

# Proposal Preparation Instructions

## Project Proposals



These guidelines apply to project proposals under the Research Grants, Emmy Noether, Research Units, Clinical Research Units and Priority Programmes.

A proposal consists of the following three parts:

- A - Proposal Data and Obligations
- B - Project Description
- C - Appendices (For each applicant, please include an academic curriculum vitae with a list of up to ten of his/her most important publications.)

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 to the programmes mentioned above can only be submitted via elan.

For proposals to fellowship programmes, please refer to the relevant programme's proposal preparation instructions.

Please note that electronic proposal submission via elan may not yet be possible in other programmes. For such cases, please note the information provided under "Additional Instructions for Submitting Proposals Outside of elan" in addition to the instructions following immediately below.

Proposals may be submitted either in German or in English.

If applicable, please note the special instructions for Priority Programmes, the Emmy Noether Programme, and for Clinical Trials at the end of this document.

## **A Proposal Data and Obligations**

Here you are asked to enter information on the project and participating individuals and accept the required formal obligations.

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 **15 pages for sections 1 through 4** and up to **10 pages as of section 5**). The template formatting must be retained. In particular, the font should not be smaller than Arial 11 point, with line spacing no less than 1.2. For the sections *Project-Related Publications* and *Bibliography*, the font should not be smaller than Arial 9 point.

Template instructions:

### 1 Starting point

#### 1.1 State of the art and preliminary work

For new proposals please explain briefly and precisely the state of the art in your field in its direct relationship to your project. This description should make clear in which context you situate your own research and in what areas you intend to make a unique, innovative, promising contribution. Indicate the current state of your preliminary work. This description must be concise and understandable without referring to additional literature.

For renewal proposals, please report on your previous work. This report should also be understandable without referring to additional literature.

To illustrate and enhance your presentation you may refer to your own and others' publications. Clearly indicate when you are referring to the work of other researchers (even if you collaborated in the work yourself as a co-author). The absence of any 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). If your preliminary work is publicly available, it must be listed and include the date of publication; if this work is based on DFG-funding, indicate the relevant stage of the funding period. Please list the cited publications in your bibliography under section 3. This reference list is not considered your list of publications. Note that reviewers are not required to read any of the works you cite. This also applies to review sessions that are held on site. In this case, manuscripts and publications that provide more information on the progress reports and are published up to the review panel's meeting

may be made available at the meeting to enable reviewers to read through the information. Reviews will be based only on the text of the actual proposal.

## 1.2 Project-related publications

Please list your most significant publications that relate directly to the proposed project and document your preliminary work. This list serves as an important basis for assessing your proposal.

Please note the “Guidelines for Publication Lists”.

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

The DFG may reject any proposals not in compliance with the rules on publication lists.

If you are submitting a proposal to the DFG for the first time and have therefore not published in the proposed project area, please list only the up to ten most important publications that are part of your curriculum vitae (see C. Appendices).

## 2 Objectives and work programme

### 2.1 Anticipated total duration of the project

Please state

- the project's intended duration<sup>1</sup> and how long DFG funds will be necessary,
- for ongoing projects: since when the project has been active.

### 2.2 Objectives

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

Please indicate if you anticipate results that may be relevant to fields other than science (such as science policy, technology, the economy or society).

### 2.3 Work programme including proposed research methods

*For each applicant*

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<sup>1</sup> Please refer to DFG form 1.01 for information on long-term projects, [www.dfg.de/formulare/1\\_01](http://www.dfg.de/formulare/1_01).

Please 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.)

The quality of the work programme is critical to the success of a funding proposal. The tasks to be performed within the work programme should correspond to the funds requested. The work programme should therefore indicate and justify what types of funding will be needed and how the funds will be used, providing details on the individual items requested where applicable.

Please 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? What assistance is needed from outside your own group/institute?

Please list all **cited** publications pertaining to the description of your work programme in your bibliography under section 3.

### **3 Bibliography concerning the state of the art, the research objectives, and the work programme**

In this bibliography, list **only** the works you **cite** in your presentation of the state of the art, the research objectives, and the work programme. This bibliography is not the list of publications. Non-published works must be included with the proposal.

