Change Notes

For Base4NFDI Basic Service Proposals

- Initialisation Phase – [Version 3.4 2025-10-02]
- Integration Phase – [Version 2.4 2026-04-28]
- Ramp-Up Phase – [Version 1.2 2026-10-01]

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Initialisation Phase

v.3.4

- General clarifications in the text.
- **I General Instructions**
  - Request to publish the proposal some time after submission added.
  - Instructions for resubmissions added.
- **II Proposal Template – Initialisation Phase**
  - **1 General Information**

        - Added option to credit authors of the proposal if their work is not otherwise acknowledged in the proposal.
    - **4 Working Concept for the Development of the Basic Service**
        - **4.1 Service Initialisation Concept**
            - Added clearer instruction to provide information on the openness concept of the proposed service.
    - **5 Work Programme**
        - **5.1 Overview of Work Packages**
            - We now request every service to consider accessibility aspects right from the start. You do not have to have a full concept in place, but please make clear that you will consider aspects in the development of your service.
    - **6 Funding Request**
        - **6.1 Other Funding Sources**
            - We now request you to indicate any additional funding sources that your service has received, particularly any DFG funding that runs in parallel with Base4NFDI support. Clearly specify which features or work packages will be developed using Base4NFDI funding.
- **III Appendix**
    - We have added section a) Acknowledgement to provide any additional information on research funders or grant IDs, or to formally acknowledge collaborators involved in preparing the proposal.

v.3.3

- General clarifications in the text.
- **I General Instructions**
    - information on funding top-up are now available on the Base4NFDI homepage (https://base4nfdi.de/process/how-to-apply) and will only be referenced in the template. If the information should not be available or out-of-date on the homepage, please contact base4nfdi-office@lists.nfdi.de
- **II Proposal Template – Initialisation Phase**
    - **5 Work Programme**
        - **5.1 Overview of Work Packages**
            - added reference to the Base4NFDI homepage with a new overview on what is expected for each phase, see https://base4nfdi.de/process/what-is-expected-for-each-phase

- changed enumeration of required deliverables from D.1.x to D.TA1.x to have a clear distinction between TA1 required deliverables and deliverables of the basic service team
- added two TA1 requirements, D.TA1.6 and D.TA1.7, to account for outreach activities and the final summary and presentation of the Initialisation phase for the section
- clarification that the TA1 requirements D.TA1.1-D.TA1.7 either need to be integrated into the work plan as work packages or to include and map them specifically in the work packages by the basic service

v.3.2

- General clarifications in the text.
- Moved from RTF to ODT, in this process we also updated the enumeration of the headers.
- **II Proposal Template**
  - **2 State-of-the-Art of Proposed Basic Service**
    - **2.2 State-of-the-Art**
      - Added general instruction for clarification.
      - Added instruction to provide information about possible overlap with EOSC EU Node services.
  - **5 Work Programme**
    - **5.1 Overview on work packages**
      - Added references to new resources by Base4NFDI on Requirements for Completion of Initialisation Phase and Documentation.
      - Added information on centrally organised activities by Base4NFDI that should be considered in the work plan.

v3.1

- General clarifications in the text.
- **II B. Proposal Template**
  - **5. Work Programme**
    - Added more detailed information about required deliverables for the initialisation phase
    - Added recommendation on a work package for communication and community engagement

v3.0

- **I A. General Instructions**
  - Added support for application phase:
    - The Base4NFDI team is now complemented by Section Liaison Officers and Service Stewards who will provide support during the application phase. The

