German Research Foundation (DFG), Germany

Ministry of Science and Technology (MoST), Taiwan

公開徵求臺德(MOST-DFG)國際研究訓練團隊計畫(IRTG)共同徵件說明

(延後截止日期)

2021/02/24

為鼓勵臺灣及德國研究學者共同追求學術卓越，並培養及訓練具備研究能力及國際觀之博士生及年輕研究人員，科技部改制前(國科會)與德國研究基金會(DFG)於 2011 年簽署國際研究訓練團隊計畫(International Research Training Group, IRTG)合作備忘錄，期能共同追求學術卓越。

本項徵件分為三階段，包括構想書、前期計畫書及完整計畫書，均需由臺灣及德國雙方計畫主持人共同研議完成並提出中、英文構想書及計畫書，分別提送科技部及德國研究基金會(DFG)，任一方未收到申請文件，則合作案無法成立。計畫期程共 9 年，分二期補助，每期 4.5 年。第一期計畫成果通過評量者，方可獲得第二期計畫之經費補助。

本次徵件獲補助計畫預訂自 2023 年 10 月開始執行，重點說明如下：

一、 計畫目標及內容：

（一）計畫目標：

1. 建立臺德雙方博士生之共同研究及訓練團隊架構。
2. 提供臺德雙方博士生參與高品質國際合作研究之機會。
3. 培養具研究實力及國際觀之年輕研究人員。
4. 培養至少 15 位臺德雙方共同指導博士生。
5. 鼓勵合作雙方之大學系所簽署雙博士學位
6. 共同建立卓越研究中心。

（二）計畫內容

1. 選定共同研究主題：需具原創性及高學術品質，且由雙方各 5-10 位計畫主持人連續 9 年共同合作。
2. 博士生交換：雙方每年至少各 5 位博士生至對方學校交換 6-12 個月，由雙方計畫主持人共同指導。各方同一組(至少 5 位)博士生參與 3 年完成一輪，全程執行三輪至少共 15 位博士生。
3. 計畫主持人、協同主持人、博士後(全職)等計畫人員赴對方短期訪問、客座授課、移地研究等。

4. 辦理客製化交流活動，如雙邊研討會、暑期研習營、技術傳授課程等。
5. 共同建立卓越研究中心。

二、 合作領域：

不限合作領域，需以學術卓越為目標。

三、 申請資格：

（一）臺方：

1. 每項計畫應由總主持人(1 位)及共同主持人(至少 4 位至多 9 位)共同提出，得有協同主持人(不限人數)共同參與。
2. 計畫主持人(含共同主持人)必須為中華民國教育部立案大學之專任助、副、正教授，且任教系所須提供博士學位學程。
3. 計畫主持人以任職同一所大學為原則，總主持人應有正教授資格.
4. 每一計畫需設立一發言人，負責與任教大學、科技部及德方團隊發言人對話溝通。發言人可為總主持人、共同主持人或協同主持人，但需符合上揭第 2 點資格條件之正教授，且具有相當國際學術聲望，並積極參與計畫執行。
5. 計畫主持人於計畫執行期間，若有因調職或退休等情事，離開計畫執行機構者，應由同校符合資格之專任教師接任計畫主持人，繼續執行計畫。
6. 協同主持人得為大學或研究機構之助、副、正教授、研究員或與計畫相關之產業界人士。
7. 執行機構（大學）須承諾給予博士生訓練必要之協助，並應提供計畫配合款，每年不低於新臺幣 300 萬元。

（二）德方：

德方團隊應符合德國研究基金會(DFG)之規定。

四、 各階段申請作業時程：

（一）計畫構想書 (Conception)：

1. 受理期間： 2020 年 12 月 1 日至 2021 年 12 月 31 日

   申請前期規劃經費(Cooking Fund)者應於 2021 年 10 月 31 日前提出，德國團隊應同時向 DFG 提出 Preparatory Workshop Fund 申請。
2. 計畫總主持人得於受理期間依第六點第(一)款所述方式提出申請。
3. 審查重點為研究主題之學術卓越性、合作團隊及培訓計畫之完整性。
4. 通過審查者可獲前期規劃計畫經費(Cooking fund)，以共同研擬前期計畫書。合作團隊向德方提送之前期計畫書(或完整計畫書)，將做為本項規劃計畫結案報告之必要附件。
5. 無論是否申請前期規劃經費補助，均應提出申請，否則無法成案。

※計畫構想書內容格式請參閱附表一。

（二）**前期計畫書 (Draft-proposal)：**

1. 受理期間： 2020 年 12 月 1 日至 2021 年 12 月 31 日
2. 臺德雙方共同研擬完成前期計畫書，由德方研究團隊向 DFG 提出申請，並須送交科技部備案。
3. 前期計畫書經 DFG 審查通過者，可於 2022 年 4 月 30 日前接獲 DFG 通知，邀請提送完整計畫書。
4. 獲邀請提送完整計畫書之研究團隊，亦得申請前期規劃計畫經費 (Cooking fund)，以共同研擬完整計畫書。

※前期計畫書內容格式請參閱附件二說明。

（三）**完整計畫書 (Full proposal)：**

1. 受理截止日期： 2022 年 9 月 30 日
2. 臺德雙方共同研擬完整計畫書，並分別向科技部及德國 DFG 提出申請。我方團隊請依第六點第(二)款所述方式提出申請。
3. 完整計畫書經科技部與 DFG 共同審查通過者，可獲得補助「國際研究訓練團隊計畫(IRTG)」所需經費。

※完整計畫書內容格式請參閱附件三說明。

（四）**公告選定計畫：**

預訂 2023 年 6 月間公告選定結果。若因不可抗力因素、協議機構審查時間延後等因素，科技部得視情形調整公布選定結果時間。

五、 計畫執行期程：

（一）前期規劃計畫(Cooking Fund)

1. 第一次前期規劃計畫之執行期程得自 2020 年 12 月 1 日至 2021 年 12 月 31 日。
2. 第二次前期規劃計畫之執行期程得自 2021 年獲德方(DFG)通知提送完整計畫書之日起，至 2022 年 9 月 30 日。

（二）國際研究訓練團隊計畫(IRTG)

1. 第一期計畫自 2023 年 10 月 1 日至 2028 年 3 月 31 日為原則。
2. 經期中評量通過者，可繼續執行第二期計畫。
3. 第二期計畫自 2028 年 4 月 1 日至 2032 年 9 月 30 日為原則。

六、 補助經費項目及分擔方式：

（一）前期規劃計畫經費(Cooking Fund)

1. 補助臺方研究團隊與德方聯繫規劃合作內容之國際移動(Mobility)及辦理

小型討論會所需費用。

2. 補助額度以每件新臺幣 50-80 萬元為原則。
3. 補助項目包括臺方赴國外差旅費或在臺灣辦理小型討論會所需費用。

（二）國際研究訓練團隊計畫(IRTG)經費

1. 補助臺方研究團隊與德方共同執行 IRTG 計畫所需費用。
2. 補助額度以每件每年新臺幣 1,300-1,500 萬元為原則(含大學配合款)。
3. 補助項目包括：
   (1) 我方博士生(至少 5 位)赴德國研修(每年至少 6 個月)所需生活費、交通費、保險費等。得依科技部補助博士生赴德國研修(三明治計畫)之補助費用標準編列。
   (2) 我方博士生、碩士生、大學生等參與計畫人員研究津貼。
   (3) 我方計畫主持人執行雙邊合作研究所需費用(含移地研究)。
   (4) 我方計畫主持人及參與計畫研究人員赴德國短期訪問費用。
   (5) 德方研究人員來臺短期授課、演講等相關費用。
   (6) 辦理雙邊研討會、技術講習會、年輕科學家研習等活動相關費用。
   (7) 管理費
   (8) 得匡列 3 位博士後研究員，俟計畫核定後，循科技部延攬人才管道申請經費。

七、 申請方式：

（一）前期規劃計畫(Cooking Fund)

1. 於首頁登入【學術研發服務網】並進入【學術獎補助申辦及查詢】
2. 在申辦項目下點選【國際合作】後進入【雙邊研究人員交流計畫(新)】
3. 在【徵求中-雙邊交流互訪計畫】選單中點選【**臺德雙邊國際研究訓練團隊(IRTG)-前期規劃計畫**】
4. 點選【新增】開始申請計畫：新增計畫時，請填具各項申請資訊欄位，同時將合作計畫構想書、雙方參與人員英文履歷及近五年著作目錄等各項文件以 PDF 檔上傳至系統後送出至所屬機構。
5. 計畫主持人所屬機構應於系統彙整後送出，並列印申請名冊一式二份於 2021 年 12 月 31 日前備函（以發文日為憑，遇國定假日順延）送科技部提出申請。申請補助前期規劃經費者應於 2021 年 10 月 31 日前提出。

（二）國際研究訓練團隊計畫(IRTG)

1. 申請案之前期計畫書(Draft-proposal)經德方(DFG)審查通過並邀請提送之完整計畫書，須由臺灣及德國各一組計畫團隊共同研議計畫內容後，分別向科技部及德國研究基金會(DFG)提出申請。
2. 臺方計畫主持人向科技部提出線上申請時，應檢附 IRTG 計畫之英文完整計畫書(Full proposal)、德方主持人履歷及近五年著作列表、德方參與人

員履歷資料等，彙整為單一 PDF 檔案(表 IM03)，並依指示上傳至科技部專題計畫線上申請系統。

3. 請依循科技部專題研究計畫之申請程序，於線上系統填列計畫申請書。部份重點包括：
   i. 至科技部網站(https://www.most.gov.tw/ch/academic)首頁「學術研發服務網登入」處，身分選擇「研究人員(含學生)」，輸入申請人之帳號(ID)及密碼 (Password)後進入。
   ii. 在「學術研發服務網」之學術獎補助申辦及查詢內之【專題計畫】工作頁下第一項【專題研究計畫】點入後，選擇【**雙邊協議專案型國際合作計畫(Joint Call)**】進入個人基本資料畫面，若無修改，確定後即進入本系統之「主畫面」，從主畫面視窗上左上方點選新增，即可新增一筆。
   iii. 「計畫歸屬」請依計畫研究主題及所屬學門勾選對應之學術司（請勿直接選"科教國合司"）。
   iv. 英文計畫名稱應與德方所提計畫名稱相同。
   v. CM01 申請表內【本計畫是否為國際合作研究】欄位應勾選【是】；並須於表格設定處增加勾選【IM03】。
   vi. 除一般專題計畫申請所需之各項 CM 表及相關學術司規定文件，亦應填具「國際合作研究計畫表」【IM01】與【IM02】等相關附件。
   vii. IM01 表之「合作國家」請選「與單一國家合作」,「國別」請選填【334 德國】。「外國合作計畫經費來源」為科技部雙/多邊協議機構，並選填【德國研究基金會(DFG)】。
   viii. 表 IM04 屬檔案附錄之上傳功能(請勾選)，請將英文計畫書、德方計畫主持人英文履歷及著作目錄、德方參與人員履歷等資料合併為單一 PDF 檔案後上傳至系統。未上傳者視為申請資料不全。
4. 完整計畫申請案須由主持人任職機構於系統中彙整後送出，依科技部「專題計畫線上申請彙整」作業系統製作及列印申請名冊(由系統自動產生，並依計畫歸屬司別列印）一式二份，**於 2022 年 9 月 30 日前函送科技部（以發文日為憑，遇國定假日順延）**。