### **4 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 the implementation of research results
- or diversity in other respects

may be significant for 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)

*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 sections 1 and 2 and reference them accordingly in the following sections.*

*The following sections (as of section 5) must not exceed 10 pages in total.*

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

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

#### **5.1.1 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.

#### **5.1.2 Descriptions of proposed investigations involving experiments on humans or human materials**

Please describe the ethical and legal aspects of your project:

**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](mailto:postmaster@dfg.de) · [www.dfg.de](http://www.dfg.de)



- treatment or experiment
- criteria for selecting test persons
- description of potential risks and precautions taken
- method of informed consent.

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

### 5.1.3 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*<sup>2</sup>.

### 5.1.4 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)

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<sup>2</sup> [https://www.dfg.de/download/pdf/dfg\\_im\\_profil/geschaeftsstelle/publikationen/handreichung\\_sk\\_tierver-suche\\_en.pdf](https://www.dfg.de/download/pdf/dfg_im_profil/geschaeftsstelle/publikationen/handreichung_sk_tierver-suche_en.pdf)

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".

#### 5.1.5 Descriptions of investigations involving dual use research of concern, foreign trade regulations

Please examine whether your proposed project involves an immediate risk of yielding knowledge, products or technology that could intentionally be misused (also by third parties) to cause substantial harm. If such a risk exists, please describe the benefits of pursuing this work weighed against the risks of potential misuse and what measures are planned to minimise these risks. Refer to the guidelines contained in the publication *Scientific Freedom and Scientific Responsibility – Recommendations on Handling Security-Relevant Research*, published by the DFG and the German National Academy of Sciences Leopoldina, 28 May 2014. If your university or research institution has a research ethics committee, consult with them in advance and attach a statement by the committee with your proposal.

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>3</sup>.

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<sup>3</sup> [https://www.bafa.de/EN/Foreign\\_Trade/Export\\_Control/Export\\_Control\\_and\\_Academia/export\\_control\\_academia\\_node.html](https://www.bafa.de/EN/Foreign_Trade/Export_Control/Export_Control_and_Academia/export_control_academia_node.html)



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.

## 5.2 Data handling

Improving the management and handling of research data is a priority both for national and international research organisations and for science in general. In order to enhance the long-term archiving and curation of research data, the DFG funds projects that seek to achieve an efficient reuse of research data.

If research data or information will be systematically produced in the project, explain the nature, scope and documentation of the data and how they will be stored. In addition, discuss the possibility of subsequent reuse by other researchers. Please regard existing standards and data repositories or archives in your discipline where appropriate.

Additional information and best practice examples can be found at

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

Project costs associated with making research data available for future reuse can be requested with your project. In this case, describe how the institutions participating in the project will contribute to data and information management.

If the reuse of the research data being generated is closely linked to research objects (such as tissues, cell lines, installations, materials, artefacts, or similar), also address the proposed storage of such objects.

## 5.3 Other information

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

## 6 People/collaborations/funding

### 6.1 Employment status information

*For each applicant, state the last name, first name, and employment status (including duration of contract and funding body, if on a fixed-term contract).*

## 6.2 First-time proposal data

*Only if applicable: Last name, first name of first-time applicant.*

If this is your first proposal, reviewers will consider this fact when assessing your proposal. Previous proposals for publication grants and scientific networks are not considered first proposals, nor are proposals to the Walter Benjamin Programme or Research Fellowship Programme. If you are submitting a “first-time proposal” and it is part of a joint proposal, please note that your independent project share must be distinct from that of the others.

If you have already submitted a proposal as an applicant for an individual research grant and have received a letter informing you of the funding decision, or if you have led a project in a Collaborative Research Centre or Research Unit, you are no longer eligible to submit a “first proposal”. If you have submitted a “first-time proposal” and it was rejected, you may resubmit the application, in revised form, as a first-time proposal for the same project.

Proposals in the Emmy Noether Programme may not be labelled “first-time proposals” as, by definition, they are submitted in an advanced career phase.

## 6.3 Composition of the project group

*List only those individuals who will work on the project but will not be paid out of the project funds. State each person’s name, academic title, employment status, and type of funding.*

Please list separately the individuals paid by your institution and those paid using other third-party funding (including fellowships).

Please give appropriate consideration to diversity when composing the members of the project group (regardless of the individual funding sources). Additional information can be found under

[www.dfg.de/diversity/en](http://www.dfg.de/diversity/en)

#### 6.4 Researchers in Germany with whom you have agreed to cooperate on this project

If you will be pursuing your project jointly with researchers working in Germany and have shared responsibility for the conduct of the project, list the names of these individuals under co-applicants. The term co-applicant refers to individuals who are eligible to submit proposals but who neither request nor receive project funding.

