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CHEMISTRY RESEARCH FUNDING SCENE IN GERMANY

OVERVIEW

Scientists in German universities and research institutes are mainly supported by four different kinds of institutions and funding bodies:

1. Public universities mainly dedicated to fundamental research, public schools for applied research *Fachhochschulen*) and universities for music and arts, whereas the respective Länder (state) governments are in charge of financial and legal issues of these institutes.

2. Five public research funding organisations, focussing on different aspects and aiming at different fields of research:

    a. The Deutsche Forschungsgemeinschaft (DFG), funding of projects, especially curiosity-driven research at universities and publicly funded research institutes
    b. The Helmholtz-Gemeinschaft deutscher Forschungszentren (HGF), association of the programme oriented research centres in Germany
    c. The Max-Planck-Gesellschaft (MPG) as a research organisation, strategic curiosity-driven research, numerous co-operations with universities
    d. The Fraunhofer-Gesellschaft (FhG) aiming at applied research driven by actual needs of the society, co-operation with universities
    e. The Wissenschaftsgemeinschaft Gottfried Wilhelm Leibniz e.V. (WGL) as a umbrella organisation of non university research institutions and service providers.

3. Private universities, private schools for applied research, research centres of umbrella organisations of industry and of industrial companies, private foundations.

4. Federal and state research centres (167 and 50 institutes, respectively) with specific investigation tasks and responsibilities, but also with research activities.

In Germany, 56 (out of 92) universities and 24 (out of 152) schools for applied research *(Fachhochschulen)* offer study courses in chemistry and carry out chemical research. A large quantity of national or regional research institutes are devoted to chemical research, too. Moreover, a considerable part of the R&D expenses of industrial companies can be attributed to chemistry.
One quarter of all expenses (including institutional infrastructure) in German universities devoted to chemistry come from third-party funds, in the first instance from the DFG.

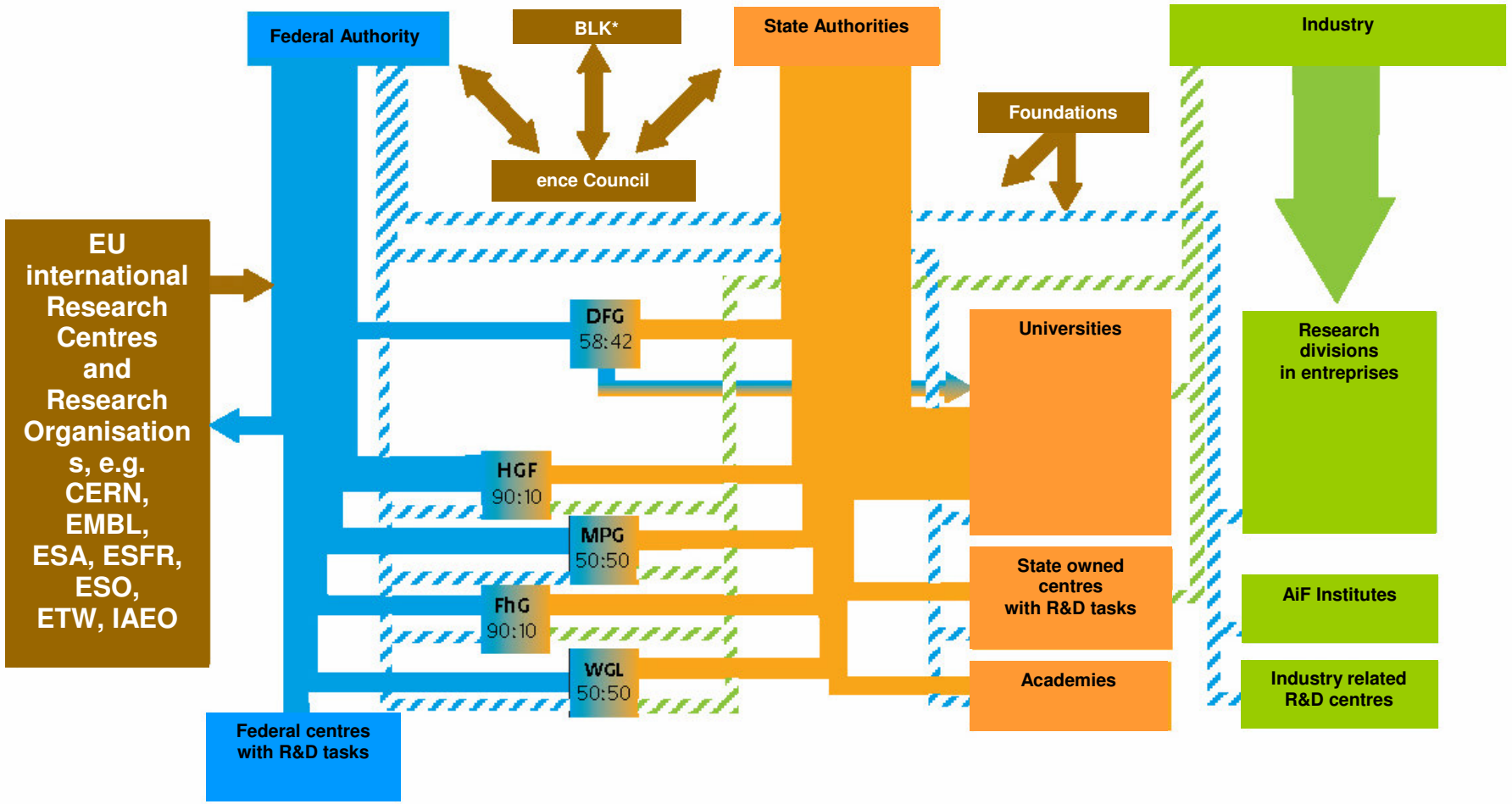
Research funding in Germany is organised according to its federal structure. Whereas the universities, schools for applied research and regional research institutes are most notably financed by the German State governments, the 80 Max-Planck institutes and 80 Leibniz institutes are primarily co-financed by the Federal and the State governments. The 15 research centres of the Helmholtz Association are primarily financed by the Federal government, the 57 Fraunhofer institutes for applied research earn most of their budgets from industrial orders; 30% are contributed by the Federal and State governments (see also diagram “Structure of Research Funding in Germany”).

In Germany the priorities and the co-ordination of the more general research strategies on the national level are influenced by mainly two advisory committees:

The *Wissenschaftsrat* consists of scientists and representatives of federal and state authorities. Its obligations comprise recommendations concerning the structures, strategies for further developmentand financing of universities, schools for applied research as well as of research centres. Furthermore this advisory committee deals with all general questions concerning the higher education system, structural aspects of research and education, and the management procedures for particular divisions in the different disciplines at universities and research centres.

The Bund-Länder Commission for educational planning and research promotion *(Bund-Länder-Kommission für Bildungsplanung und Forschungsförderung (BLK))* aims at the co-ordination and harmonisation of political decisions and strategies for research activities of the federal and state authorities . It is composed of representatives of the Federal and the Länder governments with the main aim to prepare governmental decisions on financing. Moreover, it elaborates general strategies of education and research. The BLK fixes the annual budgets of the DFG and the other research funding organisations mentioned above.

