

## Guidelines

# Initiation of International Collaboration Programme 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.

## Guidelines

### I Programme Information

#### 1 Objective

The funding instrument “Initiation of International Collaboration” supports the preparation of a project within the framework of international research collaboration. It consists of the components “Exploratory Workshops”, “Project-related Trips Abroad” and “Project-related Guest Visits”.

Further explanations can be found in the proposal preparation instructions below.

This funding instrument is not intended to support the implementation of joint research projects (see Research Grants Programme, DFG form 50.01), international conferences (see International Scientific Events and Annual Conferences of Scientific and Academic Associations, DFG form 1.09) or meetings of research networks (see Scientific Networks, DFG form 1.03).

#### 2 Proposals

##### 2.1 Eligibility

Researchers in Germany, or those working at a German research institution abroad, who have completed their academic training (a doctorate as a rule) are eligible to apply.

In general, individuals who 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 are not eligible to apply.

Researchers who are employed at one of the institutes or member organisations of the Max Planck Society, Fraunhofer Society, Helmholtz Association or Leibniz Association, researchers working at a publicly funded institute associated with one of these organisations, and researchers working at international research facilities located in Germany should note the rules on the duty to cooperate.

[www.dfg.de/formulare/55\\_01](http://www.dfg.de/formulare/55_01)

## 2.2 Format and deadline

Proposals may be submitted at any time. It is strongly recommended to submit proposals no later than six months before the start of the activity, so that sufficient time remains after the decision for visa matters, booking inexpensive flights, etc.

A subsequent proposal with the same participants may be submitted only if its necessity is derived from the results of the first grant and the proposed activity constitutes definite progress from the initial one.

The proposal format and the information provided must adhere to the proposal preparation instructions below.

## 3 Duration

The grant is available for up to 12 months. The individual activities must be carried out within this period. For the duration of the different activities, please refer to the following explanations.

# II Fundable Components

To initiate international collaborations, applicants can request funding for the following components. These components can be combined if they are in close temporal relationship and if this facilitates especially effective preparation of a joint project.

## 1 Exploratory workshops (usually bilateral)

Workshops serve the purpose of exploring collaboration opportunities on a specific topic with the proposed cooperation partners abroad or of preparing a specific joint project idea. Workshops may take place either in Germany or abroad. Participants should generally hold a doctoral degree; the total number of participants from Germany and the partner country who may be funded is limited to 30. If the workshop takes place abroad, the number of participants from Germany is limited to 15.

In justified exceptional cases, individual guests from other countries can also be invited to attend exploratory workshops. However, please note that the maximum number of participants must still be observed.

As part of the component, applicants can request an allowance towards the total costs of the workshop. This particularly includes travel and accommodation expenses for participants from Germany, the partner country and where applicable from other countries, as well as the costs of organising the meetings.

## 2 Project-related trips abroad

The DFG can provide funding for trips that are necessary for preparing a specific joint project. Funding can be provided for trips abroad of up to three months in length.

In general, only researchers with at least a doctoral degree can be awarded funding for trips abroad.

## 3 Project-related guest visits

If it is necessary for preparing your joint project, you can invite the proposed cooperation partners from abroad (who generally have a doctoral degree) to spend a maximum of three months in Germany for this purpose. You can apply for funds for travel and maintenance expenses for this purpose.

Please note that the DFG will examine whether individual cost items must be covered by an international partner organisation due to agreements with that organisation. The DFG will contact you if necessary.

If, in individual cases, the funds granted do not fully cover the costs, applicants must supplement the funding with their own funds or reduce the costs. It is not possible to apply for additional funding from the DFG.

### 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.

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.

In the event of scientific misconduct, sanctions may be imposed which are described in greater detail below. 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);

---

<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).

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

- 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.

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. agree to submit reports 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.

The coordinator from Germany must submit a proposal for the proposed components and, if a grant is approved, is responsible towards the DFG for the funding transactions. Budget items must be requested and managed in compliance with the relevant institution's budget and accounting rules.

## 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

These instructions apply to proposals to support the initiation of international collaboration.

A proposal consists of the following three parts:

- A - Proposal Data and Obligations
- B - Project Description
- C - Attachments (always include one academic curriculum vitae per applicant as well as per co-operation partner with a list of the 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](http://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 provide information on the initiation of the international collaboration and the participating individuals, and to 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](http://elan.dfg.de)

## B Project Description

For the description of your project, please use the appropriate template in German or English provided in elan. Your project description may not exceed 10 pages in length.

Note the instructions below:

### 1 State of the art in the relevant subject area

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 your own research and in what areas you intend to make a unique, innovative, promising contribution. Please describe the research area in which you seek to collaborate. Clearly separate your explanations of the activities to initiate collaboration from the actual research projects you wish to pursue. The description must be understandable without referring to additional literature.

### 2 Objectives and work programme

#### 2.1 Anticipated total duration of collaborative activities and work programme

Please indicate what activities are planned over a 12-month period and include their individual durations.

#### 2.2 Objectives

Give a brief general outline and the scientific/academic objectives of

- the activities to initiate collaboration,
- the targeted research topic.

Why does this require funding, and what is the specific objective of the activity? What added value do you expect from the international cooperation?

## 2.2.1 Information on exploratory (generally bilateral) workshops (if applicable)

The following information is required:

- List of participants from Germany and, if available, an overview of presentations (speakers, topics)
- List of participants from abroad and, if available, an overview of presentations (speakers, topics)
- If, in exceptional cases, non-doctorate holders are to participate: special justification of why this is necessary

## 2.2.2 Information on project-related guest visits and project-related trips abroad (if applicable)

The following information is required:

- Research contributions by project participants in Germany and abroad (for each traveller or guest)
- If, in exceptional cases, non-doctorate holders are to participate: special justification of why this is necessary

## 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)

### 3 Requested funds

Please enter and justify the requested amounts for the following components below for all participating individuals (stating last name, first name, country). Calculation of travel (travel expenses, per diem and accommodation) should be based on the federal legal regulations for travel costs or the state regulations according to the state in which the applicant works.

In the electronic form, enter only the total sum of requested funds.

#### 3.1 Exploratory workshops (usually bilateral)

Indicate and justify the amount of funding requested.

#### 3.2 Project-related trips abroad

Enter the number and length of the planned trips abroad during the funding period, as well as the total amount of funding requested for trips abroad. State the foreign host, including the person's name, academic title and address of their institute (including e-mail address). Explain why the stay is necessary to plan the project and state the anticipated costs for each trip.

#### 3.3 Project-related guest visits

Enter the amount of funding requested. Justify the amount with reference to the proposed number of cooperation partners and the duration of their stay. Please note that honoraria and remuneration are not eligible for funding.

Funds for participating in workshops, including as part of project-related guest visits or project-related trips abroad, must be requested through the exploratory workshops component.

### 4 Additional information

#### 4.1 Financial contributions by the foreign partner organisation (if applicable)

#### 4.2 Explanations regarding any possible safety-related aspects (if applicable)

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>3</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 topic, research partners and research conditions, and what measures are planned to minimise risks in the event of a subsequent implementation of a joint project. 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.

## 5 Other submissions

List any funding proposals for this project previously submitted to a third party.

## 6 Other information

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

---

<sup>3</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.

## C Attachments

- Letter of invitation from the host (for trips abroad and guest visits).
- An academic curriculum vitae for each applicant and cooperation partner, including 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](http://www.dfg.de/formulare/53_200_elan)

Please note the "Guidelines for Preparing Publication Lists".

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

For **proposals submitted electronically via elan**, you will be asked to upload the required documents before submission. 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.