SUPPORT FOR APPLICATION AND IMPLEMENTATION OF YOUR THIRD-PARTY-FINANCED PROJECTS
Dear researchers and scientists,

In recent years, the number and overall level of third-party-financed projects at TU Dresden have risen continuously. This is often associated with an increased need for project management and administration.

As TU Dresden’s research service, we support you in all phases of your project, from its initiation through to its completion. Thanks to the Excellence Initiative, we have been able to extend our range of services considerably.

The research services consist of:

- Directorate 5 “Research Promotion and Transfer” with the following units:
  - Unit 5.1 Research Promotion (Unit 5.1)
  - Unit 5.2 European Project Center (EPC)
  - Unit 5.3 Transfer (Transfer Office) including the Dresden Patent Information Centre (PIZ)
- The Project Scouts (PS)
- The Graduate Academy (GA)
- dresdenexists (d|e)

The following guidelines were developed to provide you with an overview of the range of services available for your third-party-financed projects. In general, we make a distinction between publicly funded projects and contract research.

The project phases of third-party-financed projects are:

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Funding for start-ups

Promoting junior researchers

Contact
Publicly funded projects are of a non-commercial nature and aim at obtaining new scientific results.

The term contract research describes research assignments by a third party (usually from the private sector, but sometimes also from the public sector). The goal of the project is prescribed by the commissioning party, who as a rule holds the rights to the research results. Contract research is subject to value added tax and is calculated on the basis of full cost accounting.

In the project initiation phase, the project idea is developed further and the project outline (publicly funded projects) or project tender (contract research) is drafted. The next step in a publicly funded project differs fundamentally from that taken in contract research. The project proposal (publicly funded projects) is designed in accordance with the requirements of the funding body. In the contract design phase (contract research), aspects relating to the content, organisation and budget of the project are agreed in a joint commitment (contract). During project implementation, the project is conducted according to the work plan and in line with the financial and administrative rules. Upon project completion and reporting of results, ideas for possible application and, if applicable, additional research opportunities are suggested.

If your project has start-up potential, dresden|exists as an experienced partner will advise you and offer support with the economic validation of research findings.

TU Dresden actively supports and promotes early-career scientists. For all your questions regarding your PhD, the Graduate Academy is the central information and service point for junior researchers at TU Dresden.

If you have any questions and/or suggestions, we would be happy to hear from you.

Prof. Dr. Gerhard Rödel
Vice-Rector for Research
Contract research

- IDEENS TUD: an event for interdisciplinary networking and development of project ideas for current and future funding priorities (Project Scouts)
- Research ideas for the market: workshop for scientists that demonstrates the way to a marketable product and a successful business model, using case studies or your own research (dresden|exists)
- Open Institute: an event in research laboratories for networking between science and commercial enterprises (Transfer Office)
- Seminar series “Der Weg zur erfolgreichen Schutzrechtsanmeldung” (The path to successfully registering property rights) offered every semester in collaboration with the SLUB (Transfer Office (PIZ))
- Research service day: annual information day for all researchers and scientists
- Navigating the EU labyrinth: programmes, grants, budgets (EPC)
- Innovation Day: information and networking event on scientific topics, with the participation of industrial enterprises (Transfer Office)

DEVELOPING A PROJECT TENDER

- Agreement on the project tender:
  - Budget based on full cost accounting using cost calculation template
  - Questions of liability
  - Intellectual property
- Providing support in developing strategic collaborations with commercial enterprises
- Property rights search

ADVISING ON SPECIAL CONTRACTS

- Letter of Intent (LoI)
- Memorandum of Understanding (MoU)
- Non-Disclosure Agreement (NDA)

DUTIES OF THE PROJECT LEADER

For questions relating to the following points:
- Possibility of funding personnel costs for developing project proposals using research pool resources
- Letter of Intent (LoI)
- Memorandum of Understanding (MoU)
- Non-Disclosure Agreement (NDA)
- Contract templates (provision and advice)

Please contact Unit 5.1. Research Promotion.

