Alexander von Humboldt
Stiftung/Foundation

Sofja Kovalevskaja Award

- Regulations on the Use of Funds -

(January 2013)

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I. The programme and its objective

The Alexander von Humboldt Foundation's Sofja Kovalevskaja Award, which has been endowed by the Federal Ministry of Education and Research, is granted to exceptionally promising junior researchers from abroad in recognition of outstanding academic achievements and enables them to establish their own groups of junior researchers at research institutions in Germany.

Scientists and scholars from abroad, whose research records to date have already qualified them to be recognised as top-level junior researchers and who are expected to continue producing outstanding results as recipients of the Sofja Kovalevskaja Award, are eligible to submit applications.

Virtually unaffected by administrative constraints, the award winners will be able to concentrate on high-level, innovative research work of their own choice in Germany and thus strengthen the internationalisation of research in Germany. The award funds will allow the winners to finance their own working group at the university or non-university research institution of their choosing in Germany and also cover their living expenses.

II. Recipient of award funds, authority administering award funds

The recipient of award funds is the award winner. The Alexander von Humboldt Foundation expects the host institution in Germany, at which the award winner carries out his or her research work, to take on fiduciary responsibility for the administration of the award funds in the name of and on behalf of the award winner. For this purpose, an agreement must be concluded between the award winner and the host institution, and submitted to the Alexander von Humboldt Foundation before the first instalment of the award funds is paid (cf. Form, Enclosure 1). The award funds are remitted to the host institution at the award winner's request (cf. Form, Enclosure 2).

III. Purpose, use and provision of award funds

As soon as the award has been conferred, the award winner is entitled to the award funds as stated in the Alexander von Humboldt Foundation's letter about the conferment of award (award letter). The award funds are placed at the award winner's disposal for a period of five years to carry out the approved research project of his or her own choice in Germany. As a matter of principle, an extension of the funding period is not intended.

The award winner must use the award funds to carry out his or her approved research project at the host institution in Germany. The award funds may be used to cover all expenses serving this purpose (including the necessary equipment and material, personnel, travel expenses, etc.). The award winner may draw a monthly sum from the award funds (totalling 1/12 of the yearly salary) to cover his or her living expenses in Germany. The maximum amount of the personal income is – following the non-tariff regulation set by the Federal Ministry of the Interior in its circular letter of 18 November 2005 (Az D II 2 – 220 234; in consideration of the change of salaries according to the circular letter of 30 August 2012 – Az D 5 – 220 234) – as of 1 August 2013 6,432.96 EUR a month (employee's gross income). This corresponds to an employer's gross amount of ca. 96,000 EUR p.a.

The award winner is otherwise free to determine contractual details concerning his or her personal income from the award funds within the valid legal regulations as well as regulations with regard to collective bargaining and salary law in agreement with the host institution. The aforementioned maximum yearly amount must not be exceeded.

The host institution in Germany receives a flat-rate payment of 15% from the award funds (administrative flat-rate). It can be used to help cover any costs resulting from the use of existing and/or specifically acquired material or specifically created personnel infrastructure (e.g. general institute facilities, laboratories or workrooms, operating and maintenance costs, finance and personnel management and auditing); financing an eventual tenure track position is possible, too. In addition, the administrative flat-rate may be used to finance e.g. "welcome packages" that provide measures to integrate the award winner into his or her new living environment and into the research institution, including support for the professional integration of the award winner's partner, or compensation for the loss of retirement savings that were accrued abroad, etc.

The host institution may place unused funds from the administrative flat-rate at the disposal of the award winner to carry out his or her approved research project.

The award funds must be used economically and prudently.

The award funds are paid in instalments. The first instalment is available on request (cf. Form, Enclosure 2) as soon as the recipient of the award has

- accepted the award by returning the written declaration of acceptance to the Alexander von Humboldt Foundation,
- submitted the "Agreements between the award winner and the host institution" (cf. Form, Enclosure 1) and

- submitted the "Fund Request" (cf. Form, Enclosure 2)

to the Alexander von Humboldt Foundation.

Payments of award funds are dependent on the availability of budgetary means.

Any interest accrued during the funding period must be used for the approved research project.

