

Instructions and Template

for Basic Service Proposals

National Research Data Infrastructure (NFDI)

A General Instructions

NFDI basic service proposals must be submitted to the DFG Head Office in PDF format via elan, the DFG's submission portal (elan.dfg.de), by **29th April 2022**.

Proposals can be submitted either as a single PDF document or as two PDF documents (one for sections 1-6 and the bibliography/list of references, and the other for appendices 2 and 3). Note that PDF documents must not be larger than 10 MB or include password protection or access restrictions for reading, copying or printing. Please create a clickable table of contents for any PDF document you submit. Upon submission, a compliance form (Quittungsdokument) is automatically generated by the elan system. This document must be printed, signed by the spokesperson of a consortium and the applicant institution (option 1) or the coordinator of a joint collaboration and the coordinating institution (option 2) and sent to the DFG Head Office by 13th May 2022.

Proposals have to be written in A4 format, 11pt Arial font with line spacing of 1.5. The length of the proposal (Sections 1-6) may vary depending on the size of the initiative but must not exceed 120 pages (excluding cover page, list of abbreviations, table of contents and appendix). A different font or line spacing may be used in tables, figures, footnotes and the bibliography/list of references, provided the text is easy to read. Make sure to use the proposal template contained in part B of this form.

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The proposal template provides a mandatory structure and a number of tables to be completed. Text in grey provides information on how to use the template and should be deleted before submission.

The requested funding amounts should not include programme allowances for indirect project costs.

Proposals and appendices must be written in English.

Guiding questions and notes for applying for a basic service initiative are listed within the statement by the NFDI Expert Committee on the preparation for basic service initiatives: www.dfg.de/download/pdf/foerderung/programme/nfdi/stellungnahme_nfdi_basisdienste_en.pdf

B Proposal Template

Basic service initiatives can choose between two organisational forms, first a regular consortium (option 1) or second, a joint collaboration of NFDI consortia (option 2). To apply for a regular consortium please fill in the details for option 1 within the section “General Information” and delete option 2. Proceed the other way around to apply for a joint collaboration of NFDI consortia.

1 General information

- **OPTION 1** to apply for a consortium on basic services
- The co-spokespersons and the co-applicant institutions are required to download the NFDI General Compliance Form (DFG form NFDI 130) from the DFG website and print and sign it (one form per co-applicant institution).
- Name of the consortium in English and German
up to 300 characters each, including spaces, no special characters
- Summary of the proposal in English and German
up to 3,000 characters each, including spaces
- Applicant institution

Applicant institution	Location

- Spokesperson

Spokesperson	Institution, location

- Co-applicant institutions

Co-applicant institutions	Location

- Co-spokespersons

Co-spokespersons	Institution, location	Task area(s)

- Participants

Please list the participants of the consortium in one of the two tables below, differentiating between participation as an institution or as an individual. Please summarise each participant’s specific contribution to the consortium in this section (below the respective table) and explain the involvement in more detail in the work programme.

Participating institutions	Location
Institution 1	City 1
Institution 2	City 2
...	

Add lines as required. Delete this table if you have no participating institutions.

Contribution of [institution 1]:

Summarise the contribution.

Contribution of [institution 2]:

Summarise the contribution.

...

Participating individuals	Institution, location
Person 1	Affiliation of person 1
Person 2	Affiliation of person 2
...	

Add lines as required. Delete this table if you have no participating individuals.

Contribution of [person 1]:

Summarise the contribution.

Contribution of [person 2]:

Summarise the contribution.

...

You may have to delete the section above or below

- **OPTION 2** to apply for a joint collaboration of NFDI consortia on basic services

For your information: In the event of an approval of the application, the existing consortia will be supplemented with additional funds for the purpose of basic services. All other rights and obligations remain, especially the guidelines for the use of funds (DFG form nfdi300) and reporting obligations.

- **Name of the joint collaboration in English and German**
up to 300 characters each, including spaces, no special characters
- **Summary of the proposal in English and German**
up to 3,000 characters each, including spaces

- **Coordinating institution**

For a joint collaboration of existing consortia, the applicant institution of one of the collaborating consortia has to become the coordinating institution for this very proposal.

Applicant institution	Location	Acronym of existing consortium

- **Coordinator**

The spokesperson of the existing consortium whose applicant institution will be the coordinating institution has to become the coordinator of the joint collaboration.

Spokesperson	Institution, location	Acronym of existing consortium

- **Joining consortia**

List the applicant institutions of existing consortia who collaborate for the purpose of basic services in this joint cooperation. For your information: Flexible funds can be allocated for the event of later joining consortia, which may be funded only in the third round.

