

# Guidelines

## on Proposals for Grants to Support the Initiation of International Collaboration with Proposal Preparation Instructions



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## Guidelines

# on Proposals for Grants to Support the Initiation of International Collaboration

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## I Funding Objective

This grant programme aims to support the initiation of international collaboration. It consists of the funding elements “bilateral workshops”, “trips abroad” and “guest visits”.

The purpose of **workshops** is to explore **possibilities for international collaboration**. Topics must be defined and limited. **Trips abroad** and **guest visits** serve to facilitate the **preparation of a specific joint project**.

This funding instrument is not intended to support international conferences (see International Scientific Events), the implementation of joint research projects (see Research Grants) or meetings of research networks (see Research Networks).

## II Type of Funding

To facilitate the initiation of international collaboration, applicants may propose one of the following funding elements:

- bilateral workshop
- trip abroad (up to 3 months)
- guest visit (up to 3 months)

Funding elements may be combined if they are timed closely together, enabling the joint project to be planned even more effectively. Funding is provided for up to 12 months from the date of approval. The individual measures must be carried out during this time period.

Funding is granted in the form of standard allowances. The document “Liste Pauschalsätze Kooperationsanbahnung”, available in German only, contains an overview of these allowances.

[http://www.dfg.de/foerderung/programme/internationales/aufbau\\_internationaler\\_kooperationen/formulare\\_merkblaetter/index.html](http://www.dfg.de/foerderung/programme/internationales/aufbau_internationaler_kooperationen/formulare_merkblaetter/index.html)

The allowances are to help defray the participants' travel and accommodation costs and expenses involved in organising workshops.

Due to calculations using standard allowances, it may happen that the approved funds do not fully cover the expenses. In this case, you must additionally use your own funds or reduce spending. It is not possible to apply for additional funds beyond these allowances.

### **III Proposal Submission, Eligibility**

Proposals may be submitted at any time but must be received **no later than 3 months before the beginning of the proposed activity**.

A subsequent application with the same participants may only be submitted if results from the first funded activity necessitate further measures and the new activity shows significant progress compared to the initial measure.

#### **Eligibility**

All researchers based at a German research institution in Germany or abroad who have completed their research training, generally by obtaining a doctorate, are eligible to apply.

Proposals may not generally be submitted by persons working at an institution that is not non-profit or one that does not permit the immediate publication of research findings in a generally accessible form.

Researchers who are employed at one of the institutes or member organisations of the Max Planck Society, Fraunhofer Society, Helmholtz Association or Leibniz Association; researchers working at a publicly funded institute associated with one of these organisations; and researchers working at international research facilities located in Germany must note the rules on the duty to cooperate.

[http://www.dfg.de/formulare/55\\_01/](http://www.dfg.de/formulare/55_01/)

Please contact the DFG Head Office if you have specific questions.

The proposal format and the information provided must adhere to the instructions below.

## IV Cost Categories

### 1 Bilateral Workshops

For each participant (as a rule those with a doctoral degree), an allowance of €300 may be granted to help defray workshop expenses. The maximum number of workshop participants is 30.

In justified exceptional cases individual guests from other countries may also be invited to attend bilateral workshops. However, please note that the maximum number of participants must still be observed.

#### 1.1 Bilateral workshops in Germany

Participants from Germany may each receive a standard allowance of €200 to help defray travel and maintenance costs.

Standard maintenance allowances for participants from abroad are made in accordance with the rates listed below under item 3 “Guest Visits”; allowances for travel costs can be found in the overview “Liste Pauschalsätze Kooperationsanbahnung”, available online in German only. [http://www.dfg.de/foerderung/programme/internationales/aufbau\\_internationaler\\_kooperationen/formulare\\_merkblaetter/index.html](http://www.dfg.de/foerderung/programme/internationales/aufbau_internationaler_kooperationen/formulare_merkblaetter/index.html)

The DFG can only provide funding for foreign participants if these costs cannot be assumed by the foreign partner organisation on the basis of an existing bilateral agreement. The DFG also covers costs if the participants come from a “DAC” country (cf. list of developing countries and areas entitled “Kooperation mit Entwicklungsländern”, available in German only). [http://www.dfg.de/foerderung/programme/internationales/entwicklungslaender/formulare\\_merkblaetter/index.html](http://www.dfg.de/foerderung/programme/internationales/entwicklungslaender/formulare_merkblaetter/index.html)