IV. Human and material resources

The award winner and the host institution come to a mutual agreement (cf. Form, Enclosure 1) on the procedure for employing staff during the funding period and on the regulations governing the awarding of assignments or conclusion of other contracts. The host institution acts as employer on behalf of the award winner. This status is based upon the standard legal general conditions governing the use of public funds at the host institution. The same applies to the use of material resources, particularly expenditure on travel and the awarding of assignments to third parties. The award winner may earmark part of the award funds which the host institution may use to grant fellowships, particularly to guest researchers from abroad. The basis for determining the value of the fellowships should be the monthly instalments paid by the German Academic Exchange Service and the Alexander von Humboldt Foundation to graduate and post-doc fellows respectively (cf. standard instalments enclosed to the financial plan form).

The Alexander von Humboldt Foundation considers it important that host institutions grant award winners the right to supervise doctoral students through to submission, if necessary in cooperation with a university. This should be negotiated with the host institution and, if necessary, in cooperation with a university on an individual contract basis. Any such contract should be submitted to the Alexander von Humboldt Foundation, if necessary after the award has been accepted.

V. Scientific equipment

Scientific equipment financed from the award funds is purchased by the host institution in the name of and on behalf of the award winner in accordance with his or her requirements. Upon purchase, it immediately becomes the property of the host institution. Equipment with a procurement or production value of more than EUR 410 (excluding purchase tax) passes into the

inventory of the host institution and must continue to be used for scientific purposes when the funding period comes to an end.

The host institution ensures that the necessary technical and financial conditions for installing and operating the equipment exist and that the award winner has the full right of disposition over the equipment during the entire funding period. The equipment remains the property of the host institution in the event that the award winner transfers to another institution. The award winner may only remove the equipment to another institution in Germany in mutual agreement with the host institution and with prior written authorisation by the Alexander von Humboldt Foundation.

VI. Taxation, social security and other levies

The award winner bears responsibility for all matters relating to taxation, employment and social security legislation and for observing other laws and state regulations; administrative responsibility lies with the host institution. A letter of intent to this effect must be submitted to the Alexander von Humboldt Foundation (cf. Form, Enclosure 1). Particular attention is drawn to special tax regulations to be observed in respect of fellowships as well as work and service contracts.

VII. Exploiting research results – publications, patents and licences. Use of the Alexander von Humboldt Foundation's logo

The Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship be published. In publications and all other (especially public) presentations, appropriate reference should be made to the funding provided by the Alexander von Humboldt Foundation as well as to the donor, the Federal Ministry for Education and Research:

- In publications, an appropriate place must be chosen to state that funding has been provided by the Alexander von Humboldt Foundation in the framework of the Sofja Kovalevskaja Award endowed by the Federal Ministry of Education and Research.

- Publications, stating the title and bibliographical details, must be entered in the data-base “Bibliographia Humboldtiana“ of the Network Online on the Alexander von Humboldt Foundation’s website: *http://www.humboldt-foundation.de/web/service-portal.html* .

- If award winners are interested in publishing research results in the fields of chemistry, physics, mathematics or informatics through the

German National Library of Science and Technology – German Research Reports (TIB), they can contact the TIB directly:

Postal address

for letters:	for parcels:
Technische Informationsbibliothek Deutsche Forschungsberichte Postfach 6080 30060 Hannover	Technische Informationsbibliothek Deutsche Forschungsberichte Welfengarten 1B 30167 Hannover

E-mail: dtf-edok@tib.uni-hannover.de

Any further questions may be directed to Dr. Elzbieta Gabrys-Deutscher – Elzbieta.Gabrys@tib.uni-hannover.de

If it is planned to use the Alexander von Humboldt Foundation logo, the following needs to be observed:

- The use of the Alexander von Humboldt Foundation logo in any kind of communication is subject to strict rules. The logo and its constituent parts are a trademarked name and may not be reproduced without obtaining the express written authorisation of the Foundation in advance. The logo comprises three parts: the head of Alexander von Humboldt, the script nameplate and the bilingual addition "Stiftung/Foundation". These elements jointly comprise the **inseparable** word/image trademark. The logo and its constituent parts may not be copied, altered, truncated or integrated in other logos.