Applicant institutions	Location	Acronym of existing consortia

- **Joining co-applicant institutions**

List the co-applicant institutions of existing consortia who will take responsibilities for task areas in this proposal on basic services.

Co-applicant institutions	Location	Acronym of existing consortia	Responsibility for Task area(s) in this proposal

- **Joining co-spokespersons**

List the co-spokespersons of existing consortia who will take responsibility for task areas in this proposal on basic services.

Co-spokespersons	Institution, location	Acronym of existing consortia	Responsibility for Task area(s) in this proposal

- **Joining participants**

List the participants of existing consortia who will contribute to basic services in one of the two tables below, differentiating between participation as an institution or as an individual. Please summarise each participant's specific contribution to the joint collaboration in this section (below the respective table) and explain the involvement in more detail in the work programme.

Participating institutions	Location	Acronym of existing consortia
Institution 1	City 1	
Institution 2	City 2	
...		

Add lines as required. Delete this table if you have no participating institutions.

Contribution of [institution 1]:

Summarise the contribution.

Contribution of [institution 2]:

Summarise the contribution.

...

Participating individuals	Institution, location	Acronym of existing consortia
Person 1	Affiliation of person 1	
Person 2	Affiliation of person 2	
...		

Add lines as required. Delete this table if you have no participating individuals.

Contribution of [person 1]:

Summarise the contribution.

Contribution of [person 2]:

Summarise the contribution.

- **Prospective institutions to become co-applicant institutions in existing consortia for the purpose of basic services**

Insofar as the development or operation of basic services requires the involvement of an institution that is not yet represented in any consortium collaborating on this proposal, this institution and a person from this institution must be included into one of the already existing consortia as a new co-applicant institution and a new co-spokesperson. Therefore, please add those prospective co-applicant-institutions and co-spokespersons to the list below and determine the assignment to one of the existing consortia.

Co-applicant institutions (name, location)	Co-Spokesperson	Assignment to an existing consortium

- **Prospective institutions or individuals to become participants in existing consortia for the purpose of basic services**

Insofar as the development or operation of basic services requires the involvement of institutional or individual participants which are not yet represented in any consortium collaborating on this proposal, those participants must be included into one of the already existing consortia as a new participating institution or new participating individual. Therefore, please add those prospective participants to the lists below and determine the assignment to one of the existing consortia. Please summarise each participant’s specific contribution to the joint collaboration in this section (below the respective table) and explain the involvement in more detail in the work programme.

Participating institutions	Location	Assignment to an existing consortium

Institution 1	City 1	
Institution 2	City 2	
...		

Add lines as required. Delete this table if you have no participating institutions.

Contribution of [institution 1]:

Summarise the contribution.

Contribution of [institution 2]:

Summarise the contribution.

...

Participating individuals	Institution, location	Assignment to an existing consortium
Person 1	Affiliation of person 1	
Person 2	Affiliation of person 2	
...		

Add lines as required. Delete this table if you have no participating individuals.

Contribution of [person 1]:

Summarise the contribution.

Contribution of [person 2]:

Summarise the contribution.

...

The section 2 to 6 and the appendices need to be filled in for either option 1 or option 2

2 Scope and objectives

2.1 Domains or methods addressed by the consortium, specific aim(s)

NFDI basic service initiatives define their scope by the needs of principally all other consortia they address. Please summarise the need(s) of other consortia to be met by the basic service(s) of your initiative. Specify the aim of your initiative with regard to other consortia and their users for the next five years and with a view to the overall goal of the NFDI. Please describe why subject- or method-oriented consortia are not able to provide the proposed basic service(s) themselves in a sustainable and interdisciplinary way.

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2.2 Objectives and measuring success

List what you consider to be the most important objectives of your initiative (up to ten) and describe how they will contribute to attaining the specific aim(s) described above. Among the ten objectives should be the two main given objectives for basic services: first to continuously identify and review the need for a proposed basic service, and second to ensure that subject- or method-oriented consortia will accept your basic service(s) and use it reliably.

Explain how you will measure success in achieving your objectives. You can elaborate on measures of success in this section and/or in the work programme as appropriate.

3 Basic service initiative

The following subheadings correspond closely to the funding criteria on “Readiness and Relevance of the Consortium” and “Consortium Structure and Viability”. Consult the Guidance Notes on Funding Criteria (DFG form NFDI 120) for more information on the specific subheadings and the NFDI Guidelines (DFG form NFDI 100) for general information on the consortia.

