

# Guidelines

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



## Guidelines

### I Programme Information

#### 1 Objective

This grant programme aims to support the initiation of international collaboration. It consists of the components “Exploratory Workshops”, “Trips Abroad” and “Guest Visits”.

The purpose of an exploratory, generally bilateral, workshop is to

- prepare a specific joint project, or
- explore possibilities of specific, topic-related collaboration

Trips abroad and guest visits serve to facilitate the preparation of a specific joint project.

Further explanations can be found in the *Proposal Preparation Instructions* below.

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 Scientific Networks).

#### 2 Proposals

##### 2.1 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-Gesellschaft, 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 should note the rules on the duty to cooperate.

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

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

## 2.2 Form and Deadline

Proposals may be submitted at any time. It is strongly recommended to submit proposals no later than six months before the start of the activity, so that sufficient time remains after the decision for visa matters, booking inexpensive flights, etc.

A subsequent proposal with the same participants may be submitted only if its necessity is derived from the results of the first grant and the proposed activity constitutes definite progress from the initial one.

The proposal format and the information provided must adhere to the “Proposal Preparation Instructions” below.

## 3 Duration

The grant is available for up to 12 months from the date of approval. Within this period, the individual activities must be carried out. For the duration of the different activities, please refer to the following explanations.

## II Fundable Components

To support the development of international collaborations, applicants can request funding for the following components:

- Exploratory workshop,
- Trip abroad (max. 3 months) or
- Guest visit (max. 3 months).

Components can be combined if they are in close temporal relationship and if this facilitates especially effective preparation of a joint project.

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

[www.dfg.de/aufbau\\_int\\_kooperationen/](http://www.dfg.de/aufbau_int_kooperationen/)

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

As funding is granted on the basis of standard allowances, it may happen that the approved funds do not fully cover the expenses. In this case, applicants must additionally use their own funds or reduce spending. It is not possible to apply for additional DFG funds beyond these standard allowances.

## **1 Exploratory Workshops (usually bilateral)**

For each participant (up to 30, generally doctoral degree holders), a standard allowance of €300 may be granted to help defray workshop expenses.

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

### **1.1 Exploratory 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 granted in accordance with the rates listed below in section 3 *Guest Visits*; standard allowances for travel costs can be found in the document "Liste Pauschalsätze Kooperationsanbahnung", available in German only.

[www.dfg.de/aufbau\\_int\\_kooperationen/](http://www.dfg.de/aufbau_int_kooperationen/)

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 will also cover the costs if the participants are from a country included in the DFG list of

developing countries and regions (“Liste von Entwicklungsländern und -gebieten in Bezug auf DFG-Verfahren”, available in German only).

[www.dfg.de/aufbau\\_int\\_kooperationen/](http://www.dfg.de/aufbau_int_kooperationen/)

## 1.2 Exploratory workshops in the partner country

Participants from Germany (up to 15) may be granted standard allowances to help defray travel and maintenance costs. To view the applicable country rates, please refer to the document “Liste Pauschalsätze Kooperationsanbahnung”, available in German only.

[www.dfg.de/aufbau\\_int\\_kooperationen/](http://www.dfg.de/aufbau_int_kooperationen/)

Participants from partner countries may be granted a travel and maintenance allowance of €200 per participant if the partner country is included in the DFG list of developing countries and regions (“Liste von Entwicklungsländern und -gebieten in Bezug auf DFG-Verfahren”, available in German only).

[www.dfg.de/aufbau\\_int\\_kooperationen/](http://www.dfg.de/aufbau_int_kooperationen/)

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” (available in German only).

[www.dfg.de/aufbau\\_int\\_kooperationen/](http://www.dfg.de/aufbau_int_kooperationen/)

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 (generally doctorate holders) are always granted a maintenance allowance. For stays of up to 22 days, per diem rates apply. For longer stays, the monthly rate is used as the basis for calculating the daily rate.

**Category 1:** Researchers with a doctoral degree

Monthly rate: €2,350; Per diem: €105

**Category 2:** Associate professors (W2 or equivalent positions)

Monthly rate: €2,650; Per diem €115

**Category 3:** Full professors (W3 or equivalent positions), guests with managerial responsibilities

Monthly rate: €3,150; Per diem €160

In addition, a travel allowance will be paid for guests from countries on the DFG list of developing countries and regions (“Liste von Entwicklungsländern und -gebieten in Bezug auf DFG-Verfahren”, available in German only).

