

Research Program “Fraunhofer Attract”

Funding Guide

Department P31 “Internal Research Programs”

Status: March 2020

This document is a translation of the original German version (Förderfibel Fraunhofer Attract). While every effort has been made to ensure the accuracy and completeness of the translation, please note that only the German original is binding.

| Version | Change on | Page | Topic |
|--|------------|-----------------|-------------------|
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The following abbreviations are used for departments at Headquarters of Fraunhofer-Gesellschaft:

| | |
|-----|---|
| 1B | Division "Human Resources" |
| 2P | Division "Research Management and -governance" |
| 3P | Division "International Affairs and Internal Research Programs" |
| B1 | Department "HR Development" |
| B2 | Department "HR Management" |
| B9 | Department "Patents and Licences" |
| B32 | Department "Strategic Cooperations, International Affiliates and Copyright" |
| P21 | Department "Institutional Funding and Research Investments" |
| P22 | Department "Research Coordination Production, Light and Surfaces, Innovation" |
| P23 | Department "Research Coordination Microelectronics, ICT" |
| P24 | Department "Research Coordination Materials, Life Sciences" |
| P31 | Department "Internal Research Programs" |

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1 An overview of Attract

| | |
|-------------------------------------|--|
| Target group | <ul style="list-style-type: none"> • Excellent scientists in postdoctoral career phase or equivalent • Application-oriented researchers from industry and business |
| Project idea | Funding is allocated to creative project ideas that show a high degree of innovation, outstanding exploitation potential and a perfect fit with institute strategy. |
| Application | Collaborative application by an external scientist together with a Fraunhofer Institute |
| Submission | Application of max. 30 pages using the template in PDF format to: hannah.venzl@zv.fraunhofer.de CC: michaela.manghofer@zv.fraunhofer.de by the respective application deadline |
| Duration of funding | 5 years (3+2) |
| Volume of funding | Max. € 2.5 million |
| Finance | 50/50 funding: 50% Fraunhofer Institute and 50% Headquarters |
| Call for proposals | Twice per year For details of deadlines, see http://s.fhg.de/attract-en |
| Process | Two-stage competitive application process |
| Evaluation Committee | Internal Evaluation Committee |
| Evaluation Committee members | <p>Chair</p> <ul style="list-style-type: none"> • Prof. Dr. Alexander Kurz, Member of the Executive Board; Human Resources, Legal Affairs and IP Management (VB) <p>Members</p> <ul style="list-style-type: none"> • Elisabeth Ewen, Director Human Resources 1B, Fraunhofer Headquarters • Prof. Dr. Raoul Klingner, Director Research Management and -governance 2P, Fraunhofer Headquarters • Prof. Dr. Alexander Böker, Institute Director Fraunhofer IAP • Prof. Dr. Christoph Kutter, Director Fraunhofer EMFT • Dr. Silke Sommer, Fraunhofer IWM, representative of the research fellows on the Scientific and Technical Council of the Fraunhofer-Gesellschaft |
| Evaluation decision | Binding notification of the decision immediately following the meeting of the Evaluation Committee |
| Contact | Dr. Hannah Venzl, hannah.venzl@zv.fraunhofer.de , Tel.:+49 89 1205-1220 |

1.1 Objectives of the “Fraunhofer Attract” program

The research funding program Fraunhofer Attract offers outstanding external scientists the opportunity to develop their ideas in a close-to-market environment oriented towards practical application at the interface between industry and science.

The Fraunhofer-Gesellschaft pursues the following objectives through the Attract program:

- **Systematic recruitment and promotion of excellent scientists with innovative ideas**
There is outstanding talent in the field of fundamental research and industry whose research work produces results and ideas with transfer potential. These ideas are frequently not developed far enough to be able to be marketed on an application-oriented basis or made available to companies for further exploitation via a licensing arrangement. At the same time, the home institutions of these researchers do not always provide the necessary environment to enable these ideas to be developed in a way that is geared towards practical application. Fraunhofer is able to offer a professional setting for practically oriented research and therefore invites the finest minds to implement their concepts under the umbrella of the Fraunhofer-Gesellschaft.
- **Qualification for leadership positions**
By directing their own research group with responsibility for personnel and budget and undergoing an individual advanced training program, scientists are able to qualify to take on leadership positions in applied research, at universities or in industry.
- **Establishment of new competencies and business areas**
Scientists’ skills and expertise provide an ideal supplement to the portfolio of the relevant Fraunhofer Institute, introducing fresh know-how. The newly established groups are integrated closely in a Fraunhofer Institute and provided with excellent working conditions in ideally equipped Fraunhofer laboratories. The new group managers and the Fraunhofer Institute itself are offered the opportunity to establish a new R&D segment at the institute beyond the term of the project and tap into new business areas.
- **Preservation and further enhancement of Fraunhofer’s appeal as an industrial innovation driver**
Project outcomes should be of economic interest to companies based on their degree of innovation. Follow-up projects after the project term or licensing of the results are to result in the permanent, ongoing existence of the research group, which is why the aim is to establish a solid IP basis during the funding phase. In the long term it would also be possible to create a spin-off and transfer the research group to an industrial enterprise.

1.2 Criteria for participation

The funding program Fraunhofer Attract is aimed at external scientists who may not be employed by Fraunhofer-Gesellschaft at the time of application. Employment with Fraunhofer-Gesellschaft further in the past is not essentially a problem. In this case we would ask you to check with Program Management in advance (see section 0). The Attract groups are integrated thematically, organizationally and geographically in the relevant Fraunhofer Institute or independent institution (hereinafter referred to simply as "institute" for the sake of better readability), which is why joint application with the Institute Director is a fundamental prerequisite.