八、 注意事項：

1. 本案前期規劃計畫(Cooking Fund)採隨到隨審方式，核定後即可開始執行計畫至提送前期計畫書(Draft-proposal)為止。若獲邀請提送完整計畫書(Full proposal)，亦得再次向科技部申請前期規劃計畫，至提送完整計畫書為止。惟前期規劃經費(Cooking Fund)全程以補助一次為限。
2. 本項國際研究訓練團隊計畫(含前期規劃計畫)須經科技部與德國研究基金會(DFG)共同審查通過後，始成立並予以補助。
3. 具以下情況之申請案恕不受理：

(1) 雙方計畫主持人中有任一方未提出計畫申請書；
(2) 申請日期超過公告截止日期；
(3) 申請資料不全；
(4) 未依科技部專題作業規定提出。

4. 本案通過之計畫可不受科技部一般專題計畫補助件數之限制，惟計畫主持人同年度執行此類「雙邊協議專案型國際合作計畫(Joint Call)」仍以 2 件為限，倘計畫主持人於 2023 年已執行 2 件此類計畫(指計畫執行期限內與本次徵求案預定執行期間重疊達 3 個月以上)者，不得再提出本項計畫申請;若計畫於受理審查過程中,主持人另獲此類計畫達 2 件時,科技部將不再核予此第 3 件。
5. 計畫核定後之經費撥付、報銷與報告繳交作業，均依科技部補助專題研究計畫作業要點及科技部補助雙邊科技合作補助原則等規定辦理。
6. 臺方計畫主持人應於每年計畫執行期限結束前(後)提供期中(期末)報告，作為下一年度計畫經費補助之參考，並據以評估每項計畫之合作成效。
7. 雙方計畫主持人於規劃合作時，應先議定未來雙方智慧財產權與成果之歸屬、管理及運用方式，必要時可共同簽訂相關計畫合約書。
8. 年度所需經費如未獲立法院審議通過或經部分刪減，本案得考量法定預算審議結果彈性調整，並依預算法第 54 條規定辦理。

九、 聯絡資訊：

臺方：

科技部 科教發展及國際合作司 李蕙瑩研究員
電話：+886-2-2737-7150
Email: vvlee@most.gov.tw

駐德國代表處科技組 戴龔組長
電話：+49-(0)228-302-307
Email: ytai@most.gov.tw

德方：

德國研究基金會（DFG）
Dr. Sebastian Granderath, (Reaserch Careers)
電話：+49 228 885-2881
Email: Sebastian.granderath@dfg.de

德方研究計畫公告網址：
https://www.dfg.de/foerderung/info_wissenschaft/2020/info_wissenschaft_20_89/index.html

臺德(MOST-DFG)國際研究訓練團隊計畫(IRTG)構想書(Conception)
(109/11/05 更新版)

計畫名稱(中/英)：

申請學校(大學)名稱：

發言人 (姓名/職稱) ：

---

1 基本資料

1.1 計畫總主持人

姓名/職稱	系所	研究領域

1.2 計畫主持人(4-9 名)

姓名/職稱	系所	研究領域

1.3 博士後研究員及博士生參與人數

	人數
博士生 (IRTG 補助)	
博士生 (其他經費補助)	
博士後研究員 (IRTG 補助)	
博士後研究員 (其他經費補助)	

1.4 其他非受補助參與成員(其他學術單位、業界人士等，不限名額)

姓名/職稱	單位	研究領域

2 德方參與團隊基本資料

2.1 計畫總主持人 (spokesman)

姓名/職稱	學校/系所	研究領域

2.2 計畫主持人(4-9 名)

姓名/職稱	系所	研究領域

2.3 博士後研究員及博士生參與人數

	人數
博士生 (IRTG 補助)	
博士生 (其他經費補助)	
博士後研究員 (IRTG 補助)	
博士後研究員 (其他經費補助)	

2.4 德方全部主持人簡歷

3 研究訓練計畫(須包含研究及訓練兩部分)

3.1 摘要(限 XX 字)

3.2 內容(概念)

3.3 預期成果

3.4 與德方合作必要性及效益

3.5 主持人與計畫相關之重要論文發表(總共限 20 篇)

3.6 其他有利申請資料，如臺德雙方團隊過去合作經歷

4 計畫撰寫準備會議 (實際會議日程最長不超過 5 天)

4.1 日期

4.2 地點

4.3 臺方參與名單，共 名

姓名/職稱	單位	研究領域

4.4 德方參與名單，共 名

姓名/職稱	單位	研究領域

4.5 完整規劃議程

5 同意參與計畫聲明簽署

5.1 茲同意 (計畫名稱) 若通過 IRTG 計畫審查並獲得科技部補助，將由本校給予該計畫臺德雙方博士生訓練之必要協助，並提供計畫配合款每年不低於新臺幣 300 萬元。

申請學校校長

姓名：

日期：

簽名：

5.2 德方總主持人

姓名：

日期：

簽名：

5.3 臺方總主持人

姓名：

日期：

簽名：

Draft Proposal Preparation Instructions

for Research Training Groups and International Research Training Groups

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

I General Information

The proposal procedure for Research Training Groups (RTGs) and International Research Training Groups (IRTGs) consists of two stages. In the first stage, the participating researchers write a draft proposal, which is then submitted to the DFG by the university or equivalent higher education institution. This draft proposal is then reviewed. The review criteria can be found in the "Guidelines for Reviewing Draft Proposals to Establish Research Training Groups or International Research Training Groups" (DFG form 1.304).

www.dfg.de/formulare/1_304

Based on the draft proposal, the review, and a recommendation by the relevant review board, the Senate Committee on Research Training Groups makes a recommendation as to whether an establishment proposal should be submitted in the second stage. If the recommendation is negative, the applicant may submit a revised version of the draft proposal once. For guidance on the submission of an establishment proposal, please refer to the Proposal Preparation Instructions – Proposals to Establish Research Training Groups and International Research Training Groups (DFG form 54.05).

www.dfg.de/formulare/54_05

For further information, please refer to the "Guidelines on Research Training Groups and International Research Training Groups" (DFG form 50.07).

www.dfg.de/formulare/50_07

If you will be applying for the International Research Training Group programme variation, please note particularly the "Guidelines for Differentiating International Research Training Groups from Research Training Groups" (DFG form 1.312).

www.dfg.de/formulare/1_312

Proposing an International Research Training Group requires intensive preparation and close coordination among all participants. It is therefore recommended to inform the DFG Head Office as early as possible about planned proposals. For advice and support, please contact the appropriate programme office at the DFG Head Office.

II Proposal Submission

Draft proposals under the Research Training Groups Programme must be submitted via the elan portal of the DFG. You can access the system at

https://elan.dfg.de/en/

to securely submit your draft proposal, proposal-related data and documents.

The draft proposal consists of the following three parts:
A – Proposal Data and Obligations (via the electronic proposal form)
B – Project Description (according to DFG form 53.60)

www.dfg.de/formulare/53_60_elan

C – Attachments (biographical sketches and any additional documents)

As soon as the data and the uploaded documents are sent electronically to the DFG, you will receive an acknowledgment of receipt by e-mail with a compliance form attached to it. This document must be signed by the spokesperson and the head(s) of the university/universities, indicating their consent to the submission of the draft proposal, and sent to the DFG (in the case of **IRTGs**, only from the German side).

A Proposal Data and Obligations

An electronic proposal form is available via the DFG elan portal at

https://elan.dfg.de/en

for you to provide the following information:

- Title of the Research Training Group in German and English (max. 300 characters each)
- Research area, keywords, topical connections to other countries
- Summary of the main intentions of the Research Training Group, i.e. especially of the research and qualification programmes, in German and English (max. 3,000 characters)
- Applicant university/universities; any other participating institutions
  (for IRTGs, information on the foreign partner institution)

- Designated spokesperson; participating researchers (academic title, first name, last name and location) (for IRTGs, include same information for foreign partner institution)
- Obligations and declarations

B Project Description

For the description of your project, use the appropriate template in English or German, which is available on the elan portal and on the website of the DFG.

www.dfg.de/formulare/53_60_elan

The length of the document (exclusive of section 5 “Publications and bibliography for the research programme”) must not exceed 15 pages (20 pages for IRTGs) (A4 format, Arial 11pt font or similar, single-spaced).

The project description should include the following information:

1 General information

1.1 Applicant university/universities

Specify the lead applicant university that will manage the funds if the grant is awarded. Name additional applicant universities if applicable.

For **International Research Training Groups**, specify the foreign partner institution(s) as well.

1.2 Designated spokesperson

The designated spokesperson is responsible for the proposal. The spokesperson must be able to represent the Research Training Group directly in all committees of the department as well as the university at large. He or she must therefore hold a permanent position, have all the rights and responsibilities of a full-time professor, and have the right to vote for and be elected to the university senate.

For **International Research Training Groups**, specify the spokesperson at the foreign partner institution as well.

1.3 Researchers

Participating researchers

Name the – usually five to ten – researchers who will run the Research Training Group, including their research areas. If more than ten researchers are involved, please provide a justification. The DFG strongly recommends involving advanced early career researchers and giving them responsible positions within the RTG. The applicant university is expected to grant such researchers the right to supervise doctoral researchers.

The participating researchers are considered "individuals with a high level of scientific/academic responsibility" as stated in the DFG's Rules of Procedure for Dealing with Scientific Misconduct[1]. They must take note of these Rules of Procedure and acknowledge them as legally binding (see Declaration of Obligation of Compliance – DFG form 80.02).

www.dfg.de/formulare/80_02

For **International Research Training Groups**, include the same information for the foreign partner institution as well.

1.4 Number of doctoral and postdoctoral researchers

State the number of positions or fellowships for doctoral and postdoctoral researchers to be funded through RTG funds, including the level of funding (fellowship amount or percentage of full-time hours).

Information on the various funding modalities can be found in the "Guidelines on Research Training Groups and International Research Training Groups" (DFG form 50.07), the "Proposal Preparation Instructions for Proposals to Establish Research Training Groups and International Research Training Groups" (DFG form 54.05) and the funding guidelines for Research Training Groups (DFG form 2.22, available in German only).

https://www.dfg.de/foerderung/formulare_merkblaetter/

[1] Rules of Procedure for Dealing with Scientific Misconduct (VerfOwF), DFG form 80.01

In addition, specify the anticipated number of doctoral and postdoctoral researchers with funding from other sources.

For **International Research Training Groups**, include the same information for the foreign partner institution as well.

2 Research programme

- Description of the core research idea or main topic
- Outline of the research programme. Please note that research programmes are expected to yield excellent topics for theses (potential topics for theses or projects should be exemplified, but not described in detail).
- Innovativeness of the research programme with respect to the current state of relevant international research and feasibility/plausibility of the innovative approaches
- For **International Research Training Groups**: Description of the value added by international collaboration

3 Qualification programme and supervision strategy

- Outline of the qualification programme based on the research programme
- Short description of the supervision strategy

4 Environment

- Description of why the proposed location is suitable for the topic of this Research Training Group
- Statement by the university on how the Research Training Group fits into the university's environment and what structural innovations are anticipated. Also note the guidelines on positioning Research Training Groups relative to other doctoral programmes (DFG form 1.309, available in German only).

  www.dfg.de/formulare/1_309

- Under the Collaborative Research Centre programme, a module for structured doctoral training may be applied for. Collaborative Research Centres and Research Training Groups that are based at the same location and have largely overlapping topics should not receive parallel funding. The goal is to increase efficiency by bundling funding for closely related research projects. A thematic overlap is acceptable if

the Research Training Group's topic and/or structure are sufficiently unique. For instance, the establishment of an International Research Training Group may be considered to deliver added value. If your Research Training Group relates closely to a Collaborative Research Centre, please explain what constitutes its added value.

