

# Guidelines

## Walter Benjamin 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.

**Deutsche Forschungsgemeinschaft**

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## Guidelines

### I Programme Information

#### 1 Objective

The Walter Benjamin Programme enables researchers in the early postdoctoral training phase to conduct their own research project at a location of their choice.

The project can be carried out at a research institution in Germany and/or abroad, with the host institution providing infrastructure, project funding, and career development support.

By securing funding for a defined, autonomous research project, particularly qualified postdoctoral researchers pave the way for the next stages of their increasingly independent research career and exercise autonomy. The programme thus promotes **early research careers**<sup>1</sup>. Funding recipients are scientifically guided by an experienced colleague who provides them with academic support as well as concrete career development measures.

The programme also aims to support the **mobility and thematic development** that are crucial in this career phase. An essential element of the funding is therefore the change to a new academic environment and the expansion of the individual network during the entire funding period: for this reason, a change from the previous institution is usually a requirement.

#### 2 Programme design

##### 2.1 Research in Germany or abroad

Funding under the Walter Benjamin Programme can generally be received for projects based in Germany or abroad, as well as for projects that combine periods in Germany and abroad. In order to support work-life balance, shorter stays abroad are also possible.

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<sup>1</sup> Recognised Researchers (R2) according to the EU classification see <https://euraxess.ec.europa.eu/>. For the purposes of the programme, you are no longer in an early career phase if you have already carried out projects under your own responsibility, have managed staff or have lead a junior research group.

Funding abroad is through a fellowship, cf. [fellowship calculator](#). Funding in Germany is through financing of a position in the postdoc category,

[www.dfg.de/formulare/60\\_12](http://www.dfg.de/formulare/60_12)

the selected research institution in Germany is then your employer.

Funding for a project in Germany is equal in status to funding for a project abroad. If you wish to apply for a combination of the two, the phases must be planned on a month-by-month basis and agreed on with the host institutions, and the proposal must state where you intend to carry out which research. The phases must follow on from each other. Please note that the mobility criterion applies throughout the entire funding period, i.e. in the case of combined proposals it is usually not possible to carry out part of the project at the previous institution.

## 2.2 Support from the host institution and from a researcher

The host institution is expected to provide you with a workplace and the additional funds necessary to carry out the project. In particular, you conclude an agreement in advance on the provision of academic support by a research personality on site (in other countries this is known as the “host”, in Germany the “host researcher”).

For funding abroad, you need confirmation (informal) from the host at the institution where the research project will be carried out.

For funding in Germany, you need an employer statement

[www.dfg.de/formulare/41\\_027](http://www.dfg.de/formulare/41_027)

as well as a statement from the host researcher that explains how you will be supported individually and structurally in the further development of your career and how you will be integrated into local research networks, cf. Instructions, section C Appendices in this document.

During your project, you may not be required to perform any work that is not related to the purpose of the grant.

The host institution must be a **research institution**. The institution must allow the publication of the results in a generally accessible form.<sup>2</sup> The project must not be carried out in a commercial context.

If you are applying for a Walter Benjamin fellowship, please note that if your host is a former Humboldt visiting researcher, you should initially apply only to the Alexander von Humboldt Foundation. You may only apply to the DFG for a Walter Benjamin fellowship if the Humboldt Foundation has turned down/rejected your proposal or has replied to your enquiry by informing you that funding is not available for you. In this case, please include a copy of the letter from the Humboldt Foundation with your proposal.

### 2.3 Review

The review of the proposal will focus on you as well as your proposed research project, see Guidelines for Reviews in the Walter Benjamin Programme.

[www.dfg.de/formulare/10\\_219](http://www.dfg.de/formulare/10_219)

You will be assessed not only in terms of your qualifications for the project given the current stage of your career, but also in terms of your potential and career prospects as a scientist or scholar. The research project is expected to be of high scientific quality and originality at an international level. The well-reasoned choice of the host institution with its research environment and working conditions must be a good fit for the research project as well as the intended career path.

## 3 Proposals

### 3.1 Eligibility

You are generally eligible to apply if you have completed your academic training with a doctorate (i.e. if you are able to prove you have met all the requirements for obtaining your doctorate) and are in the early postdoctoral training phase.

