

Guidelines and Supplementary Instructions

e-Research Technologies



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.

Deutsche Forschungsgemeinschaft

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I Programme Information

1 Objectives and Scope of Funding

As part of its Scientific Library Services and Information Systems Programme, the DFG funds projects at research institutions and other research service and information centres in Germany. The aim is to set up efficient nationwide research information systems.

1.1 Background

Academic research is increasingly shaped by the fact that nearly all steps of the research process occur in digital work environments and networked forms of organisation. These systems are often what makes research possible in the first place, and they further increase the quality of research results. The techniques and procedures underlying this method of working are based on functionalities and mechanisms of digital, web-based networks and support (often collaborative) work on and with scientific information and data. These techniques and procedures will subsequently be referred to as e-research technologies.

1.2 Objective

The e-Research Technologies Programme accepts grant proposals for the establishment and development of nationwide digital information infrastructures serving all or certain fields of research. The programme provides funding for

- the development and design of technologies, tools, methods and applications to procure, to access and utilise, to process and evaluate, as well as to safeguard scientifically relevant information;
- the development and design of organisational structures necessary for the use of e-research technologies, and of funding models able to support their operations over the long term;
- the conception and implementation of measures that familiarise scientists and academics with the proposed e-research technologies, train them in the use of information infrastructures, and thus help to increase utilisation;
- analytical studies on topics related to digital research if the findings will be used directly for the development, implementation or consolidation of e-research technologies.

1.3 Scope of funding

Since any infrastructure undergoes different phases from needs analysis to regular operations, funding can be requested to functionally and temporarily support the development and expansion of e-research technologies in three different phases. Different requirements apply to these three phases (see V - Supplementary Instructions). Grants are available for projects focused on

- application-oriented development and testing of e-research technologies;
- the implementation of e-research technologies;
- the consolidation and optimisation of existing e-research technologies.

Projects ineligible for funding are those whose objective or implementation is considered a basic responsibility of its host institution. This includes, for example, innovations of a purely technical nature, maintenance or usage analysis. Training programmes cannot be funded separately, but only in conjunction with a project that develops or expands an e-research technology. Projects aimed solely at the development or optimisation of the information infrastructure of individual research projects, institutions or sites are also not eligible for funding.

Excluded from this programme are also projects that can be clearly assigned to another DFG funding initiative in the area of Scientific Library Services and Information Systems. Note in particular the grant programmes for *Information Infrastructures for Research Data* and for *Infrastructures for Scholarly Publishing*.

2 Proposals

2.1 Eligibility

In general, members of non-profit research information infrastructure facilities such as libraries, archives, museums, research collections, research data centres or computing and information centres are eligible to submit proposals. Researchers in Germany or those working at a German research institution abroad who have completed their academic training (generally by obtaining a doctorate) are also eligible to apply.

In general, you are not eligible to submit a proposal if you 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.

Since funding provided in the area of scientific library services and information systems is intended to achieve improvements to nationwide information infrastructures, and its results benefit research as a whole, institutes and member organisations of the Max Planck Society, the Fraunhofer-Gesellschaft, the Helmholtz Association, the Leibniz Association, and publicly funded research institutions associated with these organisations, and German sections of international information infrastructure institutions are also eligible to apply.

2.2 Funding conditions

When the aim of DFG project funding is to build a nationwide structure for the longer term, it is expected that the proposal be submitted and supported by or in conjunction with an institution that is able to maintain the project findings and ensure their sustainability.

2.2.1 Project requirements

Applicants are expected to convincingly demonstrate the scientific need for any e-research technology they intend to implement or consolidate (environment and needs analysis). Detailed application examples and usage scenarios can support the presentation of the needs analysis.

The projected technologies must be accepted by a particular research community. This requires that the scientifically appropriate use of these technologies is possible – particularly when it comes to infrastructures that support research processes on which researchers at different locations collaborate. The more interaction there is between the needs of the academic community, the research processes, and the designing of the necessary information infrastructure, the stronger the case for joint proposal submission by representatives of infrastructure facilities and the academic research community.

Applicants are expected to obtain comprehensive information on national and international developments and demonstrate that they are taking into consideration any existing methods, processes and tools that could be reused or further developed.

