

CALL FOR APPLICATIONS

of January 17, 2018

for 15 Helmholtz Young Investigators Groups

funded by the Initiative and Networking Fund of the
President of the Helmholtz Association

15th Call for Applications



The Helmholtz Association wishes to offer excellent international researchers with their own adequately equipped Young Investigators Group at a Helmholtz Center the opportunity to successfully and permanently establish themselves in the scientific community. Outstanding young female scientists meeting the eligibility criteria are especially encouraged to apply.

A. Goal of the funding

A key objective of the Helmholtz Association's mission is the individual promotion of talented young researchers. Through its Young Investigators Groups, the Association provides the best young international and German scientists with the excellent scientific working conditions they need to achieve this objective by allowing them to set up and lead their own working groups. Young Investigators Group leaders are given early independence and have attractive career prospects, including the option of permanent employment, support and flexibility during the family phase, mentoring, and further qualifications at the Helmholtz Management Academy. Young Investigators Group leaders are also expected to work closely with university partners, gathering experience as teachers. The President of the Helmholtz Association supports every endeavor to establish professorships for successful candidates jointly with the partner university.

B. Purpose of the funding

Funding will be granted to up to 15 Helmholtz Young Investigators Groups working in the research fields of Energy; Earth and Environment; Health; Key Technologies; Matter; and Aeronautics, Space, and Transport. The funding provided by the Initiative and Networking Fund of the President of the Helmholtz Association will amount to up to 150,000 Euro a year and will serve as co-financing. The Helmholtz Center and cooperating university are expected to provide funding to at least an equivalent amount. Young Investigators Groups thus generally receive a minimum of €300,000 a year for six years. This covers costs for:

- the group leader position, (normally at E 14/15 TVöD [collective agreement 13/14 for civil service employees]),
- scientific or technical staff (normally three or four),
- expenses for materials, travel, and investment.

Helmholtz Young Investigators Groups are jointly set up by Helmholtz Centers and universities in areas of research or expertise that are of interest to both parties: Specifically, the Group's focus must be of relevance to a Helmholtz program and should promote cooperation with the university or department. Where possible, the leaders of Helmholtz Young Investigators Groups should be given joint professorships.

The Young Investigators Group can be based at a Helmholtz Center or jointly at a Helmholtz Center and a cooperating university. They are expected to perform specific scientific work for both partner institutions, and this work must be defined in the planned work program. Cooperation with international partners is welcomed. Helmholtz Young Investigators Groups cannot be established at institutions abroad, however. Commercial businesses are highly appreciated as associated partners. However, they cannot receive funding from the Initiative and Networking Fund.

In the interest of providing the best possible support for young scientists setting up their own groups and preparing them for their leadership responsibilities, group leaders are required to attend the "Leading your group" course at the Helmholtz Management Academy in the first or second year of funding. This course is designed especially for new Young Investigators Group leaders.

In addition, the Helmholtz Centers and partner organizations also provide qualification and advisory services which are to be recorded as part of a personnel development concept in the application.

The Helmholtz Association wants to make sure that both women and men have the opportunity to successfully combine family planning and a scientific career. Therefore, during the family phase, group leaders who go on parental leave or work part-time can apply for additional funding for a temporary deputy to cover his/her leadership responsibilities (where possible), allowing seamless continuation of the research project.

C. Target group

This call is directed towards excellent researchers with between two and six years' post-doctoral experience with documented research experience abroad (see Annex 2).

The most important selection criterion is the outstanding quality of the candidates (CV, publications, citation index, awards, etc.) and the planned research project (innovation capacity, relevance, structure, coherence, feasibility). Further criteria include the strategic importance for the nominating institution (the host Helmholtz Center) and clearly discernible synergy effects resulting from the cooperation between the Center and the partner university.

The Helmholtz Association especially wishes to attract promising female scientists to continue their careers in science. At least 40% of Young Investigators Group leader positions in this call should therefore be awarded to women.

D. Duration of funding

The term of each Young Investigators Group is six years, with an evaluation after three to four years. If a recipient takes parental leave during this time, the funding period can be extended and the evaluation postponed in coordination with the Head Office.

Following an unreservedly positive evaluation, the candidate will be offered a permanent employment contract by a Helmholtz Center – if possible, with staff responsibility – without having to submit a new application. The decision to grant a permanent position will be made on the basis of a quality assessment of the candidate's scientific achievements according to international standards and an evaluation of the project's relevance to the corresponding Helmholtz program. The examination procedure will be carried out by the host Center with substantial participation by external reviewers.

The Initiative and Networking Fund cannot release the funds for the fifth and sixth years until the evaluation report has been submitted with a corresponding statement from the Helmholtz Center. The planned evaluation process for the Young Investigators Group leader's further career development should also be described in the concept.

E. Application

The call for applications will be issued internationally.