- If the draft proposal is linked to an existing Research Training Group or one that has ended, please explain what experiences have been applied to the new proposal, what new research objectives have been included in the research programme, and what changes have been made to the research team.

5 Publications and bibliography for the research programme

5.1 List of published preliminary research relevant to the research programme

Please list publications by the participating researchers whose topics are directly related to the research programme. Alphabetise them by the participating researchers' last names and identify them as

a) articles which at the time of proposal submission have been published or officially accepted by publication outlets with scientific quality assurance, and book publications; or

b) other publications.

Please note that the total number of items that may be listed under a) and b) combined is limited to 10 for each participating researcher. Authorship must be cited unchanged and in accordance with how it appears on the published works. Please number the works included.

You may also list an unlimited number of patents (divided into the categories pending and issued).

For publications that are only available electronically, please also provide a persistent identifier (e.g. a digital object identifier [DOI]), preferably by indicating the DOI number or otherwise by specifying the URL. For publications that are not published exclusively in electronic format, we recommend that you include a persistent identifier or a URL; note, however, that this is optional.

When listing papers that have been officially accepted for publication but not yet published, the manuscript and the publisher's dated acknowledgement of acceptance must be submitted via the elan portal. Manuscripts in progress and papers that have not been officially accepted for publication may not be included.

5.2 Additional references on the state of the art (optional)

The presentation of the research programme should be able to stand on its own and be understandable, coherent and reviewable without the need to read additional documents. For a more comprehensive presentation of the current state of the art, additional works (by the participating researchers and/or others) may be cited here. To the extent that these documents are non-published works by the participating researchers, they must be submitted via the elan portal. Please note, however, that the proposal text alone will serve as the basis for the review.

C Attachments

1 Biographical sketches

Biographical sketches for all participating researchers (including participating foreign partners in **International Research Training Groups**) are a required attachment. The sketches should be attached as one PDF document for all researchers. If individual employment contracts will end during the course of the proposed Research Training Group, please indicate this. For appropriate assessment of the researchers' scientific achievements, we recommend that **CVs** (including dates of birth, stages of academic training, stages of scientific work to date, etc.) specify circumstances that may have impaired scientific work. Examples include childcare, long-term illnesses or disabilities. The five-year periods specified below for supervised theses and third-party funding awarded in the past are extended by two years per child.

Each biographical sketch must include a **list of the up to ten most important papers** published by the relevant researcher. These papers need not be directly connected to the proposed Research Training Group.

Please structure the list as follows:

a) articles which at the time of proposal submission have been published or officially accepted by publication outlets with scientific quality assurance, and book publications; or
b) other publications.

Please note that the maximum total of ten items per person that may be listed under a) and b) combined must be observed. Authorship must be cited unchanged and in accordance with how it appears on the published works. Please number the works included.

You may also list an unlimited number of patents (divided into the categories pending and issued).

For publications that are only available electronically, please also provide a persistent identifier (e.g. a digital object identifier [DOI]), preferably by indicating the DOI number or otherwise by specifying the URL. For publications that are not published exclusively in electronic format, we recommend that you include a persistent identifier or a URL; note, however, that this is optional.

When listing papers that have been officially accepted for publication but not yet published, the manuscript and the publisher's dated acknowledgement of acceptance must be submitted via the elan portal. Manuscripts in progress and papers that have not been officially accepted for publication may not be included.

Furthermore, the appendix must document any **training of early career researchers** conducted by the participants within the last five years, e.g. by listing theses that were supervised (including, where possible, time to degree and information regarding the further career development of the doctoral graduates). In addition, participants (for **IRTGs** at least those on the German side) should list key projects in which they were involved in within the last five years that received **third-party funding**, indicating projects relevant to the Research Training Group.

2 Additional attachments

The following additional documents should be attached to the proposal as appropriate: works included in the list of publications that have been officially accepted for publication but not yet published with acknowledgement of acceptance and a cover letter addressed to the DFG Head Office.

III. Supplementary Proposal Instructions

A. Obligations

In submitting a proposal to the DFG, the applicant university and the participating researchers

1. agree to adhere to **the principles of good scientific practice**[2].
   The principles of good scientific 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 wissenschaftlichen Fehlverhalten - VerfOwF)[3] as legally binding. In the draft proposal stage, the spokesperson obtains signed Declarations of Obligation of Compliance from the participating researchers and keeps these on file for ten years following submission of the draft proposal to the DFG. Should allegations of scientific misconduct arise, upon request the spokesperson will forward the relevant declaration to the DFG Head Office.

   www.dfg.de/formulare/80_02

   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 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;

[2] The principles of good scientific practice are presented in detail in the DFG Code of Conduct *Guidelines for Safeguarding Good Scientific Practice*.
[3] Rules of Procedure for Dealing with Scientific Misconduct (VerfOwF), DFG form 80.01.

- 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.

B. Storage of Data on Applicants and Research Projects

The data necessary for processing your proposal will be stored electronically by the DFG, used for evaluative and statistical purposes, and forwarded to reviewers and relevant committees, who may be based in third countries, as part of the review and decision-making process.

C. Uploading Proposal Documents

Before submitting your proposal, you will be prompted to upload the required documents. You can only upload PDF files as attachments (which should have no access restrictions regarding reading, copying or printing). Please name the PDF documents according to the following naming protocol in order to facilitate the processing of your proposal.

Document	Document name
project description (Beschreibung des Vorhabens) (part B of the proposal)	Beschreibung_des_Vorhabens
biographical sketches (Forschungsprofile) (part C of the proposal)	Forschungsprofile
scientific papers (Wissenschaftliche Arbeiten)	<year>_<author's_last_name>_<keyword>

additional attachments (Weitere Anlagen)	<descriptive_file_name>

Files larger than 10 MB cannot be submitted. If a larger file size is unavoidable, you may supply the file subsequently on a suitable medium. In this case, submit an explanatory note instead of the missing document.

Proposal Preparation Instructions

Proposals to Establish Research Training Groups and International Research Training Groups

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

Table of Contents **Page**

I General Information 3
II Proposal Preparation Instructions 6
1 General Information 7
2 Profile of the Research Training Group 11
3 Research Programme 11
4 Qualification Programme 14
5 Supervision and Career Advancement, Gender Equality, Organisation and Quality Management 17
6 Environment of the Research Training Group 24
7 Modules and Funding 27
8 Only for International Research Training Groups: Complementary Funding by the Partner Institution 40
9 Declarations 41
10 Obligations 42
11 Signatures 43
Appendix I: Publications and Bibliography (Research Programme) 44
Appendix II: Biographical Sketches of Participating Researchers 46
III Guidelines for On-Site Reviews of Proposals to Establish Research Training Groups 48
IV Guidelines on Requesting Additional Funding during the Grant Period 53

I General Information

These instructions describe the mandatory format of a proposal to establish a Research Training Group and the information it must contain. Please note that the objectives of the Research Training Groups Programme as described in the “Guidelines for Research Training Groups and International Research Training Groups” (DFG form 50.07) form the basis of the information requested in these instructions and should therefore be considered when preparing a proposal.

www.dfg.de/formulare/50_07

The proposal must be submitted to the DFG Head Office in 12 printed copies. One of the copies should bear the original signatures of the designated spokesperson and of the head of the university, and be hole-punched but not stapled; the other copies should be hole-punched and stapled once. Please include with each of the 12 printed copies a CD-ROM (or other suitable data carrier) containing an electronic version of the proposal as a single PDF file without password protection or other reading, printing or copying restrictions.

For **International Research Training Groups (IRTGs)**, the proposal must be written jointly by both partner institutions and bear the signatures of the designated spokespersons at both partner institutions as well as that of the head of the German university. The proposal must describe the contributions and measures provided by the foreign partner institution in sufficient detail to allow evaluation.

One copy of the proposal must be sent to the responsible state ministry for comment.

Please make your proposal informative and present the information in a clear and well-organised fashion. This will help DFG reviewers make a fair and objective decision. Please be sure to meet the following obligatory requirements:

- The proposal – without cover page, table of contents and appendix – may not exceed 55 pages in length, or 65 pages for **IRTG**s (DIN A4, Arial 11pt or similar font, single-spaced and printed on both sides of the paper).

- The appendix must include a list of publications and a bibliography with regard to the research programme as well as biographical sketches for all participating researchers (for **IRTGs** also those at the foreign partner institution) (see instructions in the appendix). It must also include declarations as per sections 9 and 10, and a sample supervision agreement where applicable. The appendix may not include any other information.

Proposals that exceed the allowable length will not be considered.

- The proposal must address all items specified in the instructions and include all section numbers and titles as stated. Please avoid repetition and refer instead to the relevant proposal section.

- The proposal must be prefaced by a table of contents including page numbers. Tables and charts should be included wherever appropriate.

- The proposal may be written in German or English. Please note that proposals for an IRTG should generally be written in English. Other languages should be used only after consulting with the DFG Head Office first.

- The review criteria can be found in the “Guidelines for Reviewing Proposals to Establish Research Training Groups or International Research Training Groups” (DFG form 1.305). Please note that the list is not exhaustive. It does, however, provide an orientation regarding the most important aspects.

  www.dfg.de/formulare/1_305

If you will be applying for an International Research Training Group, please particularly note the “Guidelines for Differentiating International Research Training Groups from Research Training Groups” (DFG form 1.312).

www.dfg.de/formulare/1_312

Publication of Data on Applicants and the Research Training Group

The data necessary for processing your proposal will be stored and processed electronically by the DFG.

By submitting a proposal you agree that, if the proposal is approved, your work address and contact details (name, institution and location, phone, fax, e-mail and website) as well as information about the content of the project (e.g. topic, summary, keywords, subject area, DFG programme, funding period, international connections) will be published in the GEPRIS information system

gepris.dfg.de/en

and may be published in other, non-commercial publications and databases created in cooperation with the DFG.

You may withdraw your consent to full/partial publication at any time, without affecting the lawfulness of any processing carried out prior to your withdrawal. If you would like to withdraw your consent, please notify the responsible DFG programme contact, preferably in electronic form.

II Proposal Preparation Instructions

<Title>

<Applicant university/universities>

<Spokesperson>

Additionally for **IRTGs**:

<Partner institution>

<Department(s)>

<Spokesperson>

Proposed funding period: <day month year> to <day month year>

< Today's date >

1 General Information

1.1 Title in German and English

Please state the title of your (International) Research Training Group in German and English.

1.2 Host university/universities and other participating institution(s) in Germany, and (where appropriate) participating foreign university/universities and institution(s)

State the name of the German host university and for **IRTGs** also that of the participating foreign university. If several German universities are submitting the proposal, it must be signed by the administrations of each one. Please indicate the lead university, i.e. the institution that will administer the funds in the event of a grant. If other institutions (universities, non-university research institutions, museums, businesses, etc.) are significantly involved in the proposal by contributing substantially to the research and/or qualification programme, they may be listed here as well.

1.3 Participating researchers

Please name the designated spokesperson, or for **IRTGs** the designated spokespersons on both sides, and all participating researchers, giving their full names and exact work addresses, telephone numbers, fax numbers, e-mail addresses, websites (if applicable), and relevant research areas. In general, the group of applicants consists of 5 to 10 professors, or for **IRTGs** 5 to 10 professors in each country. If the proposal exceeds this number, an explanation should be included. The DFG strongly recommends including advanced early career researchers and giving them responsible positions within the Research Training Group. The applicant university is expected to grant such researchers the right to supervise and examine doctoral researchers.