For this reason, candidates who do not have existing contacts with a Fraunhofer Institute must identify potential institutes prior to submitting an application and clarify the potential available for collaboration and support. In this case it is advisable to contact such institutes directly at operational level. The project objectives of the group under application should match the areas of expertise of the institute in question and fit in directly with the institute's strategy. The work done at a Fraunhofer Institute is complex; due to its multi-faceted orientation it is sometimes difficult to communicate from a distance. It is therefore recommended that institutes and candidates interested in collaborating should invest several days (including guest research visits if necessary) in jointly preparing the application and getting to know each other.

Criteria for participation candidates

The target groups are primarily:

- Excellent scientists with innovative ideas (at least at doctoral level or equivalent, additional postdoc experience recommended)
- Application-oriented researchers from industry and business
- Researchers with entrepreneurial ambitions

Ideally, candidates should not only have a particularly marked interest in research but also possess classic leadership and management skills, since a major focus is on tasks in the areas of business administration, personnel management, acquisition and marketing. The ultimate goal of the funding program is for the group manager to successfully turn the original idea into a marketable R&D product. For this reason, personality and excellence of the candidates are key criteria for the funding decision, as well as scientific quality, degree of innovation, the creativity of the project idea and the strategic fit.

Criteria for participation Institute

Every institute may submit one application under the Attract program in each round of applications. There is no limit to the number of current Attract groups per institute. Institutes, facilities, project groups or other units that are new to the Fraunhofer-Gesellschaft and therefore potentially receive start-up funding should contact the Attract Program Management (P31), Ms. Krug (P21) or the respective Research Coordination (P22, P23, P24) prior to submitting an application so as to clarify whether they are eligible to receive funding through the Attract program as part of Fraunhofer's internal programs. Foreign Fraunhofer affiliated partners (and their centers) are not eligible to apply for funding under the Attract program.

50/50 funding

The **maximum funding amount** is € 2.5 million over 5 years per group (excluding depreciation). This covers the costs of the group manager plus 3-4 new employees (with employment contracts usually limited to the duration of the project), e.g. a postdoc position, doctoral students and/or technical assistants, as well as any necessary investments. The Fraunhofer-Gesellschaft and the respective Fraunhofer Institute share the funding amount to finance the group ("**50/50 funding**", i.e. 50% Fraunhofer Headquarters and 50% Fraunhofer Institute). The maximum funding amount does not have

to be fully utilized; applications can remain below the maximum amount. Detailed information is provided in the section 5 Finance.

An overview of Attract

1.3 Protagonists

Various protagonists are involved in the internal processes and organizational procedures of the program – from the call for proposals and funding decision through to project monitoring, quality assurance and project evaluation in relation to the “critical milestone” and project completion. Their roles are briefly described below.

1.3.1 Program Management

The Executive Board of the Fraunhofer-Gesellschaft has commissioned Department P31 Internal Research Programs at Headquarters to manage the funding program. P31 is responsible for organizing the funding procedure, advising applicants, providing technical support for the projects, monitoring the achievement of objectives (technical and administrative), program continuation, and both internal and external information management.

Program Management contact:

Dr. Hannah Venzl, Fraunhofer Headquarters, Department P31
☎ 089/1205-1220; hannah.venzl@zv.fraunhofer.de

Contact for administrative matters:

Michaela Manghofer, Fraunhofer Headquarters, Department P31
☎ 089/1205-1219; michaela.manghofer@zv.fraunhofer.de

1.3.2 Evaluation Committee

The Fraunhofer Attract Evaluation Committee arrives at the funding decision based on the project applications and the presentations by the candidates in person. During and after completion of the projects, P31 keeps the committee informed of project progress and the results achieved.

Members of the Fraunhofer Attract Evaluation Committee:

- Prof. Dr. Alexander Kurz, Member of the Executive Board; Human Resources, Legal Affairs and IP Management (VB); Chair of the Evaluation Committee
- Elisabeth Ewen, Director Human Resources 1B, Fraunhofer Headquarters
- Prof. Dr. Raoul Klingner, Director Research Management and -governance 2P, Fraunhofer Headquarters
- Prof. Dr. Alexander Böker, Institute Director Fraunhofer IAP
- Prof. Dr. Christoph Kutter, Director Fraunhofer EMFT
- Dr. Silke Sommer, Fraunhofer IWM, representative of the research fellows on the Scientific and Technical Council of the Fraunhofer-Gesellschaft

1.3.3 Personnel development

One of the aims of the Attract program is to promote the development of scientists into leaders for applied research, university careers or business. This is done by having them take over leadership of their own research group complete with personnel and budget responsibility, backed up by qualification measures based on an individual advanced training schedule.

This schedule is set out based on discussion between the Attract group manager and Program Management regarding the establishment and development of the competencies that are important to the success of the Attract project. The institute's HR development provides support in this process, helping to compile individually tailored advanced training schedules both for the Attract group manager and the associated team. The costs of the advanced training courses are to be paid for out of the Attract funding budget.

Contact for HR development:

Sylvia Raabe, Fraunhofer Headquarters, Department B1

☎ 089/1205-2117; sylvia.raabe@zv.fraunhofer.de

1.3.4 Candidate / later project manager

The application for an Attract group is submitted jointly by the candidate and the Director of a Fraunhofer Institute. During the application phase, the candidate and the Institute Director of the applying institute are responsible for submitting the project application and coordinating with Program Management.

The Attract group manager is responsible for managing the project and reporting on a regular basis to P31 during the project term. All obligations and powers are set out in the funding notification.

1.3.5 Fraunhofer Institute

The applying institute has a major strategic interest in establishing the Attract group's field of activity at the institute. It therefore participates in funding the group, providing it with the infrastructure necessary to achieve project objectives and offering its general support and network.

The Institute Director (or a duly authorized representative) supports the candidate's participation in the call for proposals and is available as a contact at the institute. In particular, this includes participation in preparing a detailed project proposal, referral to the management committee of the institute ("ILA") of the plans relating to the Attract group or project idea, and support for the candidate in the event of questions or problems relating to the application.