In addition, list the names of researchers in Germany with whom you will be collaborating on the proposed project but who will **not** share responsibility for the conduct of the project, and include a copy of the cooperation agreement, where applicable, with your proposal.

For clinical trials, please also provide the name of the biometrician or statistician responsible for the trial.

#### 6.5 Researchers abroad with whom you have agreed to cooperate on this project

If you will be conducting your project in close collaboration with researchers based outside Germany, please list them as cooperation partners and indicate

- whether you will be pursuing the project within a **joint call** between the DFG and a partner organisation. If so, list the name of the call and indicate who will lead the project from the partner side.
- whether you will be submitting your project under one of the following DFG **international funding measures**:
  - cooperation with developing countries ([DFG form 54.013](#))
  - Middle East cooperation ([DFG form 54.016](#))
  - cross-border cooperation with Austria and/or Switzerland in a lead-agency process (DACH) ([DFG form 54.018](#))
  - cross-border cooperation with Luxembourg in a lead-agency agreement (DLux) ([DFG form 54.015](#)).
  - cross-border cooperation with the Autonomous Province of Bolzano-South Tyrol in a lead-agency process ([DFG form 54.017](#))
  - cross-border cooperation in a weave lead-agency process ([DFG form 54.019](#))
- if, excluding the cases listed above, significant project contributions by cooperation partners outside Germany are planned (**general international research cooperation**). The DFG assumes this is the case when written cooperation agree-

ments are entered into with the foreign partner. The agreement must be submitted with the proposal.

Please make sure to select the appropriate supplementary classification in elan and note the additional instructions provided in the relevant proposal instructions.

#### 6.6 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.

#### 6.7 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>4</sup> or contact your research institution in this regard.

If you are planning to cooperate with an application partner on a transfer project, i.e. a project that tests the results generated by a DFG-funded research project or develops basic-research findings into prototypes or exemplary applications, note the supplementary instructions contained in DFG form 54.014.

[www.dfg.de/formulare/54\\_014](http://www.dfg.de/formulare/54_014)

#### 6.8 Project-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, please state how your research project is linked to the company's production branch or activities.

#### 6.9 Scientific equipment

*List larger instruments that will be available to you for the project. These may include large computer facilities if computing capacity will be needed.*

If you are applying for instruments that are available at your institution, but are not at the project's disposal, please explain why this is the case.

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<sup>4</sup> Framework for State Aid for Research and Development and Innovation (2014/C 198/01)

## 6.10 Other submissions

List any funding proposals for this project and/or major instrumentation previously submitted to a third party.

## 7 Requested modules/funds

*Explain each item for each applicant (stating last name, first name).*

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

For electronic proposal submissions, please note that euro amounts will automatically be rounded to the nearest hundred, which could result in slight discrepancies in the staffing amounts.

## C Appendices

The proposal must include each applicant's academic curriculum vitae including a list of up to ten of his/her most important publications.

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 a researcher was unable to work continuously due to childcare obligations or due to a prolonged serious illness or disability.

Each CV must include a list of up to ten of the applicant's most important publications. These publications need not be related to the proposed project.

Please note the "Guidelines for Publication Lists".

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

**Additional appendices** should be included if applicable (e.g. a statement from the host institution, ethics statements, research papers, etc.).

For **proposals submitted electronically via elan**, you will be asked to upload the required documents. 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 document.

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

## Special Instructions

### I Priority Programme

For individual project proposals within an established Priority Programme, note that the funding duration (part A of the proposal) and the funding periods are specified in the call for proposals.

For the project description (part B of the proposal) note the following:

Each proposal must be accompanied by a description of how the project is integral to the Priority Programme, both in terms of subject matter and organisation. This includes a description of the cooperation with others participating within the Priority Programme. The envisaged realisation of the project in cooperation with other applicants may be demonstrated in particular by the joint training of early career researchers, or the use of methods by multiple projects as part of a network.

All applicants involved in submitting a proposal within an established Priority Programme are obliged to promptly provide the overall coordinator with all of the information necessary for drawing up the interim reports and the final report for the Priority Programme.

### II Clinical Trials

Studies that aim to prove the efficacy of a new therapeutic, diagnostic or prognostic method can only be funded in the Clinical Trials Programme. Such studies include **feasibility studies**<sup>5</sup> and **interventional trials**.<sup>6</sup> The programme also funds **observational trials**, provided that the study investigates a highly relevant research question that cannot demonstrably be answered using an interventional design. Further information on the types of trials can be found in the programme guidelines.

