

Information sheet about "administration of DFG third-party funded projects for project leaders and offices" (Version August 2019)

General information on individual DFG research grants (Research Grants (SB), Research Groups (FOR), Priority Programme (SPP), Early Career Groups (NWG))

1. Approval notification

When a **project is set up as a WBS element**, you always receive a copy of the approval notification; next to the estimate of the DFG approval you see the financial items relating to the WBS element which were budgeted by Section 7.2 at the start of the project.

Expenditures that were applied for, but were explicitly rejected by the DFG, must not be financed through this project.

The project manager at **Section 7.2** needs to receive **a copy of the cost and financing plan** from the grant application when a project setup is required.

2. Acknowledgement of guidelines of use

At the start of your project, you also receive a form for the **first request for funds**. With your **signature**, you acknowledge the guidelines of use and confirm to use funds accordingly. Please note that items not regarded as basic equipment of a modern university are nonrefundable. Where the expense is essential for your project, please make a note accordingly on your invoice.

3. Request for payment of funds

On the form for **first request of payment of funds**, you need to enter the **date** of the actual start of the project. The **project period** begins with the first use of funds. Please refer to the approval notification for indication of the project period. Funds must be used within a maximum of one year after approval (the only exception being the Emmy Noether Group for which a timeframe of 6 months applies). The DFG reserves the right to cancel its approval of funds in cases where the deadline is not adhered to.

Please submit the form for first request for payment containing all aforementioned details to your project manager at Section 7.2. The figures will be added by the Section. All **subsequent requests for payment of funds** will be carried out by **Section 7.2** on your behalf.

4. Validity period of approved funds

The validity period of approved funds starts with day one of the period funds were initially requested for, which means on the calendar day fol-

lowing the day of approval at the earliest and within twelve months starting the calendar day following the day of approval at the latest.

The start of the validity period is not to be avoided by reposting. An example for reposting would be the following: Personnel are being employed in the month of January with the respective personnel expenses booked under a different account, despite the actual project starting only in February. By reposting January personnel expenses during the course of February, such avoidance would go unnoticed at first. Nevertheless, funds used prior to the start of the approval period cannot be offset. It is the project manager's responsibility that this is handled correctly. The same applies to material expenses, with one exception being DFG-approved advance use of funds.

5. **Reallocation in line with flexible funding**

An approval only qualifies as flexible funding if clearly indicated as such in the approval notification. In these instances, you can use the approved amount as long as it contributes to meeting the original aim of the project. You are not to work around an explicit rejection of a specific project, the aim of the project is not to be put at risk and the aim of the project must not be altered.

Personnel and material expenses can be mutually adapted in line with flexible funding, without querying with the DFG (reallocation). This is also possible where the original approval does not specify amounts for personnel and material.

Approved resources for temporary positions are exempted from this rule and require separate agreement with the DFG.

Each reallocation needs to be explained in the accounting documents **in written form**. This can be done via a short email to your project manager at Section 7.2 stating the reasons.

6. **Procurement**

For procurement above €1,000 net, it is **imperative** to involve Central Acquisitions - Section 5.3.

7. **Procurement above €10,000**

Procurement above €10,000 must be arranged via the DFG invariably. Exceptions from this rule require written approval. Where the DFG authorized universities to place orders themselves, please contact Central Acquisitions - Section 5.3 with a copy of the written proof.

8. Contracts for work and labor

Conclusion of a contract for work and labor requires prior written approval by the DFG. Section 5.3 is in charge of such conclusions and the Section's involvement is **imperative**, independent of the contract value. When contacting Section 5.3 about conclusions of such contracts, please include the written DFG approval.

9. Project period extension

As detailed under point 3, the project period starts with the first use of funds. Use of the funds beyond the project period is not possible. Where an extension of the project period is necessary, please engage with the DFG early on. (Please also submit a copy of the extension request and approval notification to the relevant project manager at Section 7.2).

10. Report on expenditure of funds

Income and expenditures for the **first** and **second** year funds are used must be laid down in a report on expenditure of funds by **April 15** (of the third calendar year). **Thereafter**, a final report is required **every year** or at the end of each project. The **report on expenditures of funds** is produced by **Section 7.2** and will be sent to you for signing.

11. Program allowance

Please refer to Circular No 24/2014 dating June 24, 2014 for information on a Program Allowance (PA).

In case of questions on PA, please refer to your project manager at Section 7.2.

For questions on your PA account, for example queries on specific bookings or on remaining PA, Mr. Horn of Section 5.2 will be pleased to assist. His internal phone number is -5636.

12. Project transfer to a different institute of higher education

Requests for a transfer of funds must be initiated by you via the DFG. The DFG must receive the report on expenditure of funds from the current university before project funds can be transferred to and continued to be used at the new university. The new university is only entitled to use any remaining funds.

13. Pay-scale related additional requirements

(Extract from Chapter 4.2.1 of DFG Guidelines of Use 2.00 (Verwendungsrichtlinien 2.00) *"The DFG approves personnel expenses generally as standardized fixed amounts. [...] Financing of pay scale-related payments is possible up to the approved amount [...]."*

*"If overall **approved personnel expenses** of a project for the specified period of employment are **lower** than the funds for pay-scale related payments necessary for the completion of the project (pay-scale related additional requirements for personnel required for the project), **additional funds may be made avail-***

able upon request, if the respective personnel falls in the category of approved personnel."

