

Guidelines

for Proposals under the Programme Major Research Instrumentation as per Art. 91b GG 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.

Table of Contents

Guidelines	3
Draft Proposal Preparation Instructions.....	7
I. General Information.....	7
II. Proposal Process and Proposal Structure.....	8
1. Project Description (as one document in elan).....	9
2. Curriculum vitae/curricula vitae (to be uploaded to elan as one document)	9
3. Current quotes or corresponding supplier information (in elan as two documents).....	9
4. Additional attachments (optional)	10

Guidelines

for proposals under the programme Major Research Instrumentation as per Art. 91b GG

I Objective

The DFG provides investment funds for the proportional (50%) financing of major research instrumentation at higher education institutions under the programme Major Research Instrumentation as per Article 91b of the Basic Law (GG). The programme is based on the formal implementation agreement on research buildings, major research instrumentation and national high-performance computing ("Ausführungsvereinbarung Forschungsbauten, Großgeräte und Nationales Hochleistungsrechnen", AV-FGH), adopted by the Joint Science Conference (GWK). The investment projects for major research instrumentation are required to embody a particularly high level of scientific quality and attain a level of significance that goes beyond a specific region. The instrumentation must by far predominantly serve research purposes, meaning the necessity of the instrumentation and investment costs must solely be justified by its research purpose. The instrumentation may – to a limited degree – also be used in teaching and/or patient care. Note, however, that these aspects will not be considered during the review regarding the necessity for the procurement of the instrumentation.

The funding programme is not limited to new instrumentation and also allows for replacement or upgrades of existing instrumentation if this leads to considerable functional enhancements, as well as for procuring used or refurbished instrumentation, which may promote a sustainable use of instrumentation.

II Eligibility

Proposals may be submitted by publicly funded universities and non-publicly funded universities in Germany. In the case of universities governed by private law, the (host) institution must be recognised as a non-profit organisation. The applicant's contribution of 50% of the investment costs must stem from state funding. The (gross) acquisition costs must at least be €100,000 for universities of applied sciences and at least €200,000 for all other universities.

As long as the total cost of the instrumentation is below €7,500,000, proposals for major instrumentation can be submitted to the DFG at any time depending on state rules/regulation.

Instrumentation with total cost of €7,500,000 or more may be eligible for the Major Research Instrumentation Programme, if justified by a usage comparable with instrumentation below that threshold, i.e. by a range of projects and topics. If the instrumentation serves a dedicated research concept, as research buildings funded according to the AV-FGH do, it belongs to the Research Building (“Forschungsbauten”) Programme conducted by the Wissenschaftsrat.

DFG and Wissenschaftsrat will determine how to categorise the intended instrumentation appropriately (either Major Research Instrumentation Programme or Research Building Programme). Please note that a proposal submission is only eligible after that determination.

The home state or university have to declare the co-financing according §10 AV-FGH at the stage of proposal submission.

III Scope of Funding

Funding is available for the investment costs of major research instrumentation. A separate proposal must be submitted for each independent major research instrument.

A major research instrument is the sum of the components, including accessories, that form a functional unit for the intended operational purpose. There should be an appropriate relation between the main instrument (including software) and accessory equipment or supplements. Accessory equipment and supplements are not necessarily required to be directly relevant for the main instrument's operability. Building measures are not eligible for funding.

IV Obligations

In submitting a proposal to the DFG, you

1. agree to adhere to the **principles of good research 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.

By accepting funding, the recipient university agrees to

2. 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, specifically the dedicated guidelines for major research instrumentation ("Besondere Verwendungsrichtlinien für Forschungsgroßgeräte nach Art. 91b GG"), which are contained in DFG form 2.18. These guidelines are part of any grant.

www.dfg.de/formulare/2_18

3. respect that grants are vendor neutral. The vendor quotes and market research assessments included in the proposal are non-binding. The choice of the preferred vendor or model in the proposal is no justification for limiting or shortening the tendering process.
4. submit a financial report (DFG form 41.35) six months after commissioning; the report form is available in German only.
5. use the instrumentation for the research described in the proposal for a period of at least five years ("Zweckbindung") following the commissioning of the instrumentation.
6. submit a report three years after commissioning. The report must describe what research projects were enabled by the instrumentation and provide data on its usage; results

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 guidelines for major research instrumentation "Besondere Verwendungsrichtlinien für Forschungsgroßgeräte nach Art. 91b Abs. 1 S. 1 GG" (DFG form 2.18).

achieved through the use of the instrumentation or anticipated findings should be summarised. The report must be prepared using the appropriate template (DFG form 21.12, available in German only) and will normally be completed by the researcher responsible for the proposal.

www.dfg.de/formulare/21_12

The DFG expects that the research findings enabled by the use of the major research instrumentation be made available to the public.