- Use of the logo is authorised in publications and other, in particular public, presentations (e.g. conference presentations) of research results that were produced in direct connection with sponsorship by the Alexander von Humboldt Foundation. For this purpose, the logo with the label “Unterstützt von/ Supported by“ may be downloaded from the password-protected section via the log-in mask of the Online Network (cf. C.4.) in an electronic file format that conforms to the specific requirements for print:
  http://www.humboldt-foundation.de/web/service-portal.html

- Any other use of the logo requires prior written permission from the Alexander von Humboldt Foundation and must be requested in writing, stating the intended use of the logo.

The Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship be utilised. Commercially-

utilisable results, in particular, should be adequately protected (particularly by patents and utility models) and exploited:

- Research results potentially eligible for commercial exploitation must be presented to the appropriate agencies, such as industry. If it seems recommendable to register a patent or similar legal protection for research results, it is essential, for legal reasons, to start proceedings **before** publishing the relevant results.

  The people to contact, specialised in registering patents and legally protecting research results, are patent agents ("Patentanwälte") and patent broking companies or agencies ("Patentverwertungsstellen/-agenturen"). All related matters (legal questions, whom to contact about publication, registering patents etc.) must be clarified with the host institution directly.

- The legal relationship between the award winner and the host institution is governed by the provisions of the German "Employees Invention Act", whereby the award winner should enjoy the same status as a professor in the legal context. A written agreement to this effect between the award winner and the host institution must be submitted to the Alexander von Humboldt Foundation (cf. Form, Enclosure 1).

VIII. Reports on the use of funds and audits

By April 30th of each year, the award winner is required to submit a brief report on work carried out and results achieved in the preceding calendar year as well as a numerical (interim) report on the use of funds (cf. Form, Enclosure 3). A detailed final report on work carried out and results achieved, and a numerical report on the use of (total) funds for the entire funding period must be submitted not later than four months after the funding period has come to an end. The report on work must present the results achieved in detail and provide an accounting of the most important items in the numerical report on the use of funds. Reports on work may be passed on to the Alexander von Humboldt Foundation's peer reviewers. The Foundation reserves the right to evaluate and publish these reports.

The award winner must certify that the award funds have been used in accordance with their stated purpose as well as economically and prudently. The department representing the host institution in personnel and business matters must certify that the facts and figures in the report on the use of funds are correct. If the host institution has its own auditors, they must review and endorse that the award funds have been used in accordance with their stated purpose as well as economically and prudently. If the audit cannot be carried

out at the host institution, then an external auditor must be commissioned to conduct the audit. The costs for this may be deducted from the administrative flat-rate. After the reports on the use of funds have been submitted, the host institution must retain the receipts for the period stated in its regulations.

Any award funds that remain unused after completion of the final accounts must be returned to the Alexander von Humboldt Foundation.

The Alexander von Humboldt Foundation or its authorised representative is entitled to request the submission of books, receipts and other business records and to verify the use of the award funds in local surveys at any time. The award winner and the host institution must give written approval for this procedure and submit it to the Alexander von Humboldt Foundation (cf. Form, Enclosure 1).

IX. Rules of good scientific practice, legal regulations and general obligations

The award recognises the entire academic record to date and the personality of outstanding junior scientists and scholars. When carrying out the research work funded, award winners are obliged to abide by the relevant rules of good scientific practice and corresponding laws which apply at the respective research location and to the Alexander von Humboldt Foundation. As well as personal integrity it is also taken for granted that award winners have abided by the relevant regulations and laws in their research work to date.

