Guidelines and Supplementary Instructions
Information Infrastructures for Research Data
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 other research service and information centres in Germany. The aim is to set up efficient nationwide research information systems.

1.1 Background

Quality assured research data is one of the main cornerstones of scientific discovery. Ensuring its sustainable availability, processing and usability is therefore an important aspect of science policy supported by the DFG through its funding.

1.2 Objective

This programme aims to support researchers in describing and implementing specific and needs-oriented requirements for future structures, or structures undergoing further development, for the improved handling of research data and research data repositories. On this basis it is intended to develop concepts and solutions for nationwide and international, sustainable information structures for one or more disciplines. Part of the objective is to ensure that existing and future structures can link into the international community.

1.3 Scope of funding

Depending on the specific circumstances and current situation in each discipline, the scope of the project can range from drawing up concepts to the professionalization of existing data repositories. For example, projects can aim to design near-reality models tailored to organizational forms specific to the various disciplines, incentive mechanisms or options for the publication of research data, or to test their implementability. However, the focus can also be to enhance efficient data repositories or information infrastructures for research data, such as a link to existing international structures for the purposes of interoperation.

It is not possible to grant funding for the purely technical renovation of existing systems. Projects with the sole goal of developing or optimising the information infrastructure of individual research projects will not be funded.
2 Proposals

2.1 Eligibility

In general, members of non-profit research information infrastructure facilities such as libraries, archives, museums, computing centres and media 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.

Since funding provided in the area of scientific library services and information systems is intended to achieve improvements to nationwide and international information infrastructures, and its results benefit research as a whole, 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

When the aim of DFG project funding is to set up a longer-term national structure, it is expected that the proposal be submitted and supported by or in conjunction with an institution that is able to maintain the project findings and ensure their sustainability.

2.2.1 Project requirements

Taking into account the stage of development of the planned infrastructure, projects are expected to have a sound sustainability concept that contains information on sustainability planning and the organisational model for long-term operations. It is also expected that the needs of the scientific community and the requirements of the research data infrastructure are taken into account. When doing so, you should take any existing information services into consideration in particular.

To guarantee that the developing structures are well received, close collaboration between representatives of scientific disciplines and infrastructure facilities with documented expertise in the use, storage and provision of research data is essential.
Furthermore, it is expected that the developing structures be integrated in and interoperate with existing national and international networks. An important requirement is that established standards within the context of data collection and data storage be taken into account as appropriate. The structures to be established should also contribute to the closer integration of research data management in scientific research and in the training of early career researchers.

The establishment and enhancement of information infrastructures for research data must take account of any relevant technical standards, particularly those concerning data collection and data storage.

2.2.2 Project results

All publications and findings resulting from the projects must be open access and remain accessible. Licences that are as open as possible (e.g. CC-BY or CC0) must be granted, which indicate clearly to what extent the reusability of publications or parts thereof is guaranteed.

All project findings must be disseminated to the relevant community and made available for reuse free of charge, also to third parties. Disclosure of any source code produced is mandatory; in general, project results must be made available in open source in a suitable location. This includes comprehensive documentation according to common standards.

All content available online that is created using DFG funding must be edited, indexed and/or disseminated in a manner that guarantees maximum findability. The corresponding metadata must meet relevant standards for it to be integrated into international subject-specific or other cataloguing systems.

The tools, methods, organisational forms and business models developed during the course of the project must be potentially transferable to other academic research contexts.

2.3 Proposal structure

Proposals for projects in the area of scientific library services and information systems must be structured in accordance with the relevant proposal preparation instructions:

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 instructions under V.
2.4 Deadline

Proposals can be submitted at any time.

2.5 Further information

Please note that under the funding programme, additional funding opportunities may be announced in the form of special time-limited calls for proposals aimed at particular topics. Note that funding proposals involving the same topic as a special funding call cannot be submitted until the call is closed and funding decisions have been made.

The hosting of roundtable talks may also be funded for the purpose of strategic planning, nationwide collaborations in the sense of self-organisation processes and networking measures for communities, as well as the further development of funding measures. Please contact the responsible DFG programme contact if you have any questions.

3 Duration

Initial funding can be approved for up to three years. The total funding period should not exceed six 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
Use the basic module to request funding for direct project costs, project-specific staff, and instrumentation necessary to carry out the project.

   www.dfg.de/formulare/52_01

2. Project-Specific Workshops
If you would like to conduct workshops as part of your project, you may request funding to help you do so. Please note that this module cannot be submitted separately but only in conjunction with the proposed project.

   www.dfg.de/formulare/52_01

III Obligations

In submitting a proposal to the DFG, you

1. agree to adhere to the principles of good scientific practice.¹

   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 Rules of Procedure for Dealing with Scientific Misconduct (Verfahrensordnung zum Umgang mit wissenschaftlichem Fehlverhalten - VerfOwF) as legally binding.²

   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

¹ The principles of good research 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).

² DFG Rules of Procedure for Dealing with Scientific Misconduct, DFG form 80.01
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;
- 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/privacy_policy](http://www.dfg.de/privacy_policy). Where appropriate, please also forward this information to those persons whose data will be processed by the DFG because of their involvement in your project.
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

In addition, refer to the information in these supplementary instructions on submitting proposals under the Information Infrastructures for Research Data Programme. The section titles below are based on the titles in the proposal preparation instructions. Proposals must be submitted via elan:

elan.dfg.de

Part B: Project Description

1.1 State of the art and preliminary work

- Give a brief summary of the state of the art and how you have obtained an overview of national and international developments, and to what extent you have taken these as well as other relevant standards into consideration in your planning.
- Please describe the specific requirements of a research community addressed by your project, and where relevant provide qualitative and quantitative information to explain why it is required. Please also refer to how the community is actively involved in developing the infrastructure.
- Briefly outline how the planned infrastructure, models, services or tools differ or stand out from existing solutions and in what way the project provides added value. Where applicable, explain why existing market solutions cannot be used.

2.3 Work programme and proposed research methods

- Describe the proposed structure’s link to national and international networks from both a technical and organisational standpoint.
- Describe how the proposed project will feed back into the relevant communities or the major infrastructural entities (including where appropriate the relevant learned societies) in order to establish the infrastructure or service on a large scale.
- Taking into account the programme’s objectives, describe verifiable criteria by which you can measure the success of the project. How will you determine whether the results of your project improve the handling of research data and its subsequent reuse? Indicate
how the scientific relevance and the reusability of the anticipated project results can be safeguarded during the course of the project.

4.2 Measures to meet funding requirements and handle project results

Please describe in detail the specific measures that will be taken to ensure the reliable and sustainable continuation of infrastructures developed with DFG funding.

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".

5.9 Financial contributions

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

Part C: Appendices

Additional information and data sheets

- 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 texts and/or objects to be made available and/or digitalised 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/

- 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.
VI Information

For further information, please contact Dr. Matthias Katerbow
(e-mail: Matthias.Katerbow@dfg.de, phone: +49 228 885-2358).