



»Fraunhofer Attract« research grant program

Grant Information

Department P4 »Internal Research Programs«
October 2018

The following abbreviations are used for departments at Fraunhofer Headquarters:

VB	Executive Vice President HR and Legal Affairs
1B	HR Division
2P	Research Division
B1	HR Development
B8	Legal Affairs
B9	Patents and Licenses
P4	Internal Research Programs
P5	International Business Development
P7	Research Coordination: Production, Light and Surfaces, Innovation
P8	Research Coordination: Microelectronics, ICT
P9	Research Coordination: Materials, Life Sciences

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.

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1 Overview of the Fraunhofer Attract program

1.1 Brief overview »Fraunhofer Attract«

Target group	<ul style="list-style-type: none">• Excellent scientists in postdoctoral (or equivalent) career phase• Application-oriented scientists from industry and academia
Application process	Collaborative application by an external scientist and a Fraunhofer Institute
Application	Funding is allocated to creative project ideas that show a high degree of innovation, outstanding exploitation potential and perfect fit with institute strategy.
Submission	Applications in PDF form are to be sent to hannah.venzl@zv.fraunhofer.de by the respective application deadlines
Grant duration	5 years (3+2)
Grant volume	Max. 2.5 million euros The grant covers the cost of the group leader position, new staff, materials and investments.
Financials	50/50 funding 50% Fraunhofer Institute and 50% Headquarters
Call for proposals	Twice a year
Application schedule	http://www.fraunhofer.de/en/jobs-and-career/seasoned-professionals/fraunhofer-attract.html
Process	One-stage, competitive application process
Evaluation Committee	Internal Evaluation Committee
Composition of the Evaluation Committee	Chairman <ul style="list-style-type: none">• Prof. Dr. Alexander Kurz, Member of the Executive Board; Human Resources, Legal Affairs and IP Management Members <ul style="list-style-type: none">• Elisabeth Ewen, Division Director Human Resources 1B, Fraunhofer Headquarters• Dr. Raoul Klingner, Division Director Research 2P, Fraunhofer Headquarters• Prof. Dr. Horst-Christian Langowski, Director of the Fraunhofer Institute for Process Engineering and Packaging IVV, Freising• Dr. Silke Sommer, Fraunhofer Institute for Mechanics of Materials IWM, Freiburg, Representative of the Scientific and Technical Council of the Fraunhofer-Gesellschaft
Evaluation decision	Binding notification of the decision immediately following the Evaluation Committee's meeting
Contact	Dr. Hannah Venzl, hannah.venzl@zv.fraunhofer.de Tel.: +49 89 1205-1220

1.2 Objectives of the program »Fraunhofer Attract«

The research funding program »Fraunhofer Attract« offers outstanding external scientists the opportunity to develop their innovative ideas towards an actual application within an optimally equipped Fraunhofer institute in close cooperation with industry. The Fraunhofer-Gesellschaft is the leading organization for applied research in Europe, its position at the interface between science and industry offers excellent conditions for such projects.

Objectives of
»Fraunhofer Attract«

Fraunhofer pursues the following objectives with the program:

- **Systematic recruiting and promotion of excellent scientists with innovative ideas**

Embedded within a Fraunhofer Institute, distinguished scientists find excellent conditions to develop their ideas close to the market with their own dedicated research group. Candidates bring their own know-how to the table; their expertise and previous research work complement the respective Fraunhofer Institute's R&D portfolio. In addition to attracting top talents from throughout the world, Fraunhofer gets the opportunity to add to its range of competences and to establish new business units.

- **Qualification of talents for executive positions**

By establishing and managing a research group and assuming genuine responsibility for it, its staff, and its budget, excellent researchers can pave their own way to leading positions in applied research, industry or at a university.

- **Maintaining and further increasing Fraunhofer's position as a driving force in industrial innovation**

The high innovation potential of project results makes Attract projects appealing to our industrial partners. Once completed, the projects are expected to lead to an increase in contract R&D and follow-up projects or licensing that will sustain the research group in the long run. Hence, each group makes a strong effort to establish its own foundation for intellectual and commercial property rights. The long-term outlook also includes potential alternatives ranging from spin-offs to the transfer of the research group to an industrial company.

Background

In the area of basic research, highly talented individuals have developed ideas and results with transfer potential. However, this development has often not reached the point where these ideas and results can be marketed in an applied context or licensed and made available to companies for further use. At the same time, the researchers lack a suitably application-oriented environment or the freedom at their local institutions to further develop the results in a more commercial manner. Fraunhofer offers the necessary professional environment to successfully develop such application-related ideas into innovations and invites the finest minds to realize their concepts for application ideas under the umbrella of the Fraunhofer-Gesellschaft.

The program's benefits can be summarized as follows:

- **Benefit for scientists**
Outstanding working conditions for transforming creative ideas into applications and, at the same time, boosting career opportunities in applied sciences, industry or as an entrepreneur. Attractive grant program for talented individuals in the postdoctoral phase of their careers in academic science or industry.
- **Benefit for Fraunhofer**
Strengthening Fraunhofer's position in the »war for talent« and recruiting highly talented individuals with new ideas. Low-risk setup of new competencies with the potential to open up new business units.
- **Benefit for the economy**
Helping to close the technology transfer gap between science and industry. Attracting talented individuals from basic research to careers in applied research and industry.

1.3 Criteria for participation for candidates and institutes

The program aims at external scientists: researchers may not be in the employ of the Fraunhofer-Gesellschaft at the time of application. Employment by the Fraunhofer-Gesellschaft at an earlier point poses no general problem. As Attract groups are integrated – in terms of scientific direction, organization and location – within a specific Fraunhofer Institute, applications must be made jointly by the Institute Director and the scientist.

