

Deutsche
Forschungsgemeinschaft
German Research Foundation

Sample Proposal for the Establishment of Graduate Schools

Graduate School

Title

Host University

Funding Period

1.11.2007 – 31.10.2012

Proposal for the Establishment and Funding of the Graduate School

"Title" <in German>

"Title" <in English>

Host university:

Rector / President of the host university:

Title first name surname

Work address:

Phone: Tel.

Fax: Fax

E-Mail: E-Mail

Location, date

Name and signature

Rector/ President

Coordinator of the graduate school

Title first name surname

Work address:

Phone: Tel.

Fax: Fax

E-Mail: E-Mail

Location, date

Name and signature

Coordinator

If applicable: Other principal university/universities:

<Please name only the university/universities whose cooperation is pivotal and whose rector(s)/president(s) is co-signatory / are co-signatories.>

Rector / President of the university:

Title first name surname

Work adress:

Phone: Tel.

Fax: Fax

E-Mail: E-Mail

Location, date

Name and signature

Rector/ President

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1 Key data

1.1 Principal investigators

<Please complete the table listed below for the graduate school's principal investigators (PI) and include their CVs in the proposal's appendix. Please restrict the number of principal investigators to a maximum of 25.>

Surname, first name, academic title	Year of birth	Institute	Research area

1.2 Estimated number of participating doctoral candidates

<Please provide the estimated number of all doctoral candidates (all participating persons pursuing doctoral studies at the graduate school), irrespective of their source of funding.). If applicable, please also provide the estimated number of doctoral candidates to be funded through the graduate school.>

1.3 Brief summary (max. 30 lines)

<Please provide a concise, comprehensive summary of no more than 30 lines, covering the main academic (scientific) objectives of the proposed graduate school as well as the focus and aims of the doctoral training programme. The summary should be provided in both German and English. It will be presented to the DFG's decision-making bodies. Should funding be approved, this text will be used in the DFG's internet database service (GEPRIS) to provide general information about the school; the school may also choose not to have the information published.>

2 Academic profile

<In summary, this section should provide a clear-cut vision for the graduate school, the intended added value(s) and criteria for success. Please describe – in sufficient detail – the school's impact on the research fields involved, its role in creating a unique profile for the university, how the graduate school will contribute to innovative doctoral training, and all other aspects that you consider important in its evaluation.>

2.1 Academic aims

<Please identify the research areas covered by the graduate school. How are they interlinked?

Summarise the most significant advances (or lack thereof) in recent years that have characterised the general research field(s) in which the proposed graduate school will be active.

Describe the anticipated medium-term and long-term impact of the school on the university's research activities and the research field in general, with regard to innovation, scientific progress and/or the intended contribution to the scientific discourse(s) of the relevant discipline(s).

Please describe the current research and research training activities of the universities and the institutions participating in the graduate school. Are the research profiles of the participating researchers in keeping with the research orientation of the graduate school?

Explain the demand for (novel) doctoral training strategies in the field. Please summarise the main points of the research training strategy (a detailed description is to be provided in section 3). To what extent does it differ from the current models of doctoral training, and to what extent might the programme serve as a new model for doctoral training in the respective research areas? Referring to appendix 6.1, how will the graduate school contribute to establishing new modes of doctoral training at the host university?

What are the school's long-term academic objectives beyond the five-year or ten-year funding period? What objectives will be pursued during the proposed initial funding period?>

2.2 Contribution to the university's strategic planning

<Please describe the role of the graduate school within the overall strategy of the host university. How will the school contribute to achieving the university's strategic aims? How will it be integrated into the development, planning and prioritisation processes of the host university and/or other participating universities and institutions?>

2.3 Partnerships and collaborations

<Describe all partnerships and cooperative ventures with non-university research institutions in the region that have already been established and those that are planned. Will these collaborations be utilised by the graduate school? What are the expected benefits for the graduate school and for the cooperating partner(s)?>

3 Research training, supervision and conditions of the doctorate

3.1 Admission and formal requirements for the doctorate

<Please describe the conditions for admission and for the award of doctoral degrees:

- Please detail the admissions requirements for doctoral candidates, e.g. subjects, degrees, transcript requirements, specific qualifications and/or professional experiences, etc.
- What degrees will the graduate school offer? Will the graduate school aim for new kinds of degrees (e.g. those recommended in the Bologna Process)?
- In which languages may a doctoral thesis be submitted (and defended)?
- Please describe the examination and review procedures. If additional qualifications (e.g. interim exams) will be required, please describe.
- How is the research training strategy anchored in the regulations governing the award of doctoral degrees? Are adjustments to the university regulations planned, or will supervision agreements between the doctoral students and the graduate school be made?>