--- Start of a paragraph only for Option 1 ---

If one or more members of your consortium are participating in other NFDI consortia, please list these multiple participations here, e.g.:

Member 1 is also participating in consortium X and Y

Member 2 is also participating in consortium Z

...

--- End of a paragraph only for Option 1 ---

3.1 Composition of the initiative and its embedding in the community of other consortia

[Text]

3.2 The initiative within the NFDI

[Text]

3.3 International networking

[Text]

3.4 Organisational structure and viability

[Text]

3.5 Operating model

[Text]

The operating model must be capable of being integrated into future NFDI governance structures and must comply with non-profit/public-benefit requirements and provisions.

4 Basic service(s) strategy

This section describes the basic service(s) strategy addressed by your work programme. If you refer to existing information infrastructures, data repositories, standards, technical frameworks or reusable software, explain how they will be integrated. List the sources that you use to describe the status quo in the appendix under Bibliography and List of References.

4.1 Detailed needs analysis and a matching strategy

Describe the details and results of your analysis of the needs of other consortia towards your proposed basic service(s). Describe your strategy to ensure the needs are met comprehensively. Relevant aspects might include:

- needs of consortia and needs of end users
- strategy to continuously identify and review needs of other consortia
- current and future negotiation, interlinking and coordination with subject- or method-oriented consortia
- etc.

4.2 Basic service(s)

Name the proposed basic service(s) and describe the status quo of the technology to be used. Relevant aspects might include:

- Robustness, security and scalability of the technology to be reused
- coordination/integration of existing standards
- relation to international standardisation approaches
- Necessity of further development or even new development
- etc.

4.3 Strategy for development and implementation of basic service(s) as well as their integration and acceptance by other consortia

This might include technical, organisational and/or legal measures as well as quality assurance procedures. Describe to what extent non-proprietary technical solutions are chosen and whether distributed structures or systems are planned.

4.4 Sustainability and operation of basic services

In describing the sustainability and operation of basic services to be provided by the initiative, distinguish clearly between services that initiative members will provide as part of their institutional mission (Grundaufgaben) based on existing funding, and services that will be established within the NFDI. This part of your strategy might also include licensing issues and a risk mitigation for potential lock-in-effects.

4.5 Organisational and communicational strategy

Please address your strategy to manage the relationship of your initiative to subject- or method-oriented consortia, to the NFDI association and its bodies as well as its sections.

5 Work programme

This section describes the structure of your work programme as it relates to the specific aims and objectives of the proposed initiative, particularly to your basic service(s) strategy. Major achievements to be attained during the course of the work programme, such as development and implementation of basic service(s), can be defined as milestones. Tangible results, such as the deployment of basic services for other consortia, can be categorised as deliverables.

The work programme of an initiative is divided into task areas, which may consist of different measures. Please provide tabular overviews of the envisaged task areas, the proposed measures per task area, and the individual(s) responsible for a given task area (co-spokespersons). The work programme should include a substantial technical description of the basic service(s) as well as details of your chosen software development, implementation and deployment process, especially if there is a major need for new basic services that cannot be developed by reusing already proved technologies.

Mark task areas that will be carried out with other consortia and explain the relation (e.g. by using footnotes or text below the table).

Table 5.0: Overview of task areas

Task Area	Measures	Responsible Co-spokesperson(s)
...		
...		
...		

In the following sections (5.1, 5.2, etc.), please provide a detailed description of the task areas using the template provided below and repeat this format in accordance with the number of task areas in your work programme. Name the task area in the heading and add additional items as required. The coordination and administrative tasks for the initiative as a whole must be included in a separate task area – usually the concluding one. Note that applicants may request funds to coordinate activities or work with other consortia.

5.1 [Task area 1]

Provide a detailed description of the measures to be addressed in the task area and explain how they relate to your specific objectives. It may be helpful to work with or develop use cases to illustrate your approach. Which aspects of your basic service(s) strategy will be addressed by this task area? Explain the contribution of the initiative’s members and/or participants who will be involved in the individual measures. How will this task area cooperate with other task areas (include cross-area dependencies where applicable)? Address possible risks of implementation.

Provide overviews in tabular form listing the amount of funding requested for this task area. The funding request should be broken down by institution (Table 5.1.1 for task area 1, Table 5.2.1 for task area 2, etc.), and funding category (Table 5.1.2/Table 5.2.2, etc.). Please note: The figures listed in the proposal only refer to the direct project costs.

Justify the requested funds in relation to the planned measures in this task area.

Table 5.1.1: Funding request for [task area 1] by institution

List the name of each institution, adding additional lines if necessary.