The application procedure involves several stages (see [Appendix 4](#)):

1. **Candidates** should approach the Helmholtz Centers **directly** with a draft of their application and contact the point of contact indicated (see [Appendix 3](#)) before applying.
2. Following an internal **candidate** pre-selection process, the **Centers** decide on their nominees and request that they submit the complete application documents.
3. The maximum number of candidates that each Helmholtz Center can nominate is as follows:

no more than four applications:

- Deutsches Zentrum für Luft- und Raumfahrt (German Aerospace Centre) DLR,
- Forschungszentrum Jülich FZJ,
- Karlsruher Institut für Technologie (Karlsruhe Institute of Technology) KIT.

no more than three applications:

- Alfred-Wegener-Institut Helmholtz-Zentrum für Polar- und Meeresforschung (Alfred-Wegener-Institute Helmholtz Centre for Polar and Marine Research) AWI,
- Deutsches Elektronen-Synchrotron DESY,
- Deutsches Krebsforschungszentrum (German Cancer Research Centre) DKFZ,
- Helmholtz-Zentrum München – Forschungszentrum für Gesundheit und Umwelt (Helmholtz Zentrum München – German Research Centre for Environmental Health) HMGU,
- Helmholtz-Zentrum Berlin für Materialien und Energie HZB,
- Helmholtz-Zentrum Dresden-Rossendorf HZDR,
- Max-Planck-Institut für Plasmaphysik (Max Planck Institute for Plasma Physics) IPP.

no more than two applications:

- Deutsches Zentrum für Neurodegenerative Erkrankungen (German Centre for Neurodegenerative Diseases) DZNE,
 - GEOMAR Helmholtz-Zentrum für Ozeanforschung Kiel (GEOMAR Helmholtz Centre for Ocean Research Kiel),
 - Helmholtz-Zentrum Potsdam – Deutsches Geoforschungsinstitut (Helmholtz Centre Potsdam - GFZ German Research Centre for Geosciences) GFZ,
 - GSI Helmholtz-Zentrum für Schwerionenforschung (GSI Helmholtz Centre for Heavy Ion Research)¹,
 - Helmholtz-Zentrum Geesthacht – Zentrum für Material- und Küstenforschung (Centre for Materials and Coastal Research) HZG,
 - Helmholtz-Zentrum für Infektionsforschung (Helmholtz Centre for Infection Research) HZI,
 - Max-Delbrück-Centrum für Molekulare Medizin in der Helmholtz Gemeinschaft (Max Delbrück Center for Molecular Medicine in the Helmholtz Association) MDC,
 - Helmholtz-Zentrum für Umweltforschung (Helmholtz Centre for Environmental Research) UFZ.
4. These applications are then submitted to the Helmholtz Head Office in Bonn via the heads of the Helmholtz Centers. Applications sent directly to the Helmholtz Head Office by candidates will not be accepted.
 5. The invitation of candidates to give a presentation in person before an interdisciplinary panel of experts in Berlin is based on written assessments. Candidates who are invited to give a presentation will receive their invitations about four weeks in advance.
 6. Successful candidates have to start their Young Investigators Group **within 12 months of receiving funding approval**. Otherwise, the funding will expire.

F. Dates and Deadlines

March 1, 2018: Deadline for candidates to submit application documents (draft applications) to the Helmholtz Centers

May 4, 2018: Deadline for submission of complete applications by the Helmholtz Centers to the Helmholtz Head Office in Bonn (cut-off date; key date for determining 2-6 years after doctorate)

October 5, 2018: Deadline for submission of the statement by the university to the Helmholtz Head Office in Bonn

October 18-19, 2018: Final selection conference in Berlin

No more than 12 months after receiving funding approval: start of the Young Investigators Group

G. Documents to be submitted (see Annex 1)

Center cover letter (German or English, one PDF)²

1. Written confirmation by the board
2. Concept for personnel development measures and description of the planned evaluation process for possible continuation
3. Information about the Helmholtz Center's internal pre-selection process (see Annex 10)

Candidate cover letter (German or English)

1. Statement regarding current employment status and any comparable application submissions to other organizations

Assessable application (in English, one PDF, no more than 3 MB)

1. Application overview (see Annex 6)
2. Scientific portion of the application

¹ Eligible to apply only via Helmholtz Institute Jena and Mainz

² If there are multiple confirmations for several applications, please enclose a copy of each.

3. Strategic significance of the Young Investigators Group for the Helmholtz Center and the relevant partners
4. Candidate CV
5. List of publications and citation index
6. Financial plan (see Annex 7)
7. Supporting letter from the prospective direct superior

List of six independent reviewers (see Annex 9)

University statement (as PDF) (see Annex 8)

Annex 1

Application Guidelines for Helmholtz Centers and Candidates

Eligibility requirements

Scientists who fulfill the following criteria are eligible to apply:

- **Two to max. six years after receiving doctorate.** The cutoff date is the deadline for submission of complete applications by the Helmholtz Centers to the Helmholtz Head Office in Bonn. Parental leave periods in this phase will be taken into consideration at two years per child under 12. The doctorate date and the dates of birth of any children must be indicated on the CV. Exceptions may be made only in special cases (for example, if the six-year limit is exceeded due to the special requirements of a physician's clinical career, or in the case of particularly excellent research achievements immediately after receiving the doctorate).
- **International research experience.** This can be documented by a minimum six-month continuous research stay abroad, coordination of a major international research project, or significant involvement in a major international research cooperation. Exceptions can be made for outstanding researchers for whom international mobility may be restricted because of children.

