Alexander von Humboldt
Stiftung / Foundation

Sofja Kovalevskaja Award

Information and Recommendations for Award Winners
Regulations on the Use of Funds

CONTENTS **page**

PREFACE 2

INTRODUCTION: WHO WAS SOFJA KOVALEVSKAJA? 4

A. THE SOFJA KOVALEVSKAJA AWARD 6

1. Conferment of award 6
2. Acceptance of award and commencement of research work in Germany 7
3. Taxation 7
4. German language course 8
5. Annual Meeting of the Alexander von Humboldt Foundation 8
6. Report on Award Winners' experiences 8

B. GENERAL CONDITIONS AND RECOMMENDATIONS FOR THE STAY IN GERMANY 9

1. Entry requirements, visa 9
2. Registration, residence permit 10
3. Health and liability insurance, legal costs insurance, as well as other insurances 12
4. Accommodation 15
5. Permission to drive in Germany 16

C. ALUMNI SPONSORSHIP AND HUMBOLDT NETWORK 16

1. Humboldt Kosmos 17
2. Humboldt Colloquia and Humboldt Kollegs 17
3. Humboldt Alumni Associations 17
4. Humboldt Network Online: Information on the Alexander von Humboldt Foundation's website 18

REGULATIONS ON THE USE OF FUNDS 21

ENCLOSURE 1 „Agreements between the award winner and the host institution” form
ENCLOSURE 2 „Fund request” form
ENCLOSURE 3 „Report on the use of funds” form
ENCLOSURE 4 Rules of good scientific practice, procedures, and penalties in the event of malpractice

(as of: January 2013)

Preface

The Alexander von Humboldt Foundation brings the knowledge of the world to Germany. In global competition for the topmost experts, it offers various programmes to attract scientists and scholars at different stages of their careers. Support involves both funding and personal support in all matters relating to the stay in Germany. On top of this, the Alexander von Humboldt Foundation offers numerous other kinds of sponsorship in the framework of the alumni programmes. In this way, an active international network of more than 25,000 academics has grown up since the Alexander von Humboldt Foundation was founded in 1953.

The Alexander von Humboldt Foundation is bestowing the **Sofja Kovalevskaja Award** on young exceptionally promising researchers from abroad in recognition of outstanding academic achievements and enables them to establish their own junior research groups at research institutions in Germany. The award is funded by the Federal Ministry of Education and Research. Apart from sponsoring international science, the Alexander von Humboldt Foundation aims to develop a personal relationship between the researchers from all countries and disciplines and Germany itself. This does not only happen in laboratories and libraries but in everyday life: through contacts to the people of the country. In order to intensify these contacts, the Alexander von Humboldt Foundation sponsors German courses for the award winners and their marital partners. At the annual meeting and other events organised by the Alexander von Humboldt Foundation, there is an opportunity to get to know other Humboldtians and the Foundation’s staff personally.

This brochure is intended as a guide for award winners and representatives of the academic host institutions, offering practical advice and explaining the rules of the programme. Details as to the use of the award funds are regulated in the "Regulations on the Use of Funds". The Alexander von Humboldt Foundation is grateful for any suggestions which might improve or supplement this brochure.

I wish the award winners and the representatives of the academic host institutions a successful academic collaboration in Germany. I would be pleased to welcome you to one of our events.

Bonn, January 2013

Dr. Enno Aufderheide
Secretary General of the
Alexander von Humboldt Foundation

Introduction: Who was Sofja Kovalevskaja?

Sofja Kovalevskaja was born in Moscow on January 15, 1850. As a child, her uncle introduced her to mathematics. When she was 11, the walls of her room were papered with pages from Ostrogradski's comments on differential and integral analysis. She already knew something about it from talking to her uncle; studying the "wallpaper" thus became her introduction to the field of infinitesimal calculus. One year later, Sofja Kovalevskaja taught herself trigonometry. Her neighbour, a mathematician, recognized her abilities and urged her father to send her to advanced classes in mathematics.

In 1869, already married, she went to Heidelberg in order to begin her studies in mathematics and natural sciences. When she was refused admission because she was a woman she persuaded the university to allow her to attend lectures unofficially. She studied at Heidelberg University for three semesters and then moved to Berlin in 1871 to continue her studies under Karl Weierstraß. In spite of the latter's intercession, she was still barred from enrolling. Weierstraß became her private teacher for the next four years.

