

# Guidelines for the use of funds

Project funds – material grants  
incl. guidelines for final reports

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Index	Page
<b>Guidelines for the use of funds</b>	
1. General.....	3
1.1 Project funds.....	3
2. Personnel.....	3
2.1 Personnel selection, employment contracts.....	3
2.2.1 Scientific personnel.....	3
2.2.2 Student and scientific assistants.....	4
2.2.3 Non-scientific personnel.....	4
2.3 Fringe costs.....	4
2.4 Contracts for work and services.....	4
3. Scientific instrumentation.....	4
3.1 Maintenance and repair of loaned instrumentation.....	5
4. Consumables and research materials.....	5
4.1 Publications.....	5
5. Travel.....	5
6. Non-claimable expenses.....	5
7. Reallocation of approved funding.....	6
7.1 Merging/separation of granted personnel funds.....	6
7.2 Mutual coverage.....	6
7.3 Redisposition requiring approval.....	6
8. Administration of the research grant.....	6
8.1 Correspondence.....	6
8.2 Accounting, receipts and documents.....	7
8.3 Requests for payment of funds.....	7
8.4 Special offers and discounts.....	7
9. Accounting and auditing.....	7
9.1 Accounting.....	7
9.2 Auditing.....	7
10. Cancellation, reimbursement, interest.....	8
11. Liability.....	8
12. Observation of the rules of good scientific practice.....	8
13. Publication of research results.....	9

# HEAD-Genuit-Stiftung

14. Economic exploitation .....	9
15. Cooperation with commercial enterprises.....	9
16. Reporting obligations.....	10
17. Guidelines for final reports.....	10
17.1 Work and results report (max. 10 DIN A4-pages) .....	10
17.2 Summary (max. 1 DIN A4-page): .....	10
17.3 Publication of data from final reports.....	10
18. Rules of good scientific conduct .....	11

## Guidelines for the use of funds

### 1. General

These guidelines are an integral part of the grant approval. They apply to all grants unless expressly stated otherwise in the approval, and correspond on a large scale to the usage guidelines of the DFG ("Deutsche Forschungsgemeinschaft", German Research Foundation). The responsibility for the scientific project management lies with the project leader named in the approval. The project management bears sole responsibility for the scientific implementation of the project and decides on the use of the funds in accordance with these guidelines.

#### 1.1 Project funds

The approved project funds are only available for the purpose stated in the grant approval. The expenditure that is incurred is the result of the approval in connection with the specified cost and financing plan for the grant application. By way of deviation, other material expenses may also be used at the expense of the grant, without prior consultation with the HEAD-Genuit-Stiftung, to offset unforeseen, project-specific requirements, insofar as such expenditure has not been explicitly rejected in the grant approval or does not fall into the category of non-claimable expenses (see fig.6).

### 2. Personnel

The HEAD-Genuit-Stiftung provides all resources necessary to pay the personnel up to the period of employment as specified in the award letter and at standard local rates, including incidental personnel costs stipulated by law. On request, advance payments will be transferred. Amounts paid in excess are to be reimbursed to the HEAD-Genuit-Stiftung.

#### 2.1 Personnel selection, employment contracts

The project management decides upon the selection of the personnel.

##### 2.2.1 Scientific personnel

The level of remuneration for the scientific staff will depend on the requirements of the individual project and on the qualifications of the staff with regard to these requirements.

If a particular scientific qualification (doctorate), experience and self-employment are required for the achievement of the project objective, remuneration is generally paid according to the standard local rates of the host nation in comparable cases. If the formal doctorate is still missing, the submissions of the final dissertation and a statement from the responsible supervisor are sufficient to ensure that the employee is now able to provide the full workforce to the project.

In many of the HEAD-Genuit-Stiftung-funded projects, there is the possibility at one's own scientific qualification (preparation for the doctorate). Non-promoted scientific staff who takes advantage of this opportunity receives a remuneration corresponding to the agreed working time, usually according to the standard local rate or according to the special university regulation for academic assistants with final examination.

Foreign guest scientists can be employed according to the regulations applicable at the host university.

## 2.2.2 Student and scientific assistants

For student assistants (without state or academic final examination or Bachelors) the remuneration rules of the respective university apply. The weekly working hours may not exceed half the regular working hours of a full-time employee.

The employment of student assistants for the preparation of work on the university degree is not permissible.

Bachelors may only be employed as scientific assistants if they are granted the right to pursue their doctorate.

## 2.2.3 Non-scientific personnel

Non-scientific personnel (e.g. employees in technical or medical-technical professions, medical assistants, etc.) must be remunerated according to the relevant in-house tariff or standard local rates.