Service Stewards with their domain expertise will be accompanying funded Basic Service candidates in the Initialisation, Integration and Ramp-Up phase. To find out more visit https://base4nfdi.de/about/service-stewards.
        - We strongly recommend getting in contact with the Section Liaison Officers (base4nfdi-ta3@lists.nfdi.de) or Service Stewards (base4nfdi-servicestewards@lists.nfdi.de) as early as possible.
    - Added specification of section approval:
        - It is now specified that the proposal concept has to be presented, discussed and approved in a Section meeting before the Section spokespersons can submit the final proposal to guarantee a broad approval across the Section.
    - Adjusted maximum funding costs:
        - The Consortia Assembly (2024-01-12) agreed that proposals submitting in 2024 are allowed to calculate personnel costs on the basis of DFG Personnel Rates for 2024. This raises the maximum possible funding for each proposal of the Initialisation Phase to € 252.000.
- **II B. Proposal Template**
    - **1. General Information**
        - Participating institutions:
            - For clarification, please provide information if partner institutions will receive funding for the Basic Service via Base4NFDI or not.
        - Added significance:
            - This addition was highly suggested, e.g. by the Consortia, to provide a brief explanation of the added value to non-technical experts.
    - **2. State-of-the-Art of Proposed Basic Service**
        - Add rationale, why you think the proposed service can be defined as Basic Service with regard to the Base4NFDI service definition (link to homepage added):
            - We now ask very specifically for the rationale of your Basic Service idea with regards to the Base4NFDI service definition. This assures that you get to very specifically state your rationale and that the Technical Expert Committee as well as the Consortia can refer to this section in this regard.
    - **4. Working Concept for the Development of the Basic Service**
        - Added training perspective for each phase:
            - Every Basic Service has a target group that needs to be trained in the use / implementation / etc. of your Basic Service. This might become important e.g. for software piloting and testing. We therefore encourage you to consider training activities and the development of training materials as well as proper documentation in your working concept.

        - Risk and challenges, specification for three phases
            - It is now more clear that here you should provide an overview on risks and challenges across the Basic Service life-cycle from Initialisation to Ramp-Up Phase.
    - **5. Work Programme**
        - Added training materials:
            - See above. We encourage you to consider training activities and the development of training materials as well as proper documentation also in your working plan. If you need advice, reach out to the Base4NFDI Training Manager (contact via base4nfdi-office@lists.nfdi.de).
    - **Signatures**
        - Additional information on signatures needed to submit the proposal
            - We here clarify that the proposal needs to be signed by the Principal Investigators and the person/those persons who can provide legally binding statements for the applying institutions. So if not in concurrence of function, both the Principal Investigators and the heads of the institutes listed in “1. General Information” need to sign the proposal.
- **III Appendix**
    - **b) Letter of Commitment:**
        - We are now providing a more precise description of when a Letter of Commitment (LoC) is required and when it is not. If there are any open questions regarding this, feel free to contact the Base4NFDI team.

Integration Phase

v.2.4

- General clarifications in the text.
- **II Proposal Template – Integration Phase**
    - **2 Summary of Initialisation Phase Results**
        - We added a paragraph to explain the purpose of section 2 Summary of Initialisation Phase Results, which also now specifically includes information that the report is input to evaluate the readiness for the integration phase.
        - **2.3 Update on Technical Readiness Level (TRL) of the Proposed Basic Service**

        - The instruction has been clarified and now specifically asks for TRL estimation for the end of initialisation and end of integration. The instruction now also asks for reflection on TRL progression.
    - **6 Funding Request**
        - **6.2 Exit Strategy**
            - We now ask for an exit plan in case a service is not eligible for further funding after integration phase ends.

v.2.3

- General clarifications in the text.
- **I General Instructions**
    - Request to publish the proposal some time after submission added.
    - Instructions for resubmissions added.
- **II Proposal Template – Integration Phase**
    - **1 General Information**
        - Added option to credit authors of the proposal if their work is not otherwise acknowledged in the proposal.
    - **2 Summary of Initialisation Phase Results**
        - 2.2 Results of Initialisation Phase
            - The enumeration of the deliverables to report on the Initialisation phase has now been adjusted to fit the new enumeration introduced in the Initialisation template v.3.3.
    - **4 Working Concept for the Development of the Basic Service**
        - **4.1 Service Integration Concept**
            - Added clearer instruction to provide information on the openness concept of the proposed service.
    - **5 Work Programme**
        - **5.1 Overview of Work Packages**
            - The instruction now contains the most recent requirements for the completion of the Integration phase; more detailed information can be found in the publication by the Base4NFDI team referenced.
            - We now request every service to consider accessibility aspects right from the start. You do not have to have a full concept in place, but please make clear that you will consider aspects in the development of your service.