--- Table 5.1.1. to be used for option 1 only, delete the other table below ---

	2023	2024	2025	2026	2027	Total in €
Institution	Totals in €					
Applicant institution						
Co-applicant institution 1						
Co-applicant institution 2						
Co-applicant institution 3						
...						
Total project funds						

--- Table 5.1.1.1 to be used for option 2 only, delete the other table above ---

		2023	2024	2025	2026	2027	Total in €
Consortium Acronym	Institution	Totals in €					
Consortium A	Applicant institution A						
Consortium A	Co-applicant institution A1						
Consortium A	Co-applicant institution A2						
Consortium B	Applicant institution B						
Consortium B	Co-applicant institution B1						
Consortium B	Co-applicant institution B2						
...	...						
	Total project funds						

Table 5.1.2: Funding request for [task area 1] by funding category

Please refer to the DFG staff funding rates (see DFG form 60.12) when calculating the staff costs. Any requested funding for instrumentation must be explained separately below the table.

Funding category	2023	2024	2025	2026	2027	Total
Staff by category	Number of persons (full-time equivalents)					
Individuals with a doctoral degree (*)						
Individuals with a bachelor's or master's degree (**)						
Other staff						
	Totals in €					
Direct project costs						
Instrumentation						
Total project funds						

(*) this corresponds to the DFG staff category “Postdoctoral researchers and comparable”

(**) this corresponds to the DFG staff category “Doctoral researchers and comparable”

6 Overall funding request

This section provides a combined summary of funding requests for the individual task areas. Please complete the following tables to show the overall funding amounts requested for the proposed initiative. The funding requests should be broken down by task area (Table 6.1), institution (Table 6.2), and funding category (Table 6.3). Add additional explanations as required.

Table 6.1: Overall funding request by task area

List the individual task areas, adding additional lines as necessary.

	2023	2024	2025	2026	2027	Total in €
	Totals in €					
Task Area						
Task area 1						
Task area 2						
...						
Total project funds						

Table 6.2: Overall funding request by institution

List the name of each institution, adding additional lines if necessary.

--- Table 6.2 to be used for option 1 only, delete the other table below ---

	2023	2024	2025	2026	2027	Total in €
	Totals in €					
Institution						
Applicant institution						
Co-applicant institution 1						
Co-applicant institution 2						
Co-applicant institution 3						
...						
Total project funds						

--- Table 6.2 to be used for option 2 only, delete the other table above ---

		2023	2024	2025	2026	2027	Total in €
Consortium Acronym	Institution	Totals in €					
Consortium A	Applicant institution A						
Consortium A	Co-applicant institution A1						
Consortium A	Co-applicant institution A2						
Consortium B	Applicant institution B						
Consortium B	Co-applicant institution B1						
Consortium B	Co-applicant institution B2						
...	...						
	Total project funds						

Table 6.3: Overall funding request by funding category

Please refer to the DFG staff funding rates (see DFG form 60.12) when calculating the staff costs.

Funding category	2023	2024	2025	2026	2027	Total
Staff by category	Number of persons (full-time equivalents)					
Individuals with a doctoral degree (*)						
Individuals with a bachelor's or master's degree (**)						
Other staff						
	Totals in €					
Direct project costs						
Instrumentation						
Total project funds						

(*) this corresponds to the DFG staff category "Postdoctoral researchers and comparable"

(**) this corresponds to the DFG staff category "Doctoral researchers and comparable"

Description and summary of contributions by (co-) applicants

(Co-) applicant institutions are expected to make appropriate financial and in-kind contributions. Please describe the contributions to be made by the applicant and co-applicant institutions. While you may explain your own contributions throughout the proposal, please make sure to summarise them here. In addition, your listing may include contributions towards services provided by institutions as part of their institutional mission (Grundaufgaben – see 4.4.) that can be used by the initiative, but make sure to distinguish them from your own contributions towards realising the work programme.

Appendix

The appendix may only include the following information and documents:

1 Bibliography and list of references

Please list all sources and data repositories, information infrastructures and software that you have used to describe the status quo in your proposal. Indicate which sources were written or developed by members of the consortium (for example, by highlighting the source in bold).

2 Curricula vitae and lists of publications

Please provide the spokesperson's and all co-spokespersons' academic or professional CV (including the most important information) and a list of the individual's ten most important research contributions (publications, software, data sets, or similar), sorted in alphabetical order by last name of the spokesperson/co-spokesperson.

3 Letters of commitment by the participants

Attach a letter of commitment from each of the participants (person and/or institution) listed under the category "Participants" in Section B.1.

C Further Information

www.dfg.de/nfdi/en

For further information, please contact:

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