By the spring of 1874, Sofja Kovalevskaja had written three essays, including one on "partial-differential equations" which was published in "Crelle's Journal". In the very same year she received a doctorate from Göttingen University.

In 1882, she published three essays on light refraction. After her husband Vladimir committed suicide in 1883, Sofja Kovalevskaja threw herself into mathematical work, which enabled her to find employment as a university lecturer in Stockholm in 1884. In 1889, she was one of the first women in Europe to receive a university chair at the University of Stockholm. Strindberg’s aspersion that she had robbed a man of the professorship by occupying this chair was even rejected by the commentators of the Strindberg edition. During her time in Stockholm, she became co-editor of the journal "Acta Mathematica", established contacts with mathematicians in Paris and Berlin and organised international conferences.

Apart from her scientific work, Sofja Kovalevskaja wrote memoirs and stage plays. In 1886, she was awarded the "Prix Bordin" by the French Academy of Sciences. For later research work she received the Award of the Swedish Academy of Sciences in 1889 and became a member of the St. Petersburg Academy of Sciences in the same year.

Sofja Kovalevskaja died of pneumonia young, on February 10, 1891, in Stockholm.

A. The Sofja Kovalevskaja Award

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.

1. Conferment of award

The award is conferred by the Alexander von Humboldt Foundation, under the auspices of the Federal Ministry of Education and Research.

The scientists and scholars who have been selected are informed about the conferment of award in writing by the Alexander von Humboldt Foundation (award letter). At the same time, a copy of the award letter is sent by the Alexander von Humboldt Foundation to the host institutions in Germany.

The value of the award is stated in the award letter. It is determined by the selection committee and is final and binding.

The German-language text of both the award letter and this brochure "Sofja Kovalevskaja Award. Information and Recommendations for Award Winners/Regulations on the Use of Funds", is authoritative; the English-language text merely serves as a useful translation.

The awards will be bestowed on the award winners at an Award Ceremony in Berlin.

2. Acceptance of award and commencement of research work in Germany

By returning the declaration of acceptance (which accompanies the award letter) and the further award documents, the recipients of the award confirm that they accept the award and are in agreement with the conditions pertaining to the regulations governing the use of funds. The award funds are placed at the award winners' disposal to carry out the approved research project of his or her own choice in Germany for a period of five years immediately following the conferment of the award. As a matter of principle, an extension of the funding period is not intended.

The award winners and their host institutions agree jointly on the commencement of the planned research work in Germany as soon as possible, in the course of the calendar year of the award conferment at the latest. The Alexander von Humboldt Foundation wishes to be informed about the time plan as soon as possible so that all the necessary preparations can be completed well in advance.

The Alexander von Humboldt Foundation has an interest in publicising the award conferment both nationally and internationally. Thus, award winners are requested to submit the names and addresses of the Presidents of their own universities or institutions who should be informed about the honour the award confers. The Presidents of the host universities in Germany will also receive notification that the award has been granted. Furthermore, when the award winners have commenced their stay at German research institutes, they will be presented on the Alexander von Humboldt Foundation's website:
www.humboldt-foundation.de/web/award-winners-in-germany.html.
This allows specialist colleagues in Germany to get into contact with them.
Detailed information about Sofja Kovalevskaja Research Award winners and their research work is available on the following website:
http://www.humboldt-foundation.de/web/dossier-kovalevskaja-award.html.

3. Taxation

Award winners are responsible for all matters pertaining to their taxation.

The Alexander von Humboldt Foundation assumes that the award will be classified as a grant towards a research project in Germany and, as such, be free of tax. Whether the proportion of the award funds earmarked for covering living expenses is taxable should be examined individually. In this case, any existing double taxation agreements may be relevant.

The laws in the award winners' own countries or countries of residence may include special regulations on taxing awards. If in doubt, the award winners should contact a tax advisor in their own country.

4. German language course

If award winners or their marital partners wish to attend German language courses, the Alexander von Humboldt Foundation is prepared, as far as possible, to bear the costs for the course. Application should be made in writing to the Alexander von Humboldt Foundation before the course begins (stating the duration, number of lessons and course fee). The Alexander von Humboldt Foundation expects a regular attendance. In the event of absence from lessons, the refund of course fees may be required.

5. Annual Meeting of the Alexander von Humboldt Foundation

Award winners and their families are invited to attend the annual meeting of the Alexander von Humboldt Foundation.

