

# Guidelines

## Reinhart Koselleck Projects with Proposal Preparation Instructions



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.

**Deutsche Forschungsgemeinschaft**

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## **Guidelines**

### **I Programme Information**

#### **1 Objective**

The objective of the programme is to enable researchers with an outstanding scientific track record to pursue particularly innovative or, in a positive sense, higher-risk projects over a period of five years. The programme gives researchers the opportunity to work on projects that cannot be implemented within the framework of their own institution or funded through other DFG funding programmes.

The programme is aimed at researchers with high scientific potential and an outstanding academic CV.

#### **2 Proposals**

##### **2.1 Eligibility**

Researchers who hold professorships and those who are eligible to hold professorships and work at a university are eligible to apply. In general, researchers are not eligible to submit a proposal if they 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. Researchers based at non-university research institutions may also apply if they intend to propose a project that cannot be carried out as part of the regular work at their institution.

##### **2.2 Format and deadline**

Proposals may be submitted to the DFG at any time. Please follow the proposal instructions below.

#### **3 Duration**

The funding duration is five years.

## **4 Extent of funding**

Funds in the amount of €500,000 to €1.25 million will be made available for this period. Within these limits, you can request funding in €250,000 increments, so that the total grant amount over the five-year funding period can be €500,000, €750,000, €1,000,000 or €1,250,000.

# **II Special Provisions**

## **1 Proposal requirements**

Reinhart Koselleck projects are characterised by the following features:

- They are especially innovative or, in a positive sense, higher-risk.
- As a result of these factors, they cannot be carried out as part of the applicant's work at his/her institution or under other DFG grant programmes.
- On the basis of these factors, they cannot be described in detail in the proposal, as the progress of the project tends to be even less predictable than with other research activities.

Approving a grant based on a proposal that only roughly describes the project requires a particular leap of faith in the review and decision-making process, which has to be justified by the applicant's academic curriculum vitae.

Reinhart Koselleck projects are generally proposed by a single applicant. If complementary expertise is required to carry out the project (e.g. in the case of interdisciplinary projects), this can normally be achieved by integrating other participants.

In exceptional cases, joint proposals may be submitted if both parts of the project are of approximately equal importance and both applicants are appropriately qualified.

## 2 Relationship to other funding instruments

The prerequisite for submitting proposals for projects involving clinical trials is that the proposed project is not eligible for submission under the DFG's Clinical Trials programme.

During the duration of an approved Reinhart Koselleck project, funding for other research projects may be requested under all other DFG grant programmes according to their respective requirements.

Recipients of the Gottfried Wilhelm Leibniz Prize are ineligible to apply for a Reinhart Koselleck project during the period in which the prize money is available to them and for a period of two years thereafter, as funding has already been granted to them to use as they wish based on their scientific track record. However, it is possible to be awarded the Leibniz Prize while a Reinhart Koselleck project is ongoing.

## 3 Submitting multiple proposals for Reinhart Koselleck projects

Researchers may propose multiple Reinhart Koselleck projects in the course of their career. However, an approved Reinhart Koselleck project must be completed before a new one can be submitted.

## III Obligations

In submitting a proposal to the DFG, you

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

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<sup>1</sup> 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. recognise the DFG's **Rules of Procedure for Dealing with Scientific Misconduct** (Verfahrensordnung zum Umgang mit wissenschaftlichem Fehlverhalten - VerfOWF)<sup>2</sup> as legally binding.

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;
- 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.

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<sup>2</sup> [DFG Rules of Procedure for Dealing with Scientific Misconduct, DFG form 80.01](#)

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 on research funding, which can be viewed and downloaded at [www.dfg.de/privacy\\_policy](http://www.dfg.de/privacy_policy). If necessary, please also forward this information to those individuals whose data will be processed by the DFG due to their involvement in your project.

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

## Proposal Preparation Instructions

A Reinhart Koselleck proposal consists of the following three parts:

A - Proposal Data and Obligations

B - Project Description

C - Appendices (always include one academic curriculum vitae per applicant with a list of the applicant's most important scientific results).

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](https://elan.dfg.de)

Proposals can only be submitted via elan.

Proposals may be submitted either in German or in English.

### A Proposal Data and Obligations

Here you are asked to enter information on the project and participating individuals and accept the required formal obligations. This information includes a summary of the proposal in German and in English.

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

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

### B Project Description

For the description of your project, please use the appropriate template in German or English provided in elan.

In the description of the project and, if applicable, in the description of the handling of research data you may refer to an unlimited number of your own works and those of others that are publicly available. Please list the publications you cite here in the Project- and subject-related list of publications (section 3).

Indicate clearly throughout the proposal whenever you are referring to your own work or that of other researchers. The absence of any such 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, is to be listed with the date of publication. If this preliminary work was based on DFG funding, please refer to the respective stage of a funding period in the text of the proposal.

If, in preparing your proposal, you used artificial intelligence (AI) in the form of generative models for text and image creation, please disclose this fact in a scientifically appropriate manner in your proposal. For more information, see the [“Research Integrity” portal](#).

