

Guidelines

for proposal submission in the programme
“Research Impulses” (establishment proposals)



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

Kennedyallee 40 · 53175 Bonn, Germany · Postal address: 53170 Bonn, Germany
Tel.: + 49 228 885-1 · Fax: + 49 228 885-2777 · postmaster@dfg.de · www.dfg.de



A. General Information

The following data and documents must be submitted electronically to the DFG Head Office via the DFG's elan portal:

- **Master data (see below for explanation)**
- **Proposal incl. appendix** (in elan: "Project Description")
- **Covering letter from the management of the applicant university of applied sciences (HAW/FH) (hereinafter: higher education institution – HEI).**

The proposal, including appendix, must be submitted as a printed version in 15 copies to the DFG Head Office immediately after the electronic version has been submitted, quoting the keyword "FIP + title". The proposal and appendix can be in English or in German.

The proposal – in A4, Arial 11pt, line spacing 1.2 – must not exceed 70 pages (excluding cover page, list of abbreviations, table of contents and appendix). You are welcome to create a navigable table of contents in the PDF document. A different font size and line spacing can be used in the tables, figures, footnotes and bibliography provided good legibility is ensured. The sample proposal sets out a binding structure, at some points including tables: unless otherwise stated, this must be adhered to. Applicants are allowed to provide a more detailed breakdown and insert additional tables and figures. Please make clear what the financial requirements are for the implementation of the planning as set out in the RI and indicate these without including a programme allowance. No links may be included to websites containing additional information specific to the proposal. Links to general websites may be included, for example those of the HEI/HEIs as well as generally accessible websites containing publications cited in the proposal. Only works that have been published or finally accepted for publication may be cited. For the latter, please submit the manuscript electronically along with confirmation on the part of the publication medium. If such a manuscript is already accessible on the internet, it is sufficient to provide a link or an identification number.

All text sections in grey font serve as guidance for the preparation of the proposal.

Master data

Please enter the following master data on the elan portal:

elan.dfg.de

The information provided here must match the relevant details as set out in the proposal itself.

Title in German and English

maximum 300 characters each, including spaces, no special characters

Summary of the proposal in German and English

a maximum of 3,000 characters each, including spaces; these texts are published online in the GEPRIS information system in the event of approval

Name(s) of the primary review board and, if applicable, other review boards reflecting the subject-specific orientation of the planned RI

Please use the DFG's subject classification system here:

www.dfg.de/en/dfg_profile/statutory_bodies/review_boards/subject_areas

Name of the applicant HEI

Name of the spokesperson

Other principal investigators

Approx. 5-10 people (with elan account)

Name(s) of other participating institution(s) in Germany

For example, HEIs, non-university institutions, museums, etc. that are expected to receive funds from the RI budget

Requested total of all project funds broken down by year

not including programme allowance

B. Guidelines for drafting the proposal

Please use the proposal template (DFG form 53.300) to draft your proposal. The following guidelines are intended to aid you in this process.

www.dfg.de/formulare/53_300_elan

1. General Information

- Title

maximum 300 characters each including spaces, no special characters

- Summary

maximum 3,000 characters each including spaces

- Name of the applicant HEI
- Name of the spokesperson
- Names of other principal investigators

List in a table in alphabetical order all persons who are significantly involved in the planned RI. Enter their current position at the institution (e.g. W3, W2, W1 professorship, junior research group leader, head of service platform, research assistant) and also whether the position is temporary or permanent.

- Name(s) of other participating institution(s) in Germany

If applicable, provide the names of HEIs, non-university institutions, museums and other institutions that are to make significant contributions and are expected to receive funding from the RI budget.

- Name(s) of cooperation partner(s)

If applicable, indicate here any institutions, companies or individuals, whether in Germany or abroad, that are to make significant contributions but are not to receive funding from the RI budget.

2. The objectives of the Research Impulse

Adhering to a maximum of five objectives, state what you consider to be the most important overarching objectives that you wish to achieve with the RI, against which the success of the funding should be measured. These can include structural development objectives as well as scientific objectives. The subsequent sections 3-5 are to indicate the measures you intend to use to achieve these objectives.

3. Research project

Explain your research project in sections 3.1 to 3.7, and also address those aspects from section 3.8 that are relevant to your project.

3.1 Scientific objectives, research approach and positioning within the research field

Explain the scientific objectives of the RI. Describe the relevant approaches, methodologies and measures you will use to pursue your objectives.