Structure of Research Funding in Germany



* BLK Bund-Länder-Kommission

Source: BMBF

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The DFG is the central public funding organisation responsible for promoting research in Germany. Its activities focus on funding research projects carried out by scientists and academics working at universities or research institutes and on selecting the best projects in a process of fair and transparent competition. The work of the DFG serves all branches of science and the humanities to reflect its role as the self-governing organisation of German science and research. Its legal status is that of an association under private law. DFG membership is made up of German universities, non-university research institutions, scientific associations as well as the Academies of Science and Humanities. The DFG receives its funding from the Federal (Bund) and state (Länder) authorities, which are represented in all decision-making bodies, whereas scientists and academics hold the majority. The DFG promotes scientific excellence through competition: Scientists and academics submit proposals in which they present their projects. Peer reviewers, all experts in their respective field, evaluate the quality of these projects. Their reviews serve as the basis for funding decisions.

The DFG advises parliaments and public authorities on questions relating science and research. It contributes its scientific expertise to political and social discourse by advising and accompanying the political decision-making processes. Consultations in the DFG's Senate commissions and publication of the results enable the DFG to comment on questions relating to science policy and the responsible use of scientific findings in society. The DFG's guidelines on good scientific practice provide an internationally recognised frame of reference. In all its programmes, the DFG actively promotes collaboration between researchers in Germany and colleagues abroad. Special importance is given to strengthening European cooperation.

The DFG promotes the advancement and education of young scientists and academics by offering programmes that provide appropriate support throughout their qualification phases: In particular, the DFG encourages the early independence of young scientists and academics. The DFG endeavours to recruit talent from home and abroad to engage in science and research in Germany.

Being the largest provider of research funds for universities, it is the most important supporter of basic research. 88.4 % of its annual budget is spent for universities, 11.4 % for publicly funded research institutes. To accomplish its mission the DFG receives an annual budget of 1.3 billion euros from the Federal Government and the 16 Länder on a 59 : 41 % basis.

One quarter of all expenses (including institutional infrastructure) in German universities devoted to chemistry come from third-party funds, in the first instance from the DFG.

The DFG co-operates with most other research financiers in Germany. The most important of them are members of the DFG and labour is shared with some of them, especially with the Federal Ministry of Education and Research and the Volkswagen Foundation.

Funding figures

DFG's funding for basic chemistry research was 83 million euros and for applied chemistry research 12 million euros in the year 2003. The total research funding was 1,298 million euros in the year 2003. The share of chemistry is about 7 % of the DFG total funding.

DFG is the largest provider of research funds for universities, and thus it is the most important supporter of basic research in Germany. One quarter of all expenses (including institutional infrastructure) in German universities devoted to chemistry come from third-party funds, in the first instance from the DFG but institutional infrastructure cannot be financed by DFG.

Position, aims, strategies

The five key goals of DFG are the following:

- Serves as the central public funding organisation responsible for promoting research in Germany
- Fosters scientific excellence through competition
- Advises parliament and public authorities on questions relating to science and research
- Encourages international collaboration in science and the humanities
- Supports the advancement and education of young researchers

The DFG serves all branches of science and the humanities. Its activities focus on funding research projects and on selecting the best projects in a process of fair and transparent competition. Scientific and academic excellence of predominantly curiosity-driven research, the advancement of young researchers, interdisciplinarity and internationality are key elements in the work of the DFG.

In all its programmes, the DFG actively promotes collaboration between researchers in Germany and colleagues abroad. Special importance is given to strengthening European cooperation. The DFG promotes the advancement and education of young scientists (especially early independence) by offering programmes that provide appropriate support throughout their qualification phases. The DFG endeavours to recruit talent from home and abroad to engage in science in Germany.

DFG contributes its scientific expertise to political and social discourse by advising and accompanying the political decision-making processes. The DFG's guidelines on good scientific practice provide an internationally recognised frame of reference.

DFG is an association under private law. DFG is a self-governing organisation. DFG membership is made up of German universities, non-university research institutions, scientific associations as well as the Academies of Science and Humanities. The DFG receives its funding from the federal (*Bund*) and state (*Länder*) authorities, which are represented in all decision-making bodies, whereas scientists and academics hold the majority. To accomplish its mission the DFG receives an annual budget of 1.3 billion euros from the Federal Government and the 16 *Länder* on a 59 : 41 % basis.

Generally, the DFG can decide on all its funding strategies and priorities. Other stakeholders (Federal and local governments) exert a certain influence on these strategies in DFG's Joint Committee and its three Grant Committees. New funding instruments or major changes in existing instruments usually require a trade-off with DFG's financiers. In all decision-making bodies

scientists have the majority. The Review Boards (*Fachkollegien*) that are responsible for making funding recommendations consist solely of scientists.

Research supported by the DFG is investigator-initiated. Following this concept, DFG has a pure bottom-up approach. Even Priority Programmes and Collaborative Research Centres are initiated by the research community. One of the few exceptions (less than 1.5% of the annual budget) are DFG Research Centres which have a clear top-down character. Another exception is DFG's Project Groups. The DFG sets priorities in research by establishing thematic Priority Programmes and Research Units.

There are generally no strategies in and priorities for chemistry funding. General strategies of DFG apply to chemistry funding too, i.e. supporting young researchers and emerging research fields, chance to interdisciplinary and transnational projects provided that they are top-class.

The estimated amount of chemistry-dominated projects in close collaboration with other research fields (mainly physics, process engineering, materials research, biology) outside of chemistry is about 20 to 25%.

The DFG co-operates with most other research financiers in Germany. The most important of them are members of the DFG. DFG shares labour with some of them, especially with the Federal Ministry of Education and Research and the Volkswagen Foundation.

Decision making bodies

The Senate of the DFG (consisting solely of researchers) attends to issues relating to DFG's research strategies and policies, whereas the Joint Committee (consisting of all members of the Senate and of representatives of all *Länder* governments and of the Federal Government) decides on research funding and funding policy.

Senate. The Senate is responsible for questions relating to science and research policy. It represents the interests and concerns of scientific and academic research, promotes cooperation and advises governments, parliaments and public authorities by issuing scientifically founded statements. The Senate also decides on the implementation (and prolongation) of Priority Programmers and Research Groups.

The Senate is empowered to establish commissions and committees whose members need not necessarily be senators. The Senate Committee on Strategic Planning (nine Senate members) prepares the Senate's strategic research initiatives and establishes key topic areas, such as programme announcements for DFG Research Centres. Further, the Committee is responsible for preparing the analysis "Strategic Planning and Funding", which appears at regular intervals.

The Senate has 39 members from the scientific and academic communities. 36 members are elected by the General Assembly for three-year terms. The three other members are Presidents of important scientific associations. In addition, there are three permanent guests who are the chairs of scientific associations. An attempt is made to divide the seats equitably between the scientific and academic disciplines. The Senate delegates 19 of its members to serve on the Grants Committee on General Research Support.

Executive Committee. In its responsibility for the general management of the DFG, the Executive Committee discusses all matters of fundamental importance to the DFG. The Executive Committee consists of a full-time President and currently eight Vice Presidents who serve in an honorary capacity. The President of the Donors' Association for the Promotion of Sciences and Humanities in Germany serves in an advisory capacity. The President and Vice Presidents are elected by the General Assembly for three-year terms in office.