The participating researchers are considered “individuals with a high level of scientific/academic responsibility” as stated in the DFG’s Rules of Procedure for Dealing with Scientific Misconduct[1]. They must take note of these Rules of Procedure and acknowledge them as legally binding

www.dfg.de/formulare/80_02

[1] Rules of Procedure for Dealing with Scientific Misconduct (VerfOwF), DFG form 80.01

The same applies to researchers who, in individual cases, are to be integrated as participating researchers in the Research Training Group during the course of the funding period. Requests for such additions must be submitted formally to the DFG and are evaluated during the review process.

Please use the following table as a template. For **IRTGs**, please sort according to the German and foreign locations.

Last name, first name, academic title	**Chair/department, work address**	**Telephone number, fax number, e-mail address, website**	**Research area**

The appendix must include biographical sketches for all participating researchers (for **IRTGs** also those at the foreign partner institution) (see instructions in appendix II).

Researchers in charge of a Research Training Group are expected to work at the same location, or for **IRTGs** at one location in each country.

If participants are based at more than one location (per country), a justification should be included. Please explain how the geographic distance between locations is taken into account in the design of the joint research and qualification programme, or refer to the relevant sections in the proposal.

1.4 Summary in German and English

The key goals of the Research Training Group, especially of the research and qualification programmes, should be outlined in a clear and concise summary. The German and English summaries are not to exceed 30 lines (2,000 to 2,500 characters including spaces) each. This summary will be used to inform the DFG's interdisciplinary decision-making bodies and the general public (e.g. through the DFG's annual report).

1.5 Funding period and start date

The proposal to establish a Research Training Group pertains to a funding period of 4.5 years. Please state the anticipated start date. Funding can usually begin four to six months after the grant has been approved. Once the award letter has been received, the start date cannot be changed.

1.6 Proposed number of positions or fellowships for doctoral and postdoctoral researchers, qualifying fellows, and student assistants

A Research Training Group includes up to 30 doctoral researchers, 10 to 15 of whom are generally funded through the Research Training Group. An **IRTG** includes up to 20 doctoral researchers per partner institution, 10 to 15 of whom on the German side are generally funded through the Research Training Group. Doctoral researchers in the Research Training Group are expected to work at the participating institutions.

Funding for positions or fellowships can be requested for up to 54 months. The individual funding duration for a doctoral researcher is generally 36 months. Thus, up to three "generations" (cohorts) of doctoral researchers can be funded consecutively during the RTG's maximum 9-year duration (two funding periods of 4.5 years each). It is also possible to apply for funding to award positions/fellowships at various intervals during the course of the RTG.

The funding duration of an individual doctoral researcher may also exceed 36 months in justified cases; up to 48 months can be funded. This extended period, awarded on an individual basis, is decided on by the Research Training Group. Use of this option to extend the funding duration is subject to a transparent, RTG-internal, standardised decision process; this decision process will also be considered during the review of the Research Training Group. A description of the proposed plans should be included under section 5.2, "Supervision and Career Advancement."

On the German side, the quality standards that apply to externally funded doctoral researchers are the same as for those funded through the Research Training Group. Except for the salary or fellowship amount, all doctoral researchers on the German side must be treated equally; they are subject to the same selection procedures and must be integrated into the Research Training Group, both formally and scientifically.

Funding for postdoctoral researchers can be requested for positions or fellowships by submitting a plan that describes how they will be integrated into the RTG's research and qualification programme and how their professional development will be supported in the RTG. On the basis of this plan, a shorter or longer duration of postdoc participation may be proposed. The specifics of the plan, which is subject to review, should be presented under 3 "Research Programme" and 5.2 "Supervision and Career Advancement". As a rule, no more than two postdoctoral researchers can be funded simultaneously in an RTG.

Please specify:

- the number of positions and/or fellowships for doctoral and postdoctoral researchers, qualifying fellows and student assistants to be funded under the DFG's Research Training Groups Programme;
- the expected number of doctoral and postdoctoral researchers participating on the German side with funding from other sources;
- for **IRTGs** also the anticipated number of doctoral and postdoctoral researchers participating at the partner institution.

2 Profile of the Research Training Group

In about two pages, describe how the proposed (International) Research Training Group will achieve the programme objectives – excellence, innovation, internationality – and how it will meet the requirements of the funding programme ("Guidelines for Research Training Groups and International Research Training Groups", DFG form 50.07).

www.dfg.de/formulare/50_07

Explain in particular what makes this Research Training Group scientifically or academically unique, how the research programme promotes innovation, and what constitutes the added value of the qualification programme.

Furthermore, in view of the programme's core research idea, describe the scientific criteria according to which the group of participating researchers has been formed, and why these researchers are especially qualified to run this Research Training Group. For **IRTGs**, describe in particular the cooperative arrangements between the researchers on both sides that provide the basis for the International Research Training Group, how the participants complement each other's expertise, and what constitutes the added value of the cooperation.

If you were informed of any requirements, instructions or recommendations from the review of the draft proposal, please comment on these. Describe whether they have been implemented in the proposal and if so, how. If you did not receive any specific reviewer comments, this point may be omitted.

3 Research Programme

The general requirements for the research programme of an (International) Research Training Group are laid out in the "Guidelines for Research Training Groups and International Research Training Groups" (DFG form 50.07).

www.dfg.de/formulare/50_07

Please describe the participating researchers' shared research goals by addressing the following aspects:

- the core research idea and the Research Training Group's resulting main focus;

- individual core research areas or individual projects and their integrative interconnection, both with each other and with the research concept at large (preferably accompanied by a schematic presentation);

- the current state of relevant national and international research;

- participants' preliminary work directly relating to the research programme (reference may be made to the list of publications and the biographical sketches in the proposal appendix);

- potential topics for theses or a description of planned projects (where possible; where this is not possible, please provide examples).

- If the inclusion of postdoctoral researchers is planned, please explain their integration into the research programme and their scientific contributions to the RTG (including description of possible research projects). It should be clear why these tasks and these projects should be handled by early career researchers who have already earned their doctoral degree.

- If the inclusion of qualifying fellows and/or student assistants is planned, explain their tasks and role within the research programme.

- If, in addition to the participating researchers, other researchers from the same or other universities or non-university research institutions will be involved in implementing the research programme to make a significant contribution towards it, please describe this here. Explain their importance and expertise in relation to the research programme and how they will contribute to the Research Training Group.

- For **IRTGs**, describe in particular the research objectives of the joint programme, the expected added value resulting from the collaboration, as well as the specifics of the cooperation between the partners on the core research areas or projects.

Please be sure to present all areas and projects in a consistent manner.

If you plan to conduct experiments involving humans, including research on identifiable human material and data, animals or genetic engineering, dual use research of concern, or any research covered under the Convention on Biological Diversity (CBD), please describe the ethical and legal implications of the planned experiments and note the requirements and obligations set forth in section 10.

In addition, note that for any experiments involving humans, including research on identifiable human material and data, you must comply with the Declaration of Helsinki as last revised and submit corresponding statements by the responsible ethics committee at the latest prior to commencement of research.

If you are planning to conduct experiments on animals as part of the research programme, explain how the 3Rs principle (replacement, reduction and refinement) will be implemented with reference to various aspects of scientific validity. For more information on the description of research projects involving animal experiments, please refer to the publication “Animal Experimentation in Research: The 3Rs Principle and the Validity of Scientific Research” www.dfg.de/download/pdf/dfg_im_profil/geschaeftsstelle/publikationen/handreichung_sk_tierversuche.pdf

Please examine whether your research programme or any parts thereof 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 prior to commencing your research work and request a statement from them.

If the Research Training Group will systematically generate research data or information, please explain the type, scope and documentation of the data and how they will be stored. Explain how they may be made available for reuse by other researchers. Please take into consideration any existing standards in your field and any available data repositories.[2]

A list of published preparatory research must be included as an appendix. You may also list additional references on the state of the art (cf. instructions in appendix I).

4 Qualification Programme

The general requirements for the qualification programme of an (International) Research Training Group are laid out in the "Guidelines for Research Training Groups and International Research Training Groups" (DFG form 50.07).

www.dfg.de/formulare/50_07

The qualification strategy includes a qualification programme specific to the Research Training Group, a programme for visiting researchers, and any other measures that contribute, directly or indirectly, to the qualification of doctoral researchers, such as internships. For **IRTGs**, it also includes mutual research visits at the respective partner institution.

[2] Improving the handling of research data is a priority for national and international research organisations and for science in general. The DFG therefore seeks to support with its funding the safeguarding, preservation and long-term availability of research data.

Please describe potential professional avenues, within and outside of academia, for researchers who have completed their doctorates within the Research Training Group, including any prospects for development in these areas over the coming years.

In the following sub-sections, you are asked to explain in detail how the qualification programme will prepare doctoral researchers to compete successfully in these occupational fields.

For **IRTGs** please describe the contributions by foreign partners to the joint qualification programme.

4.1 Qualification programme

The qualification programme forms the core of the qualification strategy. It must be tailored to the research programme and support the overall objective of scientifically qualifying doctoral researchers, ensuring their interaction within and between all participating institutions. It should be designed so as not to prolong the time to degree.

The description of the programme must include at least the following information:

- a table listing all courses specific to the Research Training Group, including type, duration, frequency, contents, target group, location, prospective instructor, and whether participation is compulsory for Research Training Group members; for **IRTGs**, list all courses to be held either locally or jointly;
- complementary courses from the universities' general programmes or other (external) programmes, if applicable;
- key skills training courses;
- training courses on research involving animal experiments, where such experiments are part of the research programme (see also section 10);
- training courses on the collection, storage, editing and sustainable provision of research data;
- training in the principles of good scientific practice.

For help in designing such training, please consult the curriculum for courses on good scientific practice (in German), provided by the ombudsman for research and available at:

www.ombudsman-fuer-die-wissenschaft.de/curriculum.html

- Describe how the transition from the current generation of doctoral researchers to the next and the continuous integration of doctoral researchers throughout the funding period will be handled.

- If the Research Training Group will include highly qualified graduates of universities of applied sciences or holders of bachelor's degrees as qualifying fellows, a special strategy for their qualification and integration into the Research Training Group must be presented. In addition, a statement by the university must be included confirming that doctoral admission will be granted upon successful completion of the Research Training Group's qualification phase of up to 12 months (see also section 9.4).

- If applicable, please describe how student assistants will be integrated into the qualification programme.

- If, in addition to the participating researchers, other researchers from the same or other universities or non-university research institutions will be involved in implementing the qualification programme to make a significant contribution towards it, please describe this here. Explain their importance and expertise in relation to the qualification programme and how they will contribute to the Research Training Group.

4.2 Visiting researchers and Mercator fellows

Please explain how visiting researchers – from domestic or international universities or non-university institutions – who are not part of the Research Training Group will be integrated into the research and qualification programmes, e.g. by way of multi-day contributions to block seminars, one-day lecture visits, etc., or refer to the relevant sections of the proposal. Name the visiting researchers who will be invited. If this is not yet possible at the time of the proposal, please name examples.

If you are planning intensive and long-term exchanges with outside researchers, especially from abroad, Mercator fellows may be included (see section 7.5).

4.3 Additional qualification measures

Please describe additional measures planned to further the scientific and professional qualification of doctoral researchers, such as research visits abroad and internships at cultural institutions or businesses.