SIGMA
Project administration

The Attract group's **project costing and accounting** are carried out in SIGMA, see section 5 Finance, by the administration of the participating institute. Support at Fraunhofer Headquarters is provided by Michaela Manghofer (Department P31, see section 0 for contact details).

2 Application procedure

There are **two calls for proposals** every year. The deadlines for submitting project proposals are published together with the dates of the Evaluation Committee meetings on the Fraunhofer-Gesellschaft intranet¹ and web pages². Candidates submit a complete project proposal together with the Institute Director in time to meet the deadline. The funding decision is made approximately eight weeks after the deadline.

Dates

2.1 Process

P31 is available to candidates and institutes in an advisory capacity throughout the entire selection process. In particular, an in-depth personal consultation is offered at Fraunhofer Headquarters (see section 0 for contact details). The application procedure is described in Figure 1.

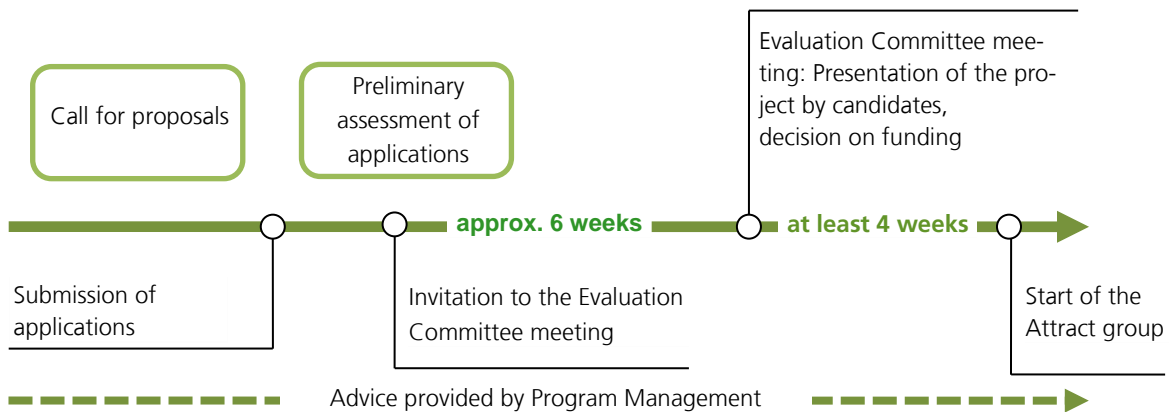


Figure 1 Timing of the application procedure

After receipt of the applications, a **preliminary assessment** of the applications is carried out by B1, P31 and the relevant Research Coordination (P22, P23, P24). This provides the basis for a decision on which candidates are to be invited to the Evaluation Committee meeting. This decision is made approximately two weeks after the submission of the applications and is then communicated immediately to the Institute Directors of the applying institutes.

Preliminary assessment

The final **funding decision** is made by the Fraunhofer Attract Evaluation Committee based on the project applications and the presentations given by the candidates at the Evaluation Committee meeting. P31 informs the Institute Directors of the applying institutes in writing of the results of the evaluation immediately after the funding decision has been made. Positively evaluated applications can begin with the project initiation phase as described in section 3.1.

Funding decision

¹ Fraunhofer-Intranet > Forschungs- und Projektarbeit > Interne Förderprogramme > Interne Forschungsprogramme > Attract

² <http://s.fhg.de/attract-en>

2.2 Project application

The project application must meet the following requirements:

- Use of the Word template (available on the Fraunhofer-Gesellschaft intranet¹ and web pages².)
- Length: main section of no more than 30 pages (sections 1 to 4) plus appendix
- Binding indication of the planned start date
- A binding, compelling cover letter or letter of recommendation from the Institute Director
- Further references recommended
- Submission of applications in PDF format only by e-mail
To: Dr. Hannah Venzl (hannah.venzl@zv.fraunhofer.de) and
CC: Michaela Manghofer (michaela.manghofer@zv.fraunhofer.de)

2.3 Evaluation criteria

Project proposals are evaluated with regard to the **project idea** and the **excellence of the candidates**. These two aspects are given equal weighting in the overall evaluation.

The following matrix provides the framework for the evaluation of project proposals. The questions listed serve as a guideline for the application and should be answered carefully and compellingly, in both the application and, where relevant, the presentation.

| | Excellence How outstanding is the approach of the project? | Fulfillment of program objectives How well does the project fit into the specific program and its strategic objectives? | Implementation What level of quality and efficiency is reflected in the planned implementation? |
|----------------------------------|---|--|--|
| Protagonists / consortium | <p>Are the protagonists within Fraunhofer the best/most suitable individuals to implement the project and achieve the objectives (competitiveness and network)?</p> <p>Are Fraunhofer's strengths put to optimum use (consortium has suitable and complementary competencies as well as synergy potential)?</p> <p>Do the protagonists possess the appropriate social skills required for project implementation?</p> <p>Are the project manager and business developer suited to their specific roles?</p> <p>Are project manager / business developer able to demonstrate the relevant background and professional achievements appropriate to their role?</p> | <p>Is it true to say that the project objectives do not conflict with existing competencies of other institutes?</p> <p>Is it only possible to attract the project manager through the program?</p> <p>Do the ideas and competencies of the external applicant and the R&D content of the project fit in well with the corresponding Fraunhofer Institute and effectively complement its expertise?</p> | <p>Are the competencies plausibly presented?</p> <p>Is the process model appropriate (management plan, waterfall, scrum, etc.)?</p> <p>Does the distribution of work packages adequately reflect the competencies?</p> <p>Are the resources appropriately distributed?</p> <p>Are good scientific practice and corporate governance ensured?</p> |