The technical compatibility of infrastructures must be ensured and explained in the proposal. It is therefore imperative to note and apply relevant, existing standards and procedures that ensure interoperability even at the international level (e.g. persistent IDs for authors, texts and data; open interfaces; metadata standards for long-term archiving; Creative Commons licences or licences for software reuse). In addition, the proposal must demonstrate compatibility and interplay with existing national and international systems and developments, the appropriateness of the legal framework, as well as the integration into a plausible process chain.

If an in-house technical development is planned as part of the proposed project, the proposal must discuss any existing similar solutions and why they cannot be used.

If the proposed project aims to implement a service or a tool, it can only be funded if the financing and maintenance of the project results will be ensured after the DFG grant expires. Only for projects with a strong experimental orientation, where the long-term prospects of successful broad-based implementation cannot be fully assessed until the project is completed, can the question of how the project results can be maintained in the long term be initially disregarded.

If applicable, indicate whether the proposed project has already received a grant from a third party or if a funding request for this project has been submitted elsewhere.

2.2.2 Project results

All publications and findings resulting from the projects must be open access and remain accessible. Licences that are as open as possible (e.g. CC-BY or CC0) must be granted, which indicate clearly to what extent the reusability of publications or parts thereof is guaranteed.

All project findings must be disseminated to the relevant community and made available for reuse free of charge, also to third parties. Disclosure of any source codes produced is mandatory; in general, project results must be made available in open source in a suitable location (e.g. GitHub, SourceForge). This includes comprehensive documentation. Wherever possible, unambiguous licences will specify the scope of the reusability of software or publications.

All content available online that is created using DFG funding – including software developments – must be edited, indexed and/or disseminated in a manner that guarantees maximum findability. The corresponding metadata must meet relevant standards for it to be integrated into international subject-specific or other cataloguing systems.

The technologies, tools, methods, organisational forms or business models developed during the course of the project must be potentially reusable and transferable to other contexts.

2.3 Proposal structure

Proposals for projects in the area of scientific library services and information systems must be structured in accordance with the relevant proposal preparation instructions:

www.dfg.de/formulare/12_01

Please base your proposal on the outline in this template. Specific explanatory comments regarding this programme can be found in the supplementary instructions under V.

2.4 Deadline

Proposals can be submitted at any time.

2.5 Further information

Please note that under the funding programme, additional funding opportunities may be announced in the form of time-limited calls for proposals aimed at particular topics. Note that funding proposals involving the same topic as a special funding call cannot be submitted until the call is closed and funding decisions have been made.

The hosting of roundtable talks may also be funded for the purpose of strategic planning, nationwide collaborations in the sense of self-organisation processes and networking measures for communities, as well as the further development of funding arrangements. Please contact the responsible DFG programme contact if you have any questions.

3 Duration

Initial funding can be approved for up to three years. The total funding period should not exceed six years.

II Proposal Modules

Under this funding programme, you may submit one or more of the following modules. For more details, please see the respective guidelines for each module.

1. Basic Module

Use the basic module to request funding for direct project costs, project-specific staff, and instrumentation necessary to carry out the project.

www.dfg.de/formulare/52_01

2. Project-Specific Workshops

If you would like to conduct workshops as part of your project, you may request funding to help you do so. Please note that this module cannot be submitted separately but only in conjunction with the proposed project.

www.dfg.de/formulare/52_06

III Obligations

In submitting a proposal to the DFG, you

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

2. recognise the **Rules of Procedure for Dealing with Scientific Misconduct** (Verfahrensordnung zum Umgang mit wissenschaftlichem Fehlverhalten – VerfOwF)² as legally binding.

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);
- 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;

¹ The principles of good scientific 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).

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

- 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.

By accepting funding, the recipient agrees to:

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. submit progress reports on the research 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.

IV Data Protection

Please note the DFG's Data Protection Notice for Research Funding, which you can access at www.dfg.de/privacy_policy. Where appropriate, please also forward this information to those persons whose data will be processed by the DFG because of their involvement in your project.

www.dfg.de/privacy_policy

V Supplementary Instructions

Please base your proposal on the Proposal Preparation Instructions for Project Proposals in the Area of Scientific Library Services and Information Systems.

www.dfg.de/formulare/12_01

In addition, refer to the information in these supplementary instructions on submitting proposals for the e-Research Technologies programme. The section titles below are based on the titles in the proposal preparation instructions. Proposals must be submitted via elan:

elan.dfg.de

Part B: Project Description

1. State of the art and preliminary work

- Indicate whether your proposal concerns a) development and testing, b) implementation or c) consolidation of e-research technology.
- Explain what preparatory work has been done to determine the need for the technology that you plan to develop, establish or consolidate.
- If you intend to consolidate or adapt digital technology, discuss the previous use of the service in quantitative and qualitative terms.
- Explain the requirements of a specific community for the technologies you plan to develop, implement or consolidate; how these technologies can be used in a scientifically appropriate way; and how acceptance of these technologies can be demonstrated or at least made plausible.