Joint Committee. The Joint Committee is responsible for the research funding provided by the DFG. The Joint Committee discusses the financial planning for the coming years and adopts the annual budget. It is composed of the members of the Senate, one or more representatives of the federal government (Bund) with a total of sixteen votes, sixteen representatives of the states (Länder), and two representatives from the Donors' Association for the Promotion of Sciences and the Humanities in Germany.

Grant Committees. Decisions on individual funding proposals (also within the Priority Programme) are made in the Grant Committee on General Research Support, whereas the Grant Committee on Collaboration Research Centres and the Grant Committee on Research Training Groups decide on the implementation, prolongation and the budget of their respective funding instruments. The members of the three Grants Committees are elected by the Senate.

Review Boards. There are six DFG Review Boards (*Fachkollegien*) in basic chemistry consisting of 41 scientists representing all fields of chemistry. The Review Board ranks the applications assigned to it and makes funding recommendations for the Grant Committees. The Review Boards are also encouraged to interact and conduct joint review sessions, where applicable (also beyond chemistry). The experiences gained by the Review Boards will be used in the DFG's strategic planning to enhance its various funding programmes. The Review Boards will report to the Senate Committee. The members of Review Boards are elected every four years by researchers in German universities and public research institutes. A total of 577 elected scientists and academics work in the 48 Review Boards, which are subdivided into a total of 201 subject areas.

General Assembly. Each member organisation (universities, major research institutes, scientific associations) is represented by one delegate at the General Assembly, which convenes once a year. The General Assembly sets the guidelines and policies for the work of the DFG, receives and examines the annual report and annual account, approbates the Executive Committee, elects the President and other members of the Executive Committee and Senate, and decides on the acceptance of new members into the DFG.

Funding instruments

Promoting research includes supporting individual projects and research cooperation, awarding prices for outstanding research achievements as well as project-related funding scientific infrastructure and encouraging contacts in science and research.

Individual Grants Programme. Researchers who have completed their academic training (doctorates) are eligible to submit project proposals with a defined thematic focus and project duration. Different instruments are individual grants/research grants, sabbatical, short courses and summer courses, clinical trials.

Coordinated Programmes. Coordinated programmes promote cooperation and interdisciplinary. They include research units, priority programmes, research training groups, collaborative research centres, DFG research centres, humanities research centres.
Promoting Young Researchers. These programmes support young researchers throughout all qualification phases. Different instruments are research fellowships, staff positions in DFG projects, fellowships in the research training group programme, funding for one's own position, Emmy Noether programme for research fellowships abroad and for independent junior research groups, independent junior research groups in collaborative research centers, the Heisenberg programme, scientific networks.
Scientific Prizes. The DFG awards prizes to scientists and academics in recognition of their outstanding research achievements.
Funding Scientific Instrumentation and Infrastructure. The DFG offers centrally coordinated funding to build and improve scientific infrastructure: Scientific Library Services and Information Systems, Scientific Instrumentation and Information Technology, Central Research Facilities.
Encouraging Scientific Contacts. In order to establish and foster scientific contacts, the DFG provides funding for scientific events, conferences, lecture and information trips.
Funding Initiatives - Project Groups. Funding initiatives are measures taken by the DFG to promote specific research activities in individual areas of research. The DFG's project groups bring together an interdisciplinary group of experts to the DFG's head office to discuss and propose new research projects.
Ideas workshop.

In the year 2003, 56% of the DFG total research funding was allocated to coordinated programmes, 32% to individual grants programme, 5% to promoting young researchers, 3% to infrastructure, 2% to international contacts and 1% to scientific prizes.

The most important funding instrument for chemistry research is the *Individual Grants Programme* (about 40% of the total chemistry funding). It covers e.g. research grants for a period of up to three years (non-permanent personnel, equipment, consumables, travel costs etc.). Research fellowships for highly qualified postdoctoral researchers can also be granted within this programme. A fellowship is a personal, non-transferable award and is limited to a maximum of two years. Young scientists and researchers may also apply for funding for a project of their own within six years of having completed their doctorate. This funding instrument opens up a further opportunity for young researchers to gain early independence.

Co-operative Programmes cover about 60% of the total chemistry funding. Especially Priority Programmes, Collaborative Research Centres and Postgraduate Research Groups are very important for chemistry funding. Funding figures for each instrument cannot be clearly specified, mainly because of the fact that co-operative programmes are mainly interdisciplinary.

The DFG research funding within the Individual Grants Programme, the various programmes to promote the advancement of young researchers, the Priority Programme scheme and the Research Units scheme are purely person-based, whereas in Postgraduate Research Training Groups and DFG Research Centres the grants are allocated to universities (not to laboratories). This is also true for Collaborative Research Centres, but the general grants are composed of individual grants for projects within these research centres (with the opportunity of reallocation of grants). 80% of the chemistry grants are purely person-based. The DFG generally does not support laboratories and institutional infrastructure.

Funding principles

Although there are different DFG funding instruments, for most of them the size of individual funds, the eligibility of expenses and applicants and other funding conditions are similar.

The average size of funds is 40 000 euros per year. The length of a funding period is in Individual Grants Programme 2-3 years, in Priority Programmes 2 years, in Collaborative Research Centres 4 years, and in Postgraduate Research Training Groups 4.5 years.

Salaries, travel and invitation of foreign researchers are eligible costs. Equipment and facilities can also be funded as long as it is not basic equipment. Patenting can be funded but certain conditions apply (DFG will then participate the licensing incomes). VAT can be paid. Funding does not cover overheads because the German research funding system anticipates that all overheads arising from research projects have to be borne by the research institutions. Salaries of permanent staff cannot be funded. Further, a researcher normally cannot apply for his/her own salary. This is only possible for young scientists within six years of having completed their doctorate.

Grants for individual projects should generally be used for purposes described in the proposal, but the DFG generally admits a certain degree of flexibility. Negotiation with the DFG is not necessary, if the "shifting" from one type of costs to another does not exceed 30 % of the financial means for each purpose. However, rejected parts of a proposal cannot be funded by shifted financial means. If the 30 % limit is surpassed, negotiations are required. Usually, the DFG is generous, as long as any planned shift is "cost neutral". Extending of funding requires a new application and new peer review process.

In principle any researcher having a PhD or a comparable degree and working in a German university or publicly funded research institute can apply for individual funding. Within DFG's co-operative funding programmes and within transnational calls for individual proposals there are generally no restrictions with respect to the eligibility of scientists working in non-university labs, whereas in the Individual Grants Programme researchers of Max-Planck, Helmholtz and similar institutes can only be funded if they are "young researchers". Present tendency is that a researcher without a fixed contract can normally be regarded a young researcher.

In case of research grants foreigner working in Germany can be funded without any restrictions but concerning fellowships a foreigner has to credibly assure that his/her "centre of living" is or will be in Germany. Every researcher can take his/her funding to another institute in Germany.