In order to avoid gaps in your CV, you may apply for funding once you have submitted your thesis to the examination office. In this case, your proposal must include a copy of

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<sup>2</sup> In the case of German institutions, the general rules apply, i.e. the institution must normally be non-profit.

your thesis, proof that you have submitted your thesis to the examination office, and a statement by your thesis supervisor with regard to your chances of success.

If your proposal is approved, funding cannot be provided until all doctoral examinations have been successfully completed and corresponding proof is received by the DFG.

### **Special provisions of the modules**

a) Module Walter Benjamin fellowship (abroad)

Funding abroad can only be provided if you are integrated into Germany's academic research system. This is the case if immediately prior to submitting your proposal you have worked as a researcher in Germany for a continuous period of at least three years during your doctoral and/or postdoctoral phase.<sup>3</sup>

If you are already based abroad, funding can be provided abroad if you have completed the majority of your schooling and higher education in Germany<sup>4</sup> and, as of proposal time, have not spent more than three years abroad for research purposes after completing your doctorate in Germany or abroad.

Furthermore, you must not have worked longer than one year at the host institution selected for the Walter Benjamin fellowship as of proposal time.

b) Module Walter Benjamin position or temporary substitute clinician position under the Walter Benjamin Programme (Germany)

There are no further personal restrictions on eligibility for funding in Germany.

### 3.2 Format and deadline

You may submit your proposal at any time. Please follow the proposal instructions below.

### 3.3 Duration

The maximum funding duration is two years. In exceptional cases, you may submit a renewal proposal for a maximum of one additional year. An exceptional case exists if, due to external circumstances, you were unable to complete your project within two

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<sup>3</sup> In this case, proposals must be submitted from Germany.

<sup>4</sup> i.e. calculated in months from the first grade of school up to and including the university degree (excluding the doctoral period), more months were completed in the German system.

years. Funding for more than 36 months is not possible under the Walter Benjamin Programme.

## II Proposal Modules

Under the Walter Benjamin Programme, you can submit one or more of the following modules to request a personal grant that enables you to carry out your project. For details, please see the module descriptions.

### 1 Walter Benjamin Fellowship

If you would like to conduct your research project abroad, you can apply for a Walter Benjamin fellowship.

[www.dfg.de/formulare/52\\_19](http://www.dfg.de/formulare/52_19)

### 2 Walter Benjamin Position

If you would like to conduct your research project in Germany, you can apply for a Walter Benjamin position.

[www.dfg.de/formulare/52\\_18](http://www.dfg.de/formulare/52_18)

### 3 Temporary Substitutes for Clinicians

If you require funding in order to be relieved from patient-care responsibilities to carry out a project under the Walter Benjamin Programme, you can apply for a temporary substitute instead of a Walter Benjamin position.

[www.dfg.de/formulare/52\\_04](http://www.dfg.de/formulare/52_04)

Regardless of your choice of module, an **allowance** of €250 per month will also be provided for direct project costs, travel expenses and publication costs (but not grey literature).

Should the appropriate publication of your project findings call for a **book format** with high production costs, you may apply for additional funding of up to €5,000 per year. The request must be justified accordingly.

The remaining **funds necessary** to carry out the project must be provided by the host institution or host researcher.

You can also receive funding for **a combination of research periods in Germany and abroad**. In this case, funding for the period abroad is provided in the form of a fellowship, while funding for the period in Germany is provided in the form of a position. This means you apply for both modules.

If you receive funding in Germany and are planning short-term stays abroad lasting up to three months, these can be supported in the context of position funding if your employer agrees. In this event, only apply for the Walter Benjamin position module and state in your proposal in which months you want to carry out your project and at which location. Please enclose a host statement certifying that you will receive academic supervision and work opportunities at the institution abroad. For longer periods abroad, you must apply for a combination of a Walter Benjamin position or temporary substitute clinician position and a Walter Benjamin fellowship.

In all such cases, please specify the duration and sequence of the individual domestic and international phases when submitting your proposal. The phases must immediately follow one another.