| | Excellence How outstanding is the approach of the project? | Fulfillment of program objectives How well does the project fit into the specific program and its strategic objectives? | Implementation What level of quality and efficiency is reflected in the planned implementation? |
|-----------------------------|---|--|---|
| R&D / technology | <p>To what extent does the project reflect a high scientific standard and excellent R&D depth?</p> <p>Does the approach possess unique scientific and technological potential?</p> <p>Does the R&D content contribute to progress as compared to the state of the art in science and technology?</p> <p>To what extent is the approach original?</p> <p>How cogent is the approach?</p> | <p>Is the project compatible with the TRL target range of the program?</p> <p>Does project funding in this format make sense (possible alternatives, leverage through supplementary funding, sufficient funding, etc.)?</p> <p>Is there a particular strategic fit, especially for the realization of joint strategies (Fraunhofer, Fraunhofer-Group, institutes)?</p> <p>Is a new development, expansion or supplementation of Fraunhofer to be expected in terms of business areas or R&D portfolios?</p> <p>Do the prerequisites and potential for a long-term strategic research orientation apply?</p> | <p>Has the state of the art in science and technology been comprehensively presented?</p> <p>Is an effective and plausible work schedule available?</p> <p>Have plausible and effective targets been set along with realistic goal achievement expectations in terms of time and budget?</p> <p>Are targets, milestones and deliverables measurable?</p> <p>Is there a clear description of the results to be presented, decisions to be made and possible consequences?</p> <p>Is there an effective and plausible link between milestones and deliverables in relation to the project goals?</p> <p>Is there a suitable concept for validation of the results?</p> <p>Is the necessary scientific, technical and operational infrastructure in place?</p> <p>Is it plausible that the project will be eligible for follow-up funding?</p> |

| | Excellence How outstanding is the approach of the project? | Fulfillment of program objectives How well does the project fit into the specific program and its strategic objectives? | Implementation What level of quality and efficiency is reflected in the planned implementation? |
|-------------------|--|---|--|
| Transfer / market | <p>Does the envisaged solution offer clearly recognizable benefits and advantages over known alternatives?</p> <p>Are the envisaged project results capable of standing their ground against external and internal competitors (IP, market position, networks, legal situation, etc.)?</p> <p>Is it plausible to anticipate a re-search market of significant size?</p> <p>Is there significantly high revenue potential (from industrial contracts, licenses, spin-offs) in relation to the risk and funding amount?</p> <p>Is there a particular relevance with regard to Fraunhofer's social mission?</p> | <p>Is there potential to generate significant and long-term returns?</p> <p>Will a new market be created for Fraunhofer or an existing one significantly expanded?</p> <p>Is the fulfillment of the "Fraunhofer model" realistic in the long term?</p> <p>Will scientific visibility be possible (e.g. through publications)?</p> | <p>Is there a convincing transfer strategy in the relevant dimensions of exploitation and a viable business model for the participating institutes (business plan, revenue potential and probability, range of scenarios)?</p> <p>Is there a plausible follow-up potential with regard to industrial orders?</p> <p>Is there a demonstration of sufficient knowledge regarding internal and external competitors as well as the market situation and dynamics?</p> <p>Is an effective and plausible strategy in place with regard to property rights?</p> <p>Is the intended unique positioning or added value correctly outlined?</p> |

3 Project path

3.1 Project initiation

Once the Evaluation Committee has arrived at a positive decision, the institute receives a “letter of appointment” as formal confirmation so as to be able to initiate the appointment process with the candidate. The project starts on the date the new Attract group manager joins the institute, which must coincide with the start date as specified in the application. It is not possible to post accounting entries for the project prior to this date. The project initiation phase is shown in .

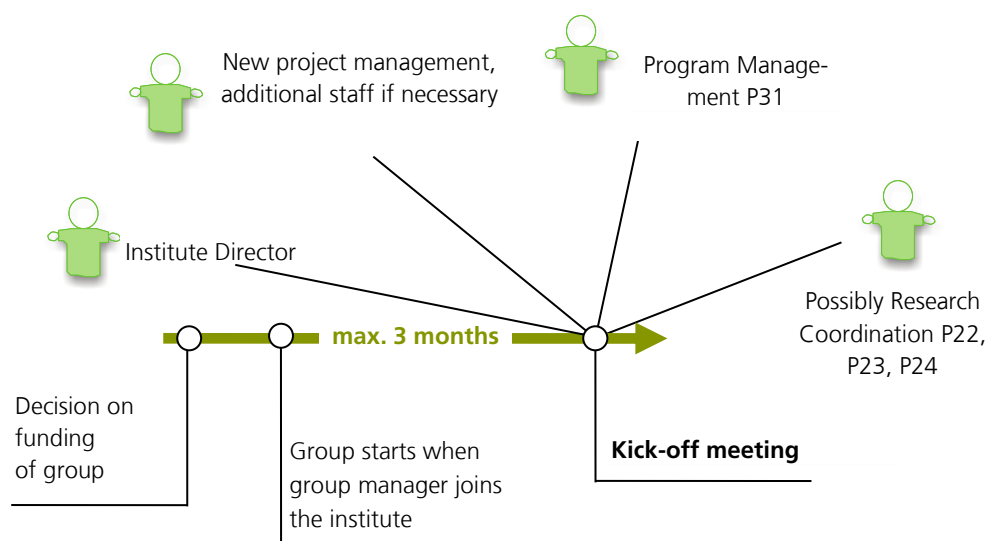


Figure 1: Project initiation

Kick-Off meeting No later than three months after the project start, the obligatory **kick-off meeting** takes place, attended by the Institute Director, the Attract group manager, new employees if required and Dr. Venzl representing Program Management. For the purpose of project management, subgoals and interim results have to be defined that are to be conclusively agreed on no later than at the kick-off meeting.