    - **6 Funding Request**
        - **6.1 Other Funding Sources**
            - We now request you to indicate any additional funding sources that your service has received, particularly any DFG funding that runs in parallel with Base4NFDI support. Clearly specify which features or work packages will be developed using Base4NFDI funding.
- **III Appendix**
    - We have added section a) Acknowledgement to provide any additional information on research funders or grant IDs, or to formally acknowledge collaborators involved in preparing the proposal.

v.2.2

- General clarifications in the text.
- **I General Instructions**
    - information on funding top-up are now available on the Base4NFDI homepage (https://base4nfdi.de/process/how-to-apply) and will only be referenced in the template. If the information should not be available or out-of-date on the homepage, please contact base4nfdi-office@lists.nfdi.de
- **II Proposal Template – Integration Phase**
    - **3 Working Concept for the Development of the Basic Service**
        - **3.1 Service Integration Concept**
            - added instruction to explicitly name status/plans to uptake the service in NFDI Consortia to provide an overview how the early integration of the service is planned
    - **5 Work Programme**
        - **5.1 Overview of Work Packages**
            - added reference to the Base4NFDI homepage with a new overview on what is expected for each phase, see https://base4nfdi.de/process/what-is-expected-for-each-phase
            - added more detailed information on requirements during the Integration phase, like what needs to be consider in regard to service integration, quality and sustainability studies, relevant aspects for later admission of the service to the service portfolio

v2.1

- General clarifications in the text.

- Moved from RTF to ODT, in this process we also updated the enumeration of the headers.
- **I Proposal Template**
  - **1 General Information**
    - Removed significance abstract and added Statement on efforts required by consortia for integration of service. This should give consortia a very brief idea of what effort is required by them to integrate the proposed basic service.
  - **2 Summary of Initialisation Phase Results**
    - **2.2 Results of Initialisation Phase**
      - **2.2.1 Interim report on requirements for finalisation of the initialisation phase**
        - Added references to new resources by Base4NFDI on Requirements for Completion of Initialisation Phase and Documentation.
      - **2.2.2 Other**
        - Added examples
    - **2.3 Update on Technical Readiness Level (TRL) of the proposed Basic Service**
      - Added information of required TRL.
  - **3 Working Concept for the development of the Basic Service**
    - **3.1 Service Integration Concept**
      - Added recommendation for consultation on key performance indicators.
      - Added instruction to provide update on changes to openness concept.
      - Added instruction to provide update on changes to overlap with EOSC EU Node services.
    - **3.2 Future Development and Ramp-up Outlook**
      - Added instruction to provide information on vision of business model.
      - Added reference to Base4NFDI policy paper on EOSC interoperability.
    - **3.3 Risks and Challenges**
      - Added general instruction for clarification.
  - **5 Work Programme**
    - **5.1 Overview of Work Packages**
      - Added information on community engagement and communication.
      - Added information on centrally coordinated activities by Base4NFDI.