Those who have already been appointed to a professorship at a German or foreign university at the time of application or who were funded by a comparable program are not eligible for application.

Applications will only be considered if they are complete and fulfill all criteria listed above. If a Helmholtz Center would like to submit an application that does not meet all the criteria, a written statement including meaningful justification must be submitted to the Helmholtz Head Office before the application submission.

If an incomplete application or a list of biased reviewers (see Appendix 9) is submitted, the Head Office reserves the right to exclude the application from the subsequent selection process.

Application and selection process

- Candidates must apply by the submission deadline, submitting a CV, list of publications, and a brief outline of the planned work program (letter of intent, no more than two pages) to the Helmholtz Center. **Candidates are encouraged to establish contact early on with the contact persons indicated for the relevant Helmholtz Center** (see Appendix 3).
- Each Helmholtz Center carries out a transparent pre-selection process. An account of this process must be included when applications are submitted (see Annex 10).
- The Helmholtz Center works with the selected candidates to prepare the **complete** application. Where a renewed application is being submitted, developments since the last application are to be described (see Appendix 6).
- The partner university should be involved in the selection process at an early stage in order to allow joint appointment and integrate the Young Investigators Group leaders into the departments

of cooperating universities (see Appendix 5). A sample form for university statements concerning the rights and duties of candidates can be found in Appendix 8.

- The applicant is the host Helmholtz Center. The complete applications¹ must be submitted to the Helmholtz Association via the EABS electronic application and review system (<https://helmholtznet.de/antraege/default.aspx>) by the stated deadline (cutoff date). Please submit the digital version of the application as four PDF-files (see the section entitled *Structure and requirements for the complete application*):
 - Center cover letter
 - Candidate cover letter
 - Assessable application
 - List of six independent reviewers

One hardcopy must also be sent to the Helmholtz Association Head Office (Ahrstrasse 45, 53175 Bonn, Germany).

- An overview of the selection procedure can be found in Appendix 4.

Structure and requirements for the complete application

Center cover letter (German or English, one PDF)²

1. Letter from the board
 - confirming partial funding by the center, possibly shared with a university. The funding provided by the Initiative and Networking Fund of the President of the Helmholtz Association will amount to up to 150,000 Euro a year and will serve as co-financing. The Helmholtz Center and cooperating university are expected to provide funding to at least an equivalent amount.
 - Confirmation of provision of the necessary facilities (including furnishings and IT) and infrastructure for the candidates and group members.
 - Agreement to pay the €4,000 in fees for the “Leading your group” course at the Helmholtz Management Academy either fully or in part.
 - Confirmation that the leader of the Young Investigators Group will have a fixed contact person (such as an experienced group leader) available to him/her during the initial stages, including the appointment of this person.
 - Confirmation that the Young Investigators Group leader will be given the opportunity to reflect on his/her own development and discuss further career prospects within a suitable framework at least once a year, and indication, who will take part in the talk.
2. Concept for personnel development measures and description of the planned evaluation process for possible training
 - The activities of Young Investigators Group leaders require complex competencies in various areas of activity such as research, teaching, management, and leadership. In order to optimally support Young Investigators Group leaders in this task, a personnel development concept must be drawn up for the candidate. It must address the following issues:

¹The university statement can be submitted later (see call “F. Dates and Deadlines”).

²If there are multiple application confirmations, please enclose a copy of each.

- Individual needs analysis taking into consideration the development levels of the individual, the team, and the organization as well as the professional, methodological, and social competence areas
 - Preparation of a concrete qualification plan, taking into account the needs analysis and specifying the formats of the continuing education offers (such as workshops, coaching, and mentoring)
 - Presentation of career options following positive interim evaluation.
 - Frequency and contact persons for regular opportunities to reflect on career and development planning. In particular, a personnel development talk must be scheduled in the context of the evaluation.
 - The procedure and criteria for the planned evaluation with a view to continuing the project must be explained to the candidate.
 - Please provide a brief description of the planned evaluation procedure.
 - Please submit relevant tenure policies with the documents.
3. Information about the Helmholtz Centers' internal pre-selection process (see Annex 10)

Candidate cover letter (German or English, one PDF)

- Declaration of current employment, including term of contract, and the submission of comparable applications to other organizations
 - Candidates cannot apply for the Helmholtz Young Investigator Groups if they are already receiving funding from a similar program (such as the German Research Foundation's (DFG) Emmy Noether Groups).

