

# Guidelines and Supplementary Instructions

## Coordinating Roles and Responsibilities in Information Infrastructures (VIGO)



Disclaimer: The English translation of this document is provided for informational purposes. In the event of a discrepancy between the English and the German versions, the German text takes precedence.

## I Programme Information

### 1 Objectives and Scope of Funding

As part of its Scientific Library Services and Information Systems Programme, the DFG funds projects at research institutions and in particular service and information centres in Germany. The aim is to set up nationwide efficient research information systems.

#### 1.1 Background

Science has become dependent on digital technologies and infrastructures which are used by researchers to receive, disseminate and, in particular, process information. To do this, researchers use a variety of different services operated in different locations and by different actors – at local, national and international level. Truly efficient work requires such services and infrastructures to be closely coordinated and their operation secured in the long term.

Among the operators of the various services and information infrastructures, there are generally no individuals, institutions or organisations who are genuinely responsible for initiating organisation of the discourse required for such coordination, let alone take on a leading role in this endeavour. Instead, intensive negotiation processes have to be conducted with a large number of equal actors in order to identify potential solutions to problems, secure acceptance of conceivable implementation variants and define binding responsibilities for the future operation of services and infrastructures. A high degree of self-organisation of the actors involved in such negotiation processes is therefore an essential requirement when it comes to identifying sound solutions to infrastructural challenges based on discourse.

#### 1.2 Objectives

The funding programme “Coordinating Roles and Responsibilities in Information Infrastructures” aims to support academics and information infrastructure operators in taking on independent responsibility for creating solutions to emerging challenges in the development and expansion of research-related information infrastructures and in safeguarding their operation on a permanent basis. In order to achieve this goal, the aim is to stimulate the processes of self-organisation required for the creation of information infrastructures.

### 1.3 Scope

Funding is directed at all areas in which self-organised negotiation processes are indispensable for building a coordinated system of information infrastructures. The funding can go towards organisational agreements, agreements on the distributed financing of infrastructures, fundamental clarifications of the tasks and roles of cooperation partners, agreements on how to handle legal provisions or agreements regarding the standards, interfaces and the technical connectivity of infrastructures, for example. Funding covers the coordinated alignment and (further) development of both strategically oriented infrastructure projects and of technologies with a comparable functionality, providing the systematic networking of such technologies leads to added value for research.

It is possible to distinguish between two forms of funding, depending on the different degrees of maturity of the technologies and information infrastructures whose development and operation are to be better coordinated:

- (1) In order to **further develop existing information infrastructures**, the aim is to promote cooperation between researchers and/or experts from information infrastructure institutions who may wish to achieve better coordination between infrastructures, for example, operate them collaboratively, systematically network them through joint action or make them permanent based on concrete agreements and self-governing structures. In this way, the funding serves to establish forums that ensure improved compatibility or the necessary interoperability of information instructions, or help safeguard their operation on a permanent basis.
- (2) In order to **address infrastructural needs on a collaborative basis**, where such needs can to some extent already be defined, the aim is to promote further professionalisation and networking of groups who are recognisably concerned with the relevant issues. Here, funding is directed at developing cooperative approaches to handling cross-project tasks, taking responsibility for the development and maintenance of rules and regulations to ensure the compatibility of information infrastructures, and elaborating proposals for the development of information infrastructures that are intended to adequately address new research needs.<sup>1</sup>

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<sup>1</sup> To this end, funding recipients can also draft key content points for calls for proposals to be submitted to the DFG's bodies for further deliberation and, if necessary, decision-making.

To do justice to the continuous development of information infrastructures, proposals can be submitted even if the issues to be clarified through negotiation processes cannot be clearly assigned to one of the funding models outlined above.

## 2 Proposals

### 2.1 Eligibility

In general, members of non-profit research information infrastructure facilities such as libraries, archives, museums, research collections, research data centres or computing and information centres are eligible to submit proposals. Researchers in Germany or those working at a German research institution abroad who have completed their academic training (generally by obtaining a doctorate) are also eligible to apply.

In general you are not eligible to submit a proposal if you work at an institution that is not non-profit or one that does not allow immediate publication of research findings in a generally accessible form.

Funding provided in the area of scientific library services and information systems is intended to achieve improvements to nationwide information infrastructures, and its results benefit research as a whole. Therefore, institutes and member organisations of the Max Planck Society, the Fraunhofer-Gesellschaft, the Helmholtz Association, the Leibniz Association, and publicly funded research institutions associated with these organisations, and German sections of international information infrastructure institutions are also eligible to apply.