### III Obligations

In submitting a proposal to the DFG, you

1. agree to adhere to the **principles of good research practice**.<sup>5</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) as legally binding.<sup>6</sup>

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

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<sup>5</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>6</sup> [DFG Rules of Procedure for Dealing with Scientific Misconduct](#), DFG form 80.01

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;
- 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 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 guidelines apply to proposals under the Walter Benjamin Programme. A proposal consists of the following three parts:

A - Proposal Data and Obligations

B - Project Description

Appendices (always: include an academic curriculum vitae 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 enter information on the project and participating individuals and accept the required formal obligations. The project information must contain a summary 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 **must not exceed 25 pages** in total (**up to 17 pages** for sections 1 through 3 and up to **8 pages** as of section 4).

The template formatting should be retained. In particular, the font should not be smaller than Arial 11 point, with line spacing of no less than 1.2. For the section Project- and subject-related list of publications, the font should not be smaller than Arial 9 point.

In sections 1 and 2 you may refer to an unlimited number of your own works and those of others that are publicly available. Please list the publications you cite here in the Project- and subject-related list of publications (section 3).

Indicate clearly throughout the proposal whenever you are referring to your own work or that of other researchers. The absence of any such indication may constitute a breach of good research practice, and in individual cases may constitute scientific misconduct according to the Rules of Procedure for Dealing with Scientific Misconduct (VerfOwF). Your own preliminary work, if publicly available, is to be listed with the date of publication. If this preliminary work was based on DFG funding, please refer to the respective stage of a funding period in the text of the proposal.

If, in preparing your proposal, you used artificial intelligence (AI) in the form of generative models for text and image creation, please disclose this fact in a scientifically appropriate manner in your proposal. For more information, see the [“Research Integrity” portal](#).

## **1 Starting point**

State of the art and any preliminary work

Explain briefly and precisely the state of the art in your field in its direct relationship to your project.

If you have already done preliminary work on the project, describe this as well. The description must be understandable without referring to additional literature.

## **2 Objectives and work programme**

### **2.1 Anticipated total duration of the project**

Please indicate the desired funding duration. The maximum funding duration is two years.

In exceptional cases, you may submit a renewal proposal for a maximum of one additional year. An exceptional case exists if, due to external circumstances, you were unable to complete your project within two years. In this case, specify since when you have been working on the project

Funding for more than 36 months is not possible under the Walter Benjamin Programme.

## 2.2 Objectives

Please give a concise description of your project's research programme and scientific objectives.

## 2.3 Work programme incl. proposed research methods

Give a detailed account of the steps planned during the proposed funding period. (For experimental projects, a schedule detailing all planned experiments should be provided.)

Provide a detailed description of the methods that you plan to use in the project: What methods are already available? What methods need to be developed? If you are applying for a combination of a Walter Benjamin position or temporary substitute clinician funding and a Walter Benjamin fellowship, specify which activities you want to pursue at which institution and explain why.

## 2.4 Relevance of the project to ongoing academic and career plans

The Walter Benjamin Programme supports both mobility and thematic development in the early stages of an academic career. For this reason, please explain in particular how the project fits into your plans for further academic development.

## 2.5 Rationale for the selection of the research location(s)

State the name of the person who is to provide academic support for your project along with the host institution with name and place/country.

Please justify your choice of research location(s). In particular, describe the support you will receive there for your project (financial resources, work opportunities, resources) as well as for the further development of your career. Note that the programme supports mobility or thematic development in the early career phase. Under this programme, mobility means moving to a new research environment. This applies consistently for the entire funding period, i.e. also in the case of a combination of phases in Germany and abroad. As a rule, a change of institution is required.

Should you wish to remain at or return to your previous institution, this is only possible for compelling academic or family reasons, which you should explain here. Moreover, thematic development requires special justification in such cases.

## 2.6 Handling of research data

If your project uses, generates and/or processes data, then use this section to record key information on the handling of this data (and any underlying objects). Please ensure your descriptions follow the points in the relevant questionnaire ([www.dfg.de/research\\_data/checklist](http://www.dfg.de/research_data/checklist)) and use the checklist to address the following aspects in particular:

- Characteristics and scope of the data
- Documentation and data quality
- Storage and technical archiving
- Legal obligations and conditions
- Enabling of subsequent reuse and long-term accessibility
- Responsibilities and resources

Please also describe how the institutions involved in the project will contribute to data and information management.

