilities that will be responsible for this.

If research data will be systematically produced using DFG project funds and such data is suitable for reuse, describe what measures have been or will be implemented to ensure their management, curation and long-term preservation for future reuse. Please regard existing standards and data repositories or archives where appropriate. Further suggestions and examples of best practice can be found at

[https://www.dfg.de/en/research\\_funding/proposal\\_review\\_decision/applicants/research\\_data/index.html](https://www.dfg.de/en/research_funding/proposal_review_decision/applicants/research_data/index.html)

If applicable, please also state what kind of data and information management support will be provided by the participating institutions.

#### 4.3 Formal assurances

Formal assurance must be given that specific conditions of funding will be met. These depend on the funding programme and can include long-term provision of project results, compliance with specifically named standards, or the amount of the applicants' own financial contributions (see Proposal Structure in the relevant programme guidelines or call text).

Copy the relevant assurances and declarations explicitly required in the **programme guidelines**.

## 5 People/collaborations/funding

### 5.1 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).

### 5.2 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 their institution(s) 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](http://www.dfg.de/diversity/en)

### 5.3 Institutions or researchers in Germany with which/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. Include a copy of the cooperation agreement, where applicable, with your proposal.



#### 5.4 Institutions or researchers abroad with which/whom you have agreed to cooperate on this project

If you will be conducting your project in close collaboration with researchers or institutions based outside Germany, state the names of these individuals or institutions and indicate

- whether the project will be conducted as part of an agreement between the DFG and a partner organisation,

[www.dfg.de/foerderung/internationale\\_zusammenarbeit/foerderung/laender\\_regionen/index.html](http://www.dfg.de/foerderung/internationale_zusammenarbeit/foerderung/laender_regionen/index.html)

Please note the individual country information provided.

- Whether, and if so, to what extent your cooperation partners in a partner organisation are applying for DFG funding.

A corresponding cooperation agreement must be submitted in the appendix to your proposal.

#### 5.5 Institutions and researchers with which/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.

#### 5.6 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 aid<sup>1</sup> 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](http://www.dfg.de/formulare/54_014)

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<sup>1</sup> Framework for State Aid for Research and Development and Innovation (2014/C 198/01)

## 5.7 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.

## 5.8 Other submissions

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

## 5.9 Financial contributions

State how much funding and what equipment and staff will be contributed to the project by the applicant(s). This information must be provided in detail in the proposal. Please note the **instructions in the programme guidelines** and use the structure and order given in the section "Requested modules/funds" to list the information.

Please indicate explicitly if the equipment will be available on site for the project. 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 in the section "Requested modules/funds".

# 6 Requested modules/funds

## 6.1 Requested modules/funds

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

If the LIS funding programme (or call) selected contains modules for the requested funds (see **programme guidelines**), please follow the instructions on requesting a module.

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 specified staffing rates.

If you are planning to apply for direct project costs under the category "Other" (DFG form 52.01), which include third-party contracts, please note that adequate market research

must be described in detail. At least two different quotes must be submitted. Give reasons for preferring one quote over another.

If no modules are listed in the programme guidelines but direct information about available funds is provided, use the information in the programme guidelines to sequence the list of funds.

## **C Appendices**

Include all necessary proposal appendices (such as data sheets, quotes, title lists, curricula vitae, publication lists and cooperation agreements). In general, the number of appendices should be kept to a minimum.

When submitting your proposal electronically via elan, you will be asked to upload all relevant documents prior to submission. PDF files may not exceed 10 MB. Please ensure that document security settings enable documents to be read, copied and printed.

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

### **Supplementary data sheets**

Depending on the LIS funding programme, additional data sheets may be required for the proposed project (see **programme guidelines** "Additional information and data sheets"). Templates for the data sheets are available in elan.

### **Curricula vitae and lists of publications**

The proposal must include each applicant's academic curriculum vitae including a list of his/her up to ten 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](http://www.dfg.de/formulare/1_91)

### **Other attachments**

**Other attachments** can be submitted with the proposal, such as statements from collaborating institutions or quotes for the procurement of equipment or for services by a third party.

## Naming Protocol for Proposal Documents

Document (where applicable)	Document name
instrumentation quote (Angebote zu Geräten)	Angebot_<instrument type>_<manufacturer>
additional attachment (Weitere Anlage)	Attachment_<name of attachment>
project description (Beschreibung des Vorhabens) (Part B of proposal)	Beschreibung_des_Vorhabens
proposal data and obligations (Daten zum Antrag und Verpflichtungen) (Part A of proposal)	Daten_zum_Antrag_und_Verpflichtungen
data sheets (Datenblätter)	Datenblatt_<Name_Datenblatt>
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>
accepted manuscripts (Zulässige Manuskripte; erforderliche Annahmestätigung)	<year>_<last name_author>_<keyword> Bestätigung_<year>_<last name_author>_<keyword>