## 1.2 Bilateral events in the partner country

The maximum number of participants from Germany is 15. Participants from Germany may be granted standard allowances for travel and maintenance. To view the applicable country rates, please refer to the “Liste Pauschalsätze Kooperationsanbahnung”, available in German only. [http://www.dfg.de/foerderung/programme/internationales/aufbau\\_internationaler\\_kooperationen/formulare\\_merkblaetter/index.html](http://www.dfg.de/foerderung/programme/internationales/aufbau_internationaler_kooperationen/formulare_merkblaetter/index.html).

Participants from partner countries can be granted a travel and maintenance allowance of €200 per participant if they come from one of the DAC countries. Please refer to the list of developing countries/areas entitled “Kooperation mit Entwicklungsländern”, available in German only. [http://www.dfg.de/foerderung/programme/internationales/entwicklungslaender/formulare\\_merkblaetter/index.html](http://www.dfg.de/foerderung/programme/internationales/entwicklungslaender/formulare_merkblaetter/index.html)

Otherwise the DFG can only provide an allowance if the costs will not be assumed by a foreign partner organisation.

## 2 Trips Abroad

The rates for travel and maintenance allowances can be found in the overview “Liste Pauschalsätze Kooperationsanbahnung”), which is available in German only, under [http://www.dfg.de/foerderung/programme/internationales/aufbau\\_internationaler\\_kooperationen/formulare\\_merkblaetter/index.html](http://www.dfg.de/foerderung/programme/internationales/aufbau_internationaler_kooperationen/formulare_merkblaetter/index.html).

The DFG can only provide a maintenance allowance if these costs cannot be assumed by the foreign partner organisation on the basis of an existing bilateral agreement.

In general, only researchers with at least a doctoral degree can be awarded funding for trips abroad.

## 3 Guest Visits

Guests from abroad (as a rule those with a doctorate) are granted a maintenance allowance. For stays of up to 22 days, per diem rates apply. For longer stays, the monthly rate applies.

Category 1: Researchers with a doctoral degree

Monthly rate: €2,100; Per diem: €95

Category 2: Associate professors (W-2 or equivalent positions)

Monthly rate: €2,300; Per diem €104

Category 3: Full professors (W-3 or equivalent positions), guests with managerial responsibilities

Monthly rate: €3,000; Per diem €135

In addition, a travel allowance will be paid for guests from one of the DAC countries. Please refer to the list of developing countries and areas entitled “Kooperation mit Entwicklungsländern”, available in German only, for the applicable country rates.

[http://www.dfg.de/foerderung/programme/internationales/entwicklungslaender/formulare\\_merkblaetter/index.html](http://www.dfg.de/foerderung/programme/internationales/entwicklungslaender/formulare_merkblaetter/index.html)

[http://www.dfg.de/en/research\\_funding/programmes/international\\_cooperation/developing\\_countries/forms\\_guidelines/index.html](http://www.dfg.de/en/research_funding/programmes/international_cooperation/developing_countries/forms_guidelines/index.html)

Otherwise the DFG can only provide the allowance if these costs cannot be assumed by the foreign partner organisation on the basis of an existing bilateral agreement.

## V Obligations

By accepting funding from the DFG, the recipient agrees to:

1. adhere **to the rules of good scientific practice**.<sup>1</sup>

The general principles of good scientific practice include, among others:

- maintaining professional standards,
- documenting results,
- rigorous questioning all findings, and
- attributing honestly any contributions by partners, competitors and predecessors.

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

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<sup>1</sup> The rules of good scientific practice are presented in detail in the white paper Proposals for Safeguarding Good Scientific Practice (published by Wiley-VCH) and in the usage guidelines for research grants (DFG forms 2.01 and 2.02) (cf. <http://www.dfg.de> □ Research Funding / Legal Framework Conditions).

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, depending on the nature and severity of the scientific misconduct:

- issuing a written reprimand to those involved;
  - exclusion from the right to apply for DFG funds for a period of one to eight years, depending on the severity of the scientific misconduct;
  - revoking funding decisions (complete or partial cancellation of the grant, recalling granted funds, 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 acting as a reviewer or from membership in DFG 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 statutory bodies and committees for a period of one to eight years, depending on the severity of the scientific misconduct.
2. use the grant exclusively and in a targeted manner to realise the funded project. The use and accounting of funds must conform to the relevant regulations of the DFG.
  3. submit progress reports on the research according to the dates specified in the award letter and to present financial accounts to the DFG detailing the use of funds.