The annual meeting, held in Berlin in June or July, is the main gathering of Humboldt guest researchers and their families staying in Germany. The highlight of the annual meeting is a reception given by the President of the Federal Republic of Germany.

6. Report on Award Winners' experiences

Apart from reports on work carried out and results achieved (cf. Regulations on the Use of Funds, VIII.), towards the end of the funding period, the Alexander von Humboldt Foundation asks the award winners to submit a short, informal report including information on the scientific cooperation with the host institution, contacts to other research institutions in Germany and abroad, as well as the award winners' and their families' personal impressions of their stay in Germany. Comparisons with the situation in their own country are particularly interesting. Any suggestions about further development of the Sofja Kovalevskaja programme and other sponsorship programmes are welcome.

The Alexander von Humboldt Foundation also asks the host institutions in Germany to report on their experiences in cooperating with the award winners.

For the Alexander von Humboldt Foundation, the reports are both important and revealing because scientists from abroad often observe things much more precisely and are able to base their judgements on greater objectivity. The reports will be evaluated carefully and confidentially. They can help the Alexander von Humboldt Foundation to continue improving its programmes and making them as effective as possible.

B. General conditions and recommendations for the stay in Germany

1. Entry requirements, visa

In order to stay in Germany citizens of non-EU (European Union)/EEA (European Economic Area) countries must have a valid residence title. Detailed information on this can be obtained from the cultural sections of the Federal Republic of Germany's diplomatic or consular missions in award winners' own countries or countries of residence. Addresses and further important information regarding entry requirements can be found on the website of the Federal Foreign Office at:
http://www.auswaertiges-amt.de/EN.

Citizens of *EU member states, as well as those from Iceland, Liechtenstein, Norway and Switzerland* generally do not require an entry visa. When they register at the Residents' Registration Office they are automatically issued with a document confirming their right of residence ("Freizügigkeits-bescheinigung") or, in case of Switzerland, a residence permit for citizens of the Swiss Confederation. The Residents' Registration Office provides information about whether this certificate/residence permit is issued by them or the Aliens' Registration Office.

Citizens of *Australia, Brazil, Canada, Israel, Japan, New Zealand, the Republic of Korea and the USA* may enter Germany on a valid passport. They must apply for a residence permit at the Aliens' Registration Office no later than three months after arrival in Germany (cf. B.2.). However, award winners are strongly recommended to submit applications as soon as possible.

Citizens of *other countries* usually have to apply for an **entry visa** from the appropriate German diplomatic mission in their own country or country of residence before entering Germany. It is essential that the visa should be issued for the first place in Germany at which the stay is supposed to begin. If award winners are planning to stay in Germany for a longer period of time they should **in no case** enter Germany on a tourist visa. It allows them to stay in Germany for three months **only** and **cannot** be extended.

If marital partners and/or children are accompanying the award winners during the research stay, it is recommended to submit the applications for all the members of the family at the same time. Award winners should bear in mind that many visa offices only accept applications after making an appointment. This should be done well in advance as it may take several weeks to arrange a date.

German foreign missions (embassies and consulates) issue visas on their own responsibility both to researchers who have been granted research awards of the Alexander von Humboldt Foundation as well as to marital partners and unmarried underage children accompanying them (*§ 34 of the Decree on Residence ("AufenthV")*). Processing may take several weeks.

The so-called D-visa, issued in award winners' own countries, entitles to enter and stay in Germany for the duration of its validity (usually up to 90 days). Application may not be made for any other type of visa as extensions might be excluded.

The **residence permit issued later in Germany** by the responsible Aliens' Registration Office in Germany (cf. B.2.) entitles holders to multiple entry into the country and – under the provisions of the Convention Implementing the Schengen Agreement – to spend short periods (up to 90 days in six months) in the following countries: Austria, Belgium, Czech Republic, Denmark, Estonia, Finland, France, Greece, Hungary, Iceland, Italy, Latvia, Lithuania, Luxembourg, Malta, The Netherlands, Norway, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden and Switzerland.

If award winners are intending to travel to one of the above mentioned signatory countries of the Convention Implementing the Schengen Agreement during the first 90 days of the stay, this should be indicated in the visa application. The German foreign mission will then examine whether award winners can be issued with a so-called "hybrid visa" entitling them to do so.