It is not usually possible to grant funding to foreign institute or university. However, there are some exceptions following the "Money Follows Researcher" and "Money Follows Co-Operation Line" schemes. In these schemes, granting funding to foreign institutes is possible when EPSRC, DFG, NWO, FWF, SNF are in charge. Moreover, in DFG Priority Programmes, every foreign researcher working abroad can be funded provided that he/she contributes substantially to the progress of the Priority Programme.

Application processing

Within the framework of the Individual Grants Programme proposals can be submitted, processed and evaluated continuously all over the year, whereas for new Co-Operative Funding Programmes there are special calls (details in the table below).

	Deadline for submission	Deadline for decision	Funding period in years	Possible number of funding cycles
Individual Grants Programme	continuously	continuously	2 (max. 3)	maximum 6 years (equals to 3 cycles)
Priority Programmes	December	variable	2	3
Collaborative Research Centres	no	May and November	4	3
Postgraduate Research Training Groups	no	March and October	4.5	2
Research Units	no	January and July	3	2

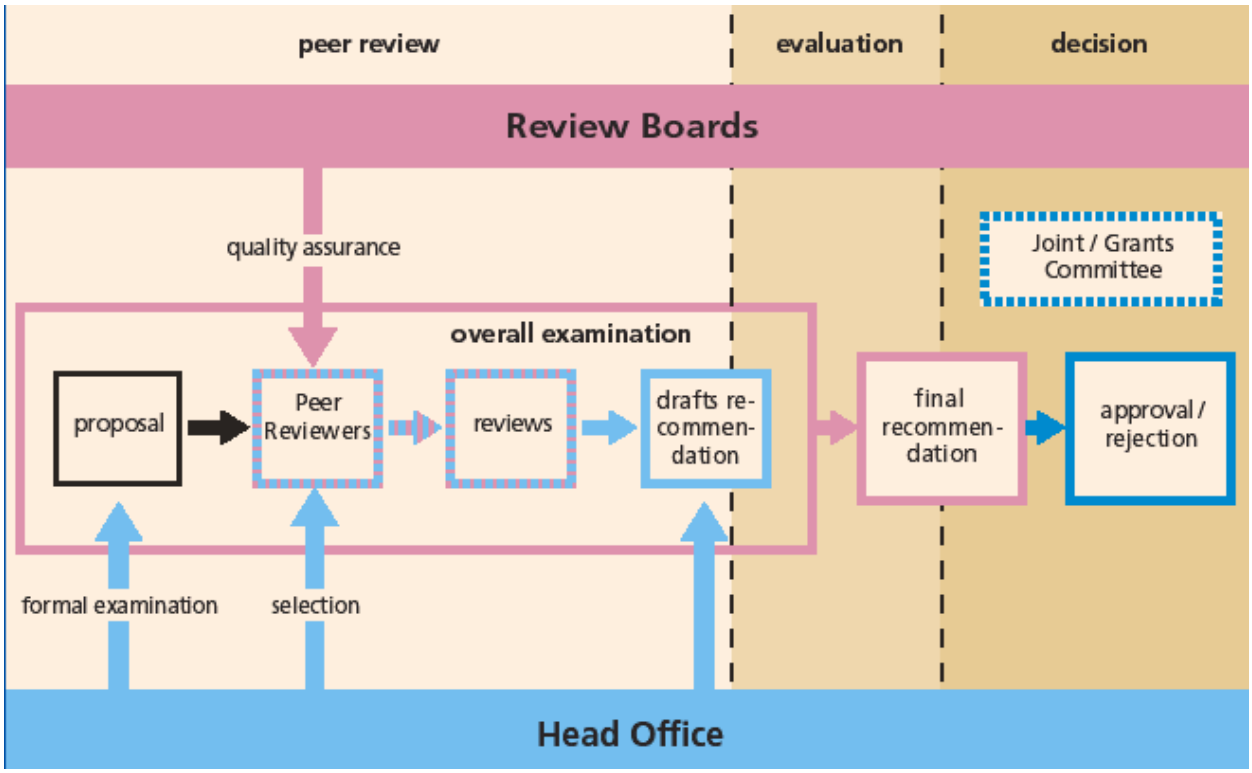
Within the Individual Grants Programme it takes about five months from application to decision.

No fixed application form exists. However, elaborated guidelines can be downloaded from the DFG web site (see appendix). Research plan (research aims incorporated), CV and a publication list containing the publications of the last 5 years should be included in the application. Furthermore, offers for any proposed equipment need to be included. In new proposal, copies of those recent publications or manuscripts which are important for assessing the application should be included. In case of renewal proposals a report of previous work is required (including publication manuscripts).

Applications are required in German or English. There is no electronic service for submitting proposals yet.

Peer review
Peer review and evaluation in Individual Grants Programme

Flow chart for Individual Grants Programme



A special characteristics of the Individual Grants Programme is the strict division between the reviewing and the decision making process. Between both processes, an evaluation process takes place. Evaluation is realised by the Review Boards that are very close to the scientific community.

Applications are usually evaluated by individual reviewers. Reviewers are selected by the programme managers. Criteria for reviewers are proximity to the proposed subject, experience as reviewer and applicant, present work load and exclusion of bias. The selection is indirectly verified ex-post by the Review Board. The applicant cannot propose reviewers. In the Individual Grants Programme the percentage of international reviewers is 5%.

Reviewers are given usually 3 weeks for the evaluation. The amount of applications is varying strongly and can reach more than 1 proposal per month. Reviewers are not paid for the evaluation. There is no specific evaluation form, but guidelines (in German and in English, see appendix). All reviewers participating in the process will be informed of the final decision.

Evaluation criteria are the following:
1. Quality of the project /qualification of the applicant: soundness of the preliminary work, quality of publications and for renewal proposals also the results obtained so far, originality, expected advancement of knowledge (also in relation to the costs), scientific significance (in its own field and/or across different fields), broader impact (science policy, social policy, economic or technical reasons)
2. Working environment / scientific environment: staff, institutional, room and instrument requirements and resources.

3. Objectives and work programme: clear working hypotheses, reasonable limitation of the topic, appropriateness of the methods, ability to complete the project within the proposed or overall expected time frame
4. Recommendation concerning the extent of funding: staff, instrumentation, small instruments (acquisition costs of no more than 10 000 euros), consumables, travel expenses and other costs, publication costs

The programme manager usually asks for two independent reviews. After having received both evaluations, he may decide whether a third evaluation might be necessary for a decision (e.g. interdisciplinary proposals or if some reviewers' statements are inadequate or inapplicable). If only little amount of money is required one evaluation may be sufficient.

On the basis of these reviews, the programme manager prepares an award recommendation. Each proposal including the reviews is sent to at least one of the Review Board members, the others receive summaries of each proposal including the evaluations. In special cases, e.g. interdisciplinary proposals, several Review Board members read the proposal. If the evaluations do have a distinct tendency (i.e. grant or rejection), the member(s) of the Review Board (two whom the proposal and reviews are sent) is asked for approval in written form, the other members do have the right to ask the programme manager for the complete documents and they do have the right for objection.

The proposals with objections from members will be included in the next Review Board session. Further, if the evaluations do not have a distinct tendency or if grant is suggested by all reviewers, but the recommended grant sums differ very much, the programme manager includes the proposal in the next Review Board session. After discussion of all the proposals in the Review Board, a ranking is made. Usually, the provided financial means are not sufficient to grant all proposals with positive evaluations. A ranking of proposals is made only for "discussion cases". All recommendations include budgetary statements.