The following guiding questions might be helpful here:

What are the overarching scientific objectives at the heart of the RI? What particular scientific challenges does this pose and how do you plan to overcome them? In which areas does the research to be done by the RI have the potential to extend the current state of knowledge? What added value results from collaboration in the RI? Could the RI have an impact on the long-term development of the research field and/or open up new areas of research?

3.2 Structuring of the research project

Present an overview of the chosen structure for the research project, for example according to overarching topics or research fields and the way in which these topics or fields are being linked by the adopted structure. There are no set requirements for the structuring of the research project so as to make allowance for differing subject-specific needs. Arrangement according to research fields is possible, as are other forms of structuring. A detailed description of the specific objectives, tasks and work programmes of the individual research units is provided under point 3.4.

3.3 Personnel and institutional composition of the RI

Describe the scientific profile of the group of principal investigators. Explain which other experts and institutions are involved or will be involved in the future and how they will contribute to achieving the scientific objectives of the RI.

3.4 Detailed description of the research project

Describe the research project in detail following the structure presented under 3.2. For each research unit you are planning, name the researchers in charge and other responsible researchers, also considering the following points:

- specific scientific objectives of the research unit and contribution to the overall objectives of the RI
- state of research
- preliminary work completed by those involved, possibly jointly
- work programme (approaches, methods, risks and opportunities, alternative strategies)
- internal and external collaborations

3.5 Relevance of gender and/or diversity to research content

Explain how the gender or any other aspect of diversity, such as the health status, origin or culture of the

- researchers
- persons under study,
- individuals affected by an implementation of research results,
- animals under study,
- samples taken from humans or animals,
- in other respects

are relevant to the methods, programme of work or objectives of the research project.

3.6 Research data management

Describe the concept of the RI for handling research data. Provide details of what research data will be collected, used and/or processed in the RI and how these data (as well as underlying objects, where applicable) will be handled. Use this [questionnaire](#) as a basis. You should also take into account the relevant established infrastructures on site (e.g. library, computer centre or biobank at the applicant HEI), subject-relevant data infrastructures outside your institution (to be found in www.re3data.org, for example) and relevant NFDI consortia.

For more information on the DFG's expectations with regard to the handling of research data, please consult the following website:

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

3.7 Project- and subject-related list of publications

List the publications cited in the proposal here, including a DOI/URL if available. The bibliographical information should include the titles of the papers and the names of the authors. Publications with multiple authors can be cited as follows: "First author, second author, et int., last author". The font used for the publication list should not be less than Arial 9 point. **A maximum of ten** of your own publications that are most relevant to the project can be **highlighted** in bold or some other way.

3.8 Ethical and/or legal aspects of the project

3.8.1 General ethical aspects

Considering the discipline-specific standards and ethical regulations relevant to your project, indicate whether you anticipate any risks and/or harm to individuals or groups and/or the potential for other negative effects that might be posed by your research. If so, how do you intend to address these issues within the project? In general, applicants should examine whether their projects require a statement by an ethics committee.

3.8.2 Descriptions of proposed investigations involving humans, human materials or identifiable data

Please describe ethical and/or legal aspects of the experimental designs:

- criteria for the selection of test persons
- justification of the number of test persons or sample size
- description of potential risks and precautions taken
- explanation provided for test persons and method of informed consent

Note that an ethics approval by an ethics committee may have to be included. The use of human material obtained for diagnostic purposes also requires a statement by the chair of the local ethics committee.

3.8.3 Descriptions of proposed investigations involving experiments on animals

If animal experimentation is planned, explain how the principle of the 3Rs (replacement, reduction and refinement) will be implemented with regard to various aspects of scientific validity. If you have addressed these topics in previous sections, reference them here. Additional information and guidelines are available in the publication Animal Experimentation in Research: [The 3Rs Principle and the Validity of Scientific Research](#).

3.8.4 Descriptions of projects involving genetic resources (or associated traditional knowledge) from a foreign country

For research conducted abroad involving biological materials (or associated traditional knowledge) or research on biological objects originating from outside Germany, note that such projects may be subject to the regulatory requirements of the Nagoya Protocol under the Convention on Biological Diversity and the access and benefit-sharing (ABS) portions contained therein. Guidance on conducting such projects can be found, for example, in the publication Proposals for Research and/or Development Projects Involving Access to Genetic Resources and/or Traditional Knowledge Associated with Genetic Resources, published by the [DFG Permanent Senate Commission on Fundamental Issues of Biological Diversity](#).