In case a visa for merely a maximum duration of 90 days (Schengen Visa) is needed, an application form may be filled out online under *https://service.diplo.de/visaextern/*. However, a print-out of the completed form must be submitted personally at the German diplomatic mission together with the necessary application documents. There is no online application form for long-term stays in Germany.

2. Registration, residence permit

On arrival in Germany, award winners must register within one week with the local **Residents' Registration Office** (which is usually located in the Town

Hall or Municipal Offices) at the new place of residence. This also applies to accompanying family members. Registration forms can be obtained at stationers' shops or at the respective offices directly; some municipal authorities have included them on their websites. Any change of address during the stay in Germany has to be registered with the appropriate Residents' Registration Office within one week.

Well before the visa expires, a **residence permit** must be applied for at the local **Aliens' Registration Office**. As the necessary processing often takes several weeks, it is recommended to make this application as early as possible. The following documents usually have to be submitted:

- completed application forms for a *residence permit*; forms are obtainable from the Aliens' Registration Office;

- *the registration document* from the Residents' Registration Office of the place of residence in Germany;

- proof of *health insurance coverage* valid in Germany *(for details cf. B.3.);*

- in certain cases, a *health certificate* issued by a registered physician in Germany (Public Health Offices in many German towns carry out the required medical examination at a relatively low charge). Since a health certificate is not always required, award winners should make enquiries at the Aliens' Registration Office first of all. In general, foreign health certificates are not accepted; X-rays only if they are less than three months old;
- a valid *passport;*

- in certain cases, the originals of *birth certificate(s)* and, if applicable, *marriage certificate*;

- a recent *passport photograph;*

- a *copy of the award letter* of the Alexander von Humboldt Foundation.

Unless the Aliens' Registration Office is presented with all the necessary documents, residence permits cannot be issued or extended. Award winners who not yet have a good command of German should ask whether there is anyone at the receiving institution who knows their way around and might be willing to accompany them to the various authorities.

According to the rules of the *Immigration Act*, award winners' marital partners are allowed to take up gainful employment in Germany. Members of the family accompanying award winners enjoy, with regard to taking up gainful employment, the same legal status as the foreigner they are accompanying.

As a rule, this means: marital partners are allowed to carry out occupations which do not require the agreement of the Federal Employment Agency ("Bundesagentur für Arbeit"), according to *§§ 2-15 of the Employment Regulations ("BeschV").* Other occupations may only be carried out with the agreement of the Federal Employment Agency.

According to the *Decree on Residence, (AufenthV)*, research fellows of the Alexander von Humboldt Foundation are exempt from paying fees for the issue of

- a national visa (category D, research stay of more than 3 months) according to § 52, sub-section 5, line 1, no. 1 *(AufenthV)*
- a Schengen visa (research stays of up to three months) according to § 52, sub-section 8 *(AufenthV)* if they are travelling within the European Community for the purpose of carrying out research (cf. Recommendation of the European Parliament and of the Council of 28.09.2005 (2005/761 EC)).
- a residence permit in Germany and the extension thereof according to § 52, sub-section 5, line 1 no. 2 *(AufenthV)*.

Marital partners and unmarried underage children accompanying research fellows are exempt from paying fees for the issue of

- a national visa (category D) according to § 52, sub-section 5, line 2 *(AufenthV)* provided that they are included in the sponsorship awarded by the Alexander von Humboldt Foundation.

As a rule, it can be assumed that award winners as well as their marital partners and unmarried underage children will also be exempt from paying these charges.

The Alexander von Humboldt Foundation sends all award winners a *Humboldt identity card* once they have arrived in Germany. It should contribute to facilitating contacts with the authorities and institutions of higher education. But it is not a substitute for official identity documents.

3. Health and liability insurance, legal costs insurance, as well as other insurances

Award winners and any members of their families accompanying them must have adequate health insurance coverage during the entire duration of their research stay in Germany. Any costs ensuing from illness or accident can neither be borne by the Alexander von Humboldt Foundation nor by host institutions. It should be kept in mind that both out-patient and in-patient medical care are very expensive in Germany.

Health insurance coverage for a period of up to three months in Germany may be offered by award winners' existing insurance policies or companies at home. In such cases, the health insurance company must confirm **in writing** that its insurance coverage is valid in Germany.

