

Proposal Preparation Instructions

Draft Proposals and Proposals to Establish or Renew Centres for Advanced Studies in the Humanities and Social Sciences



I General Instructions

A proposal for funding a Centre for Advanced Studies in the Humanities and Social Sciences is prepared jointly by several researchers (generally two to three); they are responsible for the scientific conduct of the centre as a whole. One of the applicants assumes the position of spokesperson and represents the centre in dealings with the DFG and other bodies.

The proposal process takes place in two stages. We recommend consulting with the DFG Head Office prior to submitting a proposal.

II Instructions for Preparing a Draft Proposal

Draft proposals to set up Centres for Advanced Studies in the Humanities and Social Sciences can only be submitted in response to annual calls for proposals and within the deadlines stipulated in the calls. Draft proposals must be submitted in accordance with the structure and items listed and must summarise the centre's research programme and corresponding objectives as well as any additional measures. Draft proposals may not exceed 8 pages in length.

A draft proposal to establish a centre can only be submitted by the spokesperson via the DFG's elan portal.

elan.dfg.de

Please use the relevant elan template, available in German or English, to prepare your draft proposal in accordance with the format provided (minimum 11 point Arial font, 1.2 line spacing).

www.dfg.de/formulare/53_23_elan

Draft proposals will be evaluated by a review panel including members of DFG review boards. On the basis of their assessment, the DFG Senate will advise whether applicants should be invited to submit a proposal to establish the centre.

The draft proposal should be structured as follows:

1 Research programme of the proposed centre

State and describe the topic area of the proposed centre and its methodical approach. Explain how the members' different areas of expertise will facilitate cooperation over an envisaged period of eight years. This should relate in particular to the centre's objective and focus within the working area and anticipated contributions to the current state of research.

Describe how the principal investigators (i.e. applicants) will be involved and the anticipated benefits of interactions between the local researchers and fellows. Explain why the collaborative working methods are especially suitable for pursuing the centre's objectives. Describe what measures or activities are planned to attain national or international visibility.

2 Design of the fellows programme

A core element of a Centre for Advanced Studies in the Humanities and Social Sciences is its fellows programme. The draft proposal should list (envisaged) fellows and how they will be integrated in the centre. Describe what experience and expertise will be required of the (junior/senior) fellows, how long they will take part in the centre, and how they will be integrated in the documentation and publication of research outcomes (such as joint publications).

3 Other information

Describe whether any discussions have taken place with the university management regarding support for the centre (particularly with regard to the provision of adjoining office space and infrastructure for the fellows). If arrangements have been agreed upon, please note that no documentation of such must be provided during this proposal stage.

Please indicate whether additional institutions/facilities, stakeholders, and/or non-university partners will be involved.

If other programme elements are planned, such as setting up a professorship within the centre, public relations work, or transfer projects, please describe these aspects and how they will be incorporated within the centre.

Centres for Advanced Studies in the Humanities and Social Sciences are not designed to specifically support early career researchers. However, should you plan to include early career researchers in the centre to a limited extent and with their own independent projects, please explain what plans will be pursued.

4 Bibliography

To illustrate and enhance your presentation you may refer to your own and others' publications. Clearly indicate when you are referring to the work of other researchers (even if you collaborated in the work yourself as a co-author). The absence of any 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). If your preliminary work is publicly available, it must be listed and include the date of publication; if this work is based on DFG funding, indicate the relevant stage of the funding period. Please list the cited publications in your bibliography. This reference list is not considered your list of publications. Any unpublished work must be included with the draft proposal. However, note that review panel members are not required to read any of the works you cite.

5 Estimated overall costs of the proposed centre

Please provide a cost estimate for the centre as a whole, divided into the first and second funding periods (four years each).

6 Researchers with whom you have collaborated scientifically within the past three years

This information is aimed at helping the DFG Head Office avoid potential conflicts of interest or bias.

APPENDIX

The proposal must include each applicant's **academic curriculum vitae**. Please divide the list of publications in your CV into your most important publications (max. ten) and project-specific publications (max. ten).