Applicants without existing contacts to their desired Fraunhofer Institute are advised to contact the respective institute or department in order to discuss possible cooperation and support in advance. Wherever possible, it is recommended that applicants contact the institute or department directly. Project goals set by the group to receive funding must dovetail with the competences of the proposed partner institute and will be derived from the institute's strategy. The nature of the work undertaken at any Fraunhofer Institute is complex; the wide range of topics addressed can be more easily communicated in person. It is therefore recommended that the institute and applicant invest several days in the joint preparation of the application (in the context of a research visit) whenever possible. This includes the opportunity for both parties to get to know each other.

Criteria for participation candidate

The ideal candidate has a high level of scientific curiosity and, at the same time, has a firm grasp of traditional leadership and management skills. This is necessary because great importance is placed on tasks relating to business administration, HR management, acquisitions and marketing. The group leader's main objective will eventually be to transfer an idea into a R&D product suitable for marketing. Essential target groups are:

- Excellent external scientists with innovative ideas (at least PhD or equivalent experience, preferably postdoctoral experience)
- Application-oriented researchers from industry and business
- Researchers with entrepreneurial ambitions

Applicants are mostly outstanding junior researchers who have received their PhD or are currently pursuing a postdoctoral career.

In making its final selection, the Evaluation Committee puts particular weight on the applicant's personality and professional excellence, as well as on the research idea's level of scientific quality, innovation and creativity. In addition to demonstrating willingness, risk-taking and motivation, applicants must present a compelling project plan that details the evolution from the initial idea towards successful application.

Criteria for participation institute

Fraunhofer Institutes, project groups etc. that are new to Fraunhofer and receive start-up financing please contact the program management (P4), Monika Krug (P6) or the respective research coordination (P7, P8 or P9) before filing an application, in order to clarify whether they are eligible for Fraunhofer-internal research funding.

There is no fixed quota concerning the number of active Attract groups or applications per Institute.

maximum grant volume

The grant comprises a maximum of 2.5 million euros per group over 5 years (not including AfA). This includes the applicant's group leader position and 3 to 4 new co-workers (generally contracts are limited to the duration of the project) such as post-docs, PhD students or technical staff as well as the required investments. The Fraunhofer-Gesellschaft and the respective Fraunhofer Institute share the costs of funding («50/50-funding», i.e. 50% from Fraunhofer Headquarters and 50% from the respective Fraunhofer Institute). The maximum grant amount does not necessarily have to be fully exhausted. Proposals can also intentionally aim below the maximum funding amount. For further details please refer to «Financials» (section 5).

1.4 Program flow

Each year there are two calls for proposals. Complete project proposals are submitted jointly by applicants and the appropriate Institute Director before the respective application deadlines. More detailed information on the application process and rules concerning the project implementation are provided in chapters 2 and 3 respectively.



Figure 1: Phases of an Attract project

1.5 Program management

The Executive Board of the Fraunhofer-Gesellschaft has entrusted management of the research grant program to the P4 «Internal Research Programs» department at Fraunhofer Headquarters.

Many people are involved in the program's internal and organizational processes, from the initial proposal selection by the Evaluation Committee to project support and quality assurance, through the »critical milestones« of project evaluation and on to project completion. The following gives a brief overview of the players involved.

1.5.1 Program management and quality assurance

P4 is responsible for organizing the funding process, advising applicants, providing expert project support, monitoring goal achievement (both subject-specific and administrative), keeping the program running, and managing the internal and external information flow.

The Division Research 2P provides support and is represented by the research coordination from the respective Fraunhofer Institute (P7, P8 or P9).

Contact person Program Management:

Dr. Hannah Venzl, Fraunhofer Headquarters, P4

☎ +49 89 1205-1220; hannah.venzl@zv.fraunhofer.de

Administrative enquiries:

Michaela Manghofer, Fraunhofer Headquarters, P4

☎ +49 89 1205-1219; michaela.manghofer@zv.fraunhofer.de

1.5.2 HR development

The Attract group leaders receive guidance and support regarding their further training and personal development prospects. In cooperation with B1 »HR development« a tailored further education plan may be created to support the group leaders' personal, professional and management-oriented development. At the same time, group leaders receive support in their role as a staff developer for their employees.

Contact person for HR development and further training:

Sylvia Raabe, Fraunhofer Headquarters, B1

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

1.5.3 Fraunhofer Attract Evaluation Committee

The Fraunhofer Attract Evaluation Committee awards grants based on candidates' written proposals and personal presentations made to the committee. During and after completion of the projects, P4 shall keep the Evaluation Committee informed on the progression and achievements of the projects.

Members of the Fraunhofer Attract Evaluation Committee:

- Prof. Dr. Alexander Kurz, Member of the Executive Board; Human Resources, Legal Affairs and IP Management; committee chairman
- Elisabeth Ewen, Division Director Human Resources (1B), Fraunhofer Headquarters
- Dr. Raoul Klingner, Division Director Research (2P), Fraunhofer Headquarters
- Prof. Dr. Horst-Christian Langowski, Fraunhofer IVV, Institute Director
- Dr. Silke Sommer, Fraunhofer IWM, Representative of the Scientific and Technical Council of the Fraunhofer-Gesellschaft

1.5.4 Applicant / prospective group leader

An Attract group proposal is submitted jointly by the applicant and the director of the respective Fraunhofer Institute. During the application phase the applicant and the representative of the respective Fraunhofer Institute are responsible for submitting the proposal on time and for consulting with the program management if applicable.

Throughout the project, the group leader is responsible for project management and for making regular reports to P4. All obligations and authorizations shall be regulated by written agreements between the respective Fraunhofer Institute and the group leader.

