



# Guidelines for *UoC Centers of Excellence*

## *Third Call for Proposal*

April 2014

*UoC Centers of Excellence* are central academic University of Cologne institutions that have the objectives of further promoting and supporting the international visibility and competitiveness of UoC research foci. The nominated speakers are responsible for compiling statutes to determine the status and organisation of *UoC Centers of Excellence*.

### 1. Eligibility

All academics and scientists of the University of Cologne are eligible to apply. Applications are submitted with the knowledge of the deans.

### 2. Selection Process

*UoC Centers of Excellence* will take as their basis research foci that are well established at the University of Cologne and have demonstrated academic excellence. *Centers of Excellence* will be incorporated into the four key profile areas of the University until 2015. In addition to this, further *Centers of Excellence* can, depending on the financial situation, be set up. Excellence clusters funded within the framework of the Excellence Initiative automatically have the status of *Center of Excellence*.

Criteria for the approval of *UoC Centers of Excellence* are: the proven academic excellence of all participating academics as well as established co-operation projects that have critical mass. For the disciplines of life and natural sciences, the minimum requirement is a CRC (or a comparable project).

The Rectorate makes the decision about funding a *UoC Center of Excellence* based on the recommendations of an external on-site review. The centers are again evaluated after four years of funding.

### 3. Application

The nominated speaker must consult the Prorector for Research and Young Scientists regarding the objective and plans of their proposal and explain how the criteria for a *UoC Center of Excellence* are to be fulfilled.

The **application** for a *UoC Excellence Center* should comprise:

- 1) General information about the *Center of Excellence*, the speaker, and the other members of the applicant team.
- 2) 30-page (max.) description of planned project (font 11pt Arial, 1.5 line-spacing, 3 cm margins) especially with regard to:
  - concrete questions and research objectives,
  - status quo (current status of the structures and projects relevant to the planned *UoC Center of Excellence*),
  - a catalogue of measures,
  - overview of governance structure,

- details of the strategic relevance of the *UoC Center of Excellence* for the research profile of the University of Cologne,
- overview of how participating faculties will support proposed *UoC Center of Excellence*,
- relevance for internationalization, equality and teaching at the University of Cologne,
- details of pending appointments as well as proposed strategies for the future appointment of professors in the context of the profiling of the *UoC Center of Excellence*.

### 3) Attachment with:

- declaration of compliance with the rules of good academic practice (according to the current *Guidelines for safeguarding good academic Practice and dealing with academic Misconduct*),
- curriculum vitae of the speaker and the other members of the applicant team as well as their five most important publications – max. two pages per person,
- list of publications referenced in the application,
- funding application and plan for allocation of funding.

The application documents should be written in English, addressed to the Rector of the University of Cologne and submitted per e-mail as well as in paper form to Department 7 – Research Management of the University of Cologne administration by **30.09.2014** (deadline).

## 4. Funding

*UoC Center of Excellences* can receive up to €640,000 annually for five years (plus the faculty lump sum, see 5.2). The teaching load of the speaker can be reduced by four hours weekly for the duration of the project in consultation with the faculty where s/he works.

### 4.1 Direct Project Costs

Funding for direct project costs will be granted according to an expenditure plan. Direct expenditure is costs specified in the expenditure plan (human, material and investment resources as well as publication costs). The funding may not be used for the salaries of the participating academics.

The general guidelines for funding allocation correspond to DFG guidelines for excellence projects. Funding has to be appropriated efficiently and economically according to the LHO NRW. The speaker is responsible for the academic execution of the project. Funding will be allocated annually and should be appropriated during the budget year. As a rule, it is possible to transfer 10% of the approved funding for the following year during the quota year. In addition to this, transfers and allowances can also be applied for if there is justification to do so. Funding that is not spent by the conclusion of the project must be returned.

The resources and facilities of the University of Cologne should primarily be used for the preparation and execution of the project (Central UoC Printing Office, rooms etc.).

### 4.2 Faculty Lump Sum

Faculties will receive an additional 25% of the funding annually (max. €160,000 per annum) so they are in the position to support the *UoC Center of Excellence* and to compensate any reduction in teaching hours.

### **4.3 Personnel**

The collective bargaining law (TV-L) applies here.

### **4.4 Equipment**

Equipment purchased with project funding is the property of the University of Cologne and must therefore be inventorized.

### **4.5 Travel**

The *Landesreisekostengesetz NRW* applies here.

### **4.6 Assessment, Liability**

The participating scientists are responsible for the *UoC Center of Excellence* complying with legal and other (bye-)laws during the execution of the research project.

### **4.7 Withdrawal of Funding**

A prerequisite for funding is employment at the University of Cologne. The appropriated funding and responsibilities thereof can be transferred by the speaker to another member of the *UoC Center of Excellence* in the event of applicants leaving the project. Completion funding for existing commitments is possible.

## **5. Expenditure Report**

The DFG guidelines for excellence projects apply here (DFG/WR Form Exin10).

### **5.1 Direct Project Costs**

Revenue and expenditure of the preceding calendar year have to be documented in an expenditure report to be submitted by 28<sup>th</sup> of February of the following year (DFG Form 63.05).

### **5.2 Faculty Lump Sum**

During the funding period of the excellence initiative, an expenditure report documenting the allocation of the faculty lump sum by the faculty that can be used as documentation for the DFG is to be submitted annually.

## **6. Final Report**

A final report comprising a maximum of 20 pages (font 11pt Arial, 1.5 line-spacing, 3 cm margins) must be compiled by the *UoC Center of Excellence* speaker; the document should be addressed to the Rector of the University of Cologne and submitted to the administrative Department 7 – Research Management of the University of Cologne within six months of the conclusion of the project. It should include a report on the work and findings of the *UoC Center of Excellence*, a list of the publications resulting from the project, an outline of the potential for further research and/or the transfer of research findings to practice. In addition to this, a description of the relevance of the funded project for the strategic development of a research focus/ further research foci is desired. The final report should also include an expenditure report documenting the allocation of funds during the project.