Milestones The **milestones** must be plausible and measurable and are anchored in the funding notification. In particular, it is necessary to specify the results to be submitted for each milestone and the decisions to be taken (e.g. termination of subprojects, new focus areas, marketing measures, etc.) as well as potential consequences or termination criteria. The recommendation is for approximately five milestones to be defined at 12-month intervals. Reports are to be submitted to P31 for the milestones. The so-called **“critical milestone”** is to be set for the end of the third year of the project. For the critical milestone, a mandatory **status meeting** is held at the institute (see section 3.2).

funding notification The official **funding notification** is sent out in the project initiation phase after the kick-off meeting has been held and milestones have been defined. It is signed by Director P1 of Headquarters, representing the Executive Board of the Fraunhofer-Gesellschaft, and Dr. Venzl, representing Program Management.

At the beginning of the project, the approved **funds** are only released for a three-year project period, with the funds for project years 4 and 5 being initially blocked. After a successful interim evaluation and after the status meeting relating to the critical milestone has been held after a three-year project period, funds are released for the remaining two years.

Project path

Funds

3.2 Project implementation

The protagonists involved carry out the project in partnership based on the work schedule elaborated during the project initiation phase. The project process is shown in .

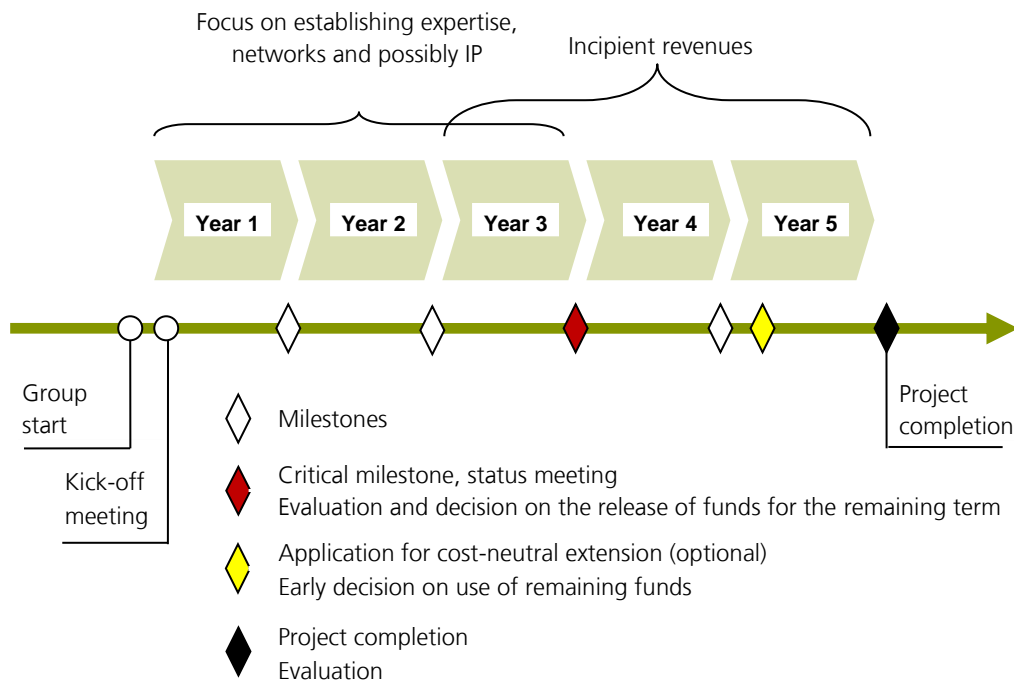


Figure 2: Project implementation

During the course of the project, the project management applies quality assurance measures in accordance with standard Fraunhofer-Gesellschaft operating procedures.

Quality assurance measures

Milestone tracking is carried out by P31 on behalf of the Evaluation Committee. The group manager keeps Program Management updated on the achievement of milestone goals in the form of milestone reports. The reports are based on the template "Milestone Report Attract" which is available for download on the Fraunhofer intranet¹.

Milestone reports

For the **"critical milestone"**, a detailed report is to be submitted after a three-year project period which specifically contains an updated market analysis and a look ahead to the further project duration and strategic planning (continued existence of the group at the institute after completion of Attract, group manager's prospects at the institute, organizational development of the group, etc.).

Critical milestone report

Project path

Interim evaluation with colloquium and status meeting

The recommendation is to hold a **colloquium** on the critical milestone at the institute for the purpose of interim evaluation of the Attract group, with the participation of Program Management, cooperation partners and any interested colleagues at the institute as well as other stakeholders. In addition, a **status meeting** should ideally be held following the colloquium to formally discuss and decide on the development prospects of the respective group manager. Dr. Venzl, Program Management, conducts the status meeting with the Institute Director and the Attract group manager. Based on the report, colloquium and status meeting, the funds are released for the remaining duration of the Attract project, providing the evaluation is positive. A decision regarding early termination in the event of non-achievement of the critical milestone goals is taken by the Evaluation Committee at the request of P31 and the respective Institute Director. (on this point, see also section 3.3)

industrial revenues

From the fourth year of the project at the latest, the group should generate initial revenues in order to support the transfer mission and initiate establishment of the group at the Fraunhofer Institute after the funding phase (fulfillment of the "Fraunhofer Model"). Attract groups are not subject to any RoI requirement during the funding period, however.

Project-related advanced training

Funding of the selected scientists has the character of a "sponsorship award". Within Fraunhofer, the "award winners" receive special personal support above and beyond provision of equipped work facilities. This includes personal, professional and management-oriented further development opportunities (academic qualifications such as habilitation or the equivalent are not the primary focus here). Program Management, the respective superior and HR Development at the institute advise Attract group managers on suitable measures and support them in developing an individual advanced training schedule. The costs of the advanced training courses are to be paid for out of the Attract funding budget. (B1 contact details, see section 0).