v2.0

- **I A. General Instructions**
  - Adjusted maximum funding costs:
    - The Consortia Assembly (2024-01-12) agreed that proposals submitting in 2024 are allowed to calculate personnel costs on the basis of DFG Personnel Rates for 2024. This raises the maximum possible funding for each proposal of the Initialisation Phase to 497,700 € per year.
- **II B. Proposal Template**
  - General alignment with Initialisation Phase template (v3.0)
  - **2. Summary of Initialisation Phase Results**
  - Added instruction to provide information on how conditions issued by the Technical Expert Committee in their proposal review for the initialisation phase were addressed or resolved.
    - **2.2 Results of Initialisation Phase**
      - Added structure and more detailed information on how to report on the status and results of the initialisation phase
      - This includes added sections for an interim report on requirements for finalisation of the initialisation phase (2.2.1) and the option to report on other outcomes (2.2.2).
    - **2.3 Update on Technical Readiness Level (TRL) of the proposed Basic Service**
      - Added instruction to provide TRL for the basic service at the time of application for integration and by the end of initialisation phase.
  - **3. Working Concept for the development of the Basic Service**
    - 3.1 Service integration concept
      - Added information to clarify what details are expected in regard to service integration.
    - 3.2 Future development an ramp-up outlook
      - Added more detailed information what is expected in regard to interoperability and exchange to international infrastructures, especially the European Open Science Cloud (EOSC)
      - Added information to provide key performance indicators (KPIs) to measure the success of the basic service
  - **5. Work Programme**
    - 5.1 Overview of work packages
      - Added recommendation on a work package for communication and community engagement
      - Added information to provide a fact sheet as a part of service documentation
  - **III Appendix**

- **b) Letter of Commitment:**
  - Alignment of the description with the initialisation phase template of when a Letter of Commitment (LoC) is required and when it is not.

Ramp-Up Phase

v.1.1

- This was the first publicly released version of the Ramp-Up template. Version 1.0 was used internally as a prototype with a single pilot team and was not published; therefore no change notes are available for this transition.

v.1.2

- General clarifications in the text
- **I General Instructions:**
  - Added guidance on publishing the proposal on Zenodo and on resubmissions, aligning Ramp-Up with the Initialisation and Integration templates.
- **2 Summary of Integration Phase Results**
  - **2.2 Results of Integration Phase:**
    - We now ask to explicitly indicate whether any milestones or deliverables can not be achieved and why.
    - **2.2.1 Interim Report on Requirements for Finalisation of the Integration Phase:**
      - Corrected the deliverable range referenced for the OpenProject export (D.Int.1–D.Int.6 instead of D.Int.1–D.Int.7), matching the six sub-items a)–f) actually covered in this section.
      - Option to describe any noteworthy achievements not captured elsewhere added.
      - **b) Service maturity (D.Int.2):**
        - We added information on the option to complement the Technology Readiness Level of a service with the Service Readiness Level (SRL) self-assessment. It is still required to express the maturity of the service with TRL but especially for maturity of non-technical components, the SRL framework can be used additionally or to map to equivalent TRL.
- **3 Working Concept for the Development of the Basic Services**
  - **3.1 Ramp-Up Concept:**

        - We specified that a maturity of TRL 8 is required for all components of a service by the end of the Ramp-Up phase but that it is recommended to gain operational experience for the transition beyond Base4NFDI funding. Reaching TRL 9 is not a requirement.
        - We more specifically ask for an update on international partnerships, collaborations and EOSC integrations if applicable.
    - 3.3 Risks and Challenges
        - We are now asking for the main sustainability risk.
- **5 Work Programme**
    - **5.1 Overview of Work Packages:**
        - Now that the process is establishing, we clarified that Base4NFDI representatives will present the service to the NFDI Scientific Senate, not the service team.
        - Added requirement for TRL 8 across all components more clearly
        - Added a reference to the official document on Requirements for Completion of the Ramp-Up Phase, published by Base4NFDI
    - **5.2 Detailed Work Programme:**
        - We are kindly asking to now add information on person months per institution involved and for each work package. With this we would like to provide a clearer and to make funded vs. in-kind contributions more transparent.
- **Signatures of Partners:**
    - It is now mandatory that all partners, especially those who do not receive funding, confirm that they agree to the "Mittelweiterleitungs- und Kooperationsvertrag zu BASE4NFDI", which took effect on March 1, 2023, between TU Dresden and its partners. The document is available via office@lists.nfdi.de
- **III Appendix**
    - **b) Letters of commitment (LoC) supporting the Basic Service development (cf. section 4 of this form):**
        - We clarified that project partners acting as operators or providers need to submit LoCs.