

## Guide to Procurement of Major Instrumentation

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### Preamble

1. This guide describes the various steps for **applying for and procuring major instrumentation with a total contract value of €200,000 (incl. VAT) or more**. For such equipment, a proposal via the DFG is mandatory. The individual researcher acts as the lead researcher, but only the university is entitled to submit a request. Therefore, the approval and, if applicable, the assurance of funding (see below) must be obtained from the University Governing Board before preparing a proposal. One major concern of the University Governing Board is optimizing the use of available resources and a strategic investment planning.
2. **Requests for instrumentation < €200,000** are made by the individual researcher. In this case, the University Governing Board recommends a critical review of the responsible and efficient use of resources before submitting the request. Any further requirements of the respective funding bodies should be observed. After a successful application for procurement, the rules set out in the procurement instructions are binding. If you have any questions, please contact the Procurement and Inventory Management Department: Horst Schilling (0921 / 55-5310, [horst.schilling@uni-bayreuth.de](mailto:horst.schilling@uni-bayreuth.de)).

### Prior to submitting a request for major instrumentation > € 200,000, please do the following:

1. Using the list of major instrumentation available at the University of Bayreuth, check whether the desired equipment is already available in Bayreuth and can possibly be shared.
2. Identify potential further acquisitions in your subject-related environment (via contact persons in the faculties, focus areas, institutes, etc.) and, if necessary, bundle the projects.
3. If the equipment is not yet available or cannot be shared, determine the costs for procurement of the equipment. Please note that costs for extended warranties, maintenance and operation cannot be requested. The ongoing financing must be covered by the lead researcher.
4. Identify and involve other potential users, consider whether the equipment could be incorporated into existing Keylab strategies at the University of Bayreuth, or could become a strategic part of a planned (separate) proposal for a DFG core facility.
5. Determine the proportion of use for research, teaching or contract research. For large equipment that is predominantly used for research, requests are submitted within the

framework of the Major Instrumentation Programme under Article 91b GG. The DFG provides investment funds for proportional (50%) financing. A 50% co-financing commitment from the host state or university is required. For large equipment that is predominantly used in teaching or for contract research, the request is made within the framework of the programme for State Major Instrumentation according to Art. 143 GG. The funding is provided in full by the state; the DFG is only responsible for reviewing the request.

6. Clarify the room situation and the infrastructural requirements for the placement and commissioning of the major instrumentation as well as any necessary later dismantling with the Buildings & Grounds Maintenance (ZT). If spatial changes are necessary, the lead scientist will clarify the necessary construction measures with **Buildings & Grounds Maintenance: Gerald Weber** (0921 / 55-2100, [gerald.weber@uni-bayreuth.de](mailto:gerald.weber@uni-bayreuth.de)). Approval of the spatial and infrastructural requirements is always granted by the Buildings & Grounds Maintenance (ZT), even if no changes are necessary.
7. Determine the total costs, taking into account the costs for procurement of the new equipment as well as any infrastructural requirements with regard to installation and potential later dismantling. Draft a financing plan.
8. If, in the case of major instrumentation, the 50% contribution is made by the lead researcher him/herself (written confirmation), the Office of Research Support has to be informed about the intention to apply and the application process can begin immediately. If the 50% contribution is to be provided in part or in full by the University, as well as in the case of requests within the programme of State Major Instrumentation, a **discussion** must be held **with the University Governing Board** in which the results of points 1-7 are presented. If the lead researcher is not yet at the University of Bayreuth (major instrumentation commitments in the context of appointment negotiations), the chairperson of the appointment committee or a representative will help to clarify points 1-7.

### Submitting a request

1. All forms and fact sheets required for the request can be downloaded directly from the DFG website.
2. The Research Support Office provides assistance with questions regarding the preparation of requests: Dr. David Magnus (0921 / 55-7785, [david.magnus@uni-bayreuth.de](mailto:david.magnus@uni-bayreuth.de) or [forschungsfoerderung@uni-bayreuth.de](mailto:forschungsfoerderung@uni-bayreuth.de)). The Procurement and Inventory Management Department (Horst Schilling, see contact details above) can also provide advice on questions specifically concerning eligible costs in the proposal.

3. Once the proposal has been completed, it is reviewed in terms of form and content by the Office of Research Support in consultation with the Vice President for Research and Early Career Researchers. The lead researcher uploads the final version of all documents to the DFG portal and sends a digital copy to the Office of Research Support and to the Procurement and Collection Management department.
4. The original "*Erklärung zum Auftrag*" ("Declaration of Assignment") generated after the upload must be signed by the lead researcher and sent to Horst Schilling. Here, the additional signatures will be added and forwarded to the DFG for approval.
5. The President and the lead researcher will be informed in writing by the DFG of the decision regarding the proposal. The Research Support Office and the Procurement and Inventory Management Department will receive an internal copy.

### Procurement

1. If approved, the lead researcher will receive a notification from the Procurement and Inventory Management Department with an allocation of an account.
2. To carry out procurement in compliance with procurement law, the lead researcher contacts Volker Grunert of the Central Tendering Office, (0921 / 55-5348, volker.grunert@uni-bayreuth.de), who will carry out the tendering and contract awarding.
3. If infrastructural arrangements are necessary, the lead researcher will contact the Buildings & Grounds Maintenance (Gerald Weber, see contact details above) in good time before the equipment is delivered.
4. After delivery and payment, the major instrumentation is inventoried in the Inventory Management Division and added to the list of major instrumentation available at the University of Bayreuth. This list is thereby constantly updated.

### General information:

Equipment no longer used should first be notified to the respective faculty management. If not needed in the faculty, the dean will sign a declaration of dispensability. In case the equipment is dispensable, it can be offered for internal use via the UBT equipment exchange. This is the first mandatory step towards handing over old equipment in compliance with budgetary law. If, after determining the dispensability, a direct trade-in in the procurement process is deemed to be economical and possible, this step may be omitted.

Please contact Inventory Management for further questions in this regard: Simone Pointinger, Tel. 0921 / 55-5355, [simone.pointinger@uni-bayreuth.de](mailto:simone.pointinger@uni-bayreuth.de).