4.4 For IRTGs: Research visits to the partner institution

Longer-term, coordinated and reciprocal research visits by doctoral researchers to the respective partner institution are a key element of International Research Training Groups (one or more visits with an overall duration of generally 6 to 12 months). Doctoral researchers from the partner institution also complete longer research stays at the university/universities and participating institutions on the German side of the IRTG. Please describe how these visits abroad will be coordinated and what objectives will be pursued, e.g. with regard to appropriate integration into doctoral training stages and into the overall research programme or ensuring local supervision. The successful implementation of research visits is an important criterion in the review of renewal proposals for International Research Training Groups.

5 Supervision and Career Advancement, Gender Equality, Organisation and Quality Management

The personnel and organisational strategies should specify the roles and responsibilities of those involved in the (International) Research Training Group and describe their cooperation in selecting doctoral and postdoctoral researchers, supervising doctoral researchers, and managing the Research Training Group in general.

Comprehensive quality management is required to guarantee the desired high standard of quality in research and qualification for the duration of the Research Training Group. Measures supporting this goal need to be built into various components of the personnel and organisational strategies (e.g. definition of responsibilities, quality-based selection process, and measures to promote gender equality at all qualification levels).

5.1 Announcement and selection procedure

The (International) Research Training Group is responsible for filling positions and/or awarding fellowships; these should generally be announced internationally. The selection procedure should be both performance-based and transparent.

Selection criteria for doctoral researchers include the timely completion of higher education, with a qualifying degree and above-average results, as well as proven qualifications with particular relevance to the Research Training Group. Candidates should have shown motivation and an interest in research in their careers to date, and should preferably be able to demonstrate initial experience in scientific work. The doctoral training should also fit coherently into the candidate's previous professional history and future career planning.

The selection criteria for postdoctoral researchers include successful completion of a doctorate and proven specialised and methodological knowledge which particularly qualifies them to participate in the Research Training Group. It is preferable to foster individuals who come to the RTG from the outside in order to provide new impetus and expand available expertise.

- Please describe the profile of the target groups of doctoral and postdoctoral researchers to be recruited for the Research Training Group, as well as the announcement and selection procedure planned to attract these groups.

- Explain the specific procedures and criteria to be used in selecting doctoral and postdoctoral researchers.

- For **IRTGs**, also describe how the doctoral and postdoctoral researchers will be recruited by the partner and whether joint recruitment measures are also planned.

5.2 Supervision and career advancement

A binding supervision model is the basis for systematic, transparent and successful doctoral training and timely completion of a degree. When detailing your plans, please consider at least the following aspects:

- Supervision should be provided by at least two professors or by an advisory committee. How will advisors for individual doctoral researchers be chosen? Are there plans for joint supervision or for advisory committees? How will the supervision be organised? For **IRTGs**: Are the foreign partners involved in the supervision? Is adequate supervision ensured during visits to the partner institution abroad? How will researchers on the German side contribute to supervising doctoral researchers from the partner institution?

- Regular progress checks should be planned from the beginning. How, when, and by whom will they be conducted? Will performance reports be issued?

- What considerations have been made – in consultation with the university administration where applicable – with regard to cases in which doctorates are not completed within the regular 36-month funding period?

- It is expected that supervision agreements be concluded. Do sample agreements currently exist, and can they be attached?

- In addition to providing direct thesis supervision, Research Training Groups also aim to promote the scientific independence of their doctoral researchers. How will this independence be supported? How will doctoral researchers be integrated into the national and international research network? How will the international visibility of the research findings be ensured?

Doctoral supervision should also take into account early career planning. This includes career paths both within and outside academia. The time schedule of the doctoral project should also be considered. When planning doctoral projects, please note the 36-month standard funding duration.

In exceptional, well-justified cases, individual doctoral researchers may also be funded for longer than 36 months. Reasons for extending funding beyond the 36-month period must be related to the progress or development of the research work. Delays in doctoral reviews or examination procedures do not justify extensions. Funding for up to 48 months may be awarded by the Research Training Group. The decision of whether to extend an individual funding duration beyond the 36-month period is made by the Research Training Group and must be documented accordingly. RTGs must finance the extension from their own budgets; additional funds cannot be awarded.

If you would like to make use of this flexible option during the course of your Research Training Group, please describe what quality assurance processes have been established in your organisational structure for such decisions.

Promising early career researchers should be encouraged to remain within the research system. Researchers who have completed their doctorates within the Research Training Group should therefore be enabled to define and pursue their own research topics, which they can then use as the basis for their own independent project proposals. Up to €100,000 in start-up funding may be requested per 4.5-year funding period (cf. section 7.8).

If you would like to apply for start-up funding, please provide a description of how these funds will be used, addressing in particular the following points:

- the criteria used to select the recipients of this funding;
- the type of Research Training Group support the selected candidates will receive for their research activities to promote their scientific independence, e.g. in terms of future proposals;
- a description of the university environment conducive to career advancement during this transition phase (including resources).

If postdoctoral researchers will be involved in the RTG and funding is requested for this purpose, please explain which RTG-specific training opportunities will be provided for them. Describe these individuals' role within the RTG (including job description, specific responsibilities, rights and obligations of both sides). Discuss additional planned career measures, where possible integrated into the university's programmes for early career support and staff development. Concerning the scientific contribution of postdoctoral researchers to the RTG, reference can be made to 3 "Research Programme". The use of these postdoctoral researchers for coordination tasks to a significant extent is not desirable. For more on this topic, see 7.3 "Module Coordination".

Depending on the subject- and RTG-specific career development strategy, a shorter or longer participation period may be appropriate and necessary for individual postdoctoral researchers. Present your plan in this regard. The specific individual funding period is de-

termined by the RTG on the basis of the plan and of the concrete project and career development. Explain what quality-assured decision-making processes will be established in the RTG's organisational structure in order to make these decisions in each individual case.

5.3 Gender equality in research

Gender equality and work-life balance policies are important factors in providing successful early career support for researchers.

Please outline the measures already adopted by the applicant university and any other participating institutions to sustainably increase the share of female researchers and improve work-family balance.

Within the context of these standards, DFG member institutions annually provide quantitative data on gender equality at a standardised institutional and departmental level. Therefore, this information does not need to be included in the proposal (also refer to the DFG's Research-Oriented Standards on Gender Equality).

www.dfg.de/gender_equality_standards

Please provide RTG-specific information on how many male and female researchers are participating or will participate at what qualification level using the following table as a template. Please take into account both DFG-funded and associated members in table A.

A. Research Training Group Members		
	% Goal	
	M	F
Doctoral Researchers		
Postdoctoral Researchers		

B. Participating Researchers				
	Number Status Quo		**% Status Quo**	
	According to establishment proposal			
	M	**F**	**M**	**F**
Postdoctoral Researchers*				
Junior Professors, Independent Junior Research Group Leaders				
Professors C3/W2				
Professors C4/W3				
Total				

* Research staff with a doctoral degree but without their own working group

In addition, please describe any specific measures to promote both gender equality and work-life balance in the Research Training Group. Please explain how these fit with and complement the measures already in place at the university. We recommend coordinating with your university's equal opportunities officer on this issue.

Special funds may be requested to finance these measures to promote gender equality within the Research Training Group (cf. section 7.9). Regarding the specific usage guidelines for such funds, note the instructions in DFG form 1.42 (available in German only).

www.dfg.de/formulare/1_42

5.4 Organisation

The Research Training Group manages its own internal organisation. The participating researchers elect a spokesperson among themselves. The spokesperson – in the case of **IRTGs**, jointly with the spokesperson in the partner country – manages the Research Training Group and represents it externally. Please describe further organisational aspects, including:

- the specific modalities of management, and for **IRTGs** especially the cooperation between the partners;

- who will organise the qualification and visiting researcher programmes;

- what opportunities doctoral researchers will be given to help shape the Research Training Group; and

- for **IRTGs** the rules according to which the doctoral degree will be granted, which institution will award it, and whether a joint doctoral degree is envisaged in addition to joint doctoral training.

5.5 Additional quality management aspects

Please describe additional components of the planned quality management strategy, with particular regard to the following questions:

- How will the development of the research programme be directed (e.g. quality-based project selection)?

- What measures are planned to optimise the qualification programme throughout the duration of the Research Training Group?

- How will relevant data (e.g. application and selection procedure statistics) be documented throughout the duration of the Research Training Group and used to initiate improvements if needed? These data will also be required for the progress report to be submitted with the renewal proposal and for the final report.

- What criteria will be used to evaluate the success of the Research Training Group (e.g. scientific success within an international context and the career development of researchers who have completed their degrees within the Research Training Group) and what are your standards of comparison? The Research Training Group's own criteria for success will also be considered in the review of the renewal proposal and the final report.

6 Environment of the Research Training Group

6.1 Environment

The general requirements for the research environment of an (International) Research Training Group are laid out in the “Guidelines for Research Training Groups and International Research Training Groups” (DFG form 50.07).

www.dfg.de/formulare/50_07

Research Training Groups are established for a specific time period by the applicant university/universities. On the one hand, they should support the university’s research priorities and foster international networking. On the other hand, the university is expected not only to provide core support, including an appropriately equipped research environment, but also to assist the Research Training Group in various other ways.

The description of the scientific and academic environment should address issues such as:

- How does the Research Training Group fit into the university’s research environment and medium-term priorities? How is the Research Training Group scientifically unique compared to other local research projects with related topics?

  Within this context, please describe the university’s research environment and infrastructure, e.g. cooperative arrangements with other coordinated projects such as Collaborative Research Centres and Research Units, Clusters of Excellence and Graduate Schools funded under the Excellence Initiative, and projects funded by federal, state, and EU programmes.

  Also note the “Guidelines on the Positioning of Research Training Groups in the Context of Other Doctoral Programmes” (DFG form 1.309).

  www.dfg.de/formulare/1_309

- To what extent does the Research Training Group fit into existing academic structures? Is it compatible with current exam regulations or will the regulations need to be modified? Are there other programmes for promoting early career researchers, e.g. existing structured doctoral training programmes (also including those within Clusters of Excellence and Collaborative Research Centres) or graduate schools? Are specific

collaborations planned? Are there plans to integrate the Research Training Group into a graduate school?

- What constitutes the added value of the Research Training Group compared to other locally established forms of doctoral training and, if applicable, current local structured doctoral training programmes, in particular graduate schools established under the Excellence Initiative? What structural effects can be expected from the Research Training Group?

- What additional support, material or financial, will the university provide directly to the Research Training Group, e.g. additional funding for direct-project or coordination costs, short-term positions to enable doctoral researchers to finish their degree after the maximum funding period has expired, childcare options?

- How will the university contribute to the Research Training Group's success? Are measures planned to support the doctoral training process (e.g. through simplification of doctoral procedures for interdisciplinary projects, cross-departmental degree regulations, family-friendly doctoral training measures, or support for foreign doctoral researchers)?

- The participating professors should be relieved of workload obligations adequately to compensate for their efforts in the Research Training Group. What incentive mechanisms are planned by the university to actively enhance the Research Training Group's appeal as a centre of research excellence?

- Which associations and cooperative arrangements with non-university research institutions will be leveraged for the Research Training Group?

- How will the Research Training Group be integrated into the international research environment?

For **IRTGs**, please also describe the local conditions at the partner institution, including:

- the research environment and infrastructure that will be available to the International Research Training Group;

- compatibility with existing doctoral programmes and the integration of the Research Training Group;

- other resources to be provided by the partner institution in support of the Research Training Group, e.g. staff, space and accommodations.