V 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. 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

Draft Proposal Preparation Instructions

I. General Information

Proposals may be submitted in German or English.

The university appoints a person as the responsible spokesperson. The responsible spokesperson prepares the proposal and submits it electronically to the DFG via the elan portal. This role is in most cases assumed by the head of the working group that will primarily use the instrument. The responsible spokesperson also serves as the contact for all content-related queries relating to the proposal.

Following submission, a compliance form is automatically generated by the elan system. This form must be signed by the responsible spokesperson and then forwarded to the relevant offices of the university administration, which confirms by signature that the proposal has been submitted on its behalf. Finally, the confirmation of co-financing has to be given in accordance with AV-FGH and the relevant state guidelines. The completed and signed compliance form is then sent to the DFG.

All proposals are processed subject to presentation of the compliance form. Following a formal check, a confirmation of receipt that will include the project reference number will be sent to the university, the relevant state ministry and the spokesperson. We ask that this reference number be used in all correspondence relating to the proposal.

Please note:

The DFG has issued specific statements and information with regard to certain kinds of instrumentation and technologies. We ask that you review this information as it may be relevant for your proposal (some documents may only be available in German).

www.dfg.de/wgi/notes_information

Please follow the link below to find answers to frequently asked questions regarding scientific instrumentation and information technology (available in German only).

www.dfg.de/.../wgi_faq/

Proposals for major research instrumentation are handled by the DFG's Scientific Instrumentation and Information Technology Division.

The current processing status can be monitored on the DFG's elan portal by the responsible spokesperson. We may contact the responsible spokesperson (by mail or e-mail) in case of questions regarding formal or scientific matters that require clarification prior to the review.

After the documentation has been verified for formal correctness, it will be forwarded to expert researchers in the relevant area for review. For more information, please refer to DFG form 10.202 (Guidelines for Reviewing Proposals Under the Major Research Instrumentation Programme as per Art. 91b GG):

www.dfg.de/formulare/10_202

Note that you may be requested to provide additional information and/or clarification during the review.

After the review has concluded, proposals are forwarded to the responsible DFG decision-making bodies. First, the Committee on Scientific Instrumentation and Information Technology will evaluate the outcome of the review, consider any additional aspects and prepare a recommendation for the decision. This recommendation will then be presented to the DFG Joint Committee for final decision.

The DFG's decision will be sent to the university, the relevant state ministry and the spokesperson.

II. Proposal Process and Proposal Structure

The proposal documents may be downloaded via the DFG website.

www.dfg.de/wgi/en

Information to have prepared for entry within the elan-portal:

The summary of the proposal and its science related goals (maximum of 3000 characters, no special characters) in German and English.

Documents to be uploaded via elan in PDF format**1. Project Description (as one document in elan)**

The project description has to be done using the proposal template Proposal under the Major Research Instrumentation Funding Programme as per Art. 91b Basic Law (DFG form 21.10).

www.dfg.de/formulare/21_10

The information provided within the template has to be adhered to.

2. Curriculum vitae/curricula vitae (to be uploaded to elan as one document)

The curricula vitae of all scientists that contribute a chapter Use in research and other persons of relevance to the proposal have to be submitted. The template provided (DFG form 53.200) must be used for this purpose.

www.dfg.de/formulare/53_200_elan

Each academic curriculum vitae must include the list of the most important publications or published results of the person in question. The information can relate to the person's entire academic career; the publications need not be directly related to the proposed research. Several CVs are to be merged into one document. Please note the "Guidelines for Preparing Publication Lists" (DFG form 1.91):

www.dfg.de/formulare/1_91

3. Current quotes or corresponding supplier information (in elan as two documents)

At the time of submission, a recent quote or corresponding supplier information for an exemplary/favoured configuration need to be enclosed, as do alternative quotes that were taken into consideration. Quotes should include a price breakdown by key components and indicate the gross total amounts as well as any negotiated discounts. The quotes for the exemplary/favoured configuration and the collection of all alternative quotes should be enclosed as two PDF documents. If there is a large number of quotes or the quotes are extensive the creation of an index or overview should be considered.

4. Additional attachments (optional)

It is possible to submit additional documents with the proposal (e.g. cooperation agreements, usage rules, central concepts for IT-infrastructures, research data management, or the requested technology, and unpublished scientific manuscripts). The attachments should have a clear connection to the proposal and be of relevance to the review. The project description should make references to the attachments. Essential aspects to the proposal are to be addressed in a self-explanatory manner within the project description.