

Guidelines

for Proposals under the State Major
Instrumentation 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.

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Guidelines

for proposals under the State Major Instrumentation programme

I Objective

The DFG reviews major instrumentation proposals submitted by universities and university hospitals on behalf of the federal states that are fully financed by the states concerned. The DFG's review of the proposals ensures that the planned investment projects are founded on science-led quality assurance.

Proposals under the State Major Instrumentation programme can be justified based on planned use for the purpose of research, training and teaching, and clinical care, in any combination. This purpose may be served directly or indirectly.

The programme is not limited to new instrumentation and it also allows for replacement or upgrades of existing instrumentation if this leads to considerable functional enhancements, as well as for procuring used or refurbished instrumentation, which may promote a sustainable use of instrumentation.

II Eligibility

Universities and university clinics are eligible to apply.

Proposals for state major instrumentation can be submitted to the DFG at any time in accordance with the respective state guidelines. The state and/or university must guarantee financing.

The (gross) acquisition costs must at least be €200,000 for universities and university hospitals and at least €100,000 for all other higher-education institutions.

III Scope of Funding

The proposal may include only investment costs of major research instrumentation. A separate proposal must be submitted for each independent major instrument.

A major instrument is the sum of the components, including accessories, that form a functional unit for the intended operational purpose. There should be an appropriate relation between the main instrument (including software) and accessory equipment or supplements. Accessory equipment and supplements are not necessarily required to be directly relevant for the main instrument's operability. Building measures are not considered part of the equipment.

The necessary criteria for being considered a major instrumentation can also be met by central IT equipment (computers, storage, network components or software), if their necessity is linked to concepts and they can be reviewed and assessed under a scientific perspective.

The DFG reserves the right to reject reviewing and assessing a proposal if there are doubts about the equipment meeting the necessary criteria for being considered a major instrumentation. Examples:

- a set of independently operable devices
- a collection of laboratory equipment, if they do not form accessory equipment or supplements to a major instrument.

Software, Upgrades, accessory Equipment and supplements can by themselves be considered a major instrument if the required investment surpasses the de minimis limit.

Additionally the DFG reserves itself the right to deny accepting proposals, that cannot be reviewed and assessed under a scientific perspective. In particular, these are:

- Technical equipment and installations without scientific function (e. g. tractors/machines for agricultural tasks; clean rooms without an inherent scientific functionality, etc.)
- Library equipment/systems without a scientific function (e. g. loan systems)
- Administrative IT systems
- Standard IT network equipment of purely infrastructural nature
- Instrumentation for contracted and service examinations without a scientific purpose

IV Obligations

In submitting a proposal to the DFG, you

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

V 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. 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

¹ 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 guidelines for major research instrumentation "Besondere Verwendungsrichtlinien für Forschungsgroßgeräte nach Art. 91b Abs. 1 S. 1 GG" (DFG form 2.18)

Proposal Preparation

Instructions

I General Information

Proposals may be submitted in German or English. The applicant institution appoints a person as the responsible spokesperson. The responsible spokesperson prepares the proposal and submits it electronically to the DFG via the elan portal. This role, is in most cases assumed by the head of the working group that will primarily use the instrument. The responsible spokesperson also serves as the contact for all content-related queries relating to the proposal.

Following submission, a compliance form is automatically generated by the elan system. This form must be signed by the responsible spokesperson and then forwarded to the relevant offices of the university or hospital management. The institution management confirms by signature that the proposal has been submitted on its behalf. The third signature confirms that state funding has been secured. The completed and signed original compliance form is then sent to the DFG.

All proposals are processed subject to presentation of the compliance form. Following a formal check, a confirmation of receipt that will include the project reference number will be sent to the applicant institution, the relevant state ministry and the spokesperson. We ask that this reference number be used in all correspondence relating to the proposal.

Please note:

The DFG has issued specific statements and information with regard to certain kinds of instrumentation technologies. We ask that you review this information as it may be relevant for your proposal (some documents may only be available in German).

www.dfg.de/wgi/notes_information

Please follow the link below to find answers to frequently asked questions regarding scientific instrumentation and information technology (available in German only).

www.dfg.de/.../wgi_faq

Proposals for major instrumentation are handled by the DFG's Scientific Instrumentation and Information Technology Division.

The current processing status can be monitored on the DFG's elan portal by the responsible spokesperson. We may contact the responsible spokesperson (by mail or e-mail) in case of questions regarding formal or scientific matters that require clarification prior to the review.

After the proposals have been verified for formal correctness, they will be forwarded to experts in the relevant area for review. For more information, please refer to DFG form 10.205 (Guidelines for the Review of Proposals under the State Major Instrumentation Programme).

www.dfg.de/formulare/10_205/

Note that you may be requested to provide additional information and/or clarification during the review.

After the review has concluded, proposals are forwarded to the Committee on Scientific Instrumentation and Information Technology that will evaluate the outcome of the review, potentially considering additional aspects.

The DFG's recommendation will be sent to the university, the relevant state ministry and the spokesperson.

Responsibility for the procurement of the instrumentation and their operations lies solely with the university and the federal state. The DFG's recommendation is valid for a period of two years.

II Proposal Process and Proposal Structure

The proposal documents may be downloaded via the DFG website.

www.dfg.de/wgi/en

Information to have prepared for entry within the elan-portal:

The summary of the proposal and its intended use (maximum of 3000 characters, no special characters) in German and English.

Information on the percentage use of the instrumentation for:

- Research
- Training and teaching
- Patient care

Documents to be uploaded via elan:

1. Project Description (as one document in elan)

The project description has to be done using the template Project Description – for State Major Instrumentation (DFG form 21.20a for major instrumentation).

www.dfg.de/formulare/21_20a

Or in case of central equipment and IT-Equipment (DFG form 21.20b for central equipment).

www.dfg.de/formulare/21_20b

The information provided within the templates has to be adhered to.

2. Curriculum vitae/curricula vitae (to be uploaded to elan in one document)

The curricula vitae of all persons who contribute a chapter for justifying the investment have to be submitted. The template provided (DFG form 53.200) must be used for this purpose.

www.dfg.de/formulare/53_200_elan

Each academic curriculum vitae must include the list of the most important publications or published results of the person in question. The information can relate to the person's entire academic career; the publications need not be directly related to the proposed project. Several CVs are to be merged into one document. Please note the "Guidelines for Preparing Publication Lists" (DFG form 1.91):

www.dfg.de/formulare/1_91

3. Current quotes or corresponding supplier information (in elan as two documents)

At the time of submission, a recent quote or corresponding supplier information for an exemplary/favoured configuration need to be enclosed, as do alternative quotes that were taken into consideration. Quotes should include a price breakdown by key components and indicate the gross total amounts as well as any negotiated discounts. The quotes for the exemplary/favoured configuration and the collection of all alternative quotes should be enclosed as two PDF documents. If there is a large number of quotes or the quotes are extensive the creation of an index or overview should be considered.

4. Additional attachments (optional)

It is possible to submit additional documents with the proposal (e.g. cooperation agreements, usage rules, central concepts for IT-infrastructures, research data management, or the requested technology, and unpublished scientific manuscripts). The attachments should have a clear connection to the proposal and be of relevance to the review. The project description should make references to the attachments. Essential aspects to the proposal are to be addressed in a self-explanatory manner within the project description.