Please comment on the ABS requirements that affect your project and indicate any steps you have taken or plan to take to fulfil these requirements. Discuss the role of your project's cooperation partner with regard to the provider country (the country providing access to the material/traditional knowledge). Explain what materials may be transported to Germany. Note that in addition to access and benefit-sharing agreements with the provider country, a declaration of due diligence may also be required in line with the German law "Gesetz zur

Umsetzung der Verpflichtungen nach dem Nagoya-Protokoll und zur Durchführung der Verordnung (EU) No 511/2014 sowie zur Änderung des Patentgesetzes”.

3.8.5 Explanations regarding any possible safety-related aspects (“Dual Use Research of Concern”; foreign trade law)

Please check whether there are indications in your planned research project that possible research results could produce knowledge, products or technologies that might be directly misused for significant harmful purposes (Dual Use Research of Concern, DURC). If there are such indications, please familiarise yourself with the recommendations issued by the DFG and Leopoldina on handling security-relevant research (see DFG and Leopoldina Handbook on Freedom and Responsibility in Research, Recommendations for Handling Security-Relevant Research, last revised 28 May 2014). In your proposal, describe how the risk/benefit ratio is to be assessed and what measures are planned to minimise the risk. If due to the regulations at your university or research institution, an ethics committee for security-relevant research (KEF) or a comparable body is to be involved in advance and asked to issue a statement on the project, please include this statement with the proposal. For further information, see the DFG website on handling security-relevant research. Projects must comply with foreign trade regulations (especially the War Weapons Control Act [Kriegswaffenkontrollgesetz], EC Regulation No. 428/2009 [EC Dual Use Regulation], the Foreign Trade and Payments Act [Außenwirtschaftsgesetz], the Foreign Trade and Payments Ordinance [Außenwirtschaftsverordnung] or embargo regulations) relating to the non-proliferation strategy and the handling of potentially critical goods, including technologies, software and sensitive knowledge transfer; applicants are advised to examine their projects accordingly. Information for researchers is available on the website of the German Federal Office for Economic Affairs and Export Control ([BAFA](#)).

If you require further clarification, please contact BAFA directly. For projects subject to licensing, please note that licences must be obtained from the responsible authority prior to beginning research on the project.

4. Priority research areas and research environment

Based on the suggestions below, create subsections as necessary to explain how the RI will contribute to establish priority research areas and structures, and also to strengthening the research environment at the applicant HEI. The individual subsections only need to be included if the aspects mentioned are relevant to your proposal. You are welcome to include additional subsections of your own.

4.1 HEI strategy development planning

Explain the significance of the RI to the applicant HEI. How does the topic to be pursued by the consortium fit into the profile of the applicant HEI? What research focus should be achieved or enhanced? To what extent is the RI to be seen as complementing other profile-building measures and strategies that may already have been implemented or planned, and if so, how is the RI distinct from these?

4.2 General Conditions

Explain the support for the RI in terms of personnel, finance and infrastructure to be provided now and in the future by the applicant HEI and, where applicable, the other participating institutions. If possible, explain how the use of the funds is embedded in the HEI's strategic plans and concepts, e.g. in connection with existing or planned service platforms and research data infrastructures. Where appropriate, cross-cutting approaches to technologies and information technology should also be considered.

4.3 Equity, diversity and intersectionality

Explain how the applicant HEI and the RI contribute to promoting gender equality and improved compatibility between academic work and family. If possible, outline how the issue of diversity in science will be addressed, too. Describe which measures will be applied to achieve your self-defined objectives in these areas, also with reference to the DFG's [Research-Oriented Equity and Diversity Standards](#). In doing so, consider the existing situation at the applicant HEI and within the participating departments or faculties. Do strategies of this nature already exist at this institutional level in which the activities of the RI are embedded?

4.4 Promotion of individuals in early career phases

Explain which concepts and measures will be applied to support those in early career phases at the various levels of qualification (i.e. students, doctoral candidates, postdocs and heads of junior research groups) within the context of the RI. Consider measures that allow individuals to acquire both subject-specific and cross-disciplinary qualifications (such as presentation techniques or the skills required for writing academic articles) that are helpful for a career in academia as well as in the non-academic sector. Where applicable, describe how such measures are to be integrated into structures already in place or yet to be established that seek to promote the aforementioned groups. If relevant, please also address the extent to which researchers at postdoctoral or junior research group leadership level are to be given an opportunity to take on responsible tasks within the RI and thereby establish their own profile in view of potential subsequent career stages.

4.5 Teaching

Describe how the RI will impact on teaching at the applicant HEI. Are new courses or lecture series to be put on? In view of the work to be done in the RI, might specific degree programmes even be reformed or newly established?