EVENTS

- IDEENS TUD: an event for interdisciplinary networking and development of project ideas for current and future funding priorities (Project Scouts)
- Research ideas for the market: workshop for scientists that demonstrates the way to a marketable product and a successful business model, using case studies or your own research (dresden|exists)
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PROJECT PROPOSAL

Publicly funded projects

PROJECTS WITHIN EU FUNDING PROGRAMMES

- Submitting a proposal via the electronic Participant Portal (EPC)
- Supporting the submission of a proposal (budget planning, administrative aspects of the proposal)
- Preparing parts of a proposal, in particular those of an administrative and organisational nature
- Calculating legally binding signatures (e.g. NDA)
- In the case of co-ordinated proposals: fulfilling obligations for all project partners of the collaborative project

MAJOR RESEARCH PROJECTS WITHIN NATIONAL FUNDING PROGRAMMES

- Special procedure for applying in accordance with notification PF 1/2011 for:
  - Co-ordinated DFG programmes
  - The BMBF’s lead projects

OTHER PROJECTS WITHIN NATIONAL FUNDING PROGRAMMES

- Providing support with preparing proposal documents
- Checking the project budget
- Advising on financing options for the applicant’s own contribution
- Assessing legal aspects of separate accounting
- Registering the proposed projects in the controlling systems by means of assigning a PSP element (submit notification of third-party funding)
- Providing suitable contract documents (contract templates) and advising the project leader
- Examples of negotiation issues:
  - Rights management
  - Rules for the collaboration with universities and commercial enterprises
  - Liability
  - Publications etc.

INTELLECTUAL PROPERTY AND TRANSFER

- Providing support for developing commercial exploitation strategies
- Advising on and establishing rules for intellectual property

IN THE EVENT OF A REJECTION

- Review and options for a new/alternative submission of a research proposal

DUTIES OF THE PROJECT LEADER

- Please submit the following to Unit 5.1. Research Promotion:
  - Notification of third-party funding
  - Complete application documents for the legally binding signature (at least 5 working days)
- Fulldcost calculation
- Sending the application to the project sponsor via Unit 5.1
- Using contract templates (e.g. for co-operation contract)
- Early agreement of individual contractual arrangements with Unit 5.1
- Sending a copy of the notification of acceptance or rejection to Unit 5.1 immediately upon receipt
CONTRACT DESIGN

Contract research

- Assessing legal aspects of separate accounting
- Checking the project budget calculation
- Assessing specific contractual agreements that diverge from the contract templates
- Contract negotiations
- Examples of negotiation issues:
  - Rights management
  - Rules for collaborations
  - Liability
  - Publication
  - Terms of contract termination

INTELLECTUAL PROPERTY AND TRANSFER

- Advising on and establishing rules for intellectual property

DUTIES OF THE PROJECT LEADER

Please obtain from Unit 5.1. Research Promotion:
- the legally binding signature (at least 5 working days)
  when the contract is awarded

FRAMEWORK CONDITIONS BEFORE PROJECT START

You have received notification that your project has been accepted, and forwarded it to Unit 5.1 or the EPC: so what is the next step? Before work starts on the project, the administrative tasks relating to the preparation of the project should be complete, e.g. payment request, staff recruitment, basic equipment, organising rooms. As soon as Unit 5.1 or EPC have received the notification of grant agreement, the project will be marked as funded in the SAP system. The persons responsible in Directorates 1, 2 and 4 are available to assist scientists with questions relating to the organisational framework.

PUBLICLY FUNDED RESEARCH PROJECTS/CONTRACT RESEARCH

- Completion of contract or grant agreement for collaborative projects (EU: also individual grants such as MSCA and ERC) through a legally binding signature

FINANCIAL MANAGEMENT OF THE PROJECT

- For publicly funded projects:
  - funds are made available in accordance with the grant agreement or contract
  - payment requests; etc.
  - financial report
  - For contract research
    - issuing invoices

PERSONNEL ISSUES

- For all questions relating to staff recruitment:
  - Job valuation
  - Checking job advertisements
  - Explaining reasons for fixed term contracts etc.

PROPERTY MANAGEMENT

- Provision of rooms
**PROJECT IMPLEMENTATION**

- **PROJECTS WITHIN EU FUNDING PROGRAMMES**
  - Checking and authorising contracts/grant agreements; if applicable, setting up partner contracts/agreements
  - Controlling of schedules and budgets
  - Monitoring programme-specific regulations and ensuring their implementation
  - On-going communication with funding agency
  - Reporting, auditing, checking eligibility of costs
  - Support Team: EPC

- **PROJECTS WITHIN NATIONAL AND NON-EUROPEAN FUNDING PROGRAMMES**
  - Advising on contractual issues (e.g. changes in duration; shifting of funds)
  - Awarding contracts to third parties in agreement with TU Dresden's Purchasing Unit
  - Support Team: Unit 5.1

- **PROPERTY RIGHTS**
  - Applying for and managing property rights
  - Support Team: Transfer Office

**DUTIES OF THE PROJECT LEADER**

- Complying with the conditions in the grant agreement (for public projects)
- Informing Directorate 1 about invoices (for contract research)
- When commissioning third parties, please co-ordinate with Unit 5.1
- Submitting patent applications for inventions (Transfer Office)

**EVENTS**

- Seminar series “Der Weg zur erfolgreichen Schutzrechtsanmeldung” (The path to successfully registering property rights) offered every semester in collaboration with the SLUB (Transfer Office (PIZ))

**PROJECT COMPLETION**

In addition to the classic results of research projects, namely publications in scientific journals and contributions to conferences and meetings, we also offer you further opportunities for commercially exploiting, marketing and refining your project results.