1.5.5 Fraunhofer Institute

The Attract group is embedded within the respective Fraunhofer Institute. The Fraunhofer Institute has a strategic interest in establishing the group's field of activity in-house. It therefore covers 50% of the group's budget and provides the necessary infrastructure, its general support and the network required to achieve the project goals.

The institute's director (or its representative) initiates and/or supports the proposal. The director shall act as contact person at the institute and offer support in handling any questions and problems related to the application process. This includes the institute's assistance with the detailed project proposal.

1.5.6 SIGMA project administration

The respective Fraunhofer Institute uses SIGMA software to perform project calculation and administration for the Attract group. Support is provided by P4 (Michaela Manghofer) or C12 Project Finances (operation of PV masks).

2 Selection process

The selection process is depicted in Figure 2.

Calls for proposals

Two calls for proposals are launched each year. Submission dates for project proposals together with evaluation dates are published on the Fraunhofer intranet and website. Applicants have to submit their complete proposal together with the Institute Director by the deadline. The Evaluation Committee convenes to decide on grant awards approximately 6 weeks after the submission date.

P4 is available for advice during the entire evaluation procedure for both candidates and Institutes. In particular, P4 is happy to provide a detailed personal counseling interview (for contact details please refer to section 1.5.1).

Evaluation procedure

In preparation for the Evaluation Committee meeting P4, B1 and the respective research coordination (P7, P8 or P9) discuss the proposals that have been received.

The »Fraunhofer Attract« Evaluation Committee awards grants based on the written proposals and the candidates' personal presentations to the committee.

Institute Directors are issued written notification of the decision by P4 following the Evaluation Committee meeting. Successful applications may commence with the project initiation phase described in section 3.1.



Figure 2: Timeline of selection process

2.1 Project proposal

- Proposal requirements
- The proposal must fulfill the following requirements:
- Description of project in no more than 15 pages (DIN A4) plus appendix (pictures, tables, references, CV, publication list and SIGMA calculation)
 - Submission of proposals in PDF form to P4, To: Dr. Hannah Venzl (hannah.venzl@zv.fraunhofer.de), CC: Michaela Manghofer (michaela.manghofer@zv.fraunhofer.de).

The following outline is recommended. A Microsoft Word template is available for download from the Fraunhofer website.

Outline of proposal

1. Summary

2. Motivation and R&D goals

2.1 Motivation

2.1.1 Personal motivation of candidate (first person narrative)

2.2 Current state of science and technology

2.3 Project goals

2.4 Strategic embedding of project within the respective Fraunhofer Institute

3. Market

3.1 Description of R&D market

3.2 Application of project results in industry

3.3 Market access strategy

4. Project management

4.1 Working plan

4.2 Breakdown of project structure

- 4.3 Planning, Gantt chart
- 4.4 Work packages
- 4.5 Milestones
- 4.6 Resource planning

5. Cost projection

6. Appendix

- 6.1 References
- 6.2 Patents
- 6.3 SIGMA calculation (in accordance with cost projection, section 5)

2.2 Evaluation criteria for project proposals

The proposals are evaluated based on the **project idea** and the **excellence of the candidates**. Both aspects are given the same weight in the overall evaluation.

Project idea (50%)	
Criterion	Comment
Project idea/final product (1-10 points) weighting factor: 4	<ul style="list-style-type: none"> • Project idea is innovative. • Implementation is creative. • Final product is useful and offers considerable value and advantage.
R&D topic (1-10 points) weighting factor: 3	<ul style="list-style-type: none"> • The candidate's ideas and competences as well as the project's R&D topic complement the know-how of the respective Fraunhofer Institute. • Current state of technology is presented comprehensively. • R&D topic introduces a step forward compared to current state of technology. • R&D topic is original. • Project goals are well chosen, clear and measurable. • Scientific approach is focused, achievement of objective is realistic. • Good chance of generating patents.
Strategic aspects (1-10 points) weighting factor: 2	<ul style="list-style-type: none"> • Attract research group is well embedded within the respective Fraunhofer Institute, enriching its R&D portfolio and strategy. • Project goals are in line with the general mission objectives of the Fraunhofer-Gesellschaft. • Project goals do not conflict with interests and competences of other Fraunhofer Institutes. • No overlap with other current internal grants of the respective Fraunhofer Institute exists.
Market potential (1-10 points) weighting factor: 1	<ul style="list-style-type: none"> • Target R&D market is attractive. • Market potential is clear and high in comparison to project budget. • Market is expandable and attractive in the long term. • Project has the ability to assert itself in the market place (dealing with existing competition, with own and conflicting intellectual property rights, potential customers, cooperation partners from industry).

Project idea (50%)	
Criterion	Comment
Project management (1-10 points) weighting factor: 3	<ul style="list-style-type: none"> Working plan is comprehensive and clear. Reasonable milestones are defined, reflecting results to be submitted, decisions to be taken and possible consequences.
Candidate (50%)	
Criterion	Comment
Professional excellence and social competence of candidate (1-10 points)	<ul style="list-style-type: none"> Outstanding career to date Excellent professional achievements (publications, patents, awards) Distinct scientific curiosity Focus on implementation and results Interest in and instinct for future markets Leadership skills in technical (process management) and social aspects (people management) Eager to take on responsibility Personal involvement, credibility and assertiveness Inspiring personality Communication skills and organizational talent

3 During the project

3.1 Project initiation

Once the Evaluation Committee has approved a project, the respective institute receives official confirmation in the form of a »letter of appointment«, in order to start the appointment process with the candidate. The project can be budgeted from the candidate’s starting date at the institute. The project initiation phase is depicted in Figure 3.