When accepting the award, the award winner is obliged:

1. to notify the Alexander von Humboldt Foundation immediately if the intended use of funds is altered or no longer relevant. This also applies to anything more than just minor changes to the approved research project;

2. when carrying out the approved research work to observe in Germany *in particular*:

   - the rules of good scientific practice (cf. Enclosure 4);
   - when planning and carrying out experiments on human subjects, the Helsinki Declaration of the World Medical Association on the Ethical Principals for Medical Research Involving Human Subjects in the revised version of October 2008: *http://www.wma.net/en/30publications/10policies/b3/index.html*

- when carrying out experiments on animals, the regulations of the respective valid law on animal protection and the relevant implementation rules: *http://bundesrecht.juris.de/tierschg/BJNR012770972.html* ;
- in the case of genetic experiments, the respective valid law regulating issues of genetic engineering and the relevant implementation rules: *http://bundesrecht.juris.de/gentg/ ;*
- the ethical rules according to Article 6 of Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community: *http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:412:0001:01:en:HTML* and
- when transferring knowledge abroad, which could be of importance to the military or the armaments industry of the transfer countries, the respective valid version of the relevant regulations in the Federal Republic of Germany's foreign trade law and foreign trade decrees as well as further relevant implementation rules: *http://bundesrecht.juris.de/awg/* and *http://bundesrecht.juris.de/awv_1986/*.

3. to focus his or her entire working activity on the approved research project in Germany in agreement with the host institution and to be present regularly and permanently at the host institution in Germany according to customary practice in the respective discipline; secondary employment is only permissible in exceptional cases, providing it does not interfere with the sponsorship objectives, and requires prior written authorisation by the Alexander von Humboldt Foundation;

4. not to utilise any other fellowships or funds from other German institutions designated to cover living expenses when using part of the award funds to cover his or her living expenses;

5. not to make use of any congruent sponsorship from funds deriving from German academic sponsorship; applications for or receipt of partial funding from German or foreign sources must be reported to the Alexander von Humboldt Foundation immediately;

6. to abide by the rules on the use of the Alexander von Humboldt Foundation logo (cf. VII.).

X. General Regulations

The Regulations on the Use of Funds are integral to the award.

The German-language text of the Regulations on the Use of Funds is authoritative; the English-language text merely serves as a useful translation.

Should the Regulations on the Use of Funds fail to be respected, the Alexander von Humboldt Foundation reserves the right to revoke the decision on conferring the award in part or in full and to demand repayment of the award funds or parts thereof. This also applies if the award winner makes or has made false statements before or during the funding period or other serious facts emerge which would have militated against the conferment of the award had they been known to the selection committee at the time. The procedures and penalties in the event of violations of the Regulations on the Use of Funds and especially in case of scientific or other malpractice are regulated in detail in the document "Rules of good scientific practice, procedures, and penalties in the event of malpractice" (cf. Enclosure 4).

The Alexander von Humboldt Foundation reserves the right to amend the Regulations on the Use of Funds at any time, provided that the amendments, while taking due account of the interests of the Alexander von Humboldt Foundation, are reasonable vis-à-vis the award winner. Amendments will be announced to the award winner in writing well in advance. The amendments are considered to have been approved if the award winner has not lodged an objection in writing within four weeks. In the event of an objection the Alexander von Humboldt Foundation reserves the right to cease funding within a reasonable period of time.

The sole legal venue is Bonn/Germany. German law applies exclusively without conflicting rules.

as of: January 2013

Enclosure 1

Sofja Kovalevskaja Award

Agreements between the award winner and the host institution

Award winner*:*

Host institution entrusted with
the administration of award funds*:*

The above mentioned institution and the award winner have reached the following agreements:

a) Purpose and administration of award funds

The award funds are intended to be used for carrying out the award winner's approved research project at the host institution in Germany. The host institution entrusted with the administration of award funds has taken note of the Regulations on the Use of Funds enclosed in the award documents and will support the award winner to the best of its ability while observing these regulations. Furthermore, the following agreements have been concluded:

b) Agreement on the administration of award funds as well as taxation, customs, employment and social security matters; furthermore, on compliance with other laws and state regulations (Letter of intent; cf. Regulations on the Use of Funds, II., IV., VI., VIII., IX.):

The award winner bears responsibility for all matters relating to taxation, employment and social security legislation and for complying with other laws and state regulations; administrative responsibility lies with the host institution. The latter acts as employer on behalf of the award winner, takes on responsibility for the administration of the award funds and retains the receipts for the period stated in its own regulations.

c) Agreement on patents and licences (cf. Regulations on the Use of Funds, VII.):