Assessable application (in English, one PDF, no more than 3 MB)

1. Application overview (see Annex 6)
2. Scientific portion of the application
 - No more than 20 pages (exclusion criterion) in English;
 - Presentation of clearly recognizable work packages, important intermediate steps, and milestones with a timetable;
 - Presentation of the planned cooperation and communication structures.
3. Strategic significance of the Young Investigators Group for the Helmholtz Center and the involved partners
 - Statement on the connection to the Helmholtz program and to the focus of the (prospective) partner university/department; the benefit for both institutions should be presented in detail
4. Candidate's CV
5. List of publications
6. Financial plan (see Annex 7)
 - Travel expenses can be included under material costs or expenditures.
 - No funding will be granted for overheads.
7. Supporting letter from the prospective direct superior (in English)

List of six independent reviewers (in German or English, as a PDF)

- The bias criteria (see Annex 9) must be observed. Specifically, reviewers who have an active role in a Helmholtz Center may not be named.

- The **proposals with complete contact and address data** (including e-mail addresses) should be attached to the application on a separate sheet and signed to confirm that no potential bias is known (if applicable, disclose possible contact points).

University statement (in German or English, as a PDF) (see Annex 5 and 8)

- Statement of rights and responsibilities (staff and budget responsibilities, doctoral candidate supervision, teaching responsibilities not exceeding four hours per semester week, access to all necessary resources/infrastructure), in accordance with the higher education laws applicable in the relevant federal state;
- regarding a joint appointment to a professorship;
- regarding career prospects should the Young Investigators Group leader wish to continue his or her career at the university after the funding period ends.
- A sample university statement is provided in Appendix 8.

Funding phase

Funding

Funding is provided on the basis of a grant agreement between the Helmholtz Association and the applying Helmholtz Center.

Evaluation of the Young Investigators Group

After three to four years, the Centers conduct an evaluation of the Young Investigators Group – in consultation with the partner university, if applicable. The evaluation results will be the basis for decisions as to whether the employment contract will be made permanent and on the group leader's future career.

During the course of the evaluation, the Center must meet with the Young Investigators Group leader to discuss his/her career. The meeting must be documented and is to be scheduled in the concept for personnel development measures (see above).

The evaluation report and a statement of the Helmholtz Center whether the employment contract will be made permanent must be submitted to the head office.

The Initiative and Networking Fund cannot release the funds for the fifth and sixth years until the evaluation report has been submitted with a corresponding statement from the Helmholtz Center.

Additional support during any family phase:

During a family phase, group leaders who take parental leave or work part-time can apply for additional funding from the Initiative and Networking Fund for a temporary deputy leader (postdoc according to the DFG rate) to supervise the group (to the extent possible), allowing seamless continuation of the research project.

Open science publication

By accepting funding from the Initiative and Networking Fund of the Helmholtz Association, scientists agree to make scientific publications based either entirely or in part on results of the funded project available to everyone in a freely accessible archive (repository) no later than six months after the original publication. If good reasons are presented, open science publication may be waived. These reasons must be reported to the Helmholtz Association as soon as they come to light.

Annex 2

Frequently Asked Questions (FAQ)

- *What if I do not fulfill the eligibility criteria (2-6 years after receiving doctorate, substantial international research experience)?*

Candidates who do not fulfill these requirements are advised not to apply (the cutoff date is the deadline for submission of complete applications by the Helmholtz Centers to the Helmholtz Head Office in Bonn). If a Helmholtz Center would like to submit an application for such an individual, a written statement including meaningful justification must be submitted to the Helmholtz Head Office before the application deadline. Funding will only be provided in particularly well-justified cases.

- *Does evidence have to be provided for child-rearing periods?*

It is sufficient to note the doctorate date and the children's dates of birth on the CV. Child-rearing periods within the period in question are recognized at two years for each child under the age of 12.

- *What academic certificates should I submit?*

Academic certificates (Bachelors, Masters, Doctorate) need not be submitted.

- *Will another call for the program be issued next year?*

A call of similar scope is planned for next year.

- *Is a general confirmation by the Center sufficient, or is an additional supporting letter from the Young Investigators Group's intended host institute necessary?*

A letter of support from the direct superior is required; as a rule, this should be the head of the institute.

- *What are the requirements for the written statement by the university/department?*

The letter from the university should be signed by high-ranking officials (President, Vice-Chancellor, and Dean, including official stamp). All the points listed in "Fact sheet for Universities" (Annex 5) should be observed. A sample university statement can be found in Appendix 8.

- *Is cooperation with international partners allowed?*

As a rule, such cooperation is allowed. However, funding can neither be used for personnel costs nor for investments at institutions abroad. The financing of the leader of a Young Investigators Group (when abroad as a guest) is an exception to this rule. In especially well-justified and documented cases, funds can be passed on to partners abroad to cover material expenses and hold events abroad, as long as these costs are directly related to the activities of the Helmholtz Young Investigators Group. Helmholtz Young Investigators Groups cannot be established abroad.

- *Are new group leaders obliged to participate in the Helmholtz Management Academy's "Leading your group" course?*

Yes, participation within the first two years of their funding period is mandatory. This course was designed especially for new Helmholtz Association Young Investigators Group leaders. The curriculum ideally prepares participants for their new leadership responsibilities and supports them in successfully developing their own group. The course is offered in German and in English on an alternating schedule. Further information is available at www.helmholtz.de/akademie.