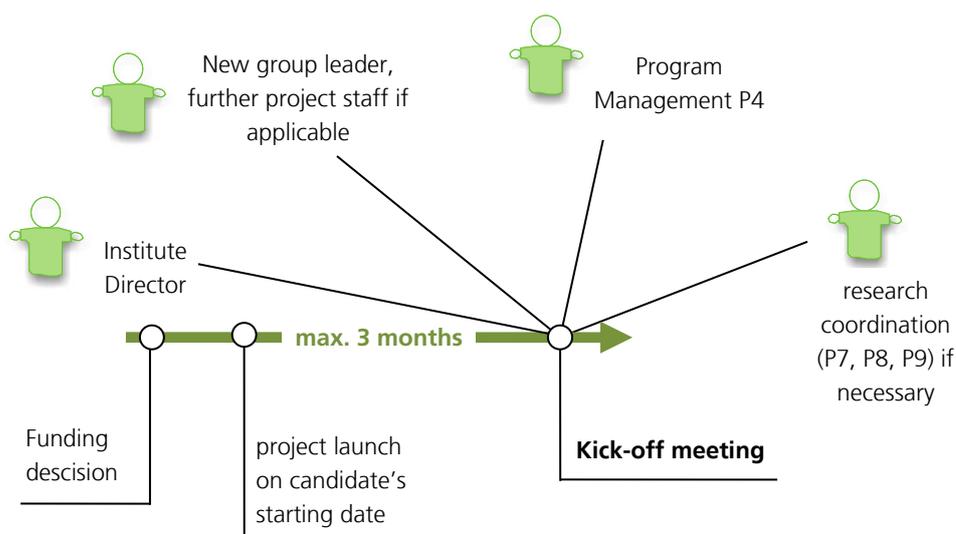


Figure 3.: phase of project initiation

3.1.1 Kick-off-meeting

Not later than three months after project launch a mandatory kick-off meeting takes place. Participants are the Institute Director, the Attract group leader and new project staff if applicable, program management represented by Dr. Hannah Venzl and the respective research coordination if necessary.

Sub goals and interim results must be determined for project controlling purposes (what will be delivered, to whom, and in what quality) and can be finally adjusted during the kick-off meeting.

3.1.2 Definition of milestones and grant notification

The milestones (including results to be delivered for each milestone and pending decisions, such as termination of subprojects, new foci, marketing strategy etc.) will become anchor points in the grant notification. The definition of approx. five milestones at intervals of 12 months is recommended. The so-called »critical milestone« has to be set for the project's three-year mark. The group leader has to provide milestone reports to P4 (s. section 3.2.1), a mandatory status discussion takes place at the Institute at the due date of the critical milestone (s. section 3.2.2).

Description of milestones

Milestone No. 1	Date:	after 12 months
Predicted results	Pending decisions	
•	•	

Milestone No. 2	Date:	after 24 months
Predicted results	Pending decisions	
•	•	

Milestone No. 3 »critical milestone«	Date:	after 36 months
Predicted results	Pending decisions	
•	•	
<ul style="list-style-type: none"> • Status discussion at the Institute • Evaluation and decision on release of funds for the remaining project duration 		

Milestone No. 4	Date:	after 48 months
Predicted results	Pending decisions	
•	•	

Request for self-financing extension of project duration (optional)	after 48 months at the earliest	
<ul style="list-style-type: none"> • Early evaluation of project and long-term compatibility of Attract group • Decision on allocation of unspent funds upon project completion (Attract project treated as fixed-cost project) 		

Milestone No. 5	Date:	after 60 months
Predicted results	Pending decisions	
•	•	

Grant notification The official grant notification is issued during the project initiation phase after the kick-off meeting and the final definition of milestones. It is signed by Division Director 1P at Fraunhofer-Headquarters on behalf of the Executive Board of the Fraunhofer-Gesellschaft and by Dr. Hannah Venzl on behalf of Program Management.

3.2 Project implementation

The project is implemented in partnership with the associated stakeholders based on the working plan generated during project initiation. The project implementation phase is depicted in Figure 4.

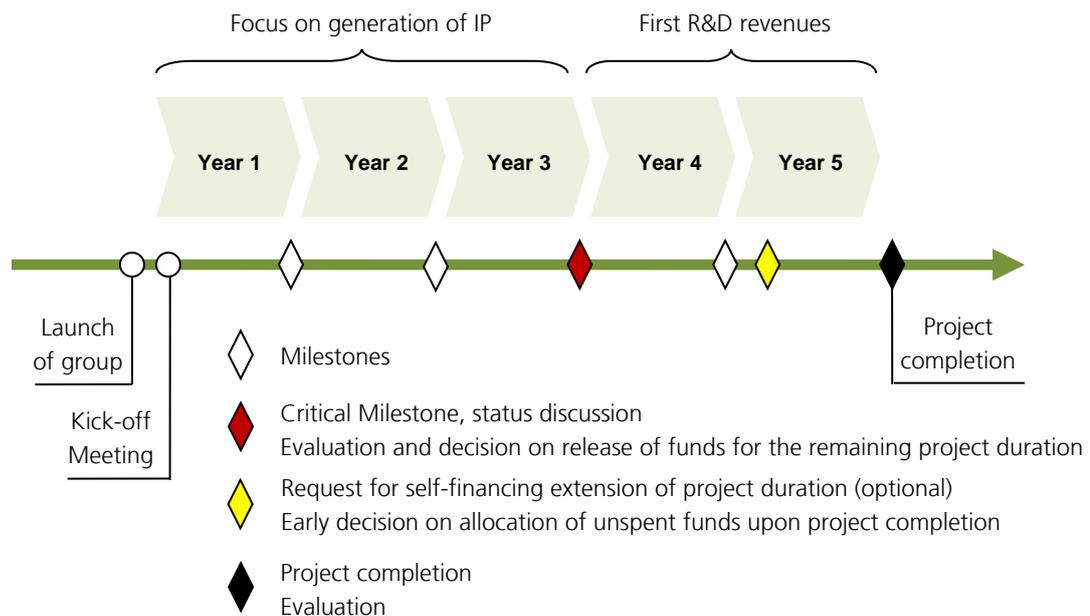


Figure 3: Project implementation

Quality management The group leader makes use of Fraunhofer's standard quality management procedures.