If the evaluations are distinctly positive or negative and if no Review Board member has objected, the proposal is not discussed in the Review Board meeting. The programme manager writes a funding suggestion to the Grants Committee, containing a summary of the proposal, the reviewer's comments. If the proposal has been discussed in the Review Board session, the programme manager also delivers a suggestion on funding to the Grants Committee.

In the Review Board about 50 proposals are processed and there are 15-20 Review Board members. Review Board sessions take place about 5 times per year.

The philosophy of the Review Board system established at DFG can roughly be described by the following main tasks:

- Quality control of reviews. The Review Board members should be able to decide whether evaluations are justified or not. In case of doubt, they can ask the programme managers to ask for more evaluations. They can also give suggestions contrary to the suggestions of the reviewers.
- Homogeneous quality of all DFG funding instruments. The Review Board members participate in the review procedures of all DFG funding instruments. Aim is to get a general overview on all funding instruments.
- Strategy. The Review Board members are situated so to speak between the research community and the Grants Committee. They have a wide overview on the newest research trends worth funding and can therefore initiate new initiatives following the bottom-up principle.

Peer review in co-ordinated programmes

In co-ordinated programmes, applications are generally evaluated in review panels. The percentage of international reviewers is 15-20%.

At least one member of the Review Board participates in the review panel. At panel meetings one expert reviews about 10 proposals. Each proposal is sent to at least 2 panel members. 20-60 proposals are processed in the panel and there are 7-12 panel members.

In some cases, the panel members prepare preliminary written statements, in some cases they give solely oral statements. In any case, the final evaluation statements are written down by the responsible DFG programme manager. After approval of the report by the Review Board or by the chairman of the review panel all proposals are put forward to the Grants Committee in charge. The evaluation criteria are generally the same as in the Individual Grants Programme, but the specific goals of the co-ordinated programmes must be observed. All recommendations include budgetary statements.

Feedback and decision making

The applicants do not usually receive the full evaluations, but excerpts with all the important details. This information is only disposable to the applicants and the Review Board members. The names of the reviewers are not told to the applicants or any other persons in the Individual Grants Programme. However, when the applications are evaluated by a review panel, the applicant receives the names of the panel members.

In Individual Grants Programme the applicants are given a chance, when appropriate, to improve their proposal during the reviewing procedure, but normally not after the funding recommendation of the Review Board. In co-operative programmes applicants are not given the chance to improve their proposal.

One of the 3 Grants Committees decides on funding, in special cases the Joint Committee. The decisions are made based on the suggestions of the Review Board (Individual Grants Programme) or the review panel. There are no other criteria for decision making besides the scientific quality, timeliness and novelty. In addition, in the co-operative programmes relevance of the proposal to the aims of the programme is considered.

Individual Grants Programme, Priority Programme, Research Units: The programme managers send summaries of the proposals, reviewer's comments and suggestion of the Review Board to the Grants Committee members, i.e. every proposal to all Grants Committee members. Every Grants Committee member has the right to object within 3 weeks. If no objection is received, the suggestion of the Review Board is accepted. If any objection occurs, the proposal is discussed during the next session of the Grants Committee.

Collaborative Research Centres, Postgraduate Research Training Groups: The responsible grant committee discusses and ranks the proposals (twice a year).

Budgets are usually cut. The biggest entries usually are the personnel costs. In the fields of chemistry, the personnel costs for post docs, for advanced PhD students and for 'normal' PhD

students differ considerably. If a post doc position is proposed, the reviewers are usually very critical because the post doc positions are much more costly. Furthermore, consumables are usually proposed generously. Experienced applicants know that these entries are usually cut and therefore apply more than necessary. There are no negotiations with the applicant if the budgets are cut.

Only the average salaries are fixed. They follow the Bundesangestelltentarif (tariff for employees of governmental authorities). The actual salaries for individual co-workers depend on their age, family status etc. 45% of the applications are funded on average. 30 % of the applied sum is granted on average.

Follow-up of projects

Usually, grants in the frame of the Individual Grants Programme have a funding period of 2 or 3 years, and usually successful applicants apply for another 2 or 3 years. Before the end of the first funding period, an intermediate report must be included in the proposal for the extension of the project. This report should reflect the initial questions and the advances in knowledge since the last application also with regard to the results of other (including foreign) scientists who work in this field; it should briefly describe the own work since the last grant, highlighting the results and their importance. In case of doubt, grants can be blocked for the second half of the funding period. They can only be de-blocked by positive reviewers' statements to an interim report.

All projects are required both scientific and financial final reports. There are guidelines for preparing reports, but not currently available in English at the moment. Normally, at least one of the individual reviewers of the proposal is asked to judge the final report. In case of co-operative research programmes, the Senate evaluates the final reports. No DFG wide form for evaluating the scientific final reports exists yet. DFG uses some unofficial hand-made evaluation forms. The results of these evaluations are considered in the context of other proposals of the same applicant.

Some projects result in inventions that can be patented. The applicants do have the possibility to present their ideas to a wide public in the frame of the "Ideenwerkstatt" (ideas workshop), managed by DFG. This initiative is relatively new and yet no quantitative statement on its success is possible.

Success of the project does not automatically influence on the further funding of the applicant but reviewers of a new proposal get information on previous funding. This may in some exceptional cases influence their decision.

Legal and administrative considerations

Granting funding abroad. There is no national legislation or regulations concerning granting research funding abroad.

Every foreign researcher (at least post-doc) employed in a German university or publicly funded research institute (for restrictions see above) can submit a research proposal to all DFG's funding instruments. Foreign researchers who have established their centre of life in Germany may use a research fellowship for a longer research stay abroad. Foreign researchers may participate in all postdoctoral programmes for young researchers sponsored by the DFG provided that they subsequently intend to pursue their research careers in Germany. International Research Training

Groups provide opportunities for joint doctoral training programmes between German universities and universities abroad. The research and study programmes are jointly developed and supervised.

DFG has signed general agreements with the British EPSRC, the Dutch NWO, the Austrian FWF and the Swiss SNF to observe the "Money follows researcher" and the "Money follows co-operation Line" principles. "Money Follows Researcher" means that every researcher being funded by one of the above-mentioned research councils who in the course of the grant is appointed professor or has an equivalent position abroad can transfer his/her grant to his/her new university (precondition: EPSRC, DFG, NWO, FWF, SNF in charge, to be extended to other research councils) comprising personnel costs, equipment, consumables, travel costs (exception: big instruments). DFG's experiences with this scheme are quite encouraging; the "Money follows Researcher" scheme has proven to be not a one-way street". "Money Follows Co-Operation Line" means that the above-mentioned partner councils are prepared to finance researchers from abroad and working abroad within the framework of national research programmes or other activities provided that these researchers are highly ranked and contribute substantially to the national programmes.

In the case of DFG Priority Programmes the opportunity to get financing from DFG holds for any country. DFG has applied this rule successfully since many years.

Conflict of interest. There is no national legislation and regulations concerning the conflict of interest in Germany.