For stays exceeding three months, award winners from EU Member States and the European Economic Area (Iceland, Liechtenstein, Norway and Switzerland) are subject to the following regulations: if award winners are covered by statutory health insurance in their own country, their health insurance company at home will, upon request, issue form E106 or S1. This form E106 or S1 allows award winners and their family members to register with a German health insurance company. Form E106 or S1 must be completed prior to the stay in Germany and sent to the chosen statutory health insurance company stating the award winner's future German address. The German health insurance company will then provide all necessary medical services and subsequently invoice the health insurance company in the award winner's own country for its expenditures.

For stays under three months, award winners from the above-listed countries are eligible for a European Health Insurance Card, provided that they are covered by statutory health insurance in their own country. In case of illness, the health insurance scheme or company in the respective country of origin will only cover the contractual benefits that are usual in Germany and which are medically necessary and cannot be postponed until the award winner's return home.
Award winners who are not covered in this way **must** take out medical insurance in Germany for themselves and **all accompanying family members**. The personnel administration at the host institution can be contacted for further information and advice.

If award winners are employed by the host institution, they are usually free to choose whether to be insured under the compulsory health insurance scheme or by a so-called "Ersatzkasse" (substitutional social health insurance fund). Both insurance schemes provide full health insurance coverage for the award winners and – if the requirements for family health insurance coverage are met – for any family members accompanying them, as well. It is strongly recommended to study the small print very carefully prior to taking out private health insurance in order to avoid unwelcome surprises.

If family members are only coming on short visits to Germany and are not eligible for family insurance coverage under the award winners' insurance scheme, it is worth taking out private travel health insurance. This provides insurance coverage for the **medical treatment of acute illness not related to previous illness and after accidents.**

It is worth contacting an insurance company before entering Germany so that any questions can be dealt with in advance. Insurance coverage only takes effect when the first premium has been transferred to the insurance company's account immediately after entering the country or if direct debit from the bank account has been authorized.

Important advice on private travel health insurance:

- Illness and any consequences thereof which have been incurred **before** the insurance policy was taken out (not only chronic diseases) are excluded from insurance cover. As some latent illnesses become acute as a result of a change of climate or eating habits (e.g., kidney and gall stones) award winners are urged to have a complete medical examination prior to departure from home and, if necessary, undergo treatment.

- No insurance schemes are prepared to take on the costs of pre-natal examinations and births if the mother has become pregnant before entering Germany. If necessary, before signing a contract, award winners should discuss under what conditions the insurance company would be prepared to take on the costs if pregnancy should occur during the time spent in Germany.

- Furthermore, it is necessary to make careful enquiries as to which other kinds of treatment are not covered by the insurance company (e.g., costs for routine and prophylactic medical examinations; vaccinations).

- The cost of treatment after an accident during a stay in Germany is covered by medical insurance.

- Prior to hospitalisation, the requisite formalities and the costs which will be refunded should be discussed with the insurance company in detail.

  To be on the safe side, award winners or their accompanying family members should always present their insurance certificate to the hospital immediately and request the hospital to contact their insurance company straight away to confirm that the costs will be covered. It should be made clear to the doctor or hospital providing the treatment that award winners or their accompanying family members are **not** so-called **private patients** because private travel health insurance usually does not cover costs for special services such as single or double rooms or treatment by consultants or privately-affiliated doctors, so-called "Belegärzte".

- If award winners plan to travel abroad during the stay in Germany, they should inquire with their health insurance companies well in advance whether additional insurance for travel abroad is necessary.

- Award winners are strongly urged not to change their health insurance during the stay in Germany because this can have unforeseen consequences.

- Residence permits are only issued (for all the members of the family coming to Germany) if proof can be provided of health insurance coverage which must be valid from the moment of entering Germany.

Furthermore, the Alexander von Humboldt Foundation explicitly wishes to emphasise that in Germany there is a general liability for damage caused to a third-party. Parents are liable for their children. It is, therefore, common practice to take out a private **(family) liability insurance** against any claims ensuing from accidental damage caused to others.

It should be noted that it is also possible to take out a **legal costs insurance** in Germany (e.g. for drivers). This kind of insurance covers the cost of a lawyer in the event of a dispute arising from an accident, for example. A driver‘s costs insurance policy not only provides coverage for driving one’s own vehicles, but also provides coverage as a passenger, pedestrian or cyclist.

Further insurance options:

In Germany there are other areas of life and purposes for which individual insurance coverage can be arranged besides statutory health insurance, liability insurance and legal costs insurance. For example: accident insurance (some health insurance providers include this in their standard coverage), household contents insurance, travel insurance, life assurance to provide for the future and pension schemes for old age provision, incapacity or income protection insurance.