3.2.1 Milestone reports

Monitoring of milestones is conducted by P4 on behalf of the Evaluation Committee. Short written milestone reports are to be delivered to P4 at each milestone. Basis of the milestone reports is the »report Attract form«, which is provided by P4 (exception: »critical milestone report«, s. section 3.2.2).

Contents of milestone report

- Intermediate results of project
Results and reached milestones, changes and adjustments of milestone if applicable
- Publications, marketing and patents strategy etc.
- Projects
contracts, cooperations and contacts (industry and public funding)

- Budget
Cash flow and adjustments in the budget planning, if necessary
- Organization and development of the group since start of project
Recruitment of new staff, engagement of the group leader (full-time/part-time), situation concerning offices and labs, etc.
- Training of group leader and staff
- Exceptional events and expected / resulting impacts on the success of the project

3.2.2 Critical milestone and status discussion

On the occasion of the »critical milestone« after three years project duration, the group leader has to provide a more detailed milestone report (approx. 15 pages DIN A4). **In addition** to the issues specified in section 3.2.1, the following aspect has to be addressed:

Contents of critical milestone report

- Outlook on project years 4 and 5 and beyond
Continuation of the group at the Institute after completion of Attract, role of the group leader at the Institute etc.

Status discussion at critical milestone After submission of the critical milestone report, a status discussion is organized at the Institute to allow an intermediate evaluation of the group. Within the framework of the status discussion, the group leader's development prospects after project completion are bindingly outlined. Status discussions are conducted by Elisabeth Ewen, Division Director Human Resources 1B, and Dr. Hannah Venzl, P4, Program Management with the Institute Director and Attract group leader. Following positive evaluation of the group, based on the report and the status discussion, funds are released for the remaining project duration.

The Attract Evaluation Committee decides on premature project termination in the event of non-compliance with the defined critical milestones after a request by P4 and the Institute Director of the respective Fraunhofer Institute.

3.2.3 Industrial revenues, public funding, IPR

Generation of contract research revenues is not the primary goal of the Attract group during the first project phase (years 1 to 3). During this phase, the focus lies on advancing the ideas and establishing a basis for intellectual property. In the second project phase (years 4 and 5) revenues should be generated in order to support transfer of the results to industry and facilitate further establishment of the group within the Fraunhofer Institute after project completion (implementation of »Fraunhofer Modell«).

3.2.4 Advanced training during the grant

The funding of the selected scientists is in the mode of an »advancement award«. Besides providing »winners« with a fully equipped workplace, Fraunhofer also assures them special personal development support. This includes the opportunity to further develop personal, expert and management-oriented skills (focus here does not lie on academic qualifications, such as »Habilitation«). B1 advises project leaders on suitable, high-quality opportunities and supports them in developing a tailored advanced training

plan. Training costs are to be covered by the awarded Attract funding. (For contact details of B1 please refer to section 1.5.2.)

Networking meeting for group leaders

Attract group leaders as a whole represent a Fraunhofer internal network with members from different specialties exchanging ideas. An annual meeting of all funded scientists aids this intensive networking and the transfer of knowledge across Fraunhofer. The meeting also offers tailored, non-specialist qualifications.

3.3 Project completion

A funded project is judged a success if upon completion of the funding period, for instance, a sound foundation of intellectual property rights has been created and a transfer of research results to application is evident. This can be realized through research commissions for industry, licensing of research results, or a spin-off. Market-ready products are not the goal of the work conducted at the Fraunhofer Institute. The project completion phase is depicted in Figure 5.

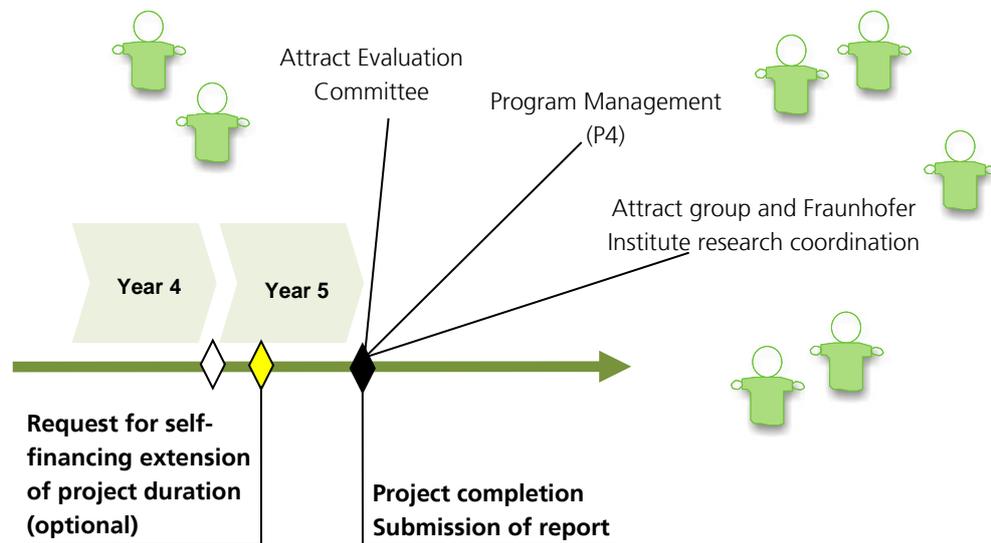


Figure 4: Project completion

3.3.1 Request for self-financing extension of project duration

At the beginning of the final project year, funded groups may submit a request for a self-financing extension of project duration to the Attract Evaluation Committee, addressing the project's successes to date as well as how the group and research area are to develop beyond project duration. The objective is an early evaluation of the project and an assessment of the suitability to continue the group at the institute, in order to enhance planning security. In principle, an extension of project duration for up to one year is possible. The extension of project duration has to be supported by the institute's director (or its representative who is responsible for the Attract group). The Evaluation Committee reserves the right to curtail, withdraw or credit unspent funds to the project at the end of the project duration.

