

## Excellence Initiative by the German Federal and State Governments to Promote Science and Research at German Universities

### Notes on Preparing Draft Proposals for Graduate Schools

#### Second Programme Phase



Draft proposals for graduate schools should be submitted in English. Draft proposals may additionally be submitted in German on special request. Please contact the DFG Head Office in advance.

In addition to the printed version of the draft proposal (25 copies), please submit an electronic version on CD-ROM in PDF format.<sup>1</sup>

Draft proposals may not exceed 25 pages in length, excluding the cover page, the table of contents and appendices, and should be formatted in Arial 11pt, single-spaced. They should cover the following points:

#### 1. **Basic data:**

- Host university/universities
- Speaker university/universities
- One correspondence address
- Title of the graduate school in English and German
- Coordinator
- Estimated number of participating doctoral researchers (all participating persons pursuing doctoral training at the graduate school, irrespective of their source of funding)
- Involved fields of research: up to 10 key words

In addition, list all institutions and persons set to substantially participate in and be funded by the proposed graduate school (rows 1 through 4). Further, name all institutions with which intensive cooperation is planned (e.g. museums, commercial and industrial enterprises, schools, etc.) and which are expected to contribute their own funds to the proposed graduate school, as well as individuals set to make substantial contributions as cooperation partners (row 5).

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<sup>1</sup> Please combine the draft proposal and accompanying documents into one file (for example in Word format) and include a table of contents with bookmarks. This main file should be converted into a PDF document. When converting to PDF, please note the settings. The programme should automatically generate the table of contents in Word into bookmarks in PDF. The PDF document should not include password protection or access restrictions and should allow your documents to be read, copied and printed.

Please structure your table as follows:

Principal investigators (up to 25)	Location / Institution
Departments and central facilities of the speaker university/universities	Location
Departments and central facilities of other participating universities (if applicable)	Location
Non-university institutions (if applicable)	Location
Institutional and individual cooperation partners (if applicable)	Location

**2. Summary of the graduate school's overall goals** – Please provide a summary, both in English and German, of the graduate school's overall goals; the summaries should not exceed one page in each language. This information will provide members of the Joint Commission with their first overview of your proposal.

**3. Profile and scientific abstract**– Please describe the graduate school's objectives and scientific priorities, emphasising the scientific added value for the participating faculties.

Please also provide information on existing doctoral programmes or qualification and facilities that the graduate school will build upon and specify the contributions of the proposed graduate school to this arrangement. If the existing programmes or faculties are not to be involved with the graduate school, please give the reasons, referring both to structural and subject considerations.

In addition, please indicate the envisaged structural impact and how the graduate school will be integrated into the university's academic profile and development strategy. Additionally, please justify the composition and cooperation of the participating researchers, institutes, institutions and faculties.

**4. Qualification strategy** – Please describe and justify the measures devised to ensure optimum conditions for doctoral researchers (recruitment, supervision strategies and qualification measures). You should also detail how the doctoral researchers will be integrated into the research environment and describe their status within the graduate school and the university. Plans for the integration of international doctoral researchers, or further measures to establish a corporate identity, may also be included.

**5. Networking** – Please describe the graduate school's approach to networking with partner institutions, both at a national and international level.

**6. Gender equality** – Describe the gender equality situation at your university within the participating departments using quantitative indicators. What gender equality objectives have the participating departments and the university set? Using the DFG's research-oriented standards on gender equality as the basis, please specify what measures will be undertaken by the graduate school to achieve its objectives.

**7. Organisation, Management and Infrastructure** – Please describe – if applicable in a clearly arranged scheme – the organisational structure of the proposed graduate school and explain briefly the decision-making processes and the respective responsibilities. What infrastructure will be available to the proposed graduate school (space, equipment, no listing of individual instruments) and what service facilities will be incorporated into the graduate school or are provided?

**8. Statement by the host university/universities on the location's suitability, projected structural development and research priorities** – Please discuss the suitability of the location and the intended structural development through the graduate school. Explain the university's/universities' research priorities, also in terms of its/their general strategy and including previously funded institutions of excellence and other draft proposals.

If several universities plan to submit a joint proposal, they must demonstrate the synergy and structural added value the cooperation will generate, as well as the institutional long-term effect the strategic cooperation is expected to have.

**9. Requested funding** – Please state the amount of funding expected to be required for each year, in thousand euros (only the total amount per year; it is not necessary to itemise). Requested funding amounts may vary by fiscal year as needed.

Nov.-Dec. 2012	2013	2014	2015	2016	Jan.-Oct. 2017	Total

Please submit the following information as appendices:

**I. The 25 most relevant publications**

Please list the 25 publications by the group of participating researchers involved in the graduate school that you believe to be most relevant.

**II. The 25 most relevant other proofs of qualification**

Please list the 25 most relevant additional pieces of evidence (besides publications) that demonstrate the qualification of the group of participating researchers (e.g. research awards, patents, etc.).

**III. Third-party funding**

Please list what you consider to be the up to 15 most relevant coordinated funding measures at the host university/universities or other research institutions involved in the proposed field, which have received any DFG or other third party funding since 2006 (no matter if funding has started before, in or after 2006). Please highlight all measures and activities aimed at establishing structured doctoral training and provide information on the type of funding (e.g. Research Training Groups; Collaborative Research Centres, Research Units, projects funded by the Federal Ministry of Education and Research, EU project, industry, etc.), the title of the project, the coordinator, the starting date and anticipated end date of funding (if several funding periods were involved, please state the starting and anticipated end date of the entire funding period), as well as the average amount of total funding received each year (excluding overhead funding). In addition, please indicate the total annual average of funding which the principal investigators have attracted for their individual grants (e.g. DFG research grants, funding by foundations, etc.) since 2006.

Please print out the tables in landscape format.

No.	Funding Body	Type of Funding	Title	Coordinator	Start	Finish	Amount (annual average in € 1,000)
1							
...							
15							
	Individual grants (total annual average in €1,000 for all principal investigators involved)						

#### IV. Host university/universities

Please provide on up to three pages general information on the host university/universities. This must include but is not limited to the faculties and disciplines; the overall number of students and professorships; the number of students graduating per year in the relevant subject area(s); and the number of doctorates awarded each year in the subject area(s) covered.

#### V. Curricula vitae and selected publications

For each of the (up to) 25 principal investigators (in alphabetical order), include a biographical sketch (up to one page) and a list of his/her ten most relevant publications on a separate page. Please add a brief outline of the researchers' experiences in supervising doctoral researchers, including a list of dissertations supervised by the respective researcher within the last five years (limited to two pages, in table form where necessary).

To allow reviewers to fairly evaluate the participants' scientific achievements, we recommend that CVs mention any circumstances that may have impaired research activities, e.g. longer periods of illness, disabilities, etc. In addition, please mention childcare leaves. The above-mentioned 5-year period can be extended by 2 years per child.

**Please do not include further appendices. They will not be taken into consideration.**

**For more information** visit

[http://www.dfg.de/en/research\\_funding/programmes/excellence\\_initiative/index.html](http://www.dfg.de/en/research_funding/programmes/excellence_initiative/index.html)

<http://www.wissenschaftsrat.de/exini-engl-start.html>

<http://www.gwk-bonn.de/index.php?id=194>

#### DFG contacts for graduate schools:

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