## 2.3 Fringe costs

Expenses for a job advertisement can only be settled in justified exceptional cases at the expense of the granted funds if the measures for recruiting staff have been unsuccessful and the HEAD-Genuit-Stiftung has previously agreed in writing to the costs.

## 2.4 Contracts for work and services

In the exceptional case that the personnel department of the university decides and argues that no employment contract can be made by their institution, the repositioning of approved personnel funds in funds for a work and service contract requires the prior written consent of the HEAD-Genuit-Stiftung. In the justification of the application for consent, the calculation basis for the intended remuneration must be explained in a comprehensible manner.

The contract management (including setting an appropriate and customary remuneration) and the conclusion of work and service contracts, as well as the resulting obligations are exclusively the responsibility of the project management.

## 3. Scientific instrumentation

Unless otherwise stated, the project management is responsible for purchasing the necessary instrumentation and equipment. If the purchase price has increased compared to the approval, the HEAD-Genuit-Stiftung will provide additional funds upon request if the additional requirements cannot be covered by savings elsewhere.

The HEAD-Genuit-Stiftung reserves the right to request the transfer of ownership of such instrumentation to itself or to third parties, or to claim compensation, if the project management changes during the period of the research project.

## 3.1 Maintenance and repair of loaned instrumentation

When working with loaned instrumentation, the HEAD-Genuit-Stiftung assumes that the project management is responsible for the maintenance. This includes covering expenses for maintenance and repairs that are to be considered fair wear and tear during the course of normal operation.

If additional repairs are necessary for loaned instrumentation, expenses of up to 600 EUR can be settled at the expense of the funds granted for the project without requirement of a special approval. If the expenses exceed EUR 600 in individual cases, and cannot be covered with the approved funds, the HEAD-Genuit-Stiftung may provide additional funds for repair upon request prior to awarding the repair contract.

## 4. Consumables and research materials

Consumables and research materials are to be provided by the project management. The HEAD-Genuit-Stiftung reserves the right to request the transfer of such consumer goods to itself or to third parties, or to claim compensation, if the project management changes during the period of the research project.

### 4.1 Publications

Expenses for the publication of research results of a HEAD-Genuit-Stiftung-sponsored project can be billed as expenses for publications. The form of publication can be freely chosen, unless an increased publication fee has been expressly requested and approved for a book publication. The financing of "gray literature" is not possible.

Within an expenditure category, costs for publications can be increased at the expense of approved expenditure types and saved until the end of the project. The resources envisaged for publications cannot be used to reinforce other expenses, and a repositioning in favor of publications cannot be reversed.

The funds made available for publications shall be retrieved no later than two years after the end of the project and must be billed at the latest twelve months after the retrieval, in accordance with the general guidelines for the use of funds.

## 5. Travel

Travel expenses may be claimed, if the travel is necessary for the execution of the project. Travel expenses may also be claimed for travel in order to present research results to the scientific public for further discussion.

## 6. Non-claimable expenses

Unless expressly approved, the following expenses cannot be claimed:

1. Salaries for project managers (except in cases, where means for the "funding of the own position" have been approved),
2. Secretarial services,
3. Buildings, furnishings or rent,

# HEAD-Genuit-Stiftung

4. Expenses for general infrastructure (e.g. office furniture, tools, protective clothing), office materials, calculators, postage and telephone charges,
5. Operating and maintenance costs (such as electricity, gas, water, coolants) and maintenance contracts,
6. Premiums for property insurance and travel protection plans,
7. Expenses incurred for the use of the university's computer facilities,
8. Expenses for items that are generally considered as belonging to standard modern core equipment in your research area,
9. Expenses incurred for the extension or repair of equipment that does not belong to the HEAD-Genuit-Stiftung,
10. VAT to the extent that it will be refunded by the national tax authorities.

## 7. Reallocation of approved funding

Funds are to be used exclusively for the purpose specified in your award. The approved amounts may, under certain circumstances, be reallocated or augmented, according to the following specification:

### 7.1 Merging/separation of granted personnel funds

Granted personnel funds may, without prior consent of the HEAD-Genuit-Stiftung, merged or separated to allow for a part-time or full-time employment for the funded project. If a position has to be split into two positions, the granted term should not be exceeded significantly.

### 7.2 Mutual coverage

The granted funds for personnel and material expenses can be mutually reinforced by up to 30%, without prior consent of the HEAD-Genuit-Stiftung, if it serves the purpose of the project. Reference figure is the budget that is to be strengthened. Exclusions and limitations cited in the grant approval cannot be bypassed.

### 7.3 Redisposition requiring approval

Conversion of granted funds, the reinforcement of the approved funds for personnel and material expenses beyond the permitted mutual coverage of 30%, as well as the redisposition of granted personal loans, require prior written consent of the HEAD-Genuit-Stiftung.