### **Template instructions:**

#### **1. Project description**

Please outline the project that you would like to undertake on a maximum of five pages, starting from the current state of the art in your field. This description should make clear in which context you categorise your own research and to which issues you wish to make a unique, innovative and ongoing contribution.

#### **2. Explanations and descriptions**

##### **2.1. Uniqueness of the project**

Please briefly explain what makes your project unique and why it cannot be implemented within the framework of other funding programmes (particularly the Research Grants programme).

- Non-university applicants should explain why the project cannot be carried out within the scope of their institution's work.



## 2.2. Handling of research data

If your project uses, generates and/or processes data, then use this section to record key information on the handling of this data (and any underlying objects). Please ensure your descriptions follow the points in the relevant questionnaire ([www.dfg.de/research\\_data/checklist](http://www.dfg.de/research_data/checklist)) and use the checklist to address the following aspects in particular:

- Characteristics and scope of the data
- Documentation and data quality
- Storage and technical archiving
- Legal obligations and conditions
- Enabling of subsequent reuse and long-term accessibility
- Responsibilities and resources

Please also describe how the institutions involved in the project will contribute to data and information management.

If you have already provided more detailed information on the handling of research data in an explanation as part of your preliminary work, work programme or elsewhere, you may refer to those descriptions and limit yourself to supplementary information at this point.

Should your project not use or generate data to a relevant extent, please explicitly state this to be the case.

Please also note that you can apply for funding to cover project costs associated with the effort involved in collecting research data.

For further information on this topic, see:

[www.dfg.de/proposal\\_process/research\\_data](http://www.dfg.de/proposal_process/research_data)

### 2.3. Relevance of sex, gender and/or diversity in the research project

Where applicable, please describe whether and if so to what extent the sex, gender and/or diversity

- 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,
- of researchers,
- or in other respects

is relevant to the research project (methods, work programme, objectives, etc.).

The relevance may vary depending on the subject area, project topic or methods and according to the different stages of the research project (ranging from the development of research questions through to application), for instance.

Additional information is available at:

[www.dfg.de/diversity\\_dimensions](http://www.dfg.de/diversity_dimensions)

### 2.4. Descriptions of proposed investigations on humans, human materials or identifiable data

Please describe the ethical and/or legal aspects of the experimental design:

- criteria for the selection of 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 part A, an ethics committee vote 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.

If you cannot rule out the possibility that you will carry out such work in the course of the project, please declare the following:

“I undertake to obtain a statement by the competent local ethics committee prior to conducting any experiments involving humans, identifiable human materials or identifiable data within the project, and to carry out such work only if no objections have been raised.”

## 2.5. Descriptions of proposed investigations involving experiments on animals

Note that in addition to accepting the formal obligations in part A 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](#)"

## 2.6. 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, 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](http://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. 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".

## 2.7. Explanations regarding any possible safety-related aspects

### 2.7.1. “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, which you can find on the web page linked in the next paragraph. 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)<sup>3</sup>.

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.

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<sup>3</sup> [https://www.bafa.de/EN/Foreign\\_Trade/Export\\_Control/Export\\_Control\\_and\\_Academia/export\\_control\\_academia\\_node.html](https://www.bafa.de/EN/Foreign_Trade/Export_Control/Export_Control_and_Academia/export_control_academia_node.html)

## 2.7.2. Risks in international cooperation

International scientific cooperation is one of the basic principles of research. However, it is essential, particularly in the case of cooperation with researchers in countries where misuse of certain research results is to be suspected<sup>4</sup>, to take potential opportunities for abuse seriously, place them in perspective with the benefits of such cooperation and make informed trade-off decisions. Use this space, where applicable, to reflect on how the risk/benefit ratio is to be assessed with regard to the research subject, research partners and research conditions, and what measures are planned to minimise risks. In doing so, please refer to the recommendations on “Dealing with Risks in International Research Cooperation” ([www.dfg.de/risiken\\_int\\_kooperationen\\_en](http://www.dfg.de/risiken_int_kooperationen_en)) and the aspects of assessment and reflection recommended in this paper.

## 2.8. Considerations on aspects of ecological sustainability in the planning and implementation of the project

In research as well, there is an urgent need for a further shift towards sustainable practices. Use this space to reflect on how sustainability considerations are taken into account in the research processes proposed. Here, you are expected to provide a brief statement that refers specifically to the work programme to be undertaken in this project. Research quality is the pivotal factor for the funding decision, however, so this is the priority in terms of planning the research; for this reason, resource-saving and emission-reducing measures should not result in restrictions in the desired knowledge gain. For further information, see the cross-disciplinary catalogue of guiding questions:

[www.dfg.de/reflection\\_sustainability](http://www.dfg.de/reflection_sustainability)

## 2.9. Information on scientific and financial involvement of international cooperation partners

If you will be conducting your project in close collaboration with researchers based outside Germany, please indicate

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

[www.dfg.de/internationales/partner](http://www.dfg.de/internationales/partner)

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<sup>4</sup> Indications concerning these states can for instance be derived from information issued by the Federal Foreign Office or reports released by the German domestic intelligence services, but also from national and international regulations and agreements, as well as from detailed guidelines relating to export restrictions.

