

**To the Rectorate of the
University of Cologne
via the Dean**

Notation of the Rectorate:
Notice taken and transmitted onward

**For onward transmission
to Division 7 Research
Management**

On the premises

On the premises

**Notification of an externally funded project in accordance with Section 71,
Subsection 3 of the Higher Education Act of North Rhine-Westphalia
(Hochschulgesetz NRW) Request for the creation of an account for third-party
grants to carry out an externally funded project on a defined topic**

This form forms the basis for setting up your externally funded project, so we depend on you to provide as complete and correct information as possible. You have the option of filling out this form online / on your PC and then printing it out. We ask you to make use of this option in order to avoid misunderstandings due to readability.

If you have any questions, please contact the [project managers in Division 7 Research Management](#).

1. Project information

Project title
(max. 500 characters)

Short title¹
(max. 20 characters)

Summary
(max. 2200 characters)

¹Note: If possible, D7 will use this short title in SAP.

Keywords
(separated by
semicolons)

Project assignment to the [Global goals for sustainable development](https://www.un.org/sustainabledevelopment/) ²

(please tick up to **3** most important goals)

² *The Sustainable Development Goals (SDG's) are a universal call to action to end poverty, protect the planet and improve the lives and prospects of everyone, everywhere. The 17 Goals were adopted by all UN Member States in 2015, as part of the 2030 Agenda for Sustainable Development, <https://www.un.org/sustainabledevelopment/development-agenda/>*

- | | |
|--|--|
| 1. No poverty | 10. Reduced inequalities |
| 2. Zero hunger | 11. Sustainable cities and communities |
| 3. Good health and well-being | 12. Responsible consumption and production |
| 4. Quality education | 13. Climate action |
| 5. Gender equality | 14. Life below water |
| 6. Clean water and sanitation | 15. Life on land |
| 7. Affordable and clean energy | 16. Peace and justice strong institutions |
| 8. Decent work and economic growth | 17. Partnerships for the goals |
| 9. Industry, innovation and infrastructure | |

No assignment possible

2. Project leadership

Responsible unit

Contact

Phone

Title

Status

First name

Cost centre

Last name

Email

I have a permanent position at the
University of Cologne.

I have a fixed-term
contract that ends on:

3. Basic information of the project and the funding organization

Planned start

Planned end

Yes No Will you retire during project period?

If so, please indicate the date of your retirement

Name of funding organization

Funding code/
reference number

Yes No Is the project a programme coordinated by the German Research Foundation
- DFG (Research Unit, Priority Programme, Collaborative Research Centre
[incl. CRC/Transregio] or a graduate programme?

If so, please indicate the project type and the number you received from the
DFG (e.g. FOR 1234 for a Research Unit, SFB 1234 or SFB/TRR 1234 for a
Collaborative Research Centre/Transregio, SPP 1234 for a Priority Programme)

Yes No Is the above-mentioned DFG project coordinated at the University of Cologne?

4. Declaration of relations between funding organization and project leadership

There are no other contractual/business relations (particularly in the framework of secondary
employment) between myself as the project leader and the funding organization.

I have the following other contractual/business relations with the funding organization:

5. Type of project

Yes	No	Is this an externally funded project that promises new research results and is carried out in the framework of your regular tasks at the university? ³
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³ This question should be answered with "no" if the focus of the project is on services that promise no new research results. Projects commissioned by third parties that do not aim at generating or verifying scientific knowledge, but rather at providing services to apply established scientific methods should be allocated to your Eigenerwerb (Division 6 Economic and Financial Management). Externally funded projects that are not carried out in the framework of your regular tasks at the university count as secondary employment. The agreement on remuneration for the responsible member of the university generally precludes the project from being processed as a third-party funded project; the entire project must then be carried out as a secondary activity.

6. Transfer

Yes	No	The project has application relevance or serves - also in parts - to make scientific findings usable for society, economy and politics.
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Please note:

"Yes" for: clearly application-oriented projects, whether publicly or privately funded; project parts with the goal of knowledge and technology transfer (e.g., in clusters of excellence, CRCs, continuing education formats for non-university target groups, etc.); expert knowledge for business and society; policy and lay consulting; collaborations with industry/business with clear application reference (cooperation, contract research).

"No" for: Funding directed exclusively to the acquisition of new knowledge, i.e. basic research, alone or in cooperation. Collaboration with industry/business exclusively for the purpose of gaining knowledge without clear reference to application.