If you have already provided more detailed information on the handling of research data in an explanation as part of your preliminary work, work programme or elsewhere, you may refer to those descriptions and limit yourself to supplementary information at this point.

Should your project not use or generate data to a relevant extent, please explicitly state this to be the case.

Please also note that you can apply for funding to cover project costs associated with the effort involved in collecting research data.

For further information on this topic, see:

[www.dfg.de/proposal\\_process/research\\_data](http://www.dfg.de/proposal_process/research_data)

## 2.7 Relevance of sex, gender and/or diversity

Where applicable, please describe whether and to what extent the sex and/or gender

- of researchers,
- 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,
- in other respects

is relevant to the research project (methods, work programme, objectives, etc.).

Where applicable, please also describe whether and to what extent diversity in terms of, for example, the state of health, ethnic background or culture of

- researchers,
- persons under study,
- individuals affected by an implementation of research results,
- or diversity in other respects

may be significant to the research project (methods, work programme, objectives, etc.).

Please explain to what extent these or similar considerations may also be relevant to animals under study or samples taken from humans or animals.

Additional information is available at:

[www.dfg.de/diversity\\_dimensions](http://www.dfg.de/diversity_dimensions)

## 3 Project- and subject-related list of publications

This list should **only** contain those works that you **cited** in sections 1 and 2.

The font used for the publication list should not be less than Arial 9 point.

For both new proposals and renewal proposals, you can refer to your own works and those of others; there is **no limit to the total number of publications listed**. Works which are not in the public domain are not considered publications and cannot be cited.

An exception is made for papers that have already been accepted for publication, in which case the manuscript and the editor's confirmation of acceptance must be enclosed.

Should you already have publications of your own that are relevant to the project, a **maximum of ten of your own** publications that are relevant to the project can be **highlighted** in bold or some other way.

Note that reviewers are not required to read any of the works you cite.

Please note the "Guidelines for Preparing Publication Lists" (DFG form 1.91):

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

*In the following sections, we ask you for information regarding important topics in research. In keeping with the relevance of each topic for your proposed research project, please provide a concise but sufficiently comprehensive explanation.*

*If any of these topics are of central importance to the research question of your proposed project, discuss them in context under the sections Objectives and Work programme including proposed research methods, and reference them accordingly in the following sections.*

*The following sections (as of section 4) must not exceed 8 pages in total.*

## **4 Supplementary information on the research context**

### **4.1 Ethical and/or legal aspects of the project**

#### **4.1.1 General ethical aspects**

Taking into account 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.

#### 4.1.2 Descriptions of proposed investigations on humans, human materials or identifiable data

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

- 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 in addition to accepting the formal obligations in part A, an ethics committee vote may have to be included as well. The use of human material obtained for diagnostic purposes also requires a statement to be issued by the local ethics committee.

#### 4.1.3 Descriptions of proposed investigations involving experiments on animals

Note that in addition to accepting the formal obligations in part A with regard to compliance with the regulations and provisions of the German Animal Welfare Act and the German Experimental Animals Ordinance, the planned animal experiments must be described. Please 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*.

#### 4.1.4 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:

[www.dfg.de/en/dfg\\_profile/statutory\\_bodies/senate/biological\\_diversity](http://www.dfg.de/en/dfg_profile/statutory_bodies/senate/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".

#### 4.1.5 Explanations regarding any possible safety-related aspects

##### 4.1.5.1 "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, which you can find on the web page linked in the next paragraph. 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, a committee for ethics in 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)<sup>7</sup>.

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.

#### 4.1.5.2 Risks in international cooperation

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>8</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 subject, research partners and research conditions and what measures are planned to minimise risks. 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.