[www.dfg.de/aufbau\\_int\\_kooperationen/](http://www.dfg.de/aufbau_int_kooperationen/)

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.

### III Obligations

By submitting the proposal, you agree 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,
- rigorously 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 another person’s research work. The circumstances of each case will be considered on an individual

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<sup>1</sup> The rules of good scientific practice are presented in detail in the white paper entitled „Safeguarding Good Scientific Practice“ and in the [Funding Guidelines - General Terms and Conditions of DFG Grants](#) (DFG form 2.00).

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 proposed components 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

These instructions apply to proposals to support the initiation of international collaboration.

A proposal consists of the following three parts:

A - Proposal Data and Obligations

B - Project Description

C - Appendices (for each applicant: academic CV including a list of up to ten of his/her most important publications)

To complete an electronic proposal form, and to transmit your proposal data and related documents securely, please use elan, our electronic proposal processing system:

<https://elan.dfg.de>

Proposals under this programme can only be submitted via elan.

### A Proposal Data and Obligations

Here you are asked to provide information on the initiation of the international collaboration and the participating individuals, and to accept the required formal obligations.

An electronic proposal form to enter this information is available on the DFG's elan portal.

<https://elan.dfg.de>

### B Project Description

For the description of your project, please use the appropriate project description template in English or German as provided on the elan portal. Your project description may not exceed 10 pages in length.

Template instructions:

#### 1 State of the art in the relevant subject area

Give a concise description of the state of the art in the relevant subject area as it relates directly to the proposed activity. This description should clarify where you position your own



work and to which outstanding issues you wish to make a new and helpful contribution of your own. Please describe the research area in which you seek to collaborate. Clearly separate your explanations of the activities to initiate collaboration from the actual research project you wish to pursue. The presentation must be understandable without referring to additional literature.

## 2 Duration and objectives

### 2.1 Anticipated total duration of collaboration-building activities

Please indicate the period during which you wish to carry out collaboration-building activities.

### 2.2 Objectives of initiating collaboration

Give a brief general outline and the scientific/academic objectives of

- the activities to initiate collaboration
- the targeted research topic

Why does this require funding, and what is the specific objective of the activity? What added value do you expect from the international cooperation?

#### 2.2.1 Information on exploratory, generally bilateral workshops (if applicable)

The following information is required:

- List of participants from Germany and, if available, an overview of presentations (speakers, topics)
- List of participants from abroad and, if available, an overview of presentations (speakers, topics)
- If, in exceptional cases, non-doctorate holders are to participate: special justification of necessity

#### 2.2.2 Information on guest visits and trips abroad (if applicable)

The following information is required:

- Scientific/academic contributions by project participants in Germany and abroad (for each traveller or guest)
- If, in exceptional cases, non-doctorate holders are to participate: special justification of necessity

### **3 Requested components**

Enter the requested amounts for the following items below for all participating individuals (stating last name, first name, country).

In the electronic form, enter only the total sum of requested funds.

#### **3.1 Exploratory workshops**

A €300 standard allowance for each participant to help defray workshop expenses.

##### **3.1.1 Exploratory workshops in Germany**

A standard allowance of €200 for each participant from Germany to help defray travel and maintenance costs.

For each participant from abroad, travel and maintenance allowances in accordance with the guidelines.

##### **3.1.2 Exploratory workshops in the partner country**

A standard allowance of €200 for each participant from the partner country to help defray travel and maintenance costs.

For each participant from Germany, travel and maintenance allowances in accordance with the guidelines.

#### **3.2 Trips abroad**

For each traveller, travel and maintenance allowances in accordance with the guidelines.

#### **3.3 Guest visits**

For each guest, travel and maintenance allowances in accordance with the guidelines.

### **4 Additional information**

#### **4.1 Financial contributions by the foreign partner organisation (if applicable).**

### **5 Additional statements**

If applicable, please list proposals previously submitted to a third party.

## 6 Optional

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

## C Appendices

- Letter of invitation from the host (for trips abroad and guest visits)
- Applicant's and collaboration partner's curricula vitae including list of key publications

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

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

When **submitting your proposal electronically via the elan portal**, you will be asked to upload the required documents. Please make sure that the security settings for the PDF documents allow your documents to be read, copied and printed, and note the maximum size of 10 MB per document.