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

Please refer to the “Guidelines for Publication Lists“.

www.dfg.de/formulare/1_91

III Instructions for Preparing Proposals to Establish or Renew a Centre

Proposals to establish or renew a centre must be submitted in accordance with the structure and items listed and must describe the nature of the research task, any preliminary work and the type and form of cooperation within the centre. A proposal to set up or renew a centre encompasses both a joint proposal and a coordination proposal. Both can only be submitted by the spokesperson via the DFG's elan portal.

elan.dfg.de

In the **coordination proposal**, the spokesperson requests funding for the centre as a whole (such as network funds or funding for gender equality measures). Please use the relevant template, available in elan in German or English.

www.dfg.de/formulare/53_03_elan

In the **joint proposal**, the group of researchers jointly request the amount of funding they need individually to implement the centre; the overall description of the centre is also included in the joint proposal. The spokesperson submits the joint proposal together with the coordination proposal. Please use the relevant template, available in elan in German or English.

www.dfg.de/formulare/53_04_elan

All parts of a proposal to establish (max. 30 pages) or renew (max. 40 pages) a centre are evaluated by a review panel, which makes a funding recommendation to the relevant DFG decision-making bodies.

The following structure applies to the overall project description contained in the joint proposal:

1 Starting Point

1.1 State of the art and preliminary work

Explain briefly and precisely the state of the art in your field in its direct relationship to your research undertaking. This description should indicate the joint project's relevance and topicality to your field of research and in what areas the centre intends to make a unique, innovative, promising contribution. This description must be concise and understandable without referring to additional literature.

Describe the (joint) preliminary work and the qualifications of the participating researchers with respect to the project. The information on referencing your work and the work of others contained in section II.4. must be observed.

1.2 For a renewal proposal: Report on the progress to date

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

2 Centre objectives and cooperation

2.1 Objectives and research plan

Describe what objectives will be pursued by the centre. Explain what strategy will be used to facilitate cooperation between the applicants and all centre participants, particularly the fellows.

Explain the qualifications of the participating researchers and to what extent the combined expertise is essential in ensuring the centre's success.

What key results do you expect after four years (and after eight years)? What long-term results are anticipated?

2.2 Organisation of cooperation and design of the fellows programme

Describe how collaboration among participating researchers (including fellows) will be structured and what working methods are envisaged for the collaboration. If participating researchers will be exempted from teaching obligations, please describe their importance to the centre. If applicable, please also comment on the significance of the proposed professorship.

Describe the design of the fellows programme, the significance of the fellows to the centre, their integration in the centre, and how they can remain involved with the centre following their stay. Describe what criteria will be used to select the fellows and indicate their qualifications.

The description should demonstrate the added value of the collaborative working methods as opposed to working within (individual) projects.

3 Bibliography

In this bibliography, list **only** the works you cite in your presentation of the state of the art, your preliminary work, the centre's objectives and cooperation. This bibliography is not the list of publications. Non-published works must be included with the proposal. Note that reviewers are not required to read any of the works you cite. This also applies to review sessions that are held on site. In this case, manuscripts and publications that provide more information on the progress reports and are published up to the review panel's meeting may be made available at the meeting to enable reviewers to read through the information. Reviews will be based only on the text of the actual proposal.

4 Research and structural environment

To enhance the discursive character of the centre, expertise must be bundled at one site. Describe the proposed centre's significance to the applicant university. What research focus should be achieved or enhanced?

Describe what support the university management will provide to the centre (particularly with regard to the provision of adjoining office space and infrastructure for the fellows). Please include documentation of any arrangements that have been made.

If you plan to include institutions working in the same field or in neighbouring fields (universities and/or non-university institutions), or if others will participate or cooperate in the centre, please describe this here.

5 Integration of early career researchers and gender equality measures

Centres for Advanced Studies in the Humanities and Social Sciences are not designed to specifically support early career researchers. However, should you plan to include early career researchers in the centre to a limited extent and with their own independent projects, please explain what plans will be pursued.

Describe how diversity and equal opportunities in the research system have been taken into account. Where applicable, describe measures to promote gender equality for those underrepresented in the relevant fields and those to promote work-life balance.

6 National and international visibility

Describe what measures are planned to enhance the national and international visibility of the centre.

7 Descriptions of proposed investigations involving experiments on humans or human materials

Please describe the ethical and legal aspects of your investigation(s):

- treatment or experiment,
- criteria for selecting test persons,
- description of potential risks and precautions taken,
- method of informed consent.

Note that in addition to accepting the formal obligations, an ethics committee vote must 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.