3.2 Research training

<Please describe the research training strategy, also taking into account the following aspects:

- What are the specific objectives of the doctoral training programme?
- Which measures for qualification are planned?
- Please provide an overview of all PI's/researchers/teaching staff participating in and being responsible for the different elements of the training programme, and explain their selection and roles.
- How does the training programme promote the academic and professional qualifications of doctoral candidates? How does it interface with undergraduate studies in the subject field(s) (regarding the host university's programme, please refer to 6.1.)?
- Will the school offer opportunities for postdoctoral qualification?
- To what extent do the students participate in designing the research training activities? Are there opportunities to individualise their training schedules?
- How does the training strategy counterbalance the training activities and opportunities for independent research? How does the programme ensure reasonable time frames for the completion of doctoral degrees?
- If applicable: describe the non-university partners' role in the research training programme.>

3.3 Supervision and mentoring

<Please describe the supervision and mentoring strategies, also taking into account the following questions:

- How is supervision and mentoring structured and organised?
- How many researchers will take part in each doctoral candidate's supervision/mentoring? Which researchers will be selected? Please explain in detail.
- What is the anticipated time to degree?
- Which kind of monitoring is planned for your doctoral candidates? What provisions will be made to ensure student progress?
- How will the mentoring encourage the doctoral candidates' independence as young researchers?
- Will special measures be provided for mentoring female doctoral candidates or international students?>

3.4 Other activities

<If applicable, please describe further measures and activities, e.g. additional support, strategies for creating a corporate identity or for developing and creating a doctoral culture.>

4 Structure

4.1 Organisation, management and resources

<How will the graduate school be governed, organised and managed internally? How will it be integrated into the university?

What mechanisms will be implemented for allocating funds according to performance? How will the central funds (e.g. general funds, funds for publications, travel, colloquia, visiting researchers and rotation positions) be allocated?

How will cooperation and interaction between the scientists, including those at the participating institutions, be organised and managed?>

4.2 Premises

<Is adequate space available to accommodate all current and future staff working in the graduate school,? Will special rooms and facilities be provided for the doctoral candidates? How will the anticipated additional space requirements be met? Will additional building work need to be completed?>

4.3 Doctoral candidates

<Please describe all aspects of the graduate school's doctoral candidate population, including information on the following items:

- The size of the graduate school, i.e. the number of doctoral candidates to be admitted.
- The recruitment strategy and process: What is (are) the projected time frame(s)? What are the steps of the recruitment process? Who will participate in the selection? Which PI/staff member(s) will be in charge? What are the resources required, and are they already available? What strategies will be introduced to ensure a diverse, high quality student population?

Please describe the status of the doctoral candidates, as well as their position and integration into the research environment, the university and the graduate school. How is the status laid down in the statutory regulations governing the university's structure and degree rules?

If additional doctoral candidates are to be funded from the graduate school grant: Please provide the projected number of doctoral candidates, justify the chosen type of support (fellowship/employment) and explain the purpose of funding (please do NOT outline specific thesis research projects!). If feasible, provide the data in a table.>

4.4 Staff

<Please describe the current staffing situation at the proposed graduate school and the expected development.

Will administrative staff be required?

What measures are planned to enable the research staff to participate in the research training programme (e.g. sabbaticals, workload countable towards the university teaching load (Lehrdeputatsanrechnungen), additional professorships...)>

4.4.1 New professorships and Independent Junior Research Groups

<If funding is requested for establishing new professorships or junior researchers, what types will be established (new full professorship, temporary replacement for vacant professorship, early reappointment, junior professorship, Independent Junior Research Groups etc.)?>

How will the new professorships and junior researchers be integrated into the existing structure?

Please complete the following table for new professorships and young researchers, listing the research area, salary scale and host university/institution.>

Research area	Salary scale	University/institution

<When will the new professorships be transferred to university funding? How will this transfer take place (e.g. filling of vacant positions at an earlier date, additional professorships, etc.)?>

What measures are planned to offer outstanding young researchers attractive prospects at the school's location, e.g. tenure track options?>

4.5 External visibility and networking

<What types of public outreach activities are planned?

What makes the graduate school attractive to students from abroad? Please describe special measures for integrating international doctoral candidates.

