

# Guidelines

## Proposal Submission under the Collaborative Research Centres Programme

These guidelines are intended to facilitate the preparation of a proposal under the grant programme for Collaborative Research Centres (CRCs), including the CRC/Transregio variation. A proposal for the funding of a Collaborative Research Centre must provide a complete, self-explanatory description of the research programme and the proposed funding requirement. By submitting the proposal, the applicant university/universities and the participating researchers agree to adhere to the rules of good scientific practice.

Proposal submission to the Collaborative Research Centres Programme must be preceded by the submission of a draft proposal and a consultation phase. Please refer also to DFG form 60.003.

Further information can be obtained from the responsible programme officers in the Research Centres Division and, for research-related questions, the responsible programme officers in the Scientific Affairs Department. The DFG Head Office may return for revision any proposals deviating from the specifications in these guidelines or the templates mentioned below.

## A. Preliminary Proposal

The preliminary proposal should be submitted to the DFG Head Office as early as possible, but no later than six months before the review date. The preliminary proposal is not reviewed; it merely helps the DFG Head Office to prepare the review and plan finances, as it provides the basis for the selection and composition of the review panel. The sooner these documents are sent to the DFG, the greater the chance of securing reviewers for the review date.

The preliminary proposal contains a complete summary table of all projects that will be submitted for funding. This also includes specific programme modules such as Integrated Research Training Groups, projects concerning information infrastructure and public relations, service projects, and transfer projects. For each project, a brief summary of about one-half page should be provided. In addition, project-related, publicly available papers by the participating researchers should be listed. The maximum number of publications that can be listed is ten.

Furthermore, the preliminary proposal includes the research profiles of all project leaders involved in the proposal. Please preface the profiles by including a table listing all participating project leaders, the year they obtained their doctorates, and their (current) institutional affiliation. The research profiles should be prepared according to the same rules as those for the establishment or renewal proposal (see section B.3).

Following the research profiles, a list should be included of researchers in Germany and abroad with whom collaboration or coordination exists or is specifically planned, broken down by project, and with whom the project leaders have collaborated in the past three years on joint research projects. This is intended to help the DFG Head Office to rule out potential conflicts of interest in the review process.

Finally, for budgetary planning purposes please include an estimate of the CRC's expected funding requirements as part of the preliminary proposal. For this purpose, include a summary table of the grant funding you expect to request (sum of expenses for staff, direct project costs and major research instrumentation for the entire Collaborative Research Centre, broken down by years but not by projects; depending on the start of funding, either 1 January or 1 July, the requested funds must be distributed across four or five financial years). To calculate staff costs, please use DFG form 60.12.

Furthermore, please specify all major research instrumentation costing more than €50,000 per item for which you intend to request funding. State the name of the instrumentation, the year in which you expect to acquire it, and the expected purchase price including VAT.

Please send the preliminary proposal as a PDF file via e-mail to the responsible programme officer in the Research Centres Division and to [SFB-Begutachtung@dfg.de](mailto:SFB-Begutachtung@dfg.de).

## **B. Establishment and Renewal Proposal**

### **1. General instructions**

Proposals should be prepared using the templates provided for establishment proposals (DFG form 60.100) and renewal proposals (DFG form 60.200). The German versions of these templates include detailed instructions, which should be taken into consideration when preparing a proposal in English or German. Be sure to use the current version of the appropriate template.

In consultation with the DFG Head Office, determine in advance whether the proposal should be written in English or German. For English proposals, use the appropriate English-language proposal templates. The templates that include instructions are only available in German, but must also be considered when preparing English proposals.

The preparation of a proposal to establish a Collaborative Research Centre is preceded by a consultation phase (see DFG form 60.003). For information on planning a review, be sure to note DFG form 60.022 as well. Guidelines on review criteria can be found in DFG form 60.14.

### **2. Format**

Proposals and research profiles (see below) should be submitted in A4 format with a font size of at least 10 points. A proposal must not exceed 400 pages in length (i.e. 200 double-sided A4 sheets), including any appendices. The pages of the printed proposal should be continuously numbered.