The course fees of about €4,000 can be factored into the application's financial plan and covered either wholly or in part by the Centers.

- *What are the selection criteria?*
 - Excellent candidate quality: curriculum vitae, publications, citation index, awards and more
 - Excellence of the planned research project: innovation capacity, relevance; structure, coherence, and feasibility
 - Strategic importance for the nominating institution (the host Helmholtz Center) and clearly discernible synergy effects resulting from the cooperation between the center and the partner university.
- *Are there set selection quotas for individual Centers or research fields?*

Each Helmholtz Center can nominate a certain number of candidates (See Call "E. Application"). In the subsequent selection procedure, the best candidates and projects are selected according to the above-mentioned criteria, irrespective of their ties to topics or Centers.
- *When can I expect an invitation to a selection interview?*

If you are successful in passing the written stage of selection, you will be invited to give your presentation at the selection meeting (October 18-19, 2018) with about four weeks' notice.
- *When is the final decision made?*

You will be informed of the funding decision no more than two days after the selection meeting.

Ansprechpersonen in den Helmholtz-Zentren / Contact persons at the Helmholtz Centers

<p>Alfred-Wegener-Institut Helmholtz-Zentrum für Polar- und Meeresforschung AWI / Alfred-Wegener-Institute Helmholtz Centre for Polar and Marine Research AWI Am Handelshafen 12 27570 Bremerhaven</p> <p>Dr. Corinna Kanzog Tel.: +49 471 4831-1302 corinna.kanzog@awi.de www.awi.de</p>	<p>Deutsches Elektronen-Synchrotron DESY Notkestraße 85 22607 Hamburg</p> <p>Barbara Wittmann Tel.: +49 40-8998-1634 barbara.wittmann@desy.de www.desy.de</p>	<p>Deutsches Krebsforschungszentrum DKFZ / German Cancer Research Centre Im Neuenheimer Feld 280 69120 Heidelberg</p> <p>Dr. Angelika Michel Tel.: +49 6221 42-1666 a.michel@dkfz.de www.dkfz.de</p>
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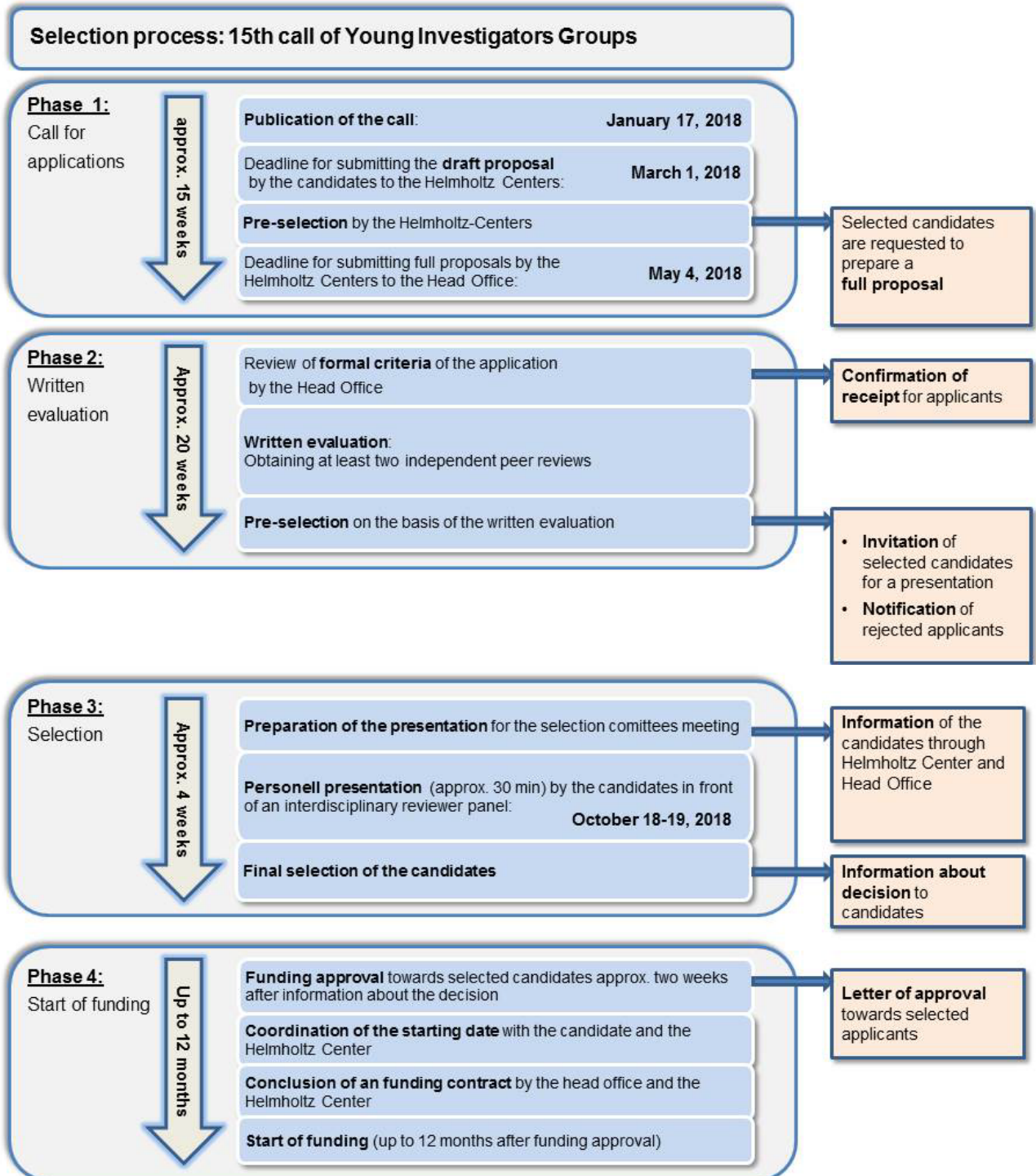
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Annex 4
Selection Process