According to DFG rules the conflict of interest exists in following circumstances: kinship, personal relationships or conflicts, close scientific co-operation (common projects, common publications within the last three years), direct scientific rivalry/competition, current or recent member of the same institute/faculty or forthcoming change to this institute/faculty, teacher/learner relationship unless independent scientific activities since more than 10 years, official dependant relationship within the last 3 years, participation in current appointment negotiations, function in advisory boards of the university/institute concerned, participation in mutual DFG or other reviewing processes within the last 12 months, own commercial interest in the decision on the proposal, competition relationship or common economical interests

Every reviewer/decision maker/administrator is obliged to reveal whether he/she is biased. The DFG office examines in every step of the reviewing procedure whether there is a semblance of bias. In the above mentioned cases the reviewer/decision maker/administrator must not participate in the process.

Publicity. There is no national legislation or regulations concerning the publicity of research plans, proposals, evaluations, application processing etc. in Germany.

The following guidelines are stated in the instructions that are sent to reviewers: "Proposals, the reviews and the identity of the reviewers and Review Boards' members must be treated confidentially. They must not be revealed to third parties. The responsibilities of a reviewer may only be undertaken personally and may not be delegated to third parties. The scientific content of the proposal may not be exploited for personal or other scientific purposes. Furthermore, the reviewer should not identify him/herself as a reviewer to the applicant or to any third party."

The data necessary for the processing of a proposal will be stored and processed electronically by the DFG. If a grant is awarded, the professional address of the applicant as well as information on

the content of the research project will be published in the DFG's project database GEPRIS (http://www.dfg.de/gepris) and - in excerpts - in the electronic annual report (http://www.dfg.de/jahresbericht). If an applicant does not wish this information to be published, he has to notify this in writing no later than four weeks after receipt of the award letter.

Intellectual property rights. Excerpt of "Deutsches Gesetz über Arbeitnehmererfindungen" (German law about inventions made by employees):
"§ 42 – Special rules to be applied for inventions at universities

1. The inventor has the right to reveal his invention (made during his education and research activities), if he informed his employer in time, i.e. two months in advance.
2. If an inventor refuses (due to his freedom in education and research) to reveal his invention, he does not need to notify his employer. If the inventor intents to reveal his invention later, he has to inform his employer immediately.
3. If the employer of an inventor has claimed the invention, the inventor has the "non-exclusive" right to use his invention in the frame of his education and research activities.
4. If the employer exploits the invention, the inventor participates by 30 % of any gains resulting from the exploitation."

Grant holders may request financing for 90% of the actual costs arising within the context of filing, receiving or upholding a patent or registered trademark if this cannot be achieved through redeployment of funds in their current grant. The invention must be an immediate result of the project supported through the DFG Research Grant; 10% of the cost must be borne by the grant holder.

Research ethics. Up to now, there is no national legislation concerning research ethics. The German Ethics Council is considering to prepare an ethics law.

All researchers working in Germany have to observe the regulations of the German Embryo Protection Law (*Embryonenschutzgesetz*), of the Stem Cell Act (*Stammzellgesetz*), the laws concerning pharmaceutical (§§ 40-42 *Arzneimittelgesetz*), and medical products (§§ 17-19 *Medizinproduktegesetz*), the regulations of the Animal Protection Law (*Tierschutzgesetz*) and of the *Gesetz zur Regelung von Fragen der Gentechnik.*

Experiments with humans, including samples taken from humans and research using patient data, must comply with the recommendations of the World Medical Association. For all projects including human subjects a statement of the local ethics commission must be included. Some animal experiments have to be approved by local authorities.

Good scientific practice. There is no national legislation concerning good scientific practises. The DFG's guidelines on safeguarding good scientific practice provide an internationally recognised frame of reference. Recipients of DFG funds and elected DFG reviewers must observe these guidelines (available on the DFG website). Universities and other research institutes wishing to apply for DFG funding must establish rules to safeguard good scientific practice at their institutions in accordance with these guidelines.

In case of scientific misconduct, the DFG may impose sanctions. Scientific misconduct is defined as the intentional and grossly negligent statement of false facts in a scientifically relevant context, the violation of intellectual property or the impeding of other persons' research activities. Research institutions who have not implemented the rules of good scientific practice or who do not abide by

them will not be able to apply for funds from the DFG or use allocated funds. Persons may be excluded from serving as a reviewer or in statutory bodies of the DFG as well as the disqualification of the active and passive right to vote for statutory bodies of the DFG.

Gender equality and equality of minorities. German "Basic Constitutional Law" states the following: "All persons shall be equal before the law. Men and women shall have equal rights. The state shall promote the actual implementation of equal rights for women and men and take steps to eliminate disadvantages that now exist. No person shall be favoured or disfavoured because of sex, parentage, race, language, homeland and origin, faith, or religious or political opinions. No person shall be disfavoured because of disability."

In DFG, as a basic principle, applications of women, minorities or disabled persons are not unequally rated. The DFG promotes equality between men and women in the scientific and academic communities. The DFG takes into consideration the disadvantages of single mothers and fathers as well as times of military or social services and meets the demands of double-career couples.

General. There is no national regulation with respect to DFG's possibilities to participate in transnational research programmes. Senate and Joint Committee have been warmly encouraging transnational activities of the CERC3 Call for Proposals type.

Obstacles and best practises for transnational research programmes

Experiences. Up to now, the DFG has made no experiences with a common pot neither in chemistry, nor in any other field of science with the exception of EURYI awards. DFG has had joint research programmes and evaluation with Chinese NSFC, in the framework of CERC3, CdRE, ESF Eurocores and EURYI.

Obstacles. The main obstacle for transnational programmes is the fact that up to now most national research councils in Europe are not really prepared and able to process, evaluate and finance joint transnational proposals professionally. All the councils are suffering from incompatible research councils' politics, funding principles, guidelines, deadlines. Moreover, the processing of transnational proposals is more complicated and time-consuming than that of national projects.

As every national research council in Europe, the DFG has to observe national laws and ordinances as well as its own regulations and guidelines compulsory for every proposal. Although DFG is prepared to accept a lot of compromises with respect to joint transnational reviewing and funding procedures and rules and although DFG can override some regulations (especially in case of pilot projects), all of them cannot be suspended. Some changes will only be possible with explicit agreement of DFG boards. Interdisciplinary projects may require agreements with other DFG divisions, projects in co-operation with industrial partners may require agreements with the Federal Ministry of Education and Research.

In times of low research budgets it will be a general problem to convince the grant committees and financiers that transnational research should get a matchable chance to be supported. The establishment of a common ERA-Chemistry pot would be a great, but very ambitious goal, a jointly controlled pot would be more easily accessible.

Best practices. The CERC3 transnational initiatives revealed several gaps and weaknesses in the interaction between the research councils involved, between the applicants and between applicants and research councils and a lot of incompatibilities, discrepancies and misunderstandings, mainly because of substantial deficits in the mutual knowledge of different national funding systems and guidelines. All provisional forms and processes developed so far in the four CERC3 transnational initiatives and the bilateral CNRS/DFG initiative need to be improved considerably, but could be used as a starting point for ERA-chemistry.