Group manager networking meetings

The Attract group managers together form an internal Fraunhofer network that exchanges information on a cross-disciplinary basis. An annual meeting of all sponsored scientists supports the Fraunhofer-wide transfer of expertise and close networking among participants. Individually tailored non-specialist qualification opportunities are offered in connection with the group manager meetings.

3.3 Project completion

Final success monitoring of the project is carried out during the project completion phase. Success is deemed to have been achieved if the objectives listed in section 1.1 have been met. In particular, the group manager is to have taken up a responsible position at the institute, new competencies and business areas are to have been established and the transfer of research outcomes to application is to be verifiable. The project completion phase is shown in Figure 3.

Application for cost-neutral extension

A sponsored group can submit an **application for cost-neutral extension** no earlier than the beginning of the final project year. This must contain a detailed description of achievements to date as well as the planned further development of the project or the Attract group and its area of research. An updated budget plan must also be submitted. The aim is to carry out an early evaluation of the project and consider the possibility of the group's continuation at the institute in order to increase planning reliability. In principle, an extension of up to one year is possible. The extension must be supported by the Institute Director (or a representative appointed by the institute and responsible for the Attract group). The application is submitted to the "Fraunhofer Attract" Evaluation Committee via P31 and can be combined with a milestone report.

Once again, the basis for this is the template “Milestone Report Attract”, which is available for download on the Fraunhofer intranet¹.

Project path

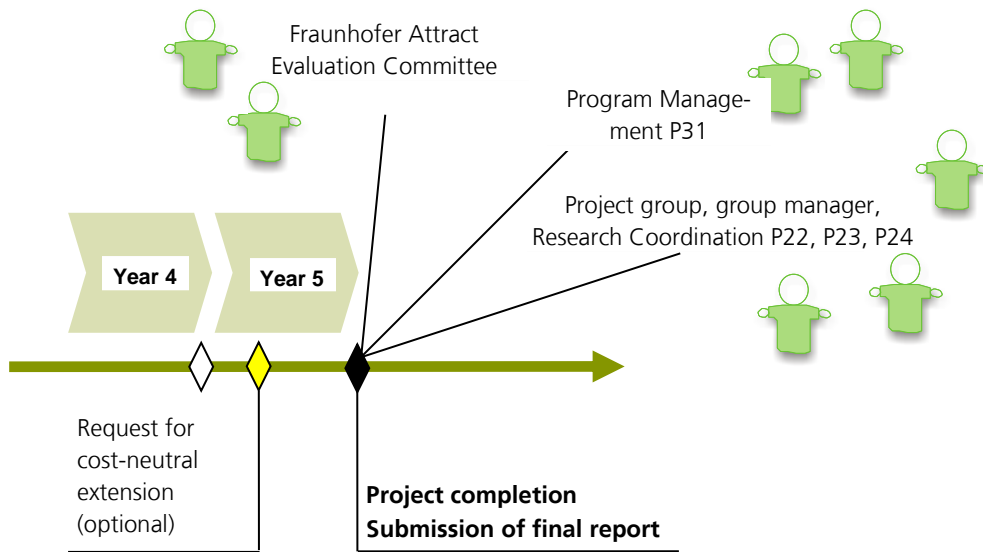


Figure 3: Project completion

The following criteria apply to the allocation of unspent funds:

- Retention of the group manager at the institute
- Further development of the group and the research field at the institute
- Measurable scientific output
- Successful transfer of research results to applications (e.g. through research contracts from industry, licensing of research results or a spin-off)
- Public revenues
- Reduced use of internal funding due to expenditure being covered by external revenues (foreseeable funding of the group according to the “Fraunhofer Model”)
- Plausible work schedule, cost projection and exploitation plan for the project extension phase

In the event of a positive evaluation, **unspent funds are released** for a phase of up to one year after project completion (proposal by P31 to the Evaluation Committee). Depending on the fulfillment of the evaluation criteria, Attract funds not spent by the end of the project period are either reduced, canceled or credited to the project.

unspent funds

No later than six months after the end of the project, the group submits a **final report** via P31 to the Fraunhofer Attract Evaluation Committee. The report is based on the “Final Report Attract” template available for download on the Fraunhofer intranet¹. **The final report is mandatory**, and the Evaluation Committee reserves the right to reclaim Attract funding from the institute if the final report is not submitted.

Final report

Collective evaluation of the final reports is intended to provide a comprehensive overview of achievements of the Attract program and identify any potential difficulties involved with a view to ensuring ongoing quality assurance and continuation of the program.

Project cancellation may occur if it is foreseeable that the substantive objectives cannot be achieved or the Attract group manager leaves the institute prematurely. In such cases, an immediate suspension of funds comes into effect by agreement between P31 and the Institute Director. P31 and the Institute Director (or a designated representative) then jointly discuss further action. With the support of the institute, P31 prepares a statement for the Evaluation Committee regarding the following points:

- Reasons for premature project termination
- Presentation of scientific results and transfer accomplishments to date
- Organizational development of the Attract group
- Planned continued employment of Attract group employees
- Presentation of the costs posted up to premature project termination and proposal for accounting of the funds

After discussion by the Evaluation Committee, P31 informs the Institute Director that it has decided to implement formal closure of the Attract project.

4

Contractual matters

Once a decision has been arrived at by the Evaluation Committee, the Institute Director responsible for the Attract group under application is informed of the eligibility of the application. If the application is successful, the group manager is to start work at the institute as stated in the application. In justified exceptional cases, the start date may be postponed by up to six months after consultation with P31. Funding always starts when the group manager joins the institute.