The request for a self-financing extension of project duration has to be submitted to P4, length of request approx. 15 pages DIN A4.

Contents of request for self-financing extension of project duration

- Scientific results
Results and achieved milestones, supervised academic work in the context of Attract, publications, presentations, patents etc.
- New research foci at the institute as a result of Attract
Name and description of the »new« field of research
- Planned development of the group at the end of project duration
Incorporation of the group within the institute and long-term strategic planning (e.g. evolution to business unit or department)
- Exploitation of results
Issued contracts and contracts in acquisition, as well as cooperations and contacts (industry and public funding)
Marketing and exploitation strategy
- Budget
Cash flow and expected amount of unspent funds at the end of project duration, intended use of unspent funds

Release of unspent funds

In the case of a positive evaluation, there follows a release of unspent funds for the period after project completion (recommendation of P4 to the Evaluation Committee). The following criteria apply to the allocation of unspent funds:

Criteria for the allocation of unspent funds

- Continuance of group leader at the Institute
- Evolution of group and field of research at the institute
- Reduced consumption of own resources due to external revenues (after project completion funding according to the »Fraunhofer Modell«)
- Successful transfer of research results to applications
- Plausible working and resource plan for the phase of extension

3.3.2 Completion report

Mandatory completion report

Within six months of project completion, the group sends a Completion Report to the Attract Evaluation Committee through P4. This report describes the project's scientific results in terms of the milestones – outlined in the application – the project has achieved. In the case that a request for a self-financing extension of the project duration has been submitted, the Completion Report is merely an extension of that report, expanded to contain a more detailed description of the scientific results. Submission of a **Completion Report is mandatory** and the Evaluation Committee reserves the right to request the return of Attract funding from any Institute failing to submit a Completion Report.

Contents of Completion Report

- Scientific results relating to the achievement of project milestones, supervised academic work in the context of Attract, publications, presentations, patents etc.
- New research foci at the institute as a result of Attract
Name and description of the »new« field of research
- Development of the group after project completion
Incorporation of the group within the institute and long-term strategic planning (e.g. evolution to business unit or department)
- Exploitation of results
Volume of all issued contracts and contracts in acquisition (industry and public funding)
Marketing and exploitation strategy after project completion
- Budget
Cash flow and amount of unspent funds after project completion, if applicable
- Personal highlights, exceptional events etc. and their impact on the success of the project

The cumulative evaluation of final reports shall provide the possibility to obtain a comprehensive picture of the achievements and, if applicable, also the difficulties of the program Attract, in order to allow for continuous quality assurance and updating of the program.

3.3.3 Premature project termination

Premature project termination may occur if it is foreseeable that the intended goals cannot be achieved. Another cause may be the untimely withdrawal of the group leader. In such cases, funding is immediately blocked after consultation with P4 and the Institute Director (or the appointed representative). P4 and the Institute Director (or the appointed representative) will jointly consult on further action. P4 will then compile a brief report for the Evaluation Committee, addressing the following aspects:

- Reasons for premature project termination
- Brief statement of achievements and development of the Attract group up-to-date
- Intended further employment of Attract group staff
- Presentation of costs prior to premature project termination and suggestion concerning outstanding accounting issues relating to the grant.

After consultation of the Evaluation Committee, P4 informs the Institute Director about the agreed procedure for the official termination of the Attract project.

4 Contractual

Once the Attract Evaluation Committee has reached its decision, Institute Directors are notified about whether the application merits funding. Following a successful application, there is a certain degree of flexibility regarding a mutually agreed start date for the group leader at the institute. This may be as early as the following month, but must be within six months of securing funding. An Attract project may not start before the group leader has officially begun working at the institute. Contacts at the institutes and at Headquarters handling contractual processing are as follows:

Employment contracts

Contacts at the institutes:

HR department, Institute Directors and department heads

Contact person at Headquarters (in combination with a professorship):

Marion Humberg, Head of HR Management for Top-Tier Management, HR division 1B

☎ +49 89/1205-2020; marion.humberg@zv.fraunhofer.de

General contact at Headquarters:

Kerstin Brandt, Head of HR Management B2

☎ +49 89/1205-2200; kerstin.brandt@zv.fraunhofer.de

Please note: Communication with Marion Humberg or Kerstin Brandt is normally initiated by the institute's HR department.

Other contract-related matters (e.g.: cooperation agreements, patents)

Contacts at the institute:

HR department, Institute Directors and department heads

Contacts at B8 Legal Affairs

Isabelle Pèrè, legal counsel

☎ +49 89/1205-2826; isabelle.pere@zv.fraunhofer.de

Nikolai Schmeißer, legal counsel

☎ +49 89/1205-2811; nikolai.schmeisser@zv.fraunhofer.de

Contacts at B9 Patents and Licenses

This department can be contacted via a general e-mail address:

patent@zv.fraunhofer.de. E-mails sent to this address will be forwarded to the appropriate person within the department.