2.2 Objectives

- Explain how and in what way the technology you plan to develop or optimise is expected to affect work processes in the target community.
- If you are proposing an experimental project, explain why the planned development should be considered viable for the future, what risks should be expected in the realisation of the project and how these risks will be managed in the course of the project.

2.3 Work programme and proposed research methods

- Describe in detail how the proposed project will feed back into the relevant communities even during the early stage of development, and how broad-based use of the technology can be established.
- State whether relevant standards or best practices are already established for the proposed project and how these are taken into account.
- Explain what kind of project-internal evaluation you envision and what concrete measures you plan to evaluate the experiment or the establishment or adaptation of the technology.

Regarding the different stages in the development of infrastructure, the following additional requirements apply:

For projects on application-oriented development and testing of e-research technologies:

Eligibility extends to all kinds of subject-specific or interdisciplinary or multidisciplinary technical, organisational or economic development projects on information infrastructure. The proposal should formulate a clear thesis on how the project will test novel approaches to operate specific e-research technologies and identify what criteria will be used to determine whether the implementation was successful.

Projects in this area may be experimental and open-ended. If this is the case, the proposal should explain precisely why the project must be open-ended and what benefits the project is expected to yield.

For projects on the implementation of e-research technologies:

Implementation of e-research technologies requires, in particular, testing and development work that leads to regular operations and continuous usage of an infrastructure.

The proposal must include an analysis that clearly demonstrates the scientifically relevant need for the methods, procedures or functions that are planned and subject to implementation. In addition, it should describe the project control mechanisms and individual steps envisioned in order to ensure the long-term viability of the intended e-research technology, as well as the future operating structure. If the infrastructure is strongly geared towards subject-specific use, researchers should be appropriately involved in the implementation of the project as early as possible. Finally, the proposal should explain and justify what type of evaluation is envisioned within the project, why a specific evaluation method has been chosen, and what project-internal steps are planned to evaluate the implementation.

For projects on the consolidation of e-research technologies:

Projects focused on consolidation are based on (possibly diverse) e-research technologies that are already operational in order to adapt, improve, merge or innovatively develop them.

The merger or adaptation of e-research technologies aims to increase the usability and usage of infrastructure and to eliminate inefficient redundancy of tools or services. At the same time, it strives to establish the relevant technologies over the long term. Use and user analyses should therefore be presented in a way that allows conclusions to be drawn regarding the current acceptance and role of the e-research technologies in question. The proposal must explain the purpose of the merger or adaptation and provide a forecast of the result of the

consolidation. A project-internal evaluation should be planned as well. Details on sustainability planning and the organisational model for long-term operations are mandatory.

4.3 Measures to meet funding requirements and handle project results

- Describe in detail actions which will ensure that the infrastructures developed with DFG funding will continue to be reliable and, especially when it comes to consolidated technologies, sustainable after the grant expires.
- If your proposal is of a very experimental nature, state the criteria which can be used to evaluate whether the project, on or after its completion, has fulfilled expectations in terms of the solution developed, whether this solution should be widely adopted and implemented, and possibly what measures would be suitable to accomplish this.

4.4 Formal assurances

Please confirm by stating the following phrase in the proposal that "publications resulting from the project and any relevant documentation will be available via open access, making them widely accessible for use by third parties" and that "the source code for the software developed under the project will be documented in accordance with the principles of open source and made available for use by third parties".

5.9 Financial contributions

Applicants are expected to make a reasonable financial contribution to the project, e.g. in the form of staff and direct project costs. For projects aimed at the implementation or consolidation of infrastructures, the contribution is expected to be significantly higher than for experimental projects.

Part C: Appendices

Additional information and data sheets

- If the proposal is submitted by members of a research information infrastructure facility, the applicant must enclose a declaration from the facility's director stating that:
 - the long-term accessibility of the texts and/or objects to be made available and/or digitalised is ensured;
 - the financial contribution required within the scope of the programme will be made;
 - the results of the project will be supported once DFG funding has expired.

www.dfg.de/formulare/12_141

VI Information

For further information, please contact:

- Formal queries
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