6.2 Distinction between the Research Training Group and a Collaborative Research Centre

The Research Training Group Module may be submitted under the Collaborative Research Centres Programme. The aim is to leverage for the Collaborative Research Centres Programme the experience gained and the structures established under the Research Training Groups Programme. A Research Training Group whose topic overlaps with a Collaborative Research Centre based at the same location can only be funded if the Research Training Group's topic and/or structure is sufficiently unique. If your Research Training Group relates closely to a Collaborative Research Centre, please provide a detailed description of its added value.

6.3 Distinction between the proposed and previous Research Training Groups

If the proposal to establish a Research Training Group is linked to an existing Research Training Group or one that has ended, please explain the connections between the previous and the currently proposed Research Training Group, taking into account the following questions:

- What new research objectives has the proposed Research Training Group included in its research programme?

- What, if any, are the personnel changes in the group of researchers submitting the proposal?

- What experiences from the previous Research Training Group are reflected in the new proposal?

- What structural changes did the previous Research Training Group bring about at your university (e.g. modified doctoral degree regulations or new structured doctoral training programmes)?

7 Modules and Funding

The funding period is 4.5 years. Initially, funding is awarded for the first fiscal year and announced for the subsequent years. **Funding is tied to the fiscal year (which corresponds to a calendar year), i.e. it is not possible to carry over funds to the next fiscal year. Funds that are not used by the end of a given fiscal year are forfeited.** For rules on accounting and the use of the funds, please refer to the usage guidelines (DFG form 2.22, available in German only).

www.dfg.de/formulare/2_22

Please justify all the funding requested, if necessary by referring to other passages in the proposal, and fill in the summary table.

Submission of the **Research Training Group Module** is mandatory when proposing a Research Training Group (see section 7.1). In addition, one or more of the following modules (see sections 7.2 to 7.9) may be submitted along with it. For details, refer to the instructions on the individual modules, along with the following explanations.

7.1 Module Research Training Group

Use the Research Training Group Module (DFG form 52.15) to request funding for staff and direct project costs.

www.dfg.de/formulare/52_15

Programme-specific instructions on 1.1 (Doctoral Researchers) and 1.2 (Doctoral Researchers in Medicine)

Doctoral researchers may be funded through staff positions or fellowships. Doctoral researchers in medicine who are to be funded before they graduate are only eligible for fellowships.

Funding for positions can be requested under the category “Doctoral Researcher or Comparable”. The DFG generally grants funding for staff in the form of standard amounts. For rates and other details, consult the table in DFG form 60.12.

www.dfg.de/formulare/60_12

The proposed working hours must be at least 50% of a full-time position, and may be up to 100% of a full-time position if the competitive situation requires it. For more information, see DFG form 55.02 (available in German only).

www.dfg.de/formulare/55_02

Funding for fellowships can be requested under the category “Doctoral Fellowships”. The DFG awards fellowship grants according to the mandatory fellowship rates under the DFG budget. These rates and other details can be found in the usage guidelines for Research Training Groups (DFG form 2.22, available in German only).

www.dfg.de/formulare/2_22

Funding for doctoral researchers in medicine who are to be funded before they graduate can be requested under the category “Doctoral Fellowships in Medicine”. As dissertations/theses in the field of medicine are often started during the study phase, medical students may receive a fellowship in medicine to conduct doctoral research. The students must be integrated in the Research Training Group’s research and qualification programme during the fellowship period. Please describe this in the appropriate sections of the proposal. Integration in the Research Training Group beyond this period is also encouraged. This is possible, for example, in admitting the doctoral researcher as an associated member of the Research Training Group. For further information, including the fellowship amount, please refer to the usage guidelines for Research Training Groups (DFG form 2.22, available in German only).

www.dfg.de/formulare/2_22

Funding for positions or fellowships can be requested for up to 54 months. The individual funding duration for a doctoral researcher is generally 36 months. Thus, up to three “generations” (cohorts) of doctoral researchers can be funded consecutively during the RTG’s maximum 9-year duration (two funding periods of 4.5 years each). It is also possible to apply for funding to award positions/fellowships at various intervals during the course of the RTG.

Funding for doctoral researchers whose individual maximum 36-month funding duration did not end during the first funding period can continue using funds from the RTG’s renewal phase. If the Research Training Group is not approved for a second funding period, please note the regulations on completion funding in DFG form 2.22 (available in German only).

www.dfg.de/formulare/2_22

- Please state the number and duration of positions or fellowships to be awarded to doctoral researchers and the working hours as a percentage of full time/fellowship amounts.

- Please justify your decision for requests for positions (including the number of working hours) or fellowships (including fellowship amounts). In this context, the subject-specific funding modalities for doctoral researchers, within the academic environment of the Research Training Group as well as in national and international comparison, are relevant. For more information, see:

  www.dfg.de/formulare/55_02

- Please explain briefly why the proposed number of doctoral researchers should be funded, referring to the research programme where applicable.

Programme-specific instructions on 1.3 (Postdoctoral Researchers)

Funding requests for postdoctoral researchers require a specific plan that specifies how postdocs will be integrated into the RTG's research and qualification programme and how their professional development will be supported in the RTG. Relevant explanations should be provided in 3 "Research Programme" and 5.2 "Supervision and Career Advancement". As a rule, no more than two early career researchers can be funded simultaneously in an RTG.

Postdoctoral funding can be requested for positions or fellowships for a period of up to 54 months. Depending on the subject- and RTG-specific career development strategy, a shorter or longer participation period may be appropriate and necessary for individual postdoctoral researchers.

Funding for positions can be requested under the category "Postdoctoral Researcher or Comparable". The DFG generally grants funding for staff in the form of standard amounts. For rates and other details, consult the table in DFG form 60.12.

www.dfg.de/formulare/60_12

Funding for fellowships can be requested under the category "Postdoctoral Fellowships". The DFG awards fellowship grants according to the mandatory fellowship rates under the DFG budget. These rates and other details can be found in the usage guidelines for Research Training Groups (DFG form 2.22, available in German only).

www.dfg.de/formulare/2_22

- Please state the number of positions or fellowships to be funded for postdoctoral researchers and the requested funding duration.

Programme-specific instructions on 1.4 (Qualifying Fellowships)

Please state the number of fellowships to be funded and the requested funding duration.

Please refer to the parts of the proposal where the special qualification programme for qualifying fellows is described, as well as to the included statement from the university confirming that doctoral admission will be granted upon successful completion of the qualification programme (cf. 4.1 and 9.4).

Programme-specific instructions on 1.5 (Student Assistants (Support Staff))

Support staff should be introduced in a targeted manner to independent scientific working practices in the Research Training Group. Please describe how they will be integrated into the research programme and, if applicable, into any research projects already planned, as well as into the qualification programme. Their work in the Research Training Group should not prolong their studies; they should therefore work no more than 10 hours per week. Work schedules in excess of 10 hours per week must be specially justified.

- Please give the number of support staff (student assistants) to be funded. State the total amount requested, the planned number of monthly working hours, the length of employment for each position, and the hourly pay rate (according to applicable state or federal law) upon which your calculations are based.

- Taking into consideration the instructions above, describe the involvement of the support staff (student assistants) in the Research Training Group, or refer to the relevant part(s) of the proposal.

Programme-specific instructions on 2. (Funding for Direct Project Costs)

For each category of requested funding for direct project costs (Research Training Group Module 2.1 to 2.6), please state the amount of funds required, how the funds will be used, and how the amount has been calculated. Please refer to the programme-specific instructions provided in 2.2 to 2.6.

Programme-specific instructions on 2.2 (Travel)

- Travel by doctoral and postdoctoral researchers:
  When calculating the maintenance costs for **fellowship holders'** visits abroad lasting longer than 30 days, please refer to the DFG's foreign allowances (incl. possible purchasing power compensation), which can be determined using the foreign allowance calculator on the DFG website.
  https://www.dfg.de/en/research_funding/programmes/coordinated_programmes/research_training_groups/facts_figures/foreign_allowances/index.jsp

  These rates do not apply to those with staff positions, although they may serve as a basis for calculating the budget for trips abroad by those doctoral researchers as well. Otherwise, the funding of staff travel expenses falls under the relevant laws on travel expenses.

- Travel by participating researchers to organise and hold courses as part of the qualification programme can be funded as well.

Programme-specific instructions on 2.3 (Visiting Researchers)

Funding may be requested for lectures or visits by highly qualified visiting researchers who will make a significant contribution to the research and/or qualification programme. The remuneration of the visiting researchers, including the amount of the standard honorarium, must be in accordance with the regulations applicable at the host institution.

Programme-specific instructions on 2.4 (Experimental Animals)

If your project requires funding to purchase, breed and keep experimental animals, please state and justify the requested amount. Provide a cost estimate that includes the number of animals required and the duration of housing. Please justify the number of animals, taking into account the 3R principle and scientific validity, or refer to the relevant section in the proposal (see also "Animal Experimentation in Research: The 3Rs Principle and the Validity of Scientific Research"
www.dfg.de/download/pdf/dfg_im_profil/geschaeftsstelle/publikationen/handreichung_sk_tierversuche.pdf

In calculating the costs for keeping mice and rats, please note the relevant DFG guidelines in DFG form 55.03, available in German only.

www.dfg.de/formulare/55_03

Programme-specific instructions on 2.5 (Other)

Funding may be requested for user fees for major instrumentation and core research facilities. The DFG can only cover such costs that are required specifically for the project. Basic funding for the individual instruments or core facilities must be financed through the institution's core support. Further information can be found in DFG form 55.04, available in German only.

www.dfg.de/formulare/55_04

Programme-specific instructions on 2.6 (Publications)

For the 4.5-year funding period, publication funding of up to €20,000 can be requested.

7.2 Module Replacements

If your Research Training Group requires that any of the responsible professors be released from teaching or administrative duties, the Research Training Group's spokesperson or the host university can use this module to request funding for replacements to take over these responsibilities.

www.dfg.de/formulare/52_03

Programme-specific instructions

In Research Training Groups, funding for replacements serves to relieve the responsible professors of workload obligations to allow them to work as principal investigators on Research Training Group projects. Professors are required to continue to meet their responsibilities within the Research Training Group during the replacement period. The funding request can be submitted with the establishment proposal or as a supplementary proposal while the Research Training Group is in progress. A maximum of four proposals for replacement costs can be granted per funding period (4.5 years).

Please describe the research project and its current status and provide details of the approach you are planning to take during the proposal period and the methods which are to be used to carry out the project. With reference to your teaching and administrative workloads, explain why releasing you from such duties is necessary to allow the project to be carried out within the framework of the Research Training Group. Also state the amount of time you will spend on working with the Research Training Group. If members of the Research Training Group have already had replacement costs approved by the DFG, please list their names and the replacement periods.

If you will be requesting replacement funding through this module in a supplementary proposal, please include with the proposal a summary of not more than 15 lines, if possible, in which you describe the key intentions of the project you are planning. This summary will be used to provide information to the interdisciplinary decision-making bodies at the DFG. The supplementary proposal for replacement funding should also include the biographical sketch of the relevant person in accordance with appendix II.

If funds are granted, a report on the progress and findings achieved by the project must be submitted with the Research Training Group's next progress report (renewal proposal or final report).