The legal relationship between the award winner and the host institution is governed by the provisions of the German “Employees Invention Act”, whereby the award winner should enjoy the same status as a professor in the legal context.

d) Agreement on the right to audit (cf. Regulations on the Use of Funds, VIII.):

The Alexander von Humboldt Foundation or its authorised representative is entitled to request the submission of books, receipts and other business records and to verify the use of the award funds in local surveys at any time.

e) Alterations and additions to these agreements require the authorisation of the Alexander von Humboldt Foundation

_____

Place and Date Award winner’s personal signature

_____

Designation and official stamp of the department authorised to represent the host institution in personnel and business matters

_____

Place and date Name of signatory Personal signature

Enclosure 2

Sofja Kovalevskaja-Preis / *Sofja Kovalevskaja Award*
Preisgeldabruf / *Fund Request*

Preisträger/in *Award winner:*

Mit der Verwaltung des Preisgeldes betraute gastgebende Institution/
Host institution entrusted with the administration of award funds:

Jahr/*Year* (insgesamt nicht mehr als 60 Monate/ *not exceeding 60 months altogether)*	**2014**	**2015**	**2016**	**2017**	**2018**	**2019**	**gesamt/ total**
1. Personalmittel Hinweis: Die maximale Höhe der Bezüge zur Deckung des Lebensunterhaltes des/r Preisträgers/in beträgt 6.433 EUR monatlich (Arbeitnehmer-Bruttoentgelt); dies entspricht einem Arbeitgeber-Bruttobetrag von ca. 96.000 EUR p. a., vgl. Verwendungsbestimmungen, III.) / ***Human resources*** *Please note: The maximum amount of income to cover the award winner's living expenses is* 6.433 *EUR per month (employee's gross income); this corresponds to an employer's gross amount of ca. 96.000 EUR p. a., cf. Regulations on the Use of Funds, III.)*	EUR	EUR	EUR	EUR	EUR	EUR	EUR
2. Sachmittel / ***Material resources***	EUR	EUR	EUR	EUR	EUR	EUR	EUR
3. Verwaltungspauschale / ***Administrative flat-rate*** 15 % des Preisgeldes / *15 % of award funds*	EUR	EUR	EUR	EUR	EUR	EUR	EUR
Summe/*Total*	**EUR**	**EUR**	**EUR**	**EUR**	**EUR**	**EUR**	**EUR**

Benötigtes Preisgeld / *Award funds required*:

Die Auszahlung erfolgt in Teilbeträgen – je nach Verfügbarkeit der Haushaltsmittel – sobald wie möglich./
Payments are made in installments and are effected – depending on the availability of budgetary means – as soon as possible.

Kontoverbindung der gastgebenden Institution:/ ***Bank account*** *of the host institution:*

Kontoinhaber/in/*Account holder*	
Name der Bank/*Name of the bank*	
Bankleitzahl (BLZ)/*Bank code number*	
Kontonummer/*Account number*	
Evtl. Verwendungszweck/*Intended use if applicable*	

Ort und Datum/*Place and date*

Eigenhändige Unterschrift des/r Preisträgers/in /
Award winner's personal signature

Wir haben bei der Erstellung dieses Preisgeldabrufes mitgewirkt. /
We have assisted in the preparation of this Fund Request:

Bezeichnung und Dienststempel der Stelle, die zuständig ist, die gastgebende Institution im Bereich der Personal- und Wirtschaftsverwaltung zu vertreten / *Designation and official stamp of the department authorised to represent the host institution in personnel and business matters*

Ort und Datum / *Place and date*

Name der/s Unterzeichnenden/ *Name of signatory*

Eigenhändige Unterschrift/ *Personal signature*

Enclosure 3

Sofja Kovalevskaja Award

Report on the use of funds

for the period from ……. to ……..

Interim report / Report on the use of funds – *please delete as applicable*

Award winner: _____

Host institution entrusted with the administration of award funds: _____

Total amount of award funds: _____

Total funding period: _____

A. Report on the work carried out and results achieved (please attach as separate enclosure)

B. Numerical report for the report period from …….....……to ……..:

Cash balance at the beginning of the report period: EUR……..

Award funds accrued during the report period: EUR……..