Annex 5

Fact Sheet for Universities

The Helmholtz Young Investigators Group program

The Helmholtz Young Investigators Group program gives the best young scientists in Germany and abroad the opportunity to set up and lead their own research group. The program fosters early scientific independence of researchers and offers excellent working conditions in a research-intensive environment with secure career prospects based on proven scientific achievement. Since the start of the program in 2003, more than 200 recipients have benefited from it.

Universities as important strategic partners

The Helmholtz Association's most important strategic partners are universities. Close cooperation with them plays a key role in the Young Investigators Group program. This cooperation allows group leaders, at an early stage of their careers, to experience the benefits of a collaborative culture based on the division of labor when striving to achieve a common goal. At the same time, they have the opportunity to gain teaching experience and qualify to become professors. The President of the Helmholtz Association supports all efforts to jointly appoint the selected Helmholtz Young Investigators Group leaders to professorships at the partner universities.

A Young Investigators Group may be based at a university, a Helmholtz Center, or both. However, the group is expected to perform clearly defined tasks at each of the institutions. These tasks must be set out in detail in the planned work schedule.

As important partners, the universities are included in the selection process from the very beginning. The Helmholtz Centers confer with the universities when nominating candidates. These nominations are forwarded to the Helmholtz Head Office in Bonn for the final selection round. This means that the universities and Helmholtz Centers jointly decide which candidates are suited to setting up a successful Young Investigators Group.

To strengthen cooperation in young talent promotion, the German Rectors' Conference (HRK) and the Helmholtz Association published a joint white paper in 2004. It identified the Helmholtz Young Investigators Groups as being particularly well suited to promoting scientific excellence and to enhancing the reputation of both partner institutions. The points set out in the white paper on the Young Investigators Groups form the basis for the statement submitted with each application.

Selection procedure quality assurance

In 2007, the Helmholtz Young Investigators Group program was thoroughly evaluated by iFQ, the Institute for Research Information and Quality Assurance (see iFQ Working Paper No. 6, December 2009, Postdocs in Germany: A comparative study of the Young Investigators Groups program). The study confirmed that the selection process is comparable to the processes used by other programs (the Emmy Noether Program of the German Research Foundation (DFG), for example) in terms of quality and transparency standards.

The first call for applications to the Young Investigators Group program was issued in 2003, and has since established itself as a highly competitive procedure. The last round saw the Helmholtz Centers receive about 400 applications for the 15 available places. The applications are assessed in a multi-stage selection process that meets the highest quality standards. In the first stage, the Helmholtz Centers and the universities jointly make a pre-selection. The nominated candidates' applications are then forwarded to the Helmholtz Head Office in Bonn. Here, at least two appraisals by national or international experts are commissioned to evaluate each application. On the basis of these assessments, up to 30 candidates are invited to Berlin to present their projects to an interdisciplinary panel.

The application – required documents

The complete application should include a written statement by the university management and the department covering the following points:

- rights and responsibilities (staff and budget responsibilities, doctoral candidate supervision, teaching responsibilities not exceeding four hours per semester week, access to all necessary resources/infrastructure), in accordance with the higher education laws applicable in the relevant federal state;
- planned joint appointment to a professorship;
- career prospects should the Young Investigators Group leader wish to continue his or her career at the university after the funding period ends.

A sample university statement on the rights and responsibilities of a Young Investigators Group leader is provided in Appendix 8.

This statement is to be submitted to the Helmholtz Head Office in Bonn **by October 5, 2018**.