4.1 Contact Persons

The Fraunhofer hiring procedure is carried out in accordance with the usual processes and practices of the Fraunhofer-Gesellschaft HR Department: <https://info.fraunhofer.de/personal>). The following contacts at the institutes and at Headquarters are responsible for handling contracts:

4.1.1 Employment contract

Institute contacts:

HR Manager, Institute Director and Head of Department

Headquarters contact (in connection with professorship):

Ms. Marion Humberg, Head of HR Management for Top-Tier Management, Department 1B Human Resources

☎ 089/1205-2020; marion.humberg@zv.fraunhofer.de

General contact at Headquarters:

Ms. Kerstin Brandt, Head of HR Management, Department B2

☎ 089/1205-2200; kerstin.brandt@zv.fraunhofer.de

Note:

Contact with Ms. Humberg or Ms. Brandt is usually initiated by the HR managers at the institute. Personnel data (job description and evaluation, details of pay group/salary, personnel questionnaire, questionnaire for determining social security obligations, etc.) are compiled by the HR managers at the Fraunhofer Institute and sent to the responsible contact persons at Fraunhofer Headquarters for assessment under collective bargaining law, labor law and, where applicable, civil service law.

4.1.2 Other contractual issues (e.g.: cooperation agreement, patents)

Institute contacts:

HR managers, Institute Director and Head of Department

Contacts at Department B32 Strategic Cooperations, International Affiliates and Copyright:

The department can be reached at the general e-mail address

3B-teamassistenz@zv.fraunhofer.de.

Dr. Silja Krekel, attorney-at-law

☎ 089/1205- 2819; silja.krekel@zv.fraunhofer.de

Ms. Alexandra Sappl, in-house attorney

☎ 089/1205- 2843; alexandra.sappl@zv.fraunhofer.de

Contacts at Department B9 Patents and Licenses:

This department can be reached via the general e-mail address patent@zv.fraunhofer.de. E-mails sent to this address are forwarded internally to the person responsible.

Note:

Contact with Departments B32 and B9 is usually initiated by the department heads at the institute concerned.

4.2 Linking of the Attract group to a professorship

In recent years, many Attract group managers have taken up professorships at the beginning of the project or during the course of the project. If this is the case, the contacts at Headquarters (Department 1B Human Resources and Department B32 Strategic Cooperation, International Affiliates and Copyright) must be informed at an early stage – i.e. immediately after the university has been contacted and in any case before the start of appointment negotiations – to provide notification of the planned change or the arrangements for the work/employment relationship; the contractual partners involved must be named.

Here, care must be taken to ensure that the Attract group manager and the institute are provided with details of the various options for collaboration between the Fraunhofer-Gesellschaft and the university as well as the legal conditions.

Before (!) negotiations with the university begin, remuneration must be negotiated with Fraunhofer (with 1B via the institute). The only instance in which this does not apply is if the Attract group management activity is pursued as secondary employment.

Here is a summary of some of the main information required by the contacts in Departments 1B and B32 from the candidate and the co-applying Fraunhofer Institute in order to ensure rapid processing of the contract:

- Detailed description of the concept for the mutual link, including information on personnel structure and, if applicable, the scope and resources of the group manager's respective research groups
- Content of any agreements already concluded with or promised by the university regarding the arrangements for the link to a professorship (W1/W2/W3 with or without tenure track) and regarding resources.
- Denomination of the professorship and type of professor position that may be available at the university (Jülich, Berlin or Karlsruhe model – see section 4.3 on this point)

The following agreements and contractual matters are usually negotiated and agreed upon, depending on the desired form of simultaneous integration of the candidate as a professor at the university and as a Fraunhofer group manager, and according to the planned intensity of cooperation with the university:

- Cooperation agreement between the Fraunhofer-Gesellschaft and the university, in particular to regulate the appointment and funding model (see section 4.3) for the professorship and in order to agree on arrangements regarding the ownership and exploitation of IP rights to which the professor and the research group members involved in the cooperation are entitled
- Coordination of remuneration between professor and Fraunhofer-Gesellschaft
- Appointment negotiations with the university
- Employment or service contract between the professor and Fraunhofer-Gesellschaft

- Appointment as a civil servant by the university or state/ private employment contract between professor and university
- Other additional agreements as required

Contractual matters

Experience has shown that an average period of six months can be expected to pass from the first contact with Headquarters to the signing of contracts agreed on by both contracting parties. Negotiations with universities that do not yet cooperate with the Fraunhofer-Gesellschaft and foreign universities sometimes require a much longer coordination phase.

4.3 Appointment models at universities

The Federal Government, Länder, research institutions and universities have for years promoted and developed joint or mutually agreed appointment models to the reciprocal benefit of the participating university and non-university institutions. The instrument of the joint appointment is of great importance in research and innovation policy, since it ensures a particularly sound link between university and non-university research. To a lesser extent, joint or mutually agreed appointments also exist with universities of applied sciences, although cooperation here can only take place here on a regular basis under a part-time employment model.

When establishing arrangements in a specific case, the parties involved should use one of the models that have been practiced for many years:

- **Jülich model**
Immediately after appointment as a professor (usually to fill a vacancy that does not place a strain on the faculty's staffing plan), those appointed are granted leave of absence to take up research activities at Fraunhofer, with no remuneration. The professor receives an employment contract and salary from Fraunhofer, and Fraunhofer pays a pension supplement to the state in the case of civil servants. As a rule, the professor has a teaching commitment amounting to two semester hours per week, junior professors four semester hours per week (six semester hours per week after evaluation), receives only limited resources or none at all at the university and has no duties (academic administration or similar) in the faculty. In the event of a higher-level teaching commitment, the university must reimburse Fraunhofer 7.5% of the personnel costs for each additional semester hour per week, and any pension supplement to be paid is reduced accordingly.
- **Berlin model**
The individual is appointed as a professor (usually to an unremunerated position), receives resources at the university and has all the rights and obligations of a professorship at the faculty. In this case, with teaching commitments reduced to two semester hours per week, the funding model essentially provides for a reimbursement of 100% of the personnel costs by Fraunhofer to the university and – in the case of civil servants – payment of a pension supplement to the state. Where a teaching commitment amounts to three or more semester hours per week, 7.5% is deducted from the personnel costs per semester hour and borne by the university itself; any pension supplement due is reduced accordingly.
- **Karlsruhe model**
Appointees receive a remunerated position and have all the rights and obligations of a professor at the faculty. The activity as leader of the Fraunhofer At-

tract group is carried out in the form of secondary employment, to be approved by the university and remunerated separately by Fraunhofer. In individual cases, a reduction of the teaching load may be agreed on.