7.3 Module Coordination

Funding can be requested for coordination tasks within the Research Training Group.

www.dfg.de/formulare/52_12

Programme-specific instructions

Coordination funding can only be used for personnel who are necessary for the administrative coordination of the Research Training Group but are not involved in attaining its scientific objectives. Scientific staff should not assume a significant amount of administrative tasks and may not be financed via coordination funds.

7.4 Module Temporary Substitutes for Clinicians

If physicians are to perform scientific tasks in a Research Training Group's research and qualification programme, funding may be requested for staff to take over their patient-care responsibilities. This is also a way to (re-)involve early career physicians in research.

www.dfg.de/formulare/52_04

Programme-specific instructions

Please describe – if necessary also with reference to other parts of the proposal – your model for such a substitute programme in the Research Training Group, explaining both the content and the form of the programme. Funding can be requested either in conjunction with the proposal to establish a Research Training Group or as part of the renewal proposal.

It is not possible to submit a supplementary proposal while the Research Training Group is in progress.

7.5 Module Mercator Fellows

This module enables the Research Training Group to request funding for intensive and long-term cooperation with researchers in Germany and especially those from abroad, beyond the scope of typical research visits. Fellows will partially be on site but will remain in contact with the Research Training Group even after their stay.

www.dfg.de/formulare/52_05

Programme-specific instructions

The significance of the Mercator fellows for the Research Training Group and their role and activities in the research and qualification programmes should be explained in section 4.2 “Visiting researchers and Mercator fellows”.

7.6 Module Project-Specific Workshops

Use this module to request funds for workshops, colloquia, networking meetings of Research Training Groups with similar topics, etc. to be conducted as part of the Research Training Group.

www.dfg.de/formulare/52_06

Programme-specific instructions

In Research Training Groups, these events are part of the qualification programme. The concept should be explained in more detail under section 4.1 “Qualification programme”.

7.7 Module Public Relations

To enable the Research Training Group to present its work to the general lay public, you can request funding for public relations.

www.dfg.de/formulare/52_07

7.8 Module Start-Up Funding

Through this module, research networks can receive funds to help promising early career researchers pursue independent projects.

www.dfg.de/formulare/52_11

Programme-specific instructions

In Research Training Groups, this type of funding is intended to support researchers who have completed their doctorates within the Research Training Group, e.g. in developing their own independent project proposals. When requesting start-up funding, the intended use of funds (positions/fellowships, direct project costs, etc.) must be outlined and the underlying plan must be presented under section 5.2 “Supervision and career advancement”.

7.9 Module Gender Equality Measures in Research Networks

This module can be used to request funds for targeted measures to promote gender equality in science and academia.

www.dfg.de/formulare/52_14

Programme-specific instructions

In the proposal to either establish or renew a Research Training Group, up to €15,000 per year or €67,500 per funding period may be requested as a lump sum for this purpose. If necessary, the sum may be distributed unevenly over the funding period. Once funds have been approved, they may not be shifted to other fiscal years.

The need for funding should be outlined briefly with reference to section 5.3 by describing the planned measures, how they are tailored to suit the needs of the Research Training Group, and their relationship to the university’s existing equal-opportunity measures.

Additional information can be found in the infosheet on gender equality measures in Research Training Groups (DFG form 1.42, available in German only).

www.dfg.de/formulare/1_42

Tables: Summary of modules and items submitted for funding

Please remember that the funds are tied to specific fiscal years and cannot be carried over to subsequent fiscal years.

You may add additional lines as necessary (for example for showing positions or fellowships that cover multiple periods or to show different generations of doctoral researchers).

Table 1:

Staff	Hours as percentage of full time	Number	Duration (from – to)
Module **Research Training Group:**			
Doctoral Researcher or Comparable			
Postdoctoral Researcher or Comparable			
Module Temporary Substitutes for Clinicians			

Table 2 (please enter amounts):

Staff	20XX from [month]	20XX	20XX	20XX	20XX	20XX through [month]	Total
Module Research Training Group: Support Staff (Student Assistants)							
Module Replacements							

Table 3:

Fellowships	Basic amount EUR / month	Number	Duration (from – to)
Module Research Training Group:			
Doctoral Fellowships			
Postdoctoral Fellowships			
Qualifying Fellowships			
Doctoral Fellowships in Medicine			

Table 4:

Other Project Funds	20XX from [month]	20XX	20XX	20XX	20XX	20XX through [month]	Total
Module Research Training Group:							
Visiting Researchers							

Equipment up to €10,000, Software and Consumables							
Publications							
Travel							
Other							
Experimental Animals							
Other Modules:							
Module Start-Up Funding							
Module Gender Equality Measures in Research Networks							
Module Coordination							
Module Mercator Fellows							
Module Public Relations							
Module Project-Specific Workshops							
Total							

Items that cannot be funded include:

- compensation for the Research Training Group's participating researchers;
- travel by the professors who run the Research Training Group, except for trips to organise and hold courses as part of the qualification programme or to collaborate with foreign partners;
- construction, furnishings, rent;
- staff and equipment considered contemporary core support;
- general furnishings and equipment (including office materials, fax machines, computer equipment, etc.);

- use of the university's central services (e.g. computer centres, scientific or other services) on the basis of the university's internal cost allocation;
- tuition fees at the universities involved in the Research Training Group;
- operating costs and maintenance, bureaucratic fees of any kind (this does not include private fees such as conference fees);
- costs arising from the operation of DFG-funded equipment (e.g. energy costs, repair and maintenance, ongoing technical support);
- expert and court fees, insurance, telephone charges, postage, account maintenance fees;
- value-added tax to the extent that it can be deducted as input tax.

The host institution is expected to provide core support, including appropriate office and laboratory space and equipment.

For usage guidelines, please refer to DFG form 2.22 (available in German only).

www.dfg.de/formulare/2_22

8 Only for International Research Training Groups: Complementary Funding by the Partner Institution

For **IRTGs**, only the German partner university can request DFG funding to cover its project-specific expenses. The foreign partner must guarantee and substantiate complementary funding of the International Research Training Group for the proposed funding period. The IRTG proposal must therefore include a detailed overview of any and all existing, requested and/or awarded funds. Please give a tabular overview, broken down by calendar years, of the funds that the partner institution will or should have available for the following purposes:

- basic funding for the doctoral researchers at the foreign partner institution,
- funds for visits abroad by participating doctoral researchers,
- additional funds for joint activities,
- if applicable, waiver of tuition fees for the doctoral researchers from the German partner university, etc.

Please specify the funding source in each case (e.g. foreign funding agency or host university or institution).

9 Declarations

9.1 Connections to Collaborative Research Centres

If there is a topical connection between the Research Training Group and a Collaborative Research Centre at the same location, a statement by the Collaborative Research Centre on the intended mode of coordination between the two institutions must accompany the proposal. Please refer in this section to the declaration to be provided in the appendix of the proposal. Consider the distinction required as per section 6.2.

9.2 Collaboration with other partners

If you mention specific cooperative arrangements with other local partners (Graduate Schools, Research Units, etc.) in section 6.1, it is recommended that declarations by the cooperating institutions be included with the proposal.

9.3 Cooperation with industrial, commercial or service enterprises

If close collaboration between the Research Training Group and industrial, commercial or service enterprises is planned, a cooperation agreement must be concluded. This cooperation agreement should particularly set the terms for the commercial exploitation of research results and for the publication of findings. A copy of the cooperation agreement agreed upon by all parties must be submitted together with the proposal so it can be reviewed by the DFG Head Office. We recommend using the DFG model agreement (DFG form 41.026e).

www.dfg.de/formulare/41_026e

9.4 Doctoral admission of qualifying fellows

If fellowships for qualification students are requested, a statement from the university must be submitted confirming that doctoral admission will be granted upon the successful completion of the (maximum 12-month) qualification phase in the Research Training Group and that appropriate fast-track qualification and/or doctoral programme structures exist or will be established. Please include this statement in the appendix.

9.5 Proposal submission to other funding organisations

If you have already requested funding for this Research Training Group from other organisations, please mention this here.

9.6 Only for International Research Training Groups: Letter of intent from the partner institution

Please refer to the partner university's letter of intent to support the planned cooperation and to provide the required infrastructure. Include the letter of intent in the appendix.

10 Obligations

In submitting a proposal to the DFG, the applicant university/universities and the participating researchers agree to

- adhere to **the principles of good scientific practice**[3]

  recognise the DFG's **Rules of Procedure for Dealing with Scientific Misconduct (**Verfahrensordnung zum Umgang mit wissenschaftlichem Fehlverhalten – VerfOwF**)** as legally binding[4].

  The spokesperson retains the signed Declarations of Obligation of Compliance provided by the participating researchers.

  www.dfg.de/formulare/80_02

  These remain on file at the institution(s) for ten years after the end of the last funding period and, should allegations of scientific misconduct arise, must be submitted to the DFG Head Office upon request.

- have adhered to the guidelines regarding publication lists and bibliographies (cf. appendices I and II),

- observe all laws and regulations relevant to the research programme and in particular to attain all necessary approvals, certifications, etc., in a timely manner,

- and – if applicable –
  - inform the DFG immediately if funding for this undertaking is requested from a third party. Proposals previously submitted to a third party and proposals involv-

[3] The principles of good scientific practice are presented in detail in the DFG Code of Conduct *Guidelines for Safeguarding Good Scientific Practice*.

[4] Rules of Procedure for Dealing with Scientific Misconduct (VerfOwF), DFG form 80.01.

ing major instrumentation must be mentioned in section 9.5 “Proposal submission to other funding organisations”.

- inform your university’s DFG liaison officer about the proposal submission if your university is a DFG member.
- plan and conduct any **experiments involving humans**, including research on identifiable human material and data, in compliance with the most current versions of the German Embryo Protection Act (Embryonenschutzgesetz), Stem Cell Act (Stammzellgesetz), Pharmaceutical Drugs Act (Arzneimittelgesetz), Medical Devices Act (Medizinproduktegesetz), and the Declaration of Helsinki.
- plan and conduct any **animal experiments** in compliance with the Animal Protection Act (Tierschutzgesetz) and the Experimental Animals Ordinance (Versuchstierverordnung).
- if the research project, or parts thereof, are subject to the Convention on Biological Diversity, to follow the “Guidelines for Funding Proposals Concerning Research Projects within the Scope of the Convention on Biological Diversity (CBD)” (DFG form 1.021).

  www.dfg.de/formulare/1_021

- examine whether the proposed project involves dual use research of concern and if so, to weigh the benefits of pursuing this work against the risks of potential misuse and to implement measures to minimise these risks.
- adhere to the provisions of the Genetic Engineering Act (Gentechnikgesetz) with regard to **experiments involving genetically modified organisms** (GMOs).

☐ **I/We accept the foregoing conditions and obligations.**

11 Signatures

The proposal for the Research Training Group must be signed by the administration of the German university, the designated spokesperson of the Research Training Group, and for **International Research Training Groups** also the spokesperson at the partner institution. If several German universities are submitting the proposal, it must be signed by the administrations of each one.

Appendix I:
Publications and Bibliography (Research Programme)

1. List of published preliminary research relevant to the research programme

Please list publications by the participating researchers whose topics are directly related to the research programme and document their preparatory work. Alphabetise them by the last names of the participating researchers and indicate whether they are

a) articles which at the time of proposal submission have been published or officially accepted by publication outlets with scientific quality assurance, and book publications;
b) other publications.

Please note that the total number of items that may be listed under a) and b) combined is **limited to ten** for each participating researcher. Authorship must be cited unchanged and in accordance with how it appears on the published works. Please number the listed items.

In addition, an unlimited number of patents may be listed (categorised into pending and issued).