Eckpunktepapier der HRK und der Helmholtz-Gemeinschaft zur Kooperation bei der Förderung des wissenschaftlichen Nachwuchses

Gemeinsame Erklärung der Präsidien der Hochschulrektorenkonferenz und der Helmholtz-Gemeinschaft vom Juli 2004

- Hochschulrektorenkonferenz und Helmholtz-Gemeinschaft werden ihre Zusammenarbeit verstärken, um in Gebieten gemeinsamen wissenschaftlichen Interesses Exzellenz zu fördern.
- Die HRK und die Helmholtz-Gemeinschaft regen an, dass sich ihre Mitglieder mit regionaler Fokussierung regelmäßig und partnerschaftlich über ihre mittel- bis langfristige strategische Planung austauschen, um die Identifizierung zukunftssträchtiger, relevanter Forschungsfelder zu ermöglichen, deren gemeinsame und exzellente Bearbeitung hohe Synergieeffekte erwarten lässt.
- Die HRK begrüßt die Einrichtung von gemeinsamen "Virtuellen Instituten" zwischen Hochschulen und Helmholtz-Zentren aus Mitteln des Impuls- und Vernetzungsfonds des Präsidenten der Helmholtz-Gemeinschaft als einen wichtigen Schritt in diese Richtung.
- Die HRK und die Helmholtz-Gemeinschaft sehen weiterhin in der gemeinsamen Förderung des wissenschaftlichen Nachwuchses in Feldern übereinstimmenden wissenschaftlichen Interesses einen Mehrwert für die wissenschaftliche Wertschöpfung. Für die gemeinsame Förderung halten sie fest:
 - Das Promotionsrecht soll auch zukünftig in der Zuständigkeit der Universitäten liegen.
 - Die Promotion stellt vornehmlich die Qualifikation für wissenschaftliches Arbeiten dar. Darüber hinaus wird es zunehmend wichtig, Doktorandinnen und Doktoranden das Erlernen 'ergänzender Fähigkeiten' zu ermöglichen, insbesondere zur Förderung beruflicher und persönlicher Qualifikationen.
 - Die Strukturierung der Doktorandenausbildung nach vergleichbaren Standards ist vorzusehen, u.a. durch gemeinsame Promotionskomitees mit Mitgliedern aus Zentren und Hochschulen und einen Promotionsvertrag; dies gilt für Doktoranden(innen), die gemeinsam betreut werden und die einen Anstellungsvertrag mit einem Helmholtz-Zentrum haben.
 - Hochbegabte Doktoranden sollen durch ein herausragendes Angebot fachlicher sowie ergänzender Kurse ihren Fähigkeiten entsprechend besonders gefördert werden. Dies soll im Rahmen der bereits konzipierten Helmholtz-Kollegs, auf der Grundlage einer Kooperationsvereinbarung zwischen den beteiligten Institutionen, erfolgen, die u.a. auch eine gemeinsame Bezeichnung festlegt.
 - Gemeinsame Nachwuchsgruppen (Helmholtz-Hochschul-Nachwuchsgruppen) sind besonders geeignet, um an Schnittstellen von Forschungs- oder Kompetenzfeldern Profilspitzen zu setzen, die beiden beteiligten Einrichtungen einen Zuwachs an wissenschaftlichem Renommee bringen.
 - Bei gemeinsamem Interesse (Verknüpfung der Programmatik der Helmholtz-Gemeinschaft und der Profil-/Schwerpunktsetzung der Hochschule/Fakultät) können für die Leiter(innen) der Helmholtz-Hochschul-Nachwuchsgruppen gemeinsame Berufungen als Juniorprofessor(inn)en sinnvoll sein. Die HRK und die Helmholtz-Gemeinschaft regen an, in diesen Fällen die Berufung durch gemeinsame Berufungskommissionen vorbereiten zu lassen.
 - Die Leiter(innen) gemeinsamer Nachwuchsgruppen sollten auch in Fällen, in denen die Berufung auf eine Juniorprofessur keine Option darstellt, gemeinsam durch Helmholtz-Zentrum und Universität bestellt werden und die gleichen Rechte und Pflichten wie Juniorprofessor(inn)en (Personal und Budgetverantwortung, Führen von Doktorand(inn)en zur Promotion, Übernahme von Lehrverpflichtungen; ≤ 4 SWS, Zugang zu allen notwendigen Ressourcen/Infrastruktur), nach Maßgabe der Landeshochschulgesetze, erhalten.
 - Um junge talentierte Wissenschaftler(innen) gewinnen und halten zu können, ist es notwendig, ihnen längerfristige Karriereperspektiven zu bieten; z. B. Übernahme von qualifizierten Nachwuchsgruppenleitern nach positiver Evaluierung ohne neue Ausschreibung in Anlehnung an das in der Helmholtz-Gemeinschaft etablierte "Tenure-Track"-Modell, soweit dies den beteiligten Hochschulen rechtlich möglich ist.
 - Um Exzellenz in der Forschung durch Verstärkung der Zusammenarbeit zwischen der Helmholtz-Gemeinschaft und Hochschulen erreichen zu können, muss sichergestellt werden, dass die von den Nachwuchsgruppenleiter(innen) erbrachte Lehrleistung nicht kapazitätswirksam ist.
 - Die Auswahl der besten Konzepte für Helmholtz-Kollegs sowie der Helmholtz-Hochschul-Nachwuchsgruppenleiter(innen) soll gemeinsam erfolgen.