The DFG expects that the findings of the projects it funds be made available to the public.

The coordinator on the German side must submit a proposal for the funding elements and, if a grant is approved, is responsible towards the DFG for the funding transactions. Budget items must be requested and managed in compliance with the relevant institution's budget and accounting rules.



## Proposal Preparation Instructions

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### I General

1. The proposal, including bibliography, may be no more than **10 pages** in length (DIN A4, Arial 10 pt, 1.5 line spacing). It should be self-explanatory and not require reviewers to read any additional literature that may be cited or enclosed.
2. You may also submit your proposal in **English**. If you wish to do so, the following items must also be provided in **German**: Topic (1.2), Summary (1.6).
3. When completing your proposal, please
  - answer all relevant questions fully, according to general scientific practices, and correctly describe your own preliminary work and that of others;
  - adhere to the numbering system of these instructions and repeat the complete headline in each section.

### II Proposal Format

#### 1 General Information

Proposal for a Grant to Support the Initiation of International Collaboration

##### 1.1 Applicant

Please include the following information:

- First name, last name, academic title
- Employment status (including duration of contract, if on a fixed-term contract)
- Date of birth and nationality
- DFG reference number of the last proposal or of any previous application(s) for project funding

- Institution and department (full name)
- Work address
- Telephone number (dialling code, switchboard, direct line or extension)
- Fax number
- E-mail address
- Please also include the same information for the responsible collaboration partner abroad.

For both the applicant and the responsible collaboration partner, a curriculum vitae including the five most important publications should be attached to the proposal.

In addition, state whether and to what extent your international collaboration partner is requesting funding from the relevant partner organisation abroad.

## **1.2 Topic**

Please give a brief and precise description of the project, not exceeding 140 characters.

## **1.3 Research area and field of work**

Please state the subject area according to the DFG classification (e.g. experimental condensed matter physics, prehistory) and the field of work (e.g. theory of ferromagnetism, settlement archaeology) to categorise the scientific focus of your project.

## **1.4 Type of funding**

Please state which element you are submitting for funding:

- Trip Abroad
- Guest Visit
- Workshop in Germany
- Workshop Abroad

## **1.5 Funding period**

Please state when the proposed activity is to occur (intended timing of trip or workshop).

## **1.6 Summary**

Please give a plain-language summary of the main objectives of your project, not exceeding 15 lines (max. 1,600 characters).

## **2 State of the Art in the Relevant Subject Area**

### **2.1 Short description and scientific objective**

Please describe the intended scientific benefit of the activity. Why does it require initiation funding and what is the specific objective of the activity? How do you expect the international collaboration to add value?

### **2.2 For bilateral workshops**

- List of participants from Germany, incl. work addresses
- List of participants from abroad, incl. work addresses
- If available: Overview of presentations (speakers, topics)

### **2.3 For guest visits and trips abroad**

Contribution by the traveller/guest and by the foreign partner (what scientific contribution is expected?)

## **3 Funds Requested**

### **3.1 Bilateral workshops**

The following information is required:

- Number of participants from Germany
- Number of participants from the partner country
- Number of participants from other countries

### **3.2 Trips abroad**

The following information is required:

- Number of travellers
- Length of stay

### **3.3 Guest visits**

The following information is required:

- Number of travellers
- Length of stay

## **4 Declarations**

### **4.1 Submission elsewhere**

If you have submitted a grant proposal for the same project to any other agency, please explain this.

If this is not the case, please include the following statement:

“I have not requested funding for this activity from any other sources. In the event that I submit such a request, I will inform the Deutsche Forschungsgemeinschaft immediately.”

### **4.2 Rules of good scientific practice**

With regard to the rules of good scientific practice, please declare the following:

“In submitting a grant proposal to the DFG, I agree to adhere to the rules of good scientific practice.”

## **5 Signature(s)**

The proposal must be signed by the applicant.

## **6 List of attachments**

- Letter of invitation from the host
- Curricula vitae including list of key publications