4.6 Collaborations

Provide an overview of existing and planned collaborations between the RI and institutions in Germany and, where applicable, in other countries. This list should not include institutions involved in the proposal at which one or more of the principal investigators are employed.

Institution as a cooperation partner	Location
Individual as a cooperation partner	Location/institution

4.7 Knowledge transfer and science communication

If applicable, please describe existing plans and structures for transferring the findings that will emerge from the RI into areas of society beyond basic research. For this purpose, the RI might collaborate with partners (such as a company, an association or a public institution). Potential fields of application range from industrial production and process development to the translation of life science or medical findings into practice, also in the service and education sectors. In this connection, product development can be funded up to the prototype stage. On the other hand, it might make sense to adopt suitable measures to make the topics, working methods and results of the RI accessible to other target groups outside the academic milieu and engage in dialogue with such groups.

If structures are already in place at the applicant HEI or through collaboration with other participating institutions which allow insights from research projects to be transferred to industry and society, and the RI is able to draw on these, please describe them. In addition, also address any existing plans to set up new structures and pursue new measures that are geared towards this objective.

5. Long-term perspective

Please explain your concept for ensuring the long-term viability of the RI: How will the structures that are to be newly established through the RI be maintained in the long term? How does the RI fit into the HEI's plans for the future? To what extent is the HEI committed to promoting the research priority on a long-term basis?

6. Financial requirements of the RI

Please set out in a table the funds that are requested for the RI **excluding the programme allowance** and break these down as follows (all figures are to be rounded to the nearest €100):

Table 6.1: Funds for the research project

Research Unit A		2024		2025		2026		2027		2028	
	Funding for Staff	Number	Amount	Number	Amount	Number	Amount	Number	Amount	Number	Amount
1.	<category, % >										
2.	<category, % >										
	Total										
Direct Project Costs		Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount
3.	<category>										
4.	<category>										
	Total										
Investment Funds		Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount
5.	Instrumentation up to €50,000										
6.	Instrumentation over €50,000										
	Total										
	Total										

Research Unit B		2024		2025		2026		2027		2028	
	Funding for Staff	Number	Amount	Number	Amount	Number	Amount	Number	Amount	Number	Amount
1.	<category, % >										
2.	<category, % >										
	Total										
	Direct Project Costs	Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount
3.	<category>										
4.	<category>										
	Total										
	Investment Funds	Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount	Amount
5.	<Instrumentation up to €50,000>										
6.	<Instrumentation over €50,000>										
	Total										
	Total										

Research Unit C- [...]		2024		2025		2026		2027		2028	
	Funding for Staff	Number	Amount	Number	Amount	Number	Amount	Number	Amount	Number	Amount
1.	<category, % >										
2.	<category, % >										
	Total										
	Direct Project Costs	Amount		Amount		Amount		Amount		Amount	
3.	<category>										
4.	<category>										
	Total										
	Investment Funds	Amount		Amount		Amount		Amount		Amount	
5.	<Instrumentation up to €50,000>										
6.	<Instrumentation over €50,000>										
	Total										
	Total										
	Total across all Research Units										

Staff funding can be calculated based on the personnel cost categories listed in [DFG Form 60.12](#):

- Professorship
- Head of independent junior research group
- Postdoctoral researcher or comparable
- Doctoral researcher or comparable
- Medical research assistant
- Other research assistant
- Non-academic staff member
- Miscellaneous staff expenses (e.g. student and research assistants, replacement costs)

▪ With the exception of “Miscellaneous staff expenses”, the DFG provides reference rates for the above-mentioned categories: please use these as a guideline when calculating the funds required. Pay groupings such as TV-L E9 and TVöD E13 are not to be indicated under “Category” as they are not relevant to the proposal. When specifying staff funding, anticipated salary increases must be taken into account.

▪ Together with the category, indicate a percentage of working time or remuneration provided for the respective person(s) (see example below).

▪ Under “Number”, please indicate the number of people to be remunerated according to the category and percentage indicated in this line (see example below).

▪ Then indicate the amount that would result if the reference rate for the category according to the DFG's staff funding rates for the year 2022 were multiplied [www.dfg.de/formulare/60_12/v/60_12_-2022_-en.pdf] by the relevant percentage and number, and add to this amount any anticipated salary increases in subsequent years.