Please describe international networking and collaborations, including all benefits to doctoral candidates. Are special measures planned to integrate the graduate school's doctoral students into the (international) academic community?

Please refer to section 3 where appropriate.>

4.6 Gender equality

<Please describe the current situation in terms of male/female representation across all academic levels in the institutes and disciplines involved (please give the exact percentages). Which actions are in place, or planned, to overcome barriers to entry across all levels, in order to achieve a proportionate representation of both women and men? What specific goals have been set (percentage of female representation) by the participating departments and institutions? What particular measures are planned to achieve these objectives? How will the proposed graduate school help to achieve these goals? Please refer to section 3 where appropriate.>

5 Overview of the graduate school's resources

5.1 Requested funding

<Please list the support for which DFG funding is requested. All funding amounts for the table below should be given in euros (rounded to the nearest thousand). For funding positions not listed, please insert additional lines.

When compiling the budget, please note that for the calendar year 2007, funds can only be requested for November and December. Conversely, for the year 2012, funding can only be requested for January through October. Funding beyond October 2012 cannot be requested.

Furthermore, the suggested average budget of € 1 million per annum merely represents an approximate value. The amount of funding requested may be lower than this or, in justified cases, exceed it.

Finally, please note that the budget should itemize only the direct costs of the graduate school. The 20% allowance for overhead costs of research should not be included in the calculations. In case of approval, it will automatically be added to the grant.

Justification for the requested funds must be provided.>

5.1.1 Staff Funding

Salary scale	number of staff members*	2007	2008	2009	2010	2011	2012
Scientific staff							
W3 (full professor)							
W2, E15Ü (full professor)							
W1, E15, E14 (assistant professor)							
BAT I, Ia, Ib, E15, E14 (assistant professor)							
BAT IIa, E13 (postdoc)							
[XY%] BAT IIa, E13 (doctoral candidates)							
Doctoral scholarships a ... [amount]							
Student assistants							
...							
Total scientific staff							
Non-scientific staff							
BAT IIa-I, E13-E15... (central manager, administrators)							
BAT VII – III, E5 – E12 (administrators and/or secretaries)							
BAT IXb-VIII, E2, E3 (other non-scientific staff)...							
...							
Total non-scientific staff							

<* If different numbers of staff are required for different calendar years, please provide the range (e.g. 4-6). >

5.1.2 Other direct expenses

Description	2007	2008	2009	2010	2011	2012
...						
Total other direct expenses						

5.1.3 Instrumentation

<If you plan to purchase instrumentation and other equipment, please enter the projected expenditure as follows: For all equipment below €150,000 gross per item, enter the total cost. Equipment exceeding €150,000 per item and vehicles should be listed individually. >

Description*	2007	2008	2009	2010	2011	2012
Total amount for equipment < €150,000 gross per item						
Total						

5.1.4 Total funding requested

2007	2008	2009	2010	2011	2012

5.2 Support by the university and/or other sources

<If applicable, please give an overview of all resources provided to the graduate school from the host university, the participating institutions and/or third parties. The overview should be restricted to those resources that will be provided directly to, and be primarily utilised by, the graduate school. >

5.2.1 Staff

Employees who will be working in the school, but whose positions will not be financed by the funding of this programme:

<Please list the number of these employees. If necessary, please insert additional lines.>

Scientific staff	funded by the host university	funded by participating	funded by other sources*
...			
...			
...			
Total scientific staff			
Non-scientific staff			
...			
...			
...			
Total non-scientific staff			

<*For all funds from other parties please add a detailed description of the sources, the types and the conditions of funding.>

5.2.2 Infrastructure and equipment

<Please outline the equipment that will be provided by the participating institutions, including central core facilities (e.g. IT infrastructure, access to computational resources, special instrumentation).