## 8. Administration of the research grant

### 8.1 Correspondence

The HEAD-Genuit-Stiftung requests that correspondence will be organized pertaining to each award separately according to the project number quoted in the award letter. This correspondence must be retained for five years from the date of notification that funding is concluded.

## 8.2 Accounting, receipts and documents

Cash records, accounts, and the organization of receipts and other documentation must adhere to the regulations applicable at your institution. All such documents shall remain with the project management.

## 8.3 Requests for payment of funds

Funds may be requested from the HEAD-Genuit-Stiftung for periods of up to three months at a time. Funds may only be requested as and when they are needed for payments due in relation to the project for which the funding was approved.

Any funds not required within the foreseeable future must be returned to the HEAD-Genuit-Stiftung immediately and without further request.

In case of reimbursements to the HEAD-Genuit-Stiftung, which are connected to the final expense report of the funded project and equal or exceed the last call for funds, the HEAD-Genuit-Stiftung reserves the right to claim default interest for the period the project management held said funds.

## 8.4 Special offers and discounts

All purchases should take advantage of any available special offers and discounts. The HEAD-Genuit-Stiftung can generally only accept invoices for such purchases at the reduced price.

## 9. Accounting and auditing

### 9.1 Accounting

Evidence of the use of each grant must be submitted to the HEAD-Genuit-Stiftung separately, quoting the project number stated in the award letter. These accounts must record all income and expenditure on a quarterly basis, unless a final closing report of all transactions is possible at an earlier date. The final accounts should be submitted as soon as possible after the last transfer of funds, but no later than 12 months after expiry of the funding period stated in the award letter, beginning with the first transfer of funds for that award. Any unused funds remaining at the end of the funding period and after submission of the final report can no longer be used and must be returned to the HEAD-Genuit-Stiftung.

If the project is co-financed by a third-party, all income and expenditure for these funds have to be recorded as well. You must confirm that the funds have been used appropriately and solely for the purpose specified in your award. The project management must confirm the accuracy of the accounts submitted.

### 9.2 Auditing

The HEAD-Genuit-Stiftung is authorized to audit the use of funds by examining your accounts, records, invoices, etc. either on-site or by requesting submission of such documents for verification.

## 10. Cancellation, reimbursement, interest

The HEAD-Genuit-Stiftung reserves the right to cancel a funding award, either wholly or in part, and to claim reimbursement in the following circumstances:

1. If there are substantial reasons to do so. This also applies if the HEAD-Genuit-Stiftung does not receive sufficient funds from its own financial backers,
2. If the award was obtained on the basis of false or incomplete information,
3. If the requirements were not satisfied, or were not satisfied by the deadline set by the HEAD-Genuit-Stiftung,
4. If the funds have not been claimed within a year after the awards was granted,
5. If the funds were not used exclusively for the purpose specified in the award,
6. If the funds paid were not accounted for punctually, properly or fully.

If the funding recipient is responsible for causing the circumstances leading to its request for reimbursement, the recipient is liable to pay interest on the sum in question with effect from the due date and at an annual rate 5 percent above the basic interest rate according to section 247 of the German Civil Code (*Bürgerliches Gesetzbuch*).

If the funds are not used for the specific intended purpose within an appropriate period after they are issued, the HEAD-Genuit-Stiftung reserves itself the right to an annual rate 5 percent above the basic interest rate according to § 247 of the German Civil Code. This will occur whether or not the authorization is revoked.

## 11. Liability

The funding recipient is liable for any damage incurred to the HEAD-Genuit-Stiftung as a result of your failure to observe any stipulations stated in the award.

The project management is responsible for ensuring that all applicable laws and regulations are observed when conducting your research project. Particular attention should be paid to the regulations regarding experiments on humans and laboratory animals and genetic experiments. For animal experiments requiring official authorization, such authorization must be obtained before research work commences.

## 12. Observation of the rules of good scientific practice

The HEAD-Genuit-Stiftung expects the project management and all personnel working on HEAD-Genuit-Stiftung-funded research projects to adhere to the rules of good scientific practice.

In case of scientific misconduct, the measures described below may be adopted. Scientific misconduct occurs, in particular, if deliberate or grossly negligent false statements are made in a scientific context, the intellectual property of others is violated or their research activity is impaired. The circumstances of the individual case are decisive.