Each proposal for an individual project (see proposal template) starts on a right page. The previous page should be left blank for notes; ideally, a light-coloured separator sheet (not to be counted towards the maximum number of pages) should be inserted here. For projects, the respective code should be indicated at the top of each page.

On the back of the proposal volume (fourth cover page), a list of all included projects should be printed. For renewal proposals, completed projects should be marked E and new projects should be marked N on the back cover as well (see also the template with instructions, DFG form 60.200 in German).

### 3. Research profiles

Each establishment and renewal proposal includes a separate volume with research profiles. These research profiles should provide information on each project leader's career and publication history. Please follow the outline below. Chronological listings should start with the most recent event.

#### 1) *General information*

- Last name (if applicable name at birth), first name, academic title, date of birth, gender
- Work address, telephone number, e-mail address
- Current position and status, e.g., postdoctoral researcher, Emmy Noether Junior Research Group leader, junior professor, Heisenberg recipient, tenured professor (C3, C4, W2, W3)
- If family obligations, such as caring for children or other relatives, have delayed the progress of your academic career, specify the relevant periods (parental leave, caregiver leave) and, if applicable, your children's birth years. This information will also be taken into account when considering the career status of the project leader. To be considered an early career researcher, project leaders must have obtained their doctorates no later than eight years prior to the start of their proposed grant period. For female project leaders who took parental leave during this time, this 8-year period can be extended by two years per child (up to a maximum of 12 years). Male project leaders can only extend the 8-year period by two years per child (up to a maximum of 12 years) if their research profiles indicate that parental leave was taken.

#### 2) *University training and degree*

- Subjects of study (YYYY – YYYY), universities, degrees, thesis supervisors

#### 3) *Advanced academic qualifications*

- Habilitation: subject, university, year of completion, mentor
- Doctorate: subject, university, year of oral examination, supervisor
- Other advanced qualification: subject, university / institution, year of completion, supervisor or mentor

#### 4) *Postgraduate professional career*

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- Periods (YYYY – YYYY), position / function (postdoctoral researcher, etc.), university / institution / company

#### 5) *Other*

Editorships, service on scientific advisory boards, awards, etc.

#### 6) *Publications*

List your most important publications here. They need not relate to your project.

Publications should be divided into

- a) articles which at the time of proposal submission have been published or officially accepted by publication outlets with scientific quality assurance, and book publications;
- b) other publications;
- c) patents, subdivided into pending and issued.

The total number of works listed under a) and b) combined may not exceed ten. When listing papers that have been officially accepted for publication but not yet published, the manuscript and the publisher's dated acknowledgement of acceptance must be included on the USB stick for the DFG Head Office (see below).

The project leaders' dates of birth and gender are collected for identification and statistical purposes only.

### **4. Additional proposal documentation**

The signatures of the heads of the Collaborative Research Centre and of the applicant university/universities that are required at various points in an establishment or renewal proposal only need to be submitted once per person in the original. This original should be enclosed with the proposal volumes. The various passages requiring signatures can also be combined on a single sheet and signed together.

The package with the proposal volumes should also contain a USB stick with *Documentation for the DFG Head Office*. This USB stick should include all of, and only, the following documents (with no reading, copying or printing restrictions on the electronic documents). Each of these items corresponds to a single file, so the USB stick should contain no more than six files:

- 1) The complete grant proposal as a single PDF file (max. 30 MB)
- 2) All research profiles as a single PDF file. Please use a hyperlinked table of contents.
- 3) An overview of the projects as in section 1.1.4 of the proposal as a single Word or RTF file

- 4) The following information in both German and English as a single Word or RTF file:
  - Title of the Collaborative Research Centre
  - Summary of the research programme of the Collaborative Research Centre(max. 3,000 characters including spaces)
  - For each project (excluding completed projects in renewal proposals): title and short summary of the work programme in 5 to 7 lines
  - List of the participating institutions and institutes
- 5) In one single PDF file entitled *Documents not available to the public*: All documents referred to in the proposal volume or the research profiles but not publicly available (e.g. works accepted for publication but not yet published), including any documents of proof. Please add at the beginning of this file a hyperlinked table of contents, sorted by projects (for works cited in the proposal volume) and by people (for works cited in the research profiles).
- 6) All ethics votes as a single PDF file (if applicable)