#### 4.1.6 Considerations on aspects of ecological sustainability in the planning and implementation of the project

In research as well, there is an urgent need for a further shift towards sustainable practices. Use this space to reflect on how sustainability considerations are taken into account in the research processes proposed. Here, you are expected to provide a brief statement that refers specifically to the work programme to be undertaken in this project. Research quality is the pivotal factor for the funding decision, however, so this is the priority in terms of planning the research; for this reason, resource-saving and emission-reducing measures should not result in restrictions in the desired knowledge gain. If increased funding is required due to more sustainable research approaches, this can be taken into account when applying for funds. For further information, see the cross-disciplinary catalogue of guiding questions:

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<sup>7</sup> [https://www.bafa.de/DE/Aussenwirtschaft/Ausfuhrkontrolle/Academia/academia\\_node.html](https://www.bafa.de/DE/Aussenwirtschaft/Ausfuhrkontrolle/Academia/academia_node.html)

<sup>8</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.

[www.dfg.de/reflection\\_sustainability](http://www.dfg.de/reflection_sustainability)

#### 4.2 Employment status information

*Name and location of current institution at which you are currently conducting research; details of whether you are in employment*

#### 4.3 Researchers in Germany and abroad with whom you have agreed to cooperate on this project

List any researchers in Germany or abroad with whom you have agreed to cooperate on this project (other than collaboration with your host institution or host researcher as described in section 2.5). Any such declarations must be attached to the proposal.

#### 4.4 Researchers with whom you have collaborated scientifically within the past three years

This information will assist the DFG's Head Office in avoiding potential conflicts of interest during the review process.

#### 4.5 Project-relevant cooperation with commercial enterprises

If you will be conducting your project in cooperation with a commercial enterprise, please note the EU guidelines on state aid.<sup>9</sup> Depending on the circumstances, it may be necessary to conclude a contract with the company or submit a declaration to the DFG. Please refer to DFG form 4.02 "Guidelines on the Participation of Commercial Enterprises in Research Projects". If applicable, please contact your research institution in this regard.

[www.dfg.de/formulare/4\\_02](http://www.dfg.de/formulare/4_02)

#### 4.6 Relevant participation in commercial enterprises

Please indicate if you are the owner of a commercial enterprise or a stakeholder in one (e.g. a director). If so, state how your research project is linked to the company's production branch or activities. Please refer to DFG form 4.03, "Information on Work Results and Usage Rights in the Event of an Association with a Company".

[www.dfg.de/formulare/4\\_03](http://www.dfg.de/formulare/4_03)

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<sup>9</sup> Framework for State Aid for Research and Development and Innovation (2022/C 414/01)

#### 4.7 Other submissions

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

#### 4.8 Other information

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

### 5 Requested modules/funds

Note additional instructions on submitting proposal modules in the relevant module guidelines.

When you submit your proposal electronically, note that euro amounts will automatically be rounded to the nearest hundred, which could result in slight discrepancies in the staffing amounts.

#### 5.1 Walter Benjamin fellowship

Indicate the period and the institution(s) for which you are applying for the Walter Benjamin fellowship.

#### 5.2 Walter Benjamin position

Indicate the period and the institution(s) for which you are applying for the Walter Benjamin position.

#### 5.3 Temporary substitute clinician under the Walter Benjamin Programme

Indicate the period and the institution(s) for which you are applying for a temporary substitute under the Walter Benjamin Programme.

#### 5.4 High publication costs

If the project results can only properly appear in the form of a **book publication** with high production costs, the relevant funds can be granted additionally for this purpose (up to €5,000 per year)

## C Attachments

### 1 Curriculum vitae

The proposal must include an academic curriculum vitae with 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)

To enable reviewers to assess an applicant's scientific track record appropriately, applicants may indicate in their CVs any circumstances that might have hampered their scientific work, for example, periods in which they were unable to work continuously due to childcare obligations or due to prolonged serious illness or disability.