If therefore a **budget deficit** arises for the **researchers item, additional funds** can be requested from the DFG ("pay-scale-related additional requirements"). If, on the contrary, **surplus** is created, the remaining funds **from the approved allowance** may be used to cover **additional personnel or material expenses**.

Important: Applying for pay-scale related additional requirements is not possible where funds are dedicated to other means than pay-scale related personnel expenses, such as material expenses, costs for assistant personnel or for personnel excluded from the approved personnel categories. In case of questions on pay-scale-related additional requirements or calculations for specific cases, please contact the respective project manager at Section 7.2.

14. Cover and extension during maternity and parental leave

(Extract from Chapter 4.7, DFG guidelines of use 2.00) *"If scientific personnel with employment based on § 2(1) of the legislation on temporary employment in Research (WissZeitVG) takes maternity leave in line with the German Maternity Protection Act or Parenting Benefits and Parental Leave Act (Bundeselterngeld- und Elternzeitgesetzes, BEEG), the project leader may request funds for additional personnel at the respective facility for the period of maternity leave in order to ensure continuation of scientific work.*

The duration of the respective employment is extended in agreement with the employee for the period no work was carried out (cf. § 2(5)(c) WissZeitVG). Such extension of employment solely depends on the agreement of the employee. If the employee waives the right of employment extension, any remaining project personnel funds are available for reallocation."

Deferral of a contract due to taking maternity and/or parental leave often extends beyond project end. In such cases, it is possible to **extend the project period by the respective duration of leave taken and by the duration employment is extended, while not affecting funds**. This extension can be requested for one year maximum.

The costs for a cover do not affect estimates for personnel expenses as they are, following prior application, approved **separately** by the DFG.

15. Publications

Publications must contain reference to DFG funding.

Referencing must adhere to the following conventions: DFG and the project must be named as "Gefördert durch die Deutsche Forschungsgemeinschaft (DFG) - Projektnummer(n)". A translation of DFG to the target language may be added in foreign-language publications (for example "funded by the Deutsche Forschungsgemeinschaft (DFG, German Research Foundation) – project number(s)"). Please refer to the approval notification for the project number.

Project specifics

16. Research training group

Please note that funds are **allocated per fiscal year** and are **partially earmarked**.

Earmarked funds, for example equal opportunities funds, cannot be reallocated.

Funds allocated to a fiscal year **expire** if they are not used before the end of the fiscal year.

17. Bilateral cooperation

You must request release of funds via Section 7.2 from the DFG (please refer to the form). Upon your instruction, payment is done in monthly installments. In cases where the duration of a fellowship is shortened, the approved amount is reduced accordingly. Please send the report on expenditure of funds to Section 7.2 once the project is completed, bearing in mind that the guest's signature on the report is imperative.

18. Temporary positions

The funds "temporary positions" are aimed at, among other things, **financing of the project leader. This is not possible in other funding programs**. Please contact **Section 3.2 – Civil Servants, Scientific Staff** and **Section 3.3 – Scientific Staff** for your employment/contract extension and HR-related matters of your staff.

Important: The approval or extension of your project does not represent (a new) employment contract! Latter must be agreed with and signed by Section 3.2/Section 3.3 separately.

19. Scientific events

For all participation fees from your event which you acquire in addition to the DFG funding, please contact Ms. Trommer (-7758, trommer@verwaltung.uni-bonn.de) at Section 5.2 in order to set up a conference account. Upon completion of the project, a report on expenditure of funds needs to be submitted, listing DFG means and all other income and expenditure of the event. If total income exceeds total expenditures, you need to reimburse remaining funds to the DFG. Section 7.2 can only sign off the report of expenditures of funds for parts assigned to the DFG project number; therefore we kindly ask you to please fill in the rest.

20. Research prizes

Funds can be requested for a period of 3 months, either informally or via the form for requests of payment of third-party funds. DFG guidelines of use apply for the use of funds and settlements. The compilation of the report on expenditures of funds is responsibility of Section 7.2.

21. Repayment obligations

Please check, as necessary, together with your dedicated project manager, for any existing repayment obligations towards the DFG for items financed via project funds; this applies especially to vehicles and items purchased and used abroad. Where repayment obligations do exist, items no longer used for the project may need to be sold and proceeds paid back to the DFG. Settlement of proceeds against project funds is not possible in these cases.

22. Specifics for projects of the ExIn, CRC and GS

For questions on aforementioned DFG funding, please contact the following:

- **Excellence Initiative (ExIn):** Jan Seul (-7998, seulj@verwaltung.uni-bonn.de)
- **Collaborative Research Centers (CRCs) / Graduate School (GSs):**
Vyacheslav Petrov (-7489, Petrov@verwaltung.uni-bonn.de)
- **Transregios (TRR's) :** Silvia Palkó (-60056, Palko@verwaltung.uni-bonn.de)

Version: August 2019