Please note: Communication with the Legal Affairs and Patents and Licenses departments is normally initiated by the department heads of the affected Institute.

4.1 Employment contract with Fraunhofer

Appointment to a position at Fraunhofer follows the standard processes and procedures used by the Fraunhofer-Gesellschaft (Fraunhofer intranet: <https://info.fraunhofer.de/personal>).

The respective Fraunhofer Institute's HR department is responsible for gathering personal data (description and evaluation of duties, details of pay grade or salary, HR questionnaire, questionnaire covering obligations to pay social insurance contributions, etc.) and sent on to 1B (contact for contracts in combination with a professorship: Marion Humberg) or B2 (contact Kerstin Brandt) for review of aspects relating to tariffs and labor law.

4.2 Combining an Attract group with a professorship

In the past few years, many Attract group leaders have entered into a professorship at the beginning or during the project. In such cases, contacts at Headquarters (HR division 1B and Legal Affairs B8) must be informed in a timely manner (i.e. immediately after establishing contact with the university and certainly before contract negotiations commence) about the proposed change or drafting of an employment contract. The affected contract partners are to be named.

It must be ensured that the Attract group leader and the respective institute are fully informed about the different options for cooperations between the Fraunhofer-Gesellschaft and the university and the legal conditions.

Prior (!) to the start of contract negotiations with the university, the salary must be negotiated (by 1B through the institute) at Fraunhofer (except when the position of Attract group leader is deemed a secondary position).

To ensure swift processing of contracts, contacts at 1B and B8 also require the following information from the candidates and from the co-applicant Fraunhofer Institute:

- Comprehensive description of the concept for the dual position, including details of human and material resources of the group leader 's research groups
- Content of any previous or upcoming agreements with the university concerning facilities or the combination of a professorship
- Type of any position(s) as professor that may be available at the university

Depending on the individual preferences for configuring the candidate's dual position of university professor and Fraunhofer group leader, and the proposed level of collaboration with the university, the following agreements and contract subject points are generally negotiated and their content agreed:

- Cooperation agreement between the Fraunhofer-Gesellschaft and the university, in particular to determine the appointment and funding model (see below) for the professor, to reach an agreement concerning property and its use, and to determine the IP rights of the professor and research group staff as part of the cooperation
- Remuneration agreement between the professor and the Fraunhofer-Gesellschaft
- Contract negotiations with the university
- Employment contract between the professor and the Fraunhofer-Gesellschaft

- Contract between the professor and the university, designation
- Other additional required agreements, as needed

Based on past experience, the average period from initial contact with Headquarters to the production of mutually agreed and ready-to-sign contracts can be expected to last six months. Negotiations with universities with which the Fraunhofer-Gesellschaft does not yet collaborate and with non-German universities can take significantly longer to complete.

4.3 Appointment models at universities

Germany's federal government, Länder, research institutions and universities have been promoting and developing joint and mutual appointments for years that offer the participating universities and non-academic research institutions mutual advantage. Joint appointments initiate a special kind of networking of university and non-academic research, making them highly significant in terms of research and innovation policy.

Arrangements for appointees should follow one of the long-established models:

- **Jülich model:** Upon being named to the post of professor (generally to a post that does not divert resources from the faculty), appointees are granted leave to take up research activities at Fraunhofer. The university offers no remuneration; the professor receives an employment contract with Fraunhofer as well as supplemental civil service pension contributions. Professors generally have teaching obligations in the amount of two semester hours per week, receive no use of university resources and have no faculty commitments (academic administration, or similar).
- **Berlin model:** Appointees are named to the post of professor – generally to an unremunerated position – and receive use of university resources and all faculty rights and commitments. This funding model generally provides for Fraunhofer to assume 100 percent remuneration of staff costs including additional benefits plus supplemental civil service pension contributions, where teaching commitments are reduced to two semester hours per week. Where the teaching commitment amounts to three semester hours per week, the actual salary is reduced by 7.5 percent per semester hour per week and the difference is payable by the university.
- **Karlsruhe model:** Appointees are named to the post of professor – generally to a remunerated position – and receive all faculty rights and commitments of a professor. The individual's activities at Fraunhofer are regarded as secondary. On a case-by-case basis, a reduction in teaching workload can be agreed on.

In special situations, other models tailored to accommodate the individual's needs may be used; in the case of arrangements for joint appointments, particular weight is given to an appropriate framework of rules that remain as simple as possible.

5 Financials

The maximum grant volume totals 2.5 million euro over 5 years (excluding depreciation/amortization, »AfA«). On average, an annual amount of approximately 500,000 euro can thus be calculated for the funding of the Attract group comprising a group leader, 3-4 new co-workers (for example postdocs, doctoral candidates, TAs; generally with employment contracts limited to the duration of the project), as well as for materials and investments. Since Attract projects aim to support the qualitative and strategic growth of the respective Fraunhofer Institutes, staff appropriations are intended for recruitment and funding of new employees only. A member of staff already employed may only be allocated to the Attract group in the exceptional case that his or her fixed-term employment contract expires and the Attract group emerges as an opportunity for further employment of that person. This procedure requires prior consultation with P4. The group leader is responsible for the specific group's constellation in consultation with the respective institute.

The grant budget will be borne jointly (50/50) by the respective Fraunhofer Institute and Fraunhofer Headquarters. The characteristic of a 50/50 funding scheme between institutes and Headquarters lies at the heart of the program philosophy. The grant begins concurrently with the group leader's start date at the respective Fraunhofer Institute (at this time, the official grant notification is being drafted) and is independent of the group's other staff starting dates (please see section 5.2 »Abrechnung«). Funds for the second project phase are blocked for the time being (please see section 3.2, »Project implementation«).