### 2.2 Funding conditions

- The task for the proposed project derives from the need to design infrastructure as a networked system, and the development of solutions requires cooperative action.
- The needs to be addressed cooperatively in a project are clear enough to be named concretely in a proposal, and the challenges that any potential solutions will face can at least be outlined to some extent.
- Cooperation is possible between researchers at different career levels and/or representatives of information infrastructure institutions. Cooperation must derive from the question of how coordination processes for services and infrastructures contribute to improving academic research itself.

### 2.3 Structure

Proposals must be structured in accordance with the Proposal Preparation Instructions under the Scientific Library Services and Information Systems Programme.

[www.dfg.de/formulare/12\\_01](http://www.dfg.de/formulare/12_01)

Please base your proposal on the outline in this template. Specific explanatory comments regarding this programme can be found in the supplementary guidelines under V.

### 2.4 Deadline

A proposal may be submitted at any time.

## 3 Duration

Funding can be approved for up to two years.

## II Proposal Modules

Under this funding programme, you may submit one or more of the following modules. For more details, please see the respective guidelines for each module.

### 1 Basic Module

The basic module provides you with the project-specific material and personnel resources necessary to further support self-organisation processes. Funding is provided in particular for work on preparing and following up on the conceptual content and organisation of roundtable talks and workshops. The guideline for applying for personnel funds is the cost of employing half a doctoral candidate (50% of a TVL/TVöD E13 position) per year of funding; higher levels of personnel funding needs can also be met in justified cases. If necessary, funds can also be requested under “Miscellaneous” to remunerate the awarding of contracts to service providers. Equipment is not eligible under this programme.

[www.dfg.de/formulare/52\\_01](http://www.dfg.de/formulare/52_01)

## 2 Module Project-Specific Workshops

Funds can be made available to you to organise workshops and colloquia in order to support the necessary supra-regional cooperation as well as networking measures that serve the purpose of self-organisation. Please note that this module cannot be submitted separately but only in conjunction with the proposed project.

[www.dfg.de/formulare/52\\_06](http://www.dfg.de/formulare/52_06)

## III Obligations

In submitting a proposal to the DFG, you

1. agree to adhere to the **principles of good scientific practice**.<sup>2</sup>

The principles of good research practice include, among others: maintaining professional standards, maintaining strict honesty with regard to one's own contributions and those of third parties, documenting results and rigorously questioning all findings.

2. recognise the DFG's **Rules of Procedure for Dealing with Scientific Misconduct** (Verfahrensordnung zum Umgang mit wissenschaftlichem Fehlverhalten – VerfOwF) as legally binding.<sup>3</sup>

Scientific misconduct is defined as the intentional and grossly negligent statement of falsehoods in a scientific context, the violation of intellectual property rights or impeding another person's research work. The circumstances of each case will be considered on an individual basis. In cases where scientific misconduct has been established, the DFG may impose one or more of the following sanctions in accordance with its Rules of Procedure, depending on the nature and severity of the scientific misconduct:

- issuing a written reprimand to those involved;

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<sup>2</sup> The principles of good scientific practice can be found in detail in the DFG [Code of Conduct Guidelines for Safeguarding Good Research Practice](#) and in the „[Funding Guidelines: General Terms and Conditions of DFG Grants](#) (DFG form 2.00).

<sup>3</sup> DFG Rules of Procedure for Dealing with Scientific Misconduct, DFG form 80.01

- exclusion from the right to apply for DFG funds for a period of one to eight years, depending on the severity of the scientific misconduct;
- revoking funding decisions (full or partial termination of the grant contract, demanding repayment of funds spent);
- demanding that those concerned either retract the discredited publications or correct the falsified data (in particular by publishing an erratum), or appropriately indicate the DFG's retraction of funding in the discredited publications;
- exclusion from serving as a reviewer for a period of one to eight years, depending on the severity of the scientific misconduct;
- exclusion from membership in DFG bodies and committees for a period of one to eight years, depending on the severity of the scientific misconduct;
- denying voting rights and eligibility in elections for DFG bodies and committees for a period of one to eight years, depending on the severity of the scientific misconduct.

By accepting funding, the recipient agrees to:

3. use the grant exclusively and in a targeted manner to realise the funded project. The use and accounting of funds must conform to the relevant regulations of the DFG.
4. submit progress reports on the research according to the dates specified in the award letter and to present financial accounts to the DFG detailing the use of funds.