Interest accrued during the report period: EUR……..

Total of disposable award funds during the report period **EUR**_____

Expenses paid from award funds:

1. **Human resources:** EUR……..

   of these: award winner's personal income: EUR……..

2. **Material resources:** **EUR**……..

2.1 Scientific equipment: EUR……..

Items with a procurement or production value of more than EUR 410 (excluding purchase tax) are included in the inventory of the host institution. They are available to be used for scientific purposes as of the end of the funding period.

2.2 Travel expenses: EUR……..

2.3 Consumables/other: EUR……..

3. **Administrative flat-rate:** EUR……..

Total expenditure during the report period: EUR_____

Cash balance at the end of the report period: **EUR**.....

p.t.o.

After submitting the report on the use of funds, receipts will be retained by the host institution for the period stated in its own regulations.

The report on work carried out and results achieved is enclosed.

The Regulations on the Use of Funds have been observed.

The award funds have been used economically and prudently.

_____

(Place and Date) (Award winner's personal signature)

It is herewith certified that the above-cited facts and figures are correct:

_____

Designation and official stamp of the department authorised to represent the host institution in personnel and business matters

_____	_____	_____
Place and date	Name of signatory	Personal signature

It is herewith certified that the award funds have been used in accordance with their stated purpose as well as economically and prudently and, furthermore, that the transactions and receipts correspond with the data:

_____

Designation and, if applicable, official stamp of the auditing body

Please indicate:

☐ Department of the host institution authorised to conduct internal audits.

☐ External auditor

_____	_____	_____
Place and date	Name of signatory	Personal signature

Rules of good scientific practice, procedures, and penalties in the event of malpractice

1. Rules of good scientific practice

1.1. Those sponsored by the Alexander von Humboldt Foundation (AvH) are obligated to inform themselves about and comply with the rules of good scientific practice that are in effect at their host institution.

1.2. Moreover, those sponsored are to pledge themselves, and the staff they employ in the framework of AvH funding, to observe the rules of good scientific practice below. Violations of these rules or scientific or other malpractice (see paragraphs 2 and 3) may result in the penalties described in paragraph 4.

1.3. The following principles constitute the rules of good scientific practice, both in general and specified to the individual disciplines as necessary:

- *General principles of scientific work*
  - to work in accordance with the accepted standards of the discipline;
  - to observe the rules specific to the respective discipline with regard to the attaining, selecting, documenting, and long-term securing of data and other findings;
  - to challenge consistently all one's own findings;
  - to maintain strict honesty with regard to the contributions of partners, competitors, and predecessors.

- *Cooperation and supervisory responsibility in working groups*
  - to assure cooperation and supervisory responsibility in working groups; in particular, to take organisational measures to ensure that the tasks of leadership, supervision, conflict management, and quality assurance are clearly assigned and actually fulfilled;
  - not to compromise research activities of others.

- *Supervision of junior researchers*
  - to ensure appropriate supervision for graduates, doctoral candidates, and students, in particular by providing each of them with a primary mentor in the working group.

- *Scientific publications:*
  - to produce and disseminate scientific publications in accordance with the accepted rules and standards of the discipline; and, in particular when new findings are to be published, to describe these findings and the applied methods completely and comprehensibly as well as account for one's own and others' preliminary work exhaustively and correctly.

  - If several participants are involved in a scientific project and its subsequent publication, only those can be named as co-authors who significantly contributed to the conceptual design, formulation, analysis and interpretation of the data or findings, and the drafting of the manuscript, and have

consented to its publication; so-called 'honorary authorship' is not permissible; third-party support is to be listed under acknowledgements.

2. Scientific or other malpractice

2.1. Scientific malpractice is the misrepresentation of facts in a scientific context, either consciously or due to gross negligence, infringement of intellectual property of others, or any other encroachment upon others' research activities. Decisions will be made on a case-by-case basis. The following, in particular, can be considered scientific malpractice:

2.1.1. *Misrepresentation of facts* such as

2.1.1.1. forging or distorting data, for example by selecting and rejecting undesirable results without declaring them, or by manipulating illustrations or images;

2.1.1.2. false information in an application or a funding proposal, including false information about the publication organ and publications in print.