The summaries of the topic of the Collaborative Research Centre and of all projects will be part of the decision documentation for the Grants Committee on Collaborative Research Centres. The DFG Head Office will provide to the review panellists an electronic copy of the proposal as well as the PDF file with publicly unavailable documents via the *elan* portal.

The data necessary for processing your proposal will be stored and processed electronically by the DFG.

By submitting a proposal you agree that, if the proposal is approved, your work address and contact details (name, institution and location, phone, fax, e-mail and website) as well as information about the content of the project (e.g. topic, summary, keywords, subject area, DFG programme, funding period, international connections) will be published in the GEPRIS information system (see [gepris.dfg.de/en](http://gepris.dfg.de/en)) and may be published in other, non-commercial publications and databases created in cooperation with the DFG.

You may withdraw your consent to full/partial publication at any time, without affecting the lawfulness of any processing carried out prior to your withdrawal. If you would like to withdraw your consent, please notify the responsible DFG programme contact, preferably in electronic form.

## 5. Submission of documents

Please send 20 copies of the printed grant proposal, 20 copies of the corresponding volume with the project leaders' research profiles, and the USB stick with *Documentation for the DFG Head Office* (see above) to the DFG Head Office, Research Centres Division, 53170 Bonn. The DFG Head Office will forward the proposals to the members of the review panel and the two rapporteurs from the Senate Committee on Collaborative Research Centres.

Two copies each of the grant proposal and the research profiles should be submitted directly by the Collaborative Research Centre to the relevant state ministry or ministries.

## C. Supplementary Proposals

Supplementary proposals during a funding period may be submitted by the CRC spokesperson in consultation with the head of the applicant university/universities if

- the new project will be headed by an individual who was newly appointed to an applicant university and whose entry into service precedes the receipt of the supplementary proposal by no more than one year, or
- the new project will be headed by an early career researcher who holds a core-funded position at an applicant university and has obtained during the current funding period the qualifications that enable him/her to lead a project independently, or
- the new project is a Transfer Project, or
- this option is made available by the DFG Head Office as part of programme development for certain types of projects (public relations), or
- unavoidable overspending has occurred, e.g. due to parental leave, or
- this has been explicitly permitted in the award letter or agreed upon with the DFG Head Office in some other way.

Supplementary proposals can generally be submitted up to two years prior to the end of the CRC's current funding period. In justified cases, a supplementary proposal may be submitted for a public relations project whose proposed funding duration extends beyond the end of the current funding period. Supplementary proposals for transfer projects may be submitted up to the end of the total duration of the Collaborative Research Centre. In any case, such a supplementary proposal should be submitted only if the Collaborative Research Centre has already spent or earmarked its lump-sum funds.

A supplementary proposal for a project should generally be based on the same template as a project that is part of an establishment proposal for a Collaborative Research Centre or CRC/Transregio (see DFG form 60.100). The aforementioned formatting rules apply correspondingly. In addition, a research profile of the newly designated project leader should be submitted (see above).

Please submit the following proposal documents electronically (with no reading, copying or printing restrictions on the documents), for example on a USB stick, via the DFG's exchange portal or a secure download portal provided by your university, to the responsible programme officer in the Research Centres Division:

- 1) The supplementary proposal as a single PDF file
- 2) The research profile as a single PDF file
- 3) In both German and English as a single Word or RTF file: the title of the project and a summary of the work programme in 5 to 7 lines
- 4) All documents referred to in the proposal or the research profile but not publicly available (e.g. works accepted for publication but not yet published), including any documents of proof
- 5) Ethics vote (if applicable)
- 6) Letter of endorsement by the applicant institution's administration