In special situations, modified forms of organization may be in the interests of the parties involved; when establishing concrete arrangements for joint appointments, particular importance is attached to establishing appropriate regulations that are as straightforward as possible.

5 Finance

The maximum funding amount over the entire term of five years is € 2.5 million (excluding depreciation). This is used to finance the Attract group, consisting of the group manager, 3-4 additional new employees (e.g. postdoc, doctoral student/doctoral student, TA; temporary employment contracts are usually issued for the duration of the project) as well as material and investments. Since Fraunhofer Attract is intended to promote the growth of the institute in terms of quality and strategy, the personnel resources are to be used exclusively for new employees. Only in exceptional cases, after consultation with P31, may employees already employed at the institute be taken on by the Attract group. The exact composition of the group is the responsibility of the group manager in coordination with the Institute Director.

Half of the funding amount is paid by the Fraunhofer Institute at which the Attract group is to be based and the other half by Headquarters.

The following information is only needed at the Fraunhofer Institutes to perform project calculation and administration for the Attract group in SIGMA software and therefore only provided in German.

Zur Antragstellung müssen die Institute in der SIGMA-Maske PV-M11 »Projektstammdaten« im **Abrechnungsbereich 7** ein Projekt aus dem **6er-Nummernkreis** anlegen. Dort muss im Feld Sonderprogramm der Auftraggeber »ATTRACT« ausgewählt werden. Attract-Projekte werden nach dem für das jeweilige Institut günstigsten Kalkulationsschema kalkuliert (WGT, TVöD). Im Popup PV-M21.30 »Finanzierung« ist als Hauptauftraggeber **»ATTRACT« (Ertragskonto 8065)** zu hinterlegen. Die Förderung durch das Interne Programm Attract beträgt **50%** (vom Gesamtaufwand abzgl. AfA), dies ist im Finanzierungsmodus entsprechend einzutragen. Bitte beachten Sie, dass die **AfA-Sätze** für dieses Projekt in allen Jahren auf **»Null«** stehen müssen. Das bedeutet, dass Ihre 50% Eigenmittel (8051) um den AfA-Wert erhöht werden. Die Attract-Projekte werden als **Festpreis-Projekte** abgerechnet. Der Status des Projektes muss auf **»4 – Angebot/Antrag abgegeben«** gesetzt werden.

5.1 Bewilligung

Nach der Gutachterausschusssitzung werden die Institutsleitungen über die Bewilligung oder Ablehnung der Vorhaben informiert. Damit kann das Einstellungsverfahren für die neue Gruppenleitung beginnen. Der Arbeitsbeginn der Gruppenleitung am Institut sollte wie beantragt erfolgen. In begründeten Ausnahmefällen ist nach Rücksprache mit P31 eine Verschiebung des Starttermins um bis zu ein halbes Jahr möglich. Der schriftliche Förderbescheid wird nach Durchführung des Kick-Off-Meetings und Definition der Meilensteine (s. Abschnitt 3.1) zugestellt.

Die Attract-Fördermittel der zweiten Phase (4. + 5. Jahr) sind bis zur positiven Evaluation des kritischen Meilensteins vorläufig gesperrt. Nach positiver Evaluation werden die Fördermittel für die zweite Phase freigegeben.

5.2 Abrechnung

Beim Jahresabschluss (14. Lauf im Januar des Folgejahres) wird von P31 die Abrechnung des Projekts vorgenommen. Der abzurechnende Betrag ergibt sich unter Berücksichtigung des verfügbaren Solls nach Abzug der AfA in der Regel zu 50 % der Istkosten des vergangenen Jahres (Betrieb + Investitionen). Fremdleistungen werden nur berücksichtigt, wenn sie im Antrag begründet und genehmigt bzw. nachträglich vereinbart worden waren.

Um die zeitliche Flexibilität im laufenden Projekt zu ermöglichen, werden im laufenden Jahr verausgabte Fördermittel mit den gesamten Projekt-Fördermitteln verrechnet. Minder- und Mehrverbrauch von bewilligten Fördermitteln in der jeweiligen Jahresscheibe werden in die folgende(n) Jahresscheibe(n) bis zum Ende der Laufzeit übertragen bzw. abgegolten. Angefallene Kosten, die nicht durch die Fördermittel abgedeckt werden, gehen automatisch zu Lasten der Grundfinanzierung des Fraunhofer-Instituts.

Falls es im Projektverlauf bei den in den Haushalt eingestellten Mitteln zu bleibenden Abweichungen kommen sollte, müssen diese Änderungen P31 (Dr. Hannah Venzl) durch die Projektleitung mitgeteilt werden und eventuell durch eine Änderung der Kalkulation nachvollzogen werden.

5.3 Überwachung

Die Gesamtüberwachung, auch der Fördermittel, wird von P31 vorgenommen. Die Fraunhofer-Institutsverwaltung (Controlling) stellt die Kalkulation und Finanzierung ein. Die Bebuchung liegt in der vollen Verantwortung der Instituts- bzw. der Projektleitung.

Für weitere Fragen steht Ihnen Michaela Manghofer, P31, ☎ 089/1205-1219, michaela.manghofer@zv.fraunhofer.de gerne zur Verfügung.