7. Project management

The externally funded project should be managed exclusively by the university [normal case]

The externally funded project should not be managed exclusively by the university, but in part or exclusively by the responsible member of the University. [exceptional case]⁴

⁴ Note: The exclusive management of the project or the management of resources for personnel by the responsible member of the university is only possible in exceptional cases and for compelling reasons. You must provide a list of the compelling reasons. Please also see circular note nr. 2/04 on the fight against corruption.

8. Space and facility requirements

Yes	No	I have the necessary space and facilities to carry out the externally funded project.
Yes	No	No construction measures (refurbishing, installation of air conditioning) are required to successfully carry out the project.

Note: Should you answer one or both of these questions with "no", please ask Division 5 (Facility and Property Management) for a statement and include this statement with your notification of the externally funded project. This statement must specify the necessary costs and who will carry them.

9. Financial budget

A financing plan is not required because the project is funded 100% by the DFG, the German Federal Government, the European Union or a non-profit organisation, a financing plan approved by the third-party funding body is enclosed with the approval documents and no follow-up costs are incurred.

A financial budget is not necessary because we/I request the creation of an account for an externally funded project with more than one funding organization. The granting documents contain a financial budget authorized by the external funding organizations, additional funds from the university budget are not required, and there will be no follow-up costs.

In all other cases, a financial budget must be compiled and submitted with this statement. (You can find a template on the website of Division 7 Research Management and in the digital form cabinet of the university administration.)

In order to ensure the full financing of the project, additional funds are required. See the attached confirmation.

10. Notice on procurements and the transfer of assets to the UoC

1. Please note that procurements must always be executed by Department 64 Procurement. Procurement procedures that concern products or services of the funding organization are executed exclusively by Department 64 Procurement.

2. If I am responsible for the management of external funds and purchase assets for the present project - and no other terms and conditions by the funding organization or others apply - I transfer ownership of these assets to the University of Cologne with immediate effect. I am aware that I am responsible for inventorying and identifying these items in accordance with the regulations of the State of North Rhine-Westphalia. The University of Cologne accepts this transfer of assets with immediate effect. Assets that are not transferred to the University of Cologne will be inventoried in a separate list, including their rightful owner, and returned to the rightful owner immediately after the end of the project. I will ensure the maintenance of these assets exclusively with project funds.

11. Declaration on the transfer of property rights

If the funding organization(s) demand(s)

- the transfer of know-how,
- the transfer of results that are subject to property rights,
- the transfer or offer of exclusive or non-exclusive rights of use,
- a share in the revenues generated by the exploitation of the results,

I hereby commit to

- transferring the applicable results,
- transferring the applicable rights of use (pending other provisions in Section 37 the German Copyright Act (UrhG),
- ensuring that all persons involved in the project (project staff, students, and the like) commit to these provisions as well.

The results/rights of use etc. to be transferred can also include results or items that have existed before the start of the project, if they are necessary for the use the results/rights of use generated in the present project.

Note: If the funding organization is an agency governed by public law, these provisions are usually indicated in incidental provisions to the granting documents (e.g., ANBest of the Federal Ministry of Education and Research).

12. Declaration by the project leadership

I am aware that as the project leader I am responsible for the conducting of the project, including strict observance of the budget, hiring the required project personnel, carrying out the project in the contractually agreed timeframe, and the resulting expenditures for personnel. I am moreover responsible for compiling project reports and, if applicable, reports on the exploitation of the project's results. I am aware of the University of Cologne's regulations regarding the allocation and use of indirect project funds (so-called overheads). I agree that at the end of the project period, the depreciation expense for the equipment procured from project funds will be booked via the responsible cost centre of the project. I confirm that no additional agreements have been made and that all required information is provided in the submitted documents. I am moreover aware that the external funds I have acquired are subject to the budgetary regulations. The present project can be carried out or continued within the terms and conditions indicated in this notification / the granting document / the contract.

13. Signatures

..... Date Signature of the project leader
..... Date Signature of the person responsible for the cost centre (if different from the project leader)
..... Date Signature of the dean / head of the central institution, Faculty seal / seal of the central institution
..... Date Signature of the managing director (only if the project leader is not a faculty member at the UoC)

14. Printout

Please note that we can only authorize your project once we have received the original hard copy of this notification with the necessary signatures.