[www.dfg.de/formulare/17\\_01](http://www.dfg.de/formulare/17_01)

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<sup>5</sup> In terms of drug trial phases, these are phase II trials.

<sup>6</sup> In terms of drug trial phases, these are phase III trials.

Experimental studies on healthy individuals and exploratory studies on patients that seek to establish a new method or investigate a mechanism of action are not eligible under this programme. Exploratory and/or retrospective observational studies, epidemiological studies with the aim of examining the incidence and/or prevalence of diseases, reviews, meta-analyses, and studies focused purely on health economics are also not eligible under this programme. Funding for such studies is available under other DFG funding instruments, such as the Research Grants Programme or other individual grants programmes and coordinated programmes.

If you plan to conduct any experiments involving humans, including identifiable samples taken from humans and identifiable data, a statement by the local ethics committee must always be submitted. Where an intervention is part of the study, a declaration of compliance with Good Clinical Practice (GCP) and on the legal sponsor function must also be included where applicable. Please contact the DFG's Head Office prior to submitting your proposal should you have any questions.

### **III Emmy Noether Programme**

If you will be applying for a position as head of an independent junior research group or other funds, please note that this programme has a total duration of six years consisting of two funding periods (36 + 36 months). Please request funding for the six-year period in accordance with this structure.

Please submit as appendices your doctoral certificate, the employer's statement/sample contract (or the confirmation of employment letter and statement from your clinical employer if you opt for a temporary substitute position) and a description of your international research experience.

Include your doctoral thesis if it is included in any of your publication lists.



## **Additional Instructions for Submitting Proposals Outside of elan**

If your proposal cannot be submitted via elan, please use the available templates (see below) or use the same outlines (same numbering and complete header for each section) and formatting as provided.

Submit your proposal electronically on a CD-ROM, preferably as PDF files (otherwise as RTF files) without password protection or other restrictions; the document security settings should allow your documents to be read, copied and printed.

### **For A: Proposal Data and Obligations**

Use the Proposal Data and Obligations template.

[www.dfg.de/formulare/54\\_011](http://www.dfg.de/formulare/54_011)

Please only submit this form on paper, with the original signatures of all applicants, along with the aforementioned CD-ROM that includes all the documentation relevant to the proposal.

### **For B: Project Description**

Use the Project Description template.

[www.dfg.de/formulare/54\\_012](http://www.dfg.de/formulare/54_012)

In addition to the template instructions provided in part B, please note the following:

#### **Requested modules/funds**

State which modules you would like to submit for funding. Structure your funding requests according to the module guidelines and state the desired funding amount for each item (e.g. Basic Module: 1. Funding for staff, 2. Funding for direct project costs, 2.1 Equipment up to €10,000, software and consumables, 2.2 Travel, 2.3 Visiting researchers, 2.4 Experimental animals, 2.5 Other, 2.6 Project-related publication expenses, 3. Funding for instrumentation). For each module, give subtotals and totals. Then explain your funding requests in detail.

## **For C: Appendices**

Include all proposal appendices as separate PDF documents (less than 10 MB per document).

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

## Naming Protocol for Proposal Documents

Document	Document Name
instrumentation quote (Angebote zu Geräten)	Angebot_<instrument type>_<manufacturer>
employment offer (Arbeitsplatzzusage)	Arbeitsplatzzusage
project description (Beschreibung des Vorhabens) (part B of proposal)	Beschreibung_des_Vorhabens
ethics statement (Ethikvotum)	Ethikvotum
staff questionnaire (Fragebogen Mitarbeiter)	Fragebogen_<last name of respondent>
curriculum vitae and list of most important publications (Wissenschaftlicher Lebenslauf mit Verzeichnis wichtigster Publikationen)	CV_PubList_<person's last name>
certificates (Zeugnisse) in one document	Zeugnisse_<person's last name>
accepted manuscripts (Zulässige Manuskripte; erforderliche Annahmebestätigung)	<year>_<last name_author>_<keyword> Bestätigung_<year>_<last name_author>_<keyword>
For proposals submitted outside of elan:  proposal data and obligations (Daten zum Antrag und Verpflichtungen) (part A of proposal)	Daten_zum_Antrag_und_Verpflichtungen