ERA-Chemistry should start with a very small number of joint transnational proposals. Handpicked excellent researchers (preferably young) should be invited to ERA-Chemistry workshops and should be encouraged to formulate promising joint transnational proposals with anticipated high transnational added value. As many consortium partners as possible should be convinced to put some money aside in order to finance these proposals.

Open joint calls for individual proposals and for transnational networks will only make sense after having made our ERA-Chemistry homework; collecting and benchmarking existing rules and developing better ones accepted by as many partner councils as possible.

OTHER MAJOR FUNDING BODIES IN GERMANY

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The Helmholtz Association is a community of 15 scientific-technical and biological-medical research centres. These centres have been commissioned with pursuing long-term research goals on behalf of the state and society. The Association strives to gain insights and knowledge so that it can help to preserve and improve the foundations of human life. It does this by identifying and working on the grand challenges faced by society, science and industry. Helmholtz Centres perform top-class research in strategic programmes in six core fields: Energy, Earth and Environment, Health, Key Technologies, Structure of Matter, Transport and Space. Within the six research fields, Helmholtz scientists cooperate with each other and with external partners - working across disciplinary, organisational and national borders. Most important within the field of chemistry are the Helmholtz Centres in Jülich and Karlsruhe. Due to the large number of inter disciplinary projects the share for chemistry e.g. in atmospheric research, materials research, cancer therapy etc. can not easily be defined.

Main characteristics of funding policy and procedures

Both basic and applied research is funded by Helmholtz Association. All research projects are defined by scientists (bottom-up) but they have to fit into the main goals of the Association as defined by the leading scientists (who are in certain sense the top of decision making) based on some very general research policy requirements given by the funding partners/Ministries. Most of the money goes to the scientists through programmes, large complexes of coordinated projects, app. 25% directly to the labs for general costs and infrastructure.

Projects are written in English and submitted by a specific deadline (no electronic submission). Project evaluation is done by peer review, using international referees. The referees or panel members are not anonymous. Processing time for the programmes, which lead to a decision for funding for 5 years, is 6 to 9 months. All costs directly related to R&D can be funded. The funding process covers the entire financing of R&D of the large research centres, programmes are not only cut or given additional funds, but also changed in terms of priority of individual parts etc. The outcome is assessed by yearly reports on Milestones and important developments, submitted to a scientific committee.

Helmholtz Association has a lot of projects with international and European partners, e.g. funded by the EU in the 6th RFP, by NASA etc. Also, Helmholtz funds a few activities abroad.

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The Max Planck Society for the Advancement of Science is an independent, non-profit research organization. It is not a government institution although it is funded to a large extent by the federal and state governments. Members of the Max Planck Society include the approximately 900 Supporting Members, the Honorary Members, and the Ex-officio Members. Other members include the appointed scientific members to the Society, who are usually institute directors. As in 2002, the Max Planck Society's annual budget for 2003 was estimated at 1.24 billion euros. The financial plan for 2004 foresaw 1.3 billion euros. Some 81 percent of MPS financing is earmarked for the basic budget (1,052 million euros). These funds are provided by the federal and state governments, each of which contributes 50 percent. In addition, project funding from the German states, the federal government and the European Union supplies another 173 million euros (14 percent of the total budget), and remuneration for services rendered, membership fees and donations account for a further 71 million euros (about 5 percent).

The yearly average funding budget for chemistry is not available. The following Max Planck Institutes (MPI) are of much importance in the field of chemistry:
The MPI for Coal Research and for Bioinorganic Chemistry (former MPI for Radiation Chemistry) in Mülheim, MPI for Polymer Research in Mainz, MPI for Solid State Research in Stuttgart, MPI for Biophysical Chemistry in Göttingen, MPI for Chemical Physics of Solids in Dresden, MPI of Colloids and Interfaces in Golm and the Fritz-Haber Institute in Berlin.

The primary goal of the Max Planck Society is to promote research at its own institutes. The research institutes of the Max Planck Society perform basic research in the interest of the general public in the natural sciences, life sciences, social sciences, and the humanities. In particular, the Max Planck Society takes up new and innovative research areas that German universities are not in a position to accommodate or deal with adequately. These interdisciplinary research areas often do not fit into the university organization, or they require more funds for personnel and equipment than those available at universities. The variety of topics in the natural sciences and the humanities at Max Planck Institutes complement the work done at universities and other research facilities in important research fields. In certain areas, the institutes occupy key positions, while other institutes complement ongoing research. Moreover, some institutes perform service functions for research performed at universities by providing equipment and facilities to a wide range of scientists, such as telescopes, large-scale equipment, specialized libraries, and documentary resources.

The Max Planck Society currently operates 80 institutes (7 in the research field chemistry) and research facilities in Germany. In addition, there are three institutes and several branches abroad. Max Planck Institutes are linked to numerous partner universities through joint appointments and cooperation agreements, involvement in special research areas, focus programs and graduate schools, and they maintain several thousand cooperation projects with partners outside of Germany. With its 80 institutes and more than 11,000 employees and 7,500 junior scientists and guest scientists, the Max Planck Society is one of Europe's leading basic research organizations. In its research laboratories, workshops, libraries, and administration, scientists and researchers perform demanding tasks with a high degree of autonomy and creativity.

The results of the research work from Max Planck Institutes are published each year in more than 12,000 scientific articles, books, conference reports and other publications. Before being published, all of the research results are evaluated in peer reviews.

Main characteristics of funding policy and procedures

The Max Planck Society funds basic research by funding institutes and laboratories. The involvement of an industrial partner is not mandatory. The drive for projects is predominantly bottom-up and applications are written in either German or English with the possibility of electronic submission. There is no deadline for submission of proposals and the average processing time between submission and decision of a proposal is 6 – 8 weeks, depending on the projects. There are no limits concerning the eligible costs which can be applied for.

Project evaluation is done by peer review involving anonymous international referees and panel members. The decision for founding a new institute takes up to 2 years. The project outcome is assessed via evaluation by the (non-anonymous) Scientific Advisory Boards.

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The Fraunhofer-Gesellschaft undertakes applied research of direct utility to private and public enterprise and of wide benefit to society. Its services are solicited by customers and contractual partners in industry, the service sector and public administration. The Fraunhofer-Gesellschaft maintains roughly 80 research units, including 57 Fraunhofer Institutes, at over scientists and engineers, works with an annual research budget of over one billion euros. Of this sum, more than 900 million euros is generated through contract research. Roughly two thirds of the Fraunhofer-Gesellschaft's contract research revenue is derived from contracts with industry and from publicly financed research projects. The remaining one third is contributed by the German federal and Länder governments, partly as a means of enabling the institutes to pursue more fundamental research in areas that are likely to become relevant to industry and society in five or ten years' time.

The Fraunhofer-Gesellschaft is also active on an international level: Affiliated research centers and representative offices in Europe, the USA and Asia provide contact with the regions of greatest importance to present and future scientific progress and economic development.