▪ For a project involving one half-time postdoctoral researcher, two doctoral researchers with 65% positions (see also section 2.2.2), and one technician, the first three columns in each of the required three rows under "Funding for Staff" look like this:

Postdoctoral researcher, 50% | 1 | 0.5× (reference rate “Postdoctoral researcher” from form 60.12)

Doctoral student, 65 % | 2 | 2×0.65× (reference rate “Doctoral researcher” from form 60.12)

Non-academic staff member 100% | 1 | reference rate “Non-academic staff member” from form 60.12

For each staff position for which funds are calculated, the tasks to be carried out by the respective person within the research unit are to be described below the table, showing why they are required. In addition, the table must clearly indicate to which institution each staff position will be assigned.

Direct project costs can be applied in the following three categories:

- Instrumentation up to € 10,000, Software and Consumables
- Experimental Animals
- Other

"Other" might include the commissioning of third parties including details of the third-party supplier in question, remuneration of test persons, use of documentation services, rental of vehicles, compensation for use and usage costs for large-scale instrumentation and core facilities.

Investment funds can be applied in the following two categories:

- Instrumentation between €10,000 and 50,000
- Instrumentation over €50,000

The basis is here is the purchase price (gross).

In the table above, only one line is to be entered per category used. Please add more detailed explanations for all three categories of funds below the table.

Table 6.2: Funds for structural measures

Please break down the funds you are requesting for structural measures in all areas of activity relevant to the RI as follows and round the funds requested per year and category to the nearest €100.

		2024	2025	2026	2027	2028										
1 sub-table per field of activity	Funding for Staff															
	<category, % >															
	<category, % >															
	Total															
	Direct Project Costs															
	<category>															
	<category>															
	Total															
	Investment Funds															
	<Instrumentation up to €50,000>															
	<Instrumentation over €50,000>															
	Total															
Total																

Possible fields of activity include:

- Effective career support in academia
- Equity
- Management and quality assurance
- Research data
- Science communication
- Collaborations (funding for guests can also be specified here)
- Research-oriented teaching
- Knowledge transfer
- Publications:
- Travel
- ...

For each field of activity, please indicate only the relevant categories of funds using the explanations provided in Table 6.1 as a guide. Once again, more detailed explanations of the requested funds are to be added under the tables.

Table 6.3: Total funds requested

	2024	2025	2026	2027	2028	Total TEUR
Funding category	Totals in TEUR					
Funding for Staff						
Direct Project Costs						
Investment Funds						
Total Project Funds						
Spokesperson's budget						

If the spokesperson of the consortium belongs to the gender which is under-represented in their discipline (for guidance, please refer to the list on the following website: [DFG, German Research Foundation – Underrepresented Gender at the Project Management Level in Individual Research Areas](#)), a budget of up to €80,000 can be requested for each funding year in addition to the maximum funding amount that can be requested. This budget is to be used

to meet individual and/or subject- or project-specific relief requirements resulting from taking on the position of spokesperson. Instructions on how to use these funds are to be found in the module guidelines Coordination:

www.dfg.de/formulare/52_12

7. Appendix

Please submit the following information only as an appendix to the proposal. The appendix must not contain any information beyond this. The appendix does not count towards the 70-page maximum length that applies to the proposal.

1 The main academic accomplishments

Please list up to 15 of what you consider to be the most important academic accomplishments achieved by the researchers responsible for the RI (e.g. publications, patents, software packages, research awards, third-party funding acquired, contributions to the (technical) infrastructure of an academic community, contributions to science communication). You may provide a brief explanation of the significance of the respective accomplishment for the RI.

2 Curricula vitae and lists of publications

Please provide an academic CV for each of the principal investigators in alphabetical order (using the CV template below).

www.dfg.de/formulare/53_200_elan

C. Proposal submission via the DFG's elan portal

The documents listed under A above must be submitted as PDF files via the DFG's elan portal.

In addition, the specially marked master data must be entered in the online form on the elan portal. The online form is available at the following link:

elan.dfg.de

The proposal is submitted by the spokesperson on behalf of the applicant HEI. A personal elan account is required for this purpose. If the individual concerned does not yet have an elan account, they should create one in good time, i.e. at least one week prior to submission. This applies to all the other researchers with a leading role, too.

The proposal incl. appendix (in elan: "Project Description") is submitted as one PDF file (up to a data size of 10 MB) without password protection and without access restrictions regarding reading, copying and printing.

After sending the files listed under A above, the spokesperson receives automatic confirmation of submission by e-mail with a receipt document in PDF format. The receipt document must be signed by the spokesperson and the management of the applicant HEI and sent to the DFG by post.

D. Further Information

Further information on the funding programme is to be found on the following website:

[DFG, German Research Foundation - Research Impulses](http://www.dfg.de)

If you have any further questions, please contact the DFG Head Office.