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

Projektanlage
bitte geben Sie diesen
Abschnitt auch
**z.K. an Ihre
Verwaltung**

Bitte legen Sie zur Antragstellung in der Maske PV-M11 »Projekt-Stammdaten« im Nummernkreis **60x xxx** ein Projekt an.

Bitte beachten Sie hierbei weitere Besonderheiten:

Abrechnungsbereich	7 Interne Programme
Kalkulationsschema	Industrie WGT
Verrechnungsart	Netto
Preisart	Festpreis
Währung	Euro (keine Fremdwährung)
Laufzeit	max. 5 Jahre
Schlagwort	Attract

Nach Eingabe der Kalkulation in der Maske PV-M21 »Kalkulation und Finanzierung« muss im Popup PV-M21.30 »Finanzierung« als Hauptauftraggeber **»ATTRACT« (Ertragskonto 8065)** hinterlegt werden. Da die Förderung im Rahmen des Internen Programms »Attract« **50%** (vom

Gesamtaufwand abzgl. AfA) ausmacht, müssen Sie dies in der Spalte »%-Ant.« im Finanzierungsmodus »Prozent« entsprechend eintragen. 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. Abweichende Personal- bzw. Sachgemeinkosten sind nicht zulässig. SIGMA errechnet die INST.GEP automatisch.

Für die Attract-Fördermittel gelten folgende Konten und Wiplan-Positionen:

FADAT-Kurzbezeichnung »Attract«	Betrieb	8065	31120
	Investitionen	8165	74190

5.1 Bewilligung

Nach der Gutachterausschusssitzung werden Sie über die Bewilligung des Vorhabens informiert. Damit beginnt das Einstellungsverfahren des neuen Gruppenleiters bzw. der neuen Gruppenleiterin. Bitte geben Sie P4 den endgültigen Einstellungstermin bekannt. Die Laufzeit des Attract-Projektes beginnt mit dem Einstellungsdatum, das Projekt ist erst ab diesem Zeitpunkt bebuchbar. Der schriftliche Förderbescheid wird nach Bekanntgabe des Einstellungstermins zugestellt.

Die von Ihnen verwendete 6xx xxx-Projekt-Nr. der im Antrag vorgelegten Kalkulation wird für das Attract-Projekt beibehalten.

Hinweis bei Einbringung von externen Erträgen

Wenn ab dem 4. Jahr Industrieprojekte (keine öffentlichen Projekte) in die Hierarchie eingebracht werden sollen, um durch den Ertrag den Aufwand im Projekt zu decken (die Industrieprojekte müssen einen inhaltlichen Zusammenhang zum Attract-Projekt erkennen lassen), würde der Restbetrag der Kosten der Regel entsprechend 50 % Attractmittel : 50 % Inst.Gep. abgerechnet. Durch diese Reduzierung der Gesamtkosten (Hierarchieprojekt) würde dies zu einem verlangsamten Abfließen der gesamten Fördermittel führen. Wir empfehlen, vorher Rücksprache mit P4 (Frau Manghofer) zu halten.

5.2 Abrechnung

Die im Förderbescheid ausgewiesenen Verteilungen basieren im Wesentlichen auf der mit dem Antrag eingereichten SIGMA-Kalkulation. Für bewilligte Kostenarten ist bei Bedarf nach Mitteilung und Prüfung eine Deckungsfähigkeit vorhanden. Falls es im Projektverlauf zu bleibenden Abweichungen bei den in den Haushalt eingestellten Mitteln kommen sollte, müssen diese Änderungen P4 Dr. Hannah Venzl durch die PL mitgeteilt werden und eventuell durch eine Änderung der Kalkulation nachvollzogen werden.

Die »Attract«-Fördersummen (Ursoll) werden entsprechend dem Förderbescheid in die Haushalte eingestellt, wobei die Fördermittel der zweiten Phase (4. + 5. Jahr) vorläufig gesperrt sind. Zum Meilenstein nach Ablauf des dritten Jahres

der Laufzeit wird eine Leistungsabnahme vorgenommen (kritischer Meilenstein, siehe Punkt 4.2.4). Nach positiver Evaluation werden die Fördermittel für die zweite Phase freigegeben. In der zweiten Phase kann der Aufwand anteilig durch Wirtschaftserträge abgedeckt werden. Dazu können die Industriefestpreisprojekte in die Hierarchie eingebunden werden.

Beim Jahresabschluss (14. Lauf im Januar des Folgejahres) wird von P4 eine Abrechnung des Projekts vorgenommen. Dazu dient die SIGMA-FAKT-Maske M42 »Interne Programme«, die den Ertragsvorschlag liefert (s. SIGMA-Beschreibung innerhalb dieser Maske). Der durch P4 abzurechnende Betrag ergibt sich unter Berücksichtigung des verfügbaren Solls nach Abzug von AfA in der Regel aus 50 % der abrechenbaren Kosten (Betrieb + Investitionen). Fremdleistungen werden nur berücksichtigt, wenn sie im Antrag begründet bzw. nachträglich vereinbart wurden. Angefallene Kosten, die nicht durch die Fördermittel gedeckt werden, gehen automatisch zu Lasten der Inst.Gep. des Fraunhofer-Instituts.

5.3 Überwachung

Die Überwachung der »Attract«-Mittel wird von P4 vorgenommen. Die Bebuchung liegt in der vollen Verantwortung der Instituts- bzw. Projektleitung. Die FhI-Verwaltung/Controlling stellt die Kalkulation und die Finanzierung ein und kontrolliert die Kostenbebuchung.

Für weitere Fragen steht Ihnen Michaela Manghofer, P4, (☎ 089/1205-1219) gerne zur Verfügung.