Each academic curriculum vitae must include the list of the most important publications or published results of the applicant in question. The information can relate to the person's entire academic career; the publications need not be directly related to the proposed project. The list is to be divided into two parts and each part is to be numbered:

- The first **mandatory** "Category (A) – Articles in peer-reviewed journals, contributions to peer-reviewed conferences or to anthology volumes, and book publications" may contain a maximum of ten publications.
- The number of publications listed in the second **optional** "Category B – Any other form of published results" is likewise limited to a maximum of ten. This may include contributions to non-peer-reviewed conferences, articles on preprint servers, data sets, protocols of clinical trials, software packages, patents applied for and granted, blog contributions, infrastructures or transfer. You may also indicate other forms of academic output here, such as contributions to the (technical) infrastructure of an academic community (including in an international context) and contributions to science communication.

Please note the "Guidelines for Preparing Publication Lists" (DFG form 1.91):

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

## 2 Declarations by the host institution or statement by the host researcher

Please also upload the following documents mentioned in the above guide in section I 2.2 via the elan portal with your proposal:

a) for the Walter Benjamin fellowship (abroad): the host's informal commitment to academic supervision, work opportunities and, if applicable, support measures.

b) for the Walter Benjamin position (in Germany):

Firstly, the employer statement issued by the institution concerning employability and work opportunities

[www.dfg.de/formulare/41\\_027](http://www.dfg.de/formulare/41_027)

### and also

the informal "Statement by the Host Researcher" that you have agreed on together. The statement should clearly show that you will be provided with the funds to carry out the project on site. In addition, it should show how you will be individually supported by the host researcher scientifically for the project and personally in your further career development, and how you will be integrated in the existing structures on site and in academic networks. This statement relates to the future and is not a letter of endorsement recognising your achievements to date.

c) If the Walter Benjamin position is located at an institution that is subject to a duty to cooperate, please also submit the institution's assurance that it will co-finance the position to the amount of 45 %, cf. the Walter Benjamin Position module guidelines.

[www.dfg.de/formulare/52\\_18](http://www.dfg.de/formulare/52_18)

d) For a temporary substitute for a clinician under the Walter Benjamin Programme  
Firstly, submit the informal "Statement by the Host Researcher" that you have agreed on individually (as for the Walter Benjamin position);

and in addition

an agreement on the temporary substitute clinician post and your leave of absence signed by the clinic management or the person responsible at the institution.

**3 In addition, it is mandatory to add further attachments to the proposal, where individually applicable:**

- statements by ethics committees (especially in the case of research in Germany, please seek advice if you are in doubt)
- if you are citing an unpublished work whose publication has already been accepted, attach the manuscript text and the editor's declaration of acceptance of publication. Please note the "Guidelines for Preparing Publication Lists" (DFG form 1.91):

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

- if you have named a person in section B 4.3 with whom you would like to cooperate, the declaration signed by this person that they will be contributing to your project as described
- if you submit the proposal without already being able to provide evidence of all examination results required for the doctorate, it is mandatory that you include all enclosures cited in the above guidelines in section 3.1.

**4 Testimonials, publications and recommendations**

Please refrain from submitting any additional testimonials, publications or recommendations.

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 file.

Save PDF documents according to the naming protocol listed at the end of this document to facilitate the processing of your proposal.

## Naming Protocol for Proposal Documents

Document	Document name
employer statement (Arbeitgeberzusage)	Arbeitgeberzusage
host confirmation – for fellowships (Gastgeberzusage)	Gastgeberzusage
host researcher's statement on development opportunities and career support (Stellungnahme aufnehmende/r Wissenschaftler/in zu Entwicklungsmöglichkeiten und Karriereunterstützung)	Stellungnahme_Entwicklungsmöglichkeiten
project description (Beschreibung des Vorhabens)	Beschreibung_des_Vorhabens
ethics statement (Ethikvotum)	Ethikvotum
curriculum vitae with a list of scientific results (Wissenschaftlicher Lebenslauf mit Verzeichnis wissenschaftlicher Ergebnisse)	CV_PubList_<person's last name>
certificates (Zeugnisse) in one document	Zeugnisse_<person's last name>
accepted manuscripts; acknowledgement of acceptance (Zulässige Manuskripte; erforderliche Annahmebestätigung)	<year>_<last name_author>_<keyword> Bestätigung_<year>_< last name_author >_<keyword>
collaboration agreement with domestic or foreign partner	Bestätigung_Beteiligung_<persons's_last_name>