Anlage 6 / Annex 6

Overview of the Application

Young Investigators Group leader (Name, <u>complete</u> current address, email and telephone number of the candidate)	
Application title	
Host Helmholtz Center	
Name and organizational unit of host scientist	
German university partner	
Helmholtz Research Field	
Helmholtz Program	

Candidate:

Current host institution	
Gender	
Nationality	
Date of PhD	
Date of birth of children if applicable	
International research experience (please indicate durations)	
Short CV (max. 75 Words) (Please include working experience, PhD and academic studies; please indicate durations)	
Summary of publications and awards (max. 75 Words) (Please include total number of publications, Hirsch-Index; first authorships (if applicable), please highlight crucial contributions to your field).	

Project:

5-6 keywords

Summary in English (max. 200 words). Please formulate this summary to be comprehensible to scientists without expertise in your field.

Summary in German (max. 200 words). Please formulate this summary to be comprehensible to scientists without expertise in your field.

In case of a resubmission of the application:

Please specify the project number of the initial application. Please describe the changes compared to the initial application (max. 300 words).

Annex 7

Financial Plan

	Total financial budget of the Helmholtz Young Investigators Group						
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Sum
Own contribution Helmholtz Center							
personnel costs							
costs of materials and supplies							
investments							
Own contribution University							
personnel expenses							
expenses for materials and supplies							
investments							
Total budget Helmholtz Center + University							
Initiative and Networking Fund*							
personnel expenses							
expenses for materials and supplies							
investments							
Total budget of the YIG							

Please indicate only direct project-related costs/expenses. Overheads are not eligible for funding.

* A funding of max. 150,000 euros per full year (or 12,500 euros per full month) of the Initiative and Networking Fund will be provided evenly.

Annex 8

University statement

_____ (university) and the _____
department expressly welcome the application of Mr./Ms. _____
for a leadership position in a Helmholtz Young Investigators Group bearing the title of
_____ at _____ (institute/facility at which the group is to be based).

In order to grant Mr./Ms. _____ scientific independence early on and give him/her the opportunity to gain the relevant qualifications for an academic career, this university and department declare the following:

- As a Young Investigators Group leader, Mr./Ms. _____ will be integrated into research and teaching at the university. By mutual agreement, he/she will be entrusted with teaching responsibilities of not more than four weekly teaching hours per semester.
- Neither the university nor the department will issue official instructions that influence the group leader's independent work on the specified research project.
- Mr./Ms. _____ will be given responsibility for the Young Investigators Group personnel and budget and the authority to supervise doctoral candidates in completing their doctorates.
- The Young Investigators Group will have access to all necessary resources (specify if necessary) and will be able to use the infrastructure of the university (specify if necessary) and the department.

A (junior) professorship is planned yes no

University representative signature
Official stamp

Young Investigators Group leader signature

Department representative signature

Annex 9

Selection of unbiased reviewers

Impartiality issues and conflicts of interest may exist in relation to the research project, the candidate, or the current and future research institutes the candidate is associated with.

Impartiality issues/conflicts of interest may for example arise if the reviewer:

- a. is employed by or plays an active role at a Helmholtz Center
 - b. has a family relationship or close personal ties or contacts with a researcher involved in the application.
 - c. is in close current or planned scientific cooperation with a researcher involved in the application.
 - d. has been in a dependent employment or supervisory relationship (such as a teacher-student relationship at any level up to and including the postdoc phase) with a researcher involved in the application within the last six years.
 - e. is preparing a proposal or carrying out a project closely related to the candidate's research topic (direct scientific competition).
 - f. has had a joint publication or been actively engaged in cooperative research efforts with a researcher involved in the application within the last five years.
 - g. has engaged in intensive use of the research center's facilities within the last five years.
 - h. is currently or has been in an employment relationship within the last five years with the respective Helmholtz Center or the current employer.
 - i. is or has been involved in an ongoing or failed appointment procedure with any of the university partners involved.
 - j. has personal commercial interests of relevance to the application.
- **Please name six potential reviewers and make sure that at least two of them are female scientists. Please refrain from nominating only the most prominent scientists in your field of research, as it may be difficult to get an assessment.**
 - **Please attach the proposals to the application on a separate sheet with complete contact and address data (including e-mail addresses). Please disclose possible points of contact with the reviewers and sign to confirm that no potential bias is known.**

If the bias criteria are not observed, we reserve the right to reject applications before any review has taken place.

Annex 10

**Selection Statistics Helmholtz Young Investigators Groups,
15th call for proposals of January 17, 2018**

Center:

**The Helmholtz Young Investigators Groups were invited to submit proposals on
specific topics**

Yes

No

(please mark as appropriate)

Description of the selection procedure

Selection statistics

	Number
I. Total applications received:	
of which women:	
of which external (Germany):	
of which external (abroad, returning candidates):	
→ please indicate countries:	
of which external (abroad, not returning candidates):	
→ please indicate countries:	

II. Total internally declined applications:	
of which women:	
of which external (Germany):	
of which external (abroad, returning candidates):	
→ please indicate countries:	
of which external (abroad, not returning candidates):	
→ please indicate countries:	

III. Total withdrawn applications:	
-------------------------------------------	--