Please differentiate between equipment, instrumentation and facilities that are already in place and those to be acquired. Please list only the equipment that will not be funded by this programme.>

Description	Year of purchase	Amount
Infrastructure and equipment provided by host university		
Infrastructure and equipment provided by participating institutions		
Infrastructure and equipment provided by other parties*		

<*For all funds from other parties please add a detailed description of the sources, the types and the conditions of funding.>

6 Appendices

6.1 Host university

<Please provide general information on the host university (or universities). This may include (but is not limited to): the faculties and disciplines; the overall number of students; the number of students graduating per year in the relevant subject area(s); the number of doctorates awarded each year in the subject area(s) covered (at the host university), average duration of doctoral studies in the relevant subject areas (at the host university) etc.. (max. three pages in total).>

A concise list of the study programmes and degrees in the subject area of the graduate school should also be included. In particular, please describe how the requirements of the Bologna process have been, or will be, implemented (i.e. degrees offered, types of Master's programmes - professional vs. "scientific"/academic focus, etc.) Please also summarise the status quo of doctoral training at the host university.>

6.2 Most important publications

<Please list a total of 25 publications by the group of principal investigators involved, that you believe to be most important.> They should be listed by the date of publication in descending order (i.e. the most recent publication first) The name of the journal/conference should be printed in bold. Please underline the name(s) of the PI(s) participating in the proposal. >

6.3 Additional pieces of evidence of qualification

<Please list the 25 most important additional pieces of evidence (besides publications) that demonstrate the qualification of the principal investigators involved (e.g. research awards, patents etc.).>

6.4 Third-party funding

<Please list the 15 most important local research collaborations (e.g. Research Centres, Research Units, Research Training Groups, projects funded by the Federal Ministry of Education and Research, EU project, industry etc.) at the host university or other research institutions involved in the proposed field, which have received any DFG or other third party funding since 2004 (no matter if funding has started before, in or after 2004). Please include details on the type of funding (Research Centre, Research Unit or else), 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 time of funding) as well as the average amount of funding for all collaborations together received each year.

Please highlight all collaborations aimed at establishing doctoral training.

Please print out the tables in landscape format:>

No.	Funding Body	Type of Funding	Title	Coordinator	Start	Finish	Amount (annual average in thousand €)
1							
...							
15							

6.5 Participating institutions and cooperation partners

<Please include a table listing all institutions participating in the planned graduate school as well as all institutions (e.g. industry, service providers, museums, schools etc.) with which cooperation is planned. For all of these institutions – besides the host university –, please include a statement by the partner addressing intended participation or cooperation.

Please note that this table replaces the table originally provided for under item 1.1.2 of the sample proposal.

Please structure the table as follows, providing the name and place of the individual institutions:>

Institutes and institutions of the host university	Location
if applicable: Institutes and institutions of other participating universities	Location
if applicable: Integrated non-university institutions *	Location
if applicable: Associated cooperation partners (university and non-university institutions) *	Location

<* "Please indicate which of these institutions will also receive funding from the budget of the planned graduate school.>

6.6 Five-page proposal summary (executive summary)

<This summary is to serve foremost as an initial aid for the members of the Joint Commission in becoming acquainted with the proposal.>

6.7 Curricula vitae and selected publications

<Biographical sketches briefly outlining the scientific careers and the ten most important publications should be included in the proposal's appendix (for all principal investigators involved). The sketches are limited to two pages per scientist and should be arranged in alphabetical order. The list of publications should start with the most recent paper.

Please add to each two-page CV a brief outline of the experience in the supervision of doctoral candidates including a list of dissertations supervised by the respective PI within the last five years (limited to two pages).>

Please do not submit any appendices other than those requested above.

7 Notes and explanations

<The information provided in this proposal is to be used for evaluation by the DFG's decision-making bodies and may also be used for statistical purposes. If funding is granted, the school's name and topic as well as the host university and all other participating institutions (university and non-university) will be published in the DFG's annual report (both in print and electronically on CD-ROM and on the internet). This information, together with the following, will also be published in the GEPRIIS project database (<http://www.dfg.de/gepris>): addresses of all research institutes involved, including telephone and fax numbers, email and Web address, summary of proposed research (in English and German), keywords (in English and German), area of research, related fields as well as the same information on any international collaboration partners.

Once the proposal has been approved, the information will be published unless the host university has submitted a written request asking for it to be withheld.>

<This table is not to be printed in the proposal:

DFG rates for estimating salary expenses for 2007

Salary scale	West 2007 Euros/year	East 2007 Euros/year
C4, W3	94,800	90,000
BAT I, A16, C3, W2, E 15Ü	81,600	76,800
BAT Ia, A15, C2, E15	72,000	67,200
BAT Ib, A14, C1, W1, E 14	66,000	62,400
BAT IIa, A 13, E 13	58,800	55,200
BAT III – VII *, E 12 – E 5	42,000	39,600
BAT VIII – IXb, E 3 – E 2	28,800	27,600

*Please use the average amount of €42,000 (or €39,600) for calculating all positions from BAT III to BAT VII.>