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.

## 2.10. Other information

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

## 3. Project- and subject-related list of publications

In this list of publications, list **only** the works you **cited** in the description of the project and, if applicable, in the description of the handling of research data.

You can refer to your own works and those of others; **there is no limit to the total number of publications listed**. Works which are not in the public domain are not considered publications and cannot be cited. An exception is made for papers that have already been accepted for publication, in which case the manuscript and the editor's confirmation of acceptance must be enclosed.

**A maximum of ten of your own** publications that are most relevant to the project can be highlighted in bold or some other way. Even if there are several applicants, the maximum of ten highlighted works may not be exceeded.

Note that reviewers are not required to read any of the works you cite. This also applies to review sessions that are held by reviewers on site. Here it is possible to provide manuscripts and publications created prior to the review session in order to be able to explain progress reports at the meeting so that reviewers can view them if necessary. However, reviews are only ever based on the text of the actual proposal.

Please note the "Guidelines for Preparing Publication Lists" (DFG form 1.91):

[www.dfg.de/formulare/1\\_91](http://www.dfg.de/formulare/1_91)

## 4. Requested funds

You can request a total of €500,000 to €1.25 million for project-specific costs for the five-year duration. Within these limits, you can request funding in €250,000 increments, such that the total grant amount over the five-year funding period can be €500,000, €750,000, €1,000,000 or €1,250,000.

Please give a brief explanation of how you have calculated the corresponding estimation of costs. However, you are explicitly **not** required to compile a cost plan. Please note that the requested project sum can be reduced to the next lower level if considered appropriate by the reviewers and the decision-making body.

If there will be more than one applicant, please explain how the funds will be distributed.

## 5. Project requirements

### 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 your institution and those paid using other third-party funding (including fellowships).

### 5.3. Cooperation with other researchers

5.3.1. Researchers with whom you have agreed to cooperate on this project

5.3.2. Researchers with 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.

### 5.4. 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.

## 5.5. 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>5</sup> Depending on the circumstances, it may be necessary to conclude a contract with the company or submit a declaration to the DFG. Please refer to DFG form 4.02 “Guidelines on the Participation of Commercial Enterprises in Research Projects”. If applicable, please contact your research institution in this regard.

[www.dfg.de/formulare/4\\_02](http://www.dfg.de/formulare/4_02)

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)

## 5.6. 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. Please refer to DFG form 4.03, “Information on Work Results and Usage Rights in the Event of an Association with a Company”.

[www.dfg.de/formulare/4\\_03](http://www.dfg.de/formulare/4_03)

## 6. Other submissions

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

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<sup>5</sup> Framework for State Aid for Research and Development and Innovation (2022/C 414/01)



## C Attachments

The proposal must include each applicant's academic curriculum vitae with a list of their most important scientific results. The template provided (DFG form 53.200) must be used for this purpose:

[www.dfg.de/formulare/53\\_200\\_elan](http://www.dfg.de/formulare/53_200_elan)

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 academic curriculum vitae must include the list of the most important publications or published results of the applicant in question. The information can relate to the person's entire academic career; the publications need not be directly related to the proposed project. The list is to be divided into two parts and each part is to be numbered:

- The first **mandatory** "Category (A) – Articles in peer-reviewed journals, contributions to peer-reviewed conferences or to anthology volumes, and book publications" may contain a maximum of ten publications.
- The number of publications listed in the second **optional** "Category B – Any other form of published results" is likewise limited to a maximum of ten. This may include contributions to non-peer-reviewed conferences, articles on preprint servers, data sets, protocols of clinical trials, software packages, patents applied for and granted, blog contributions, infrastructures or transfer. You may also indicate other forms of academic output here, such as contributions to the (technical) infrastructure of an academic community (including in an international context) and contributions to science communication.

Please note the "Guidelines for Preparing Publication Lists" (DFG form 1.91):

[www.dfg.de/formulare/1\\_91](http://www.dfg.de/formulare/1_91)

In addition, include any **additional documents**, such as ethics statements, research papers, etc.

For **proposals submitted electronically via elan**, you will be asked to upload the required documents. Please make sure that the security settings for the PDF documents allow your documents to be read, copied and printed, and note the maximum size of 10 MB per document.

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

## Naming Protocol for Proposal Documents

Document	Document name
project description – part B of the proposal (Beschreibung des Vorhabens)	Beschreibung_des_Vorhabens
ethics statement (Ethikvotum)	Ethikvotum
curriculum vitae with a list of scientific results (Wissenschaftlicher Lebenslauf mit Verzeichnis wissenschaftlicher Ergebnisse)	CV_PubList_<person's last name>
Accepted manuscripts; acknowledgement of acceptance (Zulässige Manuskripte; erforderliche Annahmebestätigung)	<year>_<last name_author>_<keyword> Bestätigung_<year>_<last name_author>_<keyword>