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The Wissenschaftsgemeinschaft Gottfried Wilhelm Leibniz e.V. is a research organisation made up of 80 non-university research institutes and service facilities. The research work carried out and

services provided are of national significance. For this reason the institutes' work is funded by both the Federal Government and the federal states (German "Länder"). The tasks undertaken by Leibnitz Gemeinschaft range from regional infrastructure research and economics through research projects in the area of social sciences to natural sciences, engineering and environmental research. The Leibniz Institutes are demand-oriented and interdisciplinary centers of competence. They regard themselves as co-operation partners for industry, public administration and politics; scientific collaboration with universities is particularly close and intensive. In 2002 the Leibniz Association introduced in co-operation with the DAAD (German Academic Exchange Service) the DAAD-Leibniz-Scholarship programme. This scholarship scheme provides funding opportunities for excellent postgraduates who wish to conduct research at a Leibniz Institute in Germany.

Most relevant in the field of chemistry are the institute of Polymer Research in Dresden, the Institute for Analytical Sciences in Dortmund and Berlin, the Institute of New Materials in Saarbrücken, the Research Centre Rossendorf, the Chemistry Information Centre in Berlin (FIZ) and the Berlin Electron Storage Ring Company for Synchrotron Radiation (BESSY).

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Arbeitsgemeinschaft industrieller Forschungsvereinigungen "Otto von Guericke" e.V. (AIF).
AIF mainly funds pre-competitive application-oriented research. The involvement of industrial partners is assured through participation of small and medium enterprises in the project specific committees. A quota of 25 % involvement of enterprises in projects is appreciated. The drive for projects is bottom-up, proposals are written in German language.

In 2003 10.8 million euros out of the 90 Mio were allocated for the scientific discipline 'chemical industry".

Main characteristics of funding policy and procedures

In 2003 10.8 million euros of the total 90 million euros of the Industrial Community Research and Development (IGF) budget were dedicated to the Economy Branch 24 " Chemical Industry".
Usually the IGF funds mainly applied Research in pre-market stages – so, no pure production research. The involvement of Enterprises in the projects is assured trough project panels that host 50% SME Representatives. In addition to that the involvement of companies is ensured trough co-financing to a non defined degree with a 25 % target.

The IGF funding approach is Bottom up wile the sponsored research organization has to be non-profit oriented usually being Branch research Institutions or Universities?
The share of coordinated Projects is 40 to 45%. In one funding scheme, a cooperation of at least two research organisations is a pre-condition. The proposals are written and submitted in German wile the Evaluation is organized in three stages:
The first stage is the evaluation of the proposal through 3 experts.

The second stage is an intermediate evaluation trough random inspection wile the evaluation of the finished Project trough one of the experts evaluating the proposal is representing the third stage. The six referee groups consist of 150 reviewers that are national experts, 50% being scientists and the other half originating in business.

The referees of the referee groups are known by name wile the referees of a concrete project are anonymous. Usually the IGF has no deadlines for the submission of proposals except for one scheme that is organised in half year cut offs. Electronic submission of proposals is partially implemented trough submission of data carriers.

The processing of proposals is organised in two phases, on the one hand the appraisal phase lasting from 2- 9 months and an approval phase lasting 3 months on the other hand.

In general the IGF considers costs for salaries, consumables, equipment and other costs as eligible wile thirty percent of project proposals are not approved. For each project Dissemination is a compulsory. The IGF´s experience with transnational research funding is limited to one special scheme. In general the IGF is interest in participating in transnational research funding programmes.

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Most of the chemistry related funding of the Federal Ministry of Education and Research is allocated to the Framework Programme 'Materials Innovations for industry and society' which is administered by Forschungszentrum Jülich GmbH.

The yearly average funding budget for chemistry is about 18 – 20 million euros. About 80 – 90 % application-oriented research and 10 – 20% basic research is funded.

Main characteristics of funding policy and procedures

The involvement of an industrial partner is mandatory as a rule and the drive for projects is bottom-up as well as top-down. About 10 % individual research grants (e.g. for young scientists) and 90% coordinated projects are funded. The language in which the proposals are written in is German at specific deadlines, no deadlines are used for bottom-up projects. There is an electronic submission of proposals and the average processing time between submission and decision of a proposal takes an average of 6 – 12 months.. Eligible costs are salaries, consumables, equipment, journey costs, write-off costs, the success rate of proposals submitted is about 20 – 40% per call. Project outcome is accessed by means of programme evaluation after 3 – 4 years done by peer review using international referees in part.

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The Volkswagenstiftung is an autonomous non-profit organization incorporated under private law; its offices are located in Hanover. At present the Foundation provides funds amounting to around 100 million euros per year, out of which about 4 – 5 million euros are spent on chemistry related research on average. It is the largest private research-funding foundation in Germany, funding mainly basic research. The Volkswagen Foundation provides financial support to academic institutions in Germany, as well as other countries, and funding is available for projects in all disciplines. Another important part of its mission is to provide support for aspiring young academics, promote international exchange and to enhance the structural conditions for research and higher education. To date, the Volkswagen Foundation has allocated a total of three billion euros to projects in Germany and all over the world

Main characteristics of funding policy and procedures

The Volkswagen Foundation has applied the strategy of focusing its efforts on selected funding initiatives. In special circumstances the Foundation is also prepared to support extraordinary projects which fall outside the scope of its defined funding activities. Overriding features of the Foundation's funding profile are the preference given to interdisciplinary approaches, support for young scholars, boosts for international cooperation, close interrelation between research, education and training as well as enhancement of the communication among researchers and between academia and the public. The Foundation's funding profile is reflected in the way its program is structured. There are five categories of funding initiatives according to area of investigation, target group or funding instrument: Thematic Impetus, Societal Challenges, International Focus, Support of Persons and New Structures, Off the Beaten Track – Extraordinary Projects. The drive for projects is either bottom-up or top-down.

The Volkswagen Foundation accepts only applications submitted in English and within the scope of its current funding initiatives. Apart from a few exceptions written applications may be submitted at any time but there are also deadlines depending on the funding initiative. An electronic submission of proposals is not yet available and the average processing time between submission and decision of a proposal is about 6 months.

The Volkswagen Foundation is committed to the principle of peer review. Reviews are obtained from external experts prior to any firm decision being made. The Foundation does not retain referees on a regular basis, but, depending on the circumstances, may seek such expert opinions from any source and any discipline, also from abroad. For some funding initiatives the Foundation is advised by a review panel. Before coming to any decision concerning individual applications it seeks the opinions of external anonymous experts. In 2003, for instance, more than 900 experts working individually or in groups, including almost 300 from abroad, assisted the Foundation. The Foundation is only permitted to provide funds to academic institutions – not to individual persons. The Foundation must ensure that all funding is used for the purpose for which it was allocated. In principle, funding can be provided for any type of expenditure. The Foundation may fund research

projects' expenditure on personnel and travel and the purchase of equipment, books or materials. In certain cases the Foundation provides specific start-up grants, e. g. for research units or institutes.

The success rate of proposals submitted to Volkswagen Foundation is between 20 and 60% depending on the funding initiative. The project outcome is assessed in various ways, by reports, publications, other funding and reviewing.

Volkswagen Foundation practices transnational research funding since its existence. Some of the Foundation's funding initiatives are directed especially at promoting international cooperation and target support for institutions and projects abroad. In this arena, too, specific funding instruments are being constantly developed to take account of the specific situations in the different countries involved in order to achieve the desired cooperation with German researchers and institutions.