Proposal Preparation Instructions
Draft Proposals and Proposals to Establish or Renew Research Units

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 General Instructions

Funding proposals\(^1\) are to be submitted jointly by all researchers involved in the Research Unit. They are jointly responsible for the scientific conduct of the project. One of the applicants in the Research Unit assumes the position of spokesperson and represents the Research Unit in dealings with the DFG and other bodies.

The proposal process takes place in two stages:

1. In the first stage the participating researchers submit a draft proposal to the DFG Head Office. This text (10 pages maximum) should outline the Research Unit’s joint work programme and related objectives and other measures in accordance with the structure and items set out below and include a summary (2 pages maximum) for each of the proposed individual projects.

www.dfg.de/formulare/53_20_elan

A draft proposal for a Research Unit can only be submitted by the Research Unit’s spokesperson via the DFG’s elan portal.

elan.dfg.de

Please list all cited publications in a Project- and subject-related list of publications. This list should only contain those works that you cited.

The font used for the publication list should not be less than Arial 9 point.

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.

\(^1\) The language in which the funding proposal may be submitted should be agreed upon with the relevant DFG programme division prior to submission.
Note that reviewers are not required to read any of the works you cite.

Indicate clearly throughout the draft proposal or 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 research 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.

Furthermore, the draft proposal must include information on the project leaders. For each project leader, submit an academic curriculum vitae with a list of the most important scientific results. 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 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. Please refer to the “Guidelines for Preparing Publication Lists” (DFG form 1.91).

www.dfg.de/formulare/1_91

Note that the DFG may reject any proposals not in compliance with these rules.

Please include a cost estimate as well.

The draft proposal, which may be submitted at any time, is sent to reviewers. On the basis of their assessments, the DFG Head Office, in consultation with DFG review board members, advises the applicants of whether they should proceed to the second, establishment proposal stage.

You may only resubmit a revised draft proposal once.
2. The establishment or renewal proposal should particularly describe the proposed research work, relevant preliminary work and the type and nature of the cooperation between the applicants, in accordance with the structure and items set out below and in a format suitable for peer review. This proposal to establish or renew a Research Unit can only be submitted by the Research Unit’s spokesperson and only electronically via elan.

elan.dfg.de

The first step is for the spokesperson to submit the framework proposal via the elan portal. This involves entering basic organisational details about the Research Unit and providing the names of the project leaders using an online form. The framework proposal is processed at the DFG Head Office.

Subsequently, the overall description of the Research Unit and the coordination proposal (DFG form 53.02) can be uploaded in which the scientific description of the project is set out. In addition, the project leaders can supplement the individual project proposals. Your project description may not exceed 20 pages in length.

www.dfg.de/formulare/53_02_elan

Individual project proposals within the Research Unit should be submitted in accordance with the instructions on submitting project proposals.

www.dfg.de/formulare/54_01

A review panel evaluates the proposal to establish or renew a Research Unit, usually at the site of the proposed unit, and develops a funding recommendation for the appropriate decision-making bodies at the DFG.

II Instructions on Preparing the Overall Description of the Research Unit and the Coordination Proposal

The following structure and items apply to the Research Unit as a whole.

The information on referencing your work and the work of others contained in section I 1 must be observed. Please note in addition:

In the case of review sessions that are held by reviewers on site 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.

1 **State of the art and preliminary work**

Please explain briefly and precisely the state of the art in your field in its direct relationship to your project. This description should make clear in which context you situate the work of the researchers participating in the Research Unit and in what areas the Research Unit intends to make a unique, innovative, promising contribution. This description must be concise and understandable without referring to additional literature.

What (joint) preliminary work has been done? In what way are the participating researchers/working groups qualified for the project?

1.1 **For a renewal proposal: Report on the progress to date**

For renewal proposals, please report on your previous work. This report should also be understandable without referring to additional literature.

2 **Objectives and joint work programme**

2.1 **Objectives of the overall project and expected benefits of collaboration within the unit, incl. a description of the group composition and their project-specific qualifications**

What common objectives will be pursued by the Research Unit and to what extent does this require collaboration within the project? Is the collaboration based on an innovative and coherent concept? Can the stated objectives only be achieved through the proposed cooperation? Do you intend to involve all of the relevant disciplines necessary to work on the topic? What key results do you expect in the short to medium term? What long-term results are anticipated? If applicable, why is a working group from another European country or a commercial or industrial company involved, and how is this of particular importance to the Research Unit as a whole?

2.2 **Joint work programme including proposed research methods**

Describe the Research Unit’s joint work programme.
2.3 Handling of research data

What measures are planned for the handling of research data within the unit? How will this be supported by the institutions participating in the project? Further information on this topic and a corresponding questionnaire are available via:

www.dfg.de/en/research_funding/principles_dfg_funding/research_data

2.4 Potential impact on the research area and local research environment

Describe the Research Unit’s potential impact on the research area and local research environment. How will the collaboration be structured, especially in cases where Research Units are located at more than one site?

2.5 Measures to advance research careers

Detail what measures are planned to integrate and promote promising researchers in early career phases within the Research Unit (e.g. training programmes, special measures, etc.). Does the department offer doctoral programmes?

What measures are planned to support gender equality and to help researchers combine career and family?

2.6 National and international cooperation and networking

What national and/or international collaborations are relevant? For Research Units located at multiple sites, how will communication be handled and ensured?

2.7 Collaboration with international cooperation partners

Are international cooperation partners involved in the Research Unit?

2.8 Description of the spokesperson’s qualifications

Please explain why you would like to assume the role of spokesperson, also with respect to your academic qualifications and personal skills. What experience do you have in managing third-party funded projects?
3 **Project- and subject-related list of publications**

This list should only contain those works that you cited in sections II 1 to II 2.3. On this point, please refer to the notes as applicable to the draft in section I 1 on this list as well as the “Guidelines for Preparing Publication Lists” (DFG form 1.91).

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

4 **Coordination**

4.1 **Description of how joint objectives and the joint work programme will be implemented in the coordination project**

Describe the coordination project’s joint work programme and how the joint objectives will be achieved and implemented.

4.2 **Requested modules**

The template provided in elan contains a list of funding modules available to facilitate coordination within the Research Unit. Please provide *detailed* justification for each module requested in the online form.

If you will be applying for gender inclusion funding for spokespersons, please describe what measures are planned and explain how these funds were used during the current funding period.

**APPENDIX**

The proposal must include each applicant’s *academic curriculum vitae*. 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)

Please follow the guidelines for the draft phase accordingly, cf. section I 1 above.