The DFG expects that the findings of the projects it funds be made available to the public.

## IV Data Protection

Please note the DFG's Data Protection Notice for Research Funding, which you can access at [www.dfg.de/en/service/privacy\\_policy](http://www.dfg.de/en/service/privacy_policy). If necessary, please also forward this information to those persons whose data the DFG processes because they are involved in your project.

[www.dfg.de/privacy\\_policy](http://www.dfg.de/privacy_policy)

## V Supplementary Instructions

Please base your proposal on the "Proposal Preparation Instructions for Project Proposals in the Area of Scientific Library Services and Information Systems" (LIS)

[www.dfg.de/formulare/12\\_01](http://www.dfg.de/formulare/12_01)

In addition, refer to the information in these supplementary instructions on submitting proposals under the programme "Coordinating Roles and Responsibilities in Information Infrastructures (VIGO)". The section titles mentioned below are based on the titles in the proposal preparation instructions. Proposals must be submitted via elan:

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

### Part B Project Description:

#### B 1.1 State of the art and preliminary work

- Please carry out an environment and needs analysis. On this basis, outline what infrastructural necessities or which specific academic needs the project addresses and, where applicable, provide qualitative and quantitative evidence of the necessity of the proposed project.
- Please explain how the essential content of your proposal results from the need to design infrastructure as a networked system.
- If applicable, state what has already been done at national, European or international level to address the task to be addressed by the project and what developments you will be able to build on.

#### B 2.2 Objectives

- Please explain which concrete solutions are to be developed in the project.



### B 2.3 Work programme and proposed research methods

- Explain how the process is structured so as to determine solutions to infrastructural problems.
- Outline which actors from research and/or infrastructure will be actively involved in the intended negotiation process, for what reason and in what roles. Where applicable, also explain why the participation of individuals from abroad (especially from Germany, Austria or Switzerland and from the European research region) is indispensable to the process and who should be involved for this reason.
- Describe also how other stakeholders can be involved during the project if needed so as to ensure the participation of all relevant groups in the required breadth.
- Explain who will take the lead in the negotiation process.
- Explain how the actors responsible for the future self-organisation or information infrastructure will be identified through the discourse. Explain how the actors responsible for the future self-organisation or information infrastructure will be identified through the discourse.
- Explain which criteria will be used to assess whether the processes of self-organisation you have initiated contribute sufficiently to tackling the issue which has been identified and is to be addressed by the project.

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

- Please explain in detail how agreements developed as a result of DFG funding and the outcomes of negotiation processes will be adhered to or implemented in the long term.

### B 4.3 Formal assurances

- Please confirm by stating the following phrase in the proposal that "publications resulting from the project and any relevant documentation will be available via open access, making them widely accessible for use by third parties" and that "the source code for the software developed under the project will be documented in accordance with the principles of open source and made available for use by third parties".

## B 5.9 Financial contributions

Applicants are expected to make a reasonable financial contribution to the project, e.g. in the form of personnel and direct project costs.

### **Part C Appendices:**

#### Additional information

- If the proposal is submitted by members of a research information infrastructure facility, the applicant must enclose a declaration from the facility's director stating that:
    - the long-term accessibility of the results developed in the project is ensured;
    - the financial contribution required within the scope of the programme will be made;
    - the results of the project will be supported once DFG funding has expired.

[www.dfg.de/formulare/12\\_141](http://www.dfg.de/formulare/12_141)
  - If you would like to obtain funding for concluding service contracts with third parties as part of a DFG-funded project, at least two alternative offers must be enclosed with the proposal.
- Information

## **VI Information**

For further information, please contact:

- Formal and organisational queries  
Sarah Balensiefen (e-mail: [Sarah.Balensiefen@dfg.de](mailto:Sarah.Balensiefen@dfg.de), phone: +49 228/885-2473)
- Queries on proposal submission  
Dr. Jan Rohden (e-mail: [Jan.Rohden@dfg.de](mailto:Jan.Rohden@dfg.de), phone: +49 228/885-2596)
- Responsible for the programme  
Dr. Johannes Fournier (e-mail: [Johannes.Fournier@dfg.de](mailto:Johannes.Fournier@dfg.de), phone: +49 228/885-2418)

A detailed overview of contact details, responsibilities and funding opportunities in the DFG's Scientific Library Services and Information Systems Programme is available on the DFG website at

[www.dfg.de/lis](http://www.dfg.de/lis)