For publications that are only available electronically, please also provide a persistent identifier (e.g. a digital object identifier [DOI]), preferably by indicating the DOI number or otherwise by specifying the URL. For publications that are not published exclusively in electronic format, we recommend that you include a persistent identifier or a URL; note, however, that this is optional.

When listing works that have been officially accepted for publication but not yet published, the manuscript and the publisher's dated acknowledgement of acceptance must be submitted on CD. Manuscripts in progress and papers that have not been officially accepted for publication may not be included.

This list is essential to the review. Please note that the DFG may reject any proposals not in compliance with the rules on publication lists.

2. Additional references on the state of the art (optional)

The presentation of the research programme should be able to stand on its own and be understandable, coherent and reviewable without the need to read additional documents. For a more comprehensive presentation of the current state of the art, additional works (by the participating researchers and/or others) may be cited here. To the extent that these are non-published works by the participating researchers, they must be submitted on CD together with the proposal. On the day of the on-site review, additional publications and manuscripts may be made available to the review panel. However, any additional documents submitted in support of the proposal are not subject to evaluation; reviewers may read them at their own discretion.

Appendix II:
Biographical Sketches of Participating Researchers

Please attach biographical sketches for the participating researchers (for **IRTGs** also those participating at the foreign partner university). If individual employment contracts will end during the course of the Research Training Group, please state this here. To enable reviewers to assess a researcher's scientific track record appropriately, it is recommended that biographical sketches indicate any circumstances that may have impaired scientific work. Researchers may therefore mention any periods during which they were unable to work continuously, e.g. due to childcare obligations, prolonged illness or disability. The below-mentioned five-year periods with respect to supervised theses and participation in projects with third-party funding are extended by two years for each child.

Each biographical sketch must include a list of the researcher's ten most important publications. These publications need not be related to the proposed Research Training Group.

Please structure each list of publications as follows:

a) articles which at the time of proposal submission have been published or officially accepted by publication outlets with scientific quality assurance, and book publications;

b) other publications.

Please note that the total number of items that may be listed under a) and b) combined is **limited to ten** per person. Authorship must be cited unchanged and in accordance with how it appears on the published works. Please number the listed items.

In addition, an unlimited number of patents may be listed (categorised into pending and issued).

For publications that are only available electronically, please also provide a persistent identifier (e.g. a digital object identifier [DOI]), preferably by indicating the DOI number or otherwise by specifying the URL. For publications that are not published exclusively in electronic format, we recommend that you include a persistent identifier or a URL; note, however, that this is optional.

When listing works that have been officially accepted for publication but not yet published, the manuscript and the publisher's dated acknowledgement of acceptance must be submitted on CD.

Manuscripts in progress and papers that have not been officially accepted for publication may not be included.

Please note that the DFG may reject any proposals not in compliance with the rules on publication lists.

Furthermore, the biographical sketches of the participating researchers must document any **training of early career researchers** within the last five years, including a list of theses supervised (where possible, with time to degree and information on the doctoral graduates' further career development). In addition, participants (for **IRTGs** at least those on the German side) should list key projects in which they were involved in within the last five years that received **third-party funding**, indicating projects relevant to the Research Training Group.

III Guidelines for On-Site Reviews of Proposals to Establish Research Training Groups

A proposal to establish a Research Training Group is reviewed on site at the applicant university. The reviewers form their judgment on the basis of the written information contained in the proposal and the on-site presentation by the Research Training Group.

Based on the results of this review, the Grants Committee on Research Training Groups, which is composed of scientists and academics as well as representatives from the responsible federal and state ministries, decides on the grant. The Grants Committee meets twice a year. It is therefore recommended that applicants get in touch with the responsible contact person at the DFG Head Office as early as possible for information about the next committee meeting dates and associated scheduling.

Information on review criteria can be found in the “Guidelines for Reviewing Proposals to Establish Research Training Groups or International Research Training Groups” (DFG form 1.305).

www.dfg.de/formulare/1_305

1. Objectives and Participants

The main purpose of the review is to provide an opportunity not only for expert reviewers, but also for a scientific member of the Grants Committee on Research Training Groups and for the DFG Head Office to gain an impression of the proposed Research Training Group, the resources at its disposal, and its proposed integration into the research and structural environment. At the same time, the university’s administration is given the opportunity to describe how the Research Training Group will help define the profile of the host institution and how the university will support the Research Training Group.

The task of the scientific member of the Grants Committee on Research Training Groups (rapporteur) is primarily to present the reviewers’ findings to the DFG’s decision-making bodies. In addition, together with the DFG Head Office, the rapporteur is responsible for ensuring that the DFG's criteria for evaluating Research Training Groups are applied during the review. The Grants Committee on Research Training Groups has deliberately assigned these tasks to a committee member from an unrelated subject area.

The reviewers and the rapporteur can also advise the Research Training Group on the design of the research and qualification programmes and make recommendations for future activities.

The review provides an opportunity for all those involved in the Research Training Group, including the host university, to pass on comments and queries to the DFG.

In addition to the reviewers and the Grants Committee member, one representative each from the relevant state and federal ministries may also participate in the on-site review. As governmental committee members they represent the main backers of the DFG's funding programmes and have an interest in getting to know the local research environment.

For the applicant university, especially the professors who formulated the proposal must be present. In the case of **IRTGs**, it is also expected that professors from the foreign partner university, especially the spokesperson, participate in the review; this enables them to underscore their active involvement.

As structural aspects play an important part in the establishment of a Research Training Group, it is very helpful if the university, as the applicant, is also represented by a member of its administration. University administrators are therefore especially invited to attend the presentation and discussion of the proposal.

Furthermore, representatives of institutions with which close research and/or structural collaborations are planned should also participate in the review, such as existing graduate institutions with other sources of funding (e.g. graduate schools or Research Training Groups integrated into existing Collaborative Research Centres), non-university research institutions and other cooperation partners.

2. Schedule for the On-Site Review

The on-site review is generally a one-day event. The exact schedule should be determined in consultation between the applicants and the DFG Head Office. The DFG will send the schedule to all external participants as soon as possible but no later than two weeks prior to the event. Therefore, please discuss the agenda well in advance with the DFG Head Office.

The following agenda is provided as an initial orientation for creating a schedule. The programme elements and their duration and sequence are pre-defined. The starting time is flexible. In most cases, it is recommended to begin the review at 9:00 am and allow a 15-minute break between the internal preliminary discussion and the presentation and discussion of the proposal. Please note that participation by the university administration must take place at a fixed time.

1 hour 15 min Internal preliminary discussion by the reviewers

(Reviewers, rapporteur, DFG Head Office staff)

It is usually helpful if non-local participants are picked up from the hotel or train station and brought to the meeting location by someone familiar with the area.

2 hours Presentation and discussion of the proposal

(Open to all members of the university; reviewers, rapporteur, representative of the state ministry, university administration, representatives of university or non-university partners if applicable, DFG Head Office staff)

The participating researchers and the university administration introduce the proposal to the reviewers in one or more presentations. These should include the presentation and discussion of both the scientific and structural aspects of the proposal. For this reason, participation by a university administrator, who may also address brief opening remarks to those participating in the review, is required. Participation by the university administration should therefore be planned well in advance and the scheduled time strictly observed. The applicants are responsible for the presentations. As a rule, the discussion is chaired by the rapporteur. To ensure that the review panel has adequate opportunity for discussion with the applicants, a discussion period of approximately 1 hour and 15 minutes in total should be scheduled.

1 hour Discussion/optional poster presentation/light lunch

(Open to all members of the university; reviewers, rapporteur, representative of the state ministry, university administration, representatives of university or non-university partners if applicable, DFG Head Office staff)

This agenda item allows further discussion and presentation of the proposal on a more individual basis. The members of the review panel and the applicants

discuss the proposal individually or in small groups. Posters may be used to present the proposal in more detail. Based on previous experience, we recommend that a light lunch be offered to the participants during the review. As the first presentation may finish early, the lunch should be ready early on. The cost should be covered by the host university.

2 hours 15 min Final consultation by the reviewers

(Reviewers, rapporteur, representative from the state ministry where applicable, DFG Head Office staff)

In the final internal consultation meeting, the reviewers draft their recommendation to the Senate and Grants Committees on Research Training Groups. The review panel's recommendation provides the basis of the decision of the Grants Committee on Research Training Groups.

After approx. 6 hours 30 min

End of the review

The spokesperson is unofficially notified of the reviewers' recommendations to the DFG's Senate and Grants Committees.

3. Organisational Preparations

Accommodations for participants from out of town

The DFG Head Office will reserve hotel rooms for reviewers, the rapporteur, and DFG Head Office staff who intend to stay overnight and will inform the participants accordingly. To facilitate planning, please inform the DFG Head Office of the review venue as early as possible. We would also welcome recommendations on suitable places to stay (such as a university guest accommodation or a hotel that has special arrangements with the university). Please note that the maximum rates under the German Travel Expenses Act must be observed.

Venues

As frequent "changes of scenery" often result in a loss of time, we request that you plan for only a limited number of venues with short distances between them. A meeting room is required for the internal consultations between the reviewers. A nearby seminar room would be suitable for the discussions with the Research Training Group. The light lunch and the poster presentations should also take place nearby.

Please list the exact venues in the schedule, which should be coordinated with the DFG Head Office early on, and include a small map if possible.

Handouts

Since some time will unavoidably pass between the completion of the proposal and the on-site review, you may want to prepare a handout for the reviewers briefly documenting any relevant changes.

In addition, providing pin-on name tags and table nameplates for all participants and a printout of planned presentations by the Research Training Group has proven useful in the past.

Please do not hesitate to contact the DFG Head Office if you have further questions.

IV Guidelines on Requesting Additional Funding during the Grant Period

During an ongoing grant period, additional funding may be requested from the DFG for:

- replacement costs (cf. II.7.2 Module Replacements contained in the proposal instructions and DFG form 52.03);
  www.dfg.de/formulare/52_03

- the admission of additional professors to run the Research Training Group;
  Note that a convincing supplemental proposal must be submitted describing the biographical sketches of the new researchers and their integration into the research and qualification programmes. In addition, justification of the need for additional funding is required. A Research Training Group is generally run by a group of up to 10 professors. If this number is exceeded due to the admission of new professors, special justification must be given.

  To be eligible for new admission, the new professors must have come to the university in question within twelve months of submission of the supplemental proposal. Note that this does not apply to professors from universities of applied sciences who will be joining the Research Training Group for the first time; their admission is possible at any time.

- increasing the family allowance (cf. item 4.2.4.3. of the usage guidelines, DFG form 2.22, available in German only);

- supporting doctoral and postdoctoral researchers who, due to pregnancy or infant care, were unable to carry out certain tasks;
  In such cases, funding provided for gender equality measures can be used to finance replacements or student assistants/technical support staff. Should this funding not be sufficient, additional funding may be provided in this case to support doctoral and postdoctoral researchers;

- the integration of refugee and at-risk scientists and scholars;
  Integration in an established Research Training Group enables young refugees in particular to be supported during their doctoral phase. For more information on proposal submission, please refer to the details provided in the document “Information for Researchers, No. 17 of 18 April 2017”:
  www.dfg.de/en/research_funding/announcements_proposals/2017/info_wissenschaft_17_17/index.html

- knowledge transfer projects (cf. DFG form 54.06).
  www.dfg.de/formulare/54_06/

Supplemental proposals must be submitted by the applicant university.

For additional information, please contact the DFG Head Office.