2.1.2. *Infringement of intellectual property* concerning copyrighted work by others or significant scientific findings, hypotheses, teachings, or research approaches by others such as

2.1.2.1. unauthorised utilisation by presumption of authorship (plagiarism), exploitation of research approaches and ideas, in particular as a peer reviewer (theft of ideas);

2.1.2.2. presumption or unsubstantiated appropriation of scientific authorship or co-authorship;

2.1.2.3. misrepresentation of contents;

2.1.2.4. unauthorised publication and unauthorised granting of access to third parties prior to the publication of the work, the findings, the hypothesis, the teaching, or the research approach;

2.1.2.5. claiming authorship or co-authorship of others without their consent.

2.1.3. *Sabotage of research activity*, including damaging, destroying, or manipulating experimental arrangements, equipment, documents, hardware, chemicals, or other materials needed by others to conduct scientific work (including malicious displacement or abstraction of books and other documents).

2.1.4. *Deletion of primary data* if it infringes legal provisions or accepted principles of scientific work in the discipline.

2.2. Scientific misconduct also comprises behaviour that entails a s*hared responsibility* for the misconduct of others, in particular by active participation, joint knowledge of misrepresentations, co-authorship of falsified publications, or gross negligence of supervisory responsibilities.

2.3. For the purpose of the present rules, other misconduct is applicable if grave circumstances are discovered that challenge the personal aptitude of the individual sponsored to be a member (multiplier) of the global AvH network.

3. Penalties

In the event of grave violation of the above rules of good scientific practice, in particular scientific or other malpractice, the AvH can impose one or several of the following penalties, depending on the nature and gravity of the established misconduct

3.1. Written reprimand of the person concerned;

3.2. Request that the person concerned retract the discredited publication or correct the falsified data (in particular by publishing an erratum), or appropriately indicate the recall of AvH sponsorship, for example in the erratum.

3.3. Temporary suspension of funding decisions pending the resolution of the issue;

3.4. Forfeiture of eligibility for AvH sponsorship, permanent or temporary, depending on the gravity of the scientific malpractice;

3.5. Revocation of funding decisions (complete or partial cancellation of the grant, recall of funds granted, reclaim of funds spent), including the denial of the status of “Humboldtian“;

3.6. Exclusion from review and committee work for AvH.

4. Procedures

If a violation of the rules of good scientific practice (paragraph 1) or scientific or other malpractice (paragraph 2) is suspected, the following basic procedures take effect:

4.1. If probable cause is brought to the attention of the AvH, the suspected person must be notified of the incriminating facts and be given the opportunity to respond in writing within four weeks. Simultaneously, the implementation of a funding decision can be suspended temporarily until the issue is resolved (see paragraph 3.3.). Without their consent, the identity of the informant and the allegedly injured party will not be disclosed to the party concerned in this phase.

4.2. In order to clarify the issue, the AvH office is authorised to request oral or written statements by the concerned as well as third parties at any time.

4.3. If no response is received or if a response is examined and the suspicion persists, the AvH will notify the party concerned, explicitly indicating the AvH's penalty options as well as the right of the concerned party to remonstrate within four weeks.

4.4. If use is not made of the right to remonstrate, the AvH may impose one of the measures listed above in paragraph 3.

4.5. If the remonstration submitted by the party concerned fails to convince the AvH, and in particular, fails to refute the probable cause plausibly, the AvH may impose one of the above-mentioned penalties. Prior to making the decision, the AvH may request an expert opinion on the existence of malpractice from the Ombudsman of the DFG or a comparable body affiliated with the host institution.

5. Scope of application, coming into effect, and temporary provisions

The above regulations apply to academics who receive sponsorship from the Alexander von Humboldt Foundation (AvH) as well as applicants for funding, host institutions, alumni, members of selection committees, peer reviewers, and special reviewers of the AvH.

The regulations take effect on 01.08.2007. Individual AvH-sponsored projects that have been concluded by this date will not be affected by these regulations, but are subject to the general rule that the AvH can alter or revoke its funding decisions if circumstances are brought to its attention after the fact that would have led to a different decision on the part of the AvH had they been known in advance.