- **MARKETING/COMMERCIAL EXPLOITATION**
  - Marketing research results at trade fairs, in the Dresden Transfer Letter, at events (e.g. innovation days, collaborative workshops)
  - Advising on the commercial exploitation of research results
  - Setting up contracts for commercial exploitation (licensing, sales)
  - Acquisition of commercial exploitation partners
  - Negotiating contracts for commercial exploitation
  - Support Team: Transfer Office

- **ADVISING ON FOLLOW-UP FUNDING**
  - National and non-European funding
  - EU funding
  - Funding for prospective start-ups
  - Project Scouts
  - EPC
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- **PROJECT ADMINISTRATION**
  - Administrative completion of the project
  - Directorate 1

**DUTIES OF THE PROJECT LEADER**

- Producing project reports
- Registering the project in the research information system (recommended)
FUNDING FOR START-UPS

REVOLUTIONARY RESEARCH RESULTS?
SET UP A COMPANY AND BE YOUR OWN BOSS.

If a new technology, software, material, process etc. has emerged during your doctorate or research project, and you are considering whether this might be the basis for setting up your own company, then dresden|exists, the TU Dresden's service team will accompany you from the initial idea to the successful start-up.

EVENTS

- **IDEENSTUDIO**: an event for interdisciplinary networking and developing project ideas for current and future funding priorities (Project Scouts)
- **Workshop on assessing potential**: opportunities and paths for transferring your research results into marketable products are assessed with an individual research group (dresden|exists)
- **Opens Institute**: an event in research laboratories for networking between science and commercial enterprises (Transfer Office)
- **Navigating the EU labyrinth**: programmes, grants, finances (EPC)
- **Innovation Day**: information and networking event on scientific topics, with the participation of industrial enterprises (Transfer Office)

**DRESDEN|EXISTS WILL SUPPORT YOU AND YOUR BUSINESS IDEA BY**

- Assessing the commercial potential in a first individual consultation session
- Supplying you with a personal advisor on start-ups from the initial idea to founding the company
- Helping with the joint development of a viable business model
- Offering special workshops and seminars for founders
- Providing a network of experts, founders, investors, and much more

**SPECIAL FUNDING PROGRAMMES FOR YOUR START-UP PLANS**

- Up to 1.5 million euro for preparing your start-up with EXIST-Forschungs-transfer, GO-Bio and VIP+
- We work with you on an outline of your idea/proposal/business plan for applying for funding
- We find partners (team members, mentors, coaches) for projects eligible for funding
- Together with you, we implement business work packages
- We offer support with administrative tasks (e.g. budget planning, amendments, documentation)
PROMOTING JUNIOR RESEARCHERS

Supporting and promoting early-career researchers are top priorities at TU Dresden. Tailor-made support formats for the different phases of a scientific career have been developed and are available to junior researchers at TU Dresden.

PHD CANDIDATES AND POSTDOCS

will find a broad spectrum of services at the Graduate Academy (GA), the central contact point for early-career researchers at TU Dresden:

- Individual consultation sessions before, during and after the doctoral degree
- A qualification programme specifically designed for early-career researchers on the topics “Towards the PhD” – “Professional in Science” – “Management and Leadership” and “Career Development”
- Funding programmes, e.g. subsidies for travel costs and short-term scholarships
- Events providing the opportunity for interdisciplinary exchange and networking

Membership in the GA is free of charge and open to all PhD candidates, their supervisors, and postdocs at TU Dresden.

INDEPENDENT JUNIOR RESEARCH GROUP LEADERS

at TU Dresden and at partner institutions of DRESDEN-concept can apply to the University Management to be nominated as a TUD Young Investigator (YI). This status, which is awarded temporarily, enables a close co-operation and integration within the Faculty.

Every Young Investigator

- is assigned a university lecturer to act as mentor and direct contact,
- is accepted as reviewer and examiner for PhD procedures, in particular for dissertations (co-)supervised by him/her,
- is given the opportunity to take part in teaching,
- will be invited to the public part of Faculty Council meetings and
get the opportunity to participate in an individually designed training programme, e.g. on the topics of “Supervision” or “Personnel/team management”.

The Appointment Officer of the Rector at TU Dresden will assist you with all your questions regarding qualification program for junior professors: berufungsbeauftragte@tu-dresden.de.
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CONCEPT, DESIGN & REALISATION RAD UND STOCK