The HEAD-Genuit-Stiftung may decide on one or more of the following measures, depending on the nature and severity of the misconduct identified:

- a) Written complaint;

- b) Exclusion from the right to apply to the HEAD-Genuit-Stiftung;
- c) Withdrawal of aid decisions (complete or partial revocation of the grant authorization, recall of authorized funds, recovery of expenditures);
- d) Demanding the withdrawal of the incriminated publication, correction of incorrect data (in particular, the publication of an erratum) or the inclusion of the recall of funds by the HEAD-Genuit-Stiftung in the publication

### 13. Publication of research results

The HEAD-Genuit-Stiftung expects the research results funded by it to be published and to be made available, where possible, digitally and on the internet free-of-charge via open access. To achieve this, the contributions involved should either be deposited in discipline-specific or institutional electronic archives (repositories) following conventional publication, or should be published in a recognized peer-reviewed open access journal.

When entering into publishing contracts scientists participating in HEAD-Genuit-Stiftung-funded projects should, as far as possible, permanently reserve a non-exclusive right of exploitation for electronic publication of their research results for the purpose of open access. Here, discipline-specific delay periods of generally 6-12 months can be agreed upon, before which publication of previously published research results in discipline-specific or institutional electronic archives may be prohibited.

The publications must credit the HEAD-Genuit-Stiftung for funding the project. Credit must state the reference number (individual projects or SPP, FOR etc.) or the project name and funding program (Collaborative Research Centre, Research Training Group etc.). Publications that do not include this information cannot be recognized as having emerged from this project.

If results are not published in a publication available via normal channels, such as a bookstore, but are presented in the form of a research report, the HEAD-Genuit-Stiftung requests to receive one copy each for documentation.

These explanations also apply for collections etc., which have been created or acquired with funds of the HEAD-Genuit-Stiftung.

### 14. Economic exploitation

Research results that are eligible for economic exploitation should be transferred to suitable institutions, i.e. the economy. The HEAD-Genuit-Stiftung can help with the acquisition and maintenance of property rights or with the search for a prospective buyer.

### 15. Cooperation with commercial enterprises

If cooperation with a commercial enterprise is part of the grant authorization, a so-called cooperation agreement must be concluded, which must be approved by the HEAD-Genuit-Stiftung. If cooperation with a commercial enterprise is started after receipt of the grant authorization, the further use of granted funds is only permitted once a cooperation agreement has been stipulated and subsequently approved by the HEAD-Genuit-Stiftung.

## 16. Reporting obligations

The project management is obliged, at the times specified in the award and without further request, to submit a progress report on their work and any results obtained so far to the HEAD-Genuit-Stiftung.

Each such report submitted to the HEAD-Genuit-Stiftung must include an introduction summarizing the work; this introduction must be no more than one page in length.

## 17. Guidelines for final reports

### 17.1 Work and results report (max. 10 DIN A4-pages)

1. Project's initial questions and objectives
2. Project developments – including deviations from the original plan, failures, and problems encountered with project organization or technical execution
3. Presentation of results and discussions of the relevant research situation in this context, potential perspectives for application, and conceivable follow-up research
4. Statement on whether the results of the project are economically valuable and whether exploitation is already taking place or may be anticipated; if applicable, details regarding patents, industrial joint ventures, etc.
5. Who has contributed to the results achieved by the project (national/international partners, project staff, etc.)?
6. Qualifications of young researchers in the context of your project (for example, first degree, doctorate, post-doctorate, etc.).

The report must be understandable without the need to consult additional literature. To illustrate and enhance your presentation you may refer to your own and others' publications. Make it clear whenever you are referring to other researchers' work and explain your own papers. Please list all cited publications at the end of the section. This reference list is not considered your list of publications. Any unpublished work must be included with the final report.

### 17.2 Summary (max. 1 DIN A4-page):

1. Presentation, in clearly understandable, everyday language of the key scientific findings and any potential applications.
2. Any surprises encountered in the course of the project and in the results obtained.
3. Reference to any articles published in the media reporting the success of the project.

The HEAD-Genuit-Stiftung requests the report to be submitted also in electronic format, preferably in PDF-format (alternatively RFT-format), on a CD-ROM without password protection or any other form of access limitation to the electronic documents regarding rights to read, copy or print. All annexes to the report (e.g. publications, postdoctoral thesis, dissertations) should be attached as separate PDF documents.

### 17.3 Publication of data from final reports

The HEAD-Genuit-Stiftung is entitled to publish the summary according to 3. on its websites, especially in the GEPRIS database, and to make reference to the publications listed as per 1. To be included, publications must meet the specifications set forth under 1. and credit the HEAD-Genuit-Stiftung for its financial support.

## 18. Rules of good scientific conduct

The guideline applies the rules and instructions of the DFG (“Deutsche Forschungsgemeinschaft”, German Research Foundation) according to its German document 2.02-04/14 “Leitfaden fuer Abschlussberichte und Regeln guter wissenschaftlicher Praxis”.