8 Descriptions of proposed investigations involving experiments on animals

Note that in addition to accepting the formal obligations, the planned animal experiments must be described. Please explain how the principle of the 3Rs (replacement, reduction and refinement) will be implemented. For the analysis and reporting of results, the DFG expects you to comply with established international standards, such as the ARRIVE guidelines (<https://arriveguidelines.org/>).

9 Descriptions of proposed investigations involving dual use research of concern

Please examine whether your proposed project involves an immediate risk of yielding knowledge, products or technology that could intentionally be misused (also by third parties) to cause substantial harm. If such a risk exists, please describe the benefits of pursuing this work weighed against the risks of potential misuse and what measures are planned to minimise these risks. Refer to the guidelines contained in the publication “Scientific Freedom and Scientific Responsibility – Recommendations on Handling Security-Relevant Research”, published by the DFG and the German National Academy of Sciences Leopoldina, 28 May 2014. If your university or research institution has a

research ethics committee, consult with them in advance and attach a statement by the committee with your proposal.

10 Research data and knowledge management in the centre

Explain what measures are envisaged for managing research data and knowledge within the centre and how participating institutions will support these measures. If research data or information will be systematically produced by the centre, describe the type, scope and documentation of the data and how these will be made available for future reuse by other researchers. Please regard existing standards and data repositories or archives in your discipline where appropriate.

Additional information and best practice examples can be found at

www.dfg.de/en/applicants/research_data

You may request project costs associated with making research data available for future reuse.

11 Other information

If, from your point of view, additional details are important that could not be listed elsewhere in the proposal, please explain them here. If other programme elements are planned, such as public relations work or transfer projects, please describe these aspects as well.

12 Project requirements

12.1 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).

12.2 Researchers with whom you have collaborated scientifically within the past three years

This information is aimed at helping the DFG Head Office avoid potential conflicts of interest or bias.

12.3 Project-relevant cooperation with commercial enterprises

If you plan to work with a commercial enterprise, please note the EU guidelines on state aid¹ or contact your research institution in this regard.

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 in DFG form 54.014.

www.dfg.de/formulare/54_014

12.4 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.

12.5 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.

12.6 Additional information

If applicable, please list proposals previously submitted to a third party here.

13 Requested Modules

Explain each item for each applicant (stating last name, first name).

A list of the modules that can be applied for can be found in the centre guidelines. Note additional instructions on submitting proposal modules in the relevant module guidelines.

¹ Framework for State Aid for Research and Development and Innovation (2014/C 198/01)

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.

For electronic proposal submissions, please note that euro amounts will automatically be rounded to the nearest hundred, which could result in slight discrepancies in the staffing amounts.

APPENDICES

- a) The proposal must include each applicant's **academic curriculum vitae**. Please divide the list of publications in your CV into your most important publications (max. ten) and project-specific publications (max. ten).
Please refer to the "Guidelines for Publication Lists".

www.dfg.de/formulare/1_91

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

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.

- b) Submit a **list of other individuals participating in the centre** who will not be financed through the centre.
- c) Include a **list of envisaged fellows**, stating their names, home institution, research area and status (envisaged, contacted, accepted).
- d) A **letter by the university** guaranteeing what types of support it will provide to the centre must be included with the proposal. Should replacement costs be requested, the university must also confirm in writing exemption from teaching obligations.
- e) For renewal proposals, please include a complete list of publications brought forth by the centre.

- f) 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.

Naming Protocol for Proposal Documents

Document	Document Name
project description (Beschreibung des Vorhabens)	Beschreibung_des_Vorhabens
ethics statement (Ethikvotum)	Ethikvotum
complete list of publications by the centre (Gesamtliste der aus der Kolleg-Forschungsgruppe hervorgegangenen Publikationen)	Publikationsliste_gesamt
list of centre participants (Liste der Beteiligten an der Kolleg-Forschungsgruppe)	Liste_KFG-Beteiligte
list of envisaged fellows (Liste der vorgesehenen Fellows)	Liste_Fellows
letter of support by the university (Unterstützungsschreiben der Universität)	Unterstützungsschreiben_<name of university>
curriculum vitae and list of most important and project-related publications (Wissenschaftlicher Lebenslauf mit Verzeichnissen wichtigster und projektbezogener Publikationen)	CV_PubList_<person's last name>
accepted manuscripts (Zulässige Manuskripte; erforderliche Annahmestätigung)	<year>_<last name_author>_<keyword> Bestätigung_<year>_<last name_author>_<keyword>