The conditions and contents of insurance policies of each insurance company differ greatly. Before signing a contract it is advisable to obtain detailed information and to compare several policy quotes being considered. It is strongly recommended that it be determined whether the insurance coverage is a cost effective solution for the respective individual situation, how long contributions may be required and under what circumstances the insurance company will actually agree to pay out benefits.

4. Accommodation

It is often very difficult to find suitable accommodation. The Foundation recommends to contact as soon as possible the housing department of the Foreign Students’ Advisory Office (“Akademisches Auslandsamt“), the

International Office or the Welcome Centre of the receiving institution in Germany. Guesthouses (“Gästehäuser“) for non-German scholars are operated at a number of universities (addresses can be downloaded from the Alexander von Humboldt Foundation's website under *http://www.humboldt-foundation.de/web/ibz-en.html*). If accommodation at a guesthouse is desired, reservations should be made well in advance, because waiting lists can be lengthy.

5. Permission to drive in Germany

Driving licences issued by *Member States of the European Union* as well as *Iceland, Liechtenstein* and *Norway* are also valid in Germany.

Holders of a valid (international) driving licence issued in *other countries* are allowed to drive a vehicle for a period of up to 6 months during their stay in Germany. If award winners do not have an international driving licence it is usually necessary for them to carry a German translation with them.

When the six months have elapsed, however, it is necessary to hold a German driving licence. The requirements for issuing a German driving licence depend on which state issued the original licence. In order to find out how to obtain a German licence and what requirements have to be fulfilled, the responsible licensing authority at the place of residence in Germany should be contacted well in advance. In exceptional cases and on application, licensing departments may extend the validity of foreign driving licences for up to 6 months if it is possible to prove that the licence-holder will not be resident in Germany for more than 12 months.

C. Alumni sponsorship and Humboldt network

The Alexander von Humboldt Foundation undertakes to maintain contacts with all award winners by providing information on the Foundation’s activities, inviting them to join network conferences in Germany and abroad and by offering sponsorship opportunities for renewed research stays in Germany.

Award winners are kindly requested to inform the Alexander von Humboldt Foundation of changes of the address and position, preferably via the Network Online (cf. C.4.), as well as about honours and awards received and other relevant events.

1. Humboldt Kosmos

"Humboldt Kosmos" – the Alexander von Humboldt Foundation's alumni magazine – is published biannually with a different interdisciplinary focus in each issue. In addition, it contains portraits of Humboldtians and reports on their research, information about sponsorship options as well as news from the Foundation and the network.

2. Humboldt Colloquia and Humboldt Kollegs

The Alexander von Humboldt Foundation regularly organises colloquia abroad and invites Humboldtians from the country or region concerned to attend. The Foundation also invites scientists and scholars from Germany. Among these are often specialist members of the Alexander von Humboldt Foundation's selection committees. They hold lectures outlining the current state of research in Germany and explore ways of intensifying cooperation with foreign research institutes. Furthermore, contacts among Humboldtians in a given area are established or renewed and opportunities afforded for personal talks with Alexander von Humboldt Foundation's staff members. By visiting institutes of Humboldtians, members of the Humboldt delegation gain insight into the research situation in the countries in question. Information talks draw the attention of young scholars and scientists to the sponsorship opportunities offered by the Alexander von Humboldt Foundation.

Suggestions and invitations by Humboldtians for the holding of such colloquia are welcome. The Alexander von Humboldt Foundation gladly relies on the experience and assistance of Humboldtians as well as of Humboldt Alumni Associations in organising these meetings.

Initiatives of Humboldt Alumni Associations and individual Humboldtians to organise regional and interdisciplinary conferences can be supported financially. The aim is to strengthen regional and interdisciplinary networking of Humboldtians. The organisers are responsible for the content of the so-called Humboldt Kollegs. Detailed information can be downloaded from the Foundation's website:
http://www.humboldt-foundation.de/web/humboldt-kollegs-en.html .

3. Humboldt Alumni Associations

In many countries, Humboldtians have joined together to form Humboldt Alumni Associations, which cultivate social and professional contacts with one another, with the Alexander von Humboldt Foundation and with

Germany. The Foundation gives full encouragement to these Alumni Associations; regrettably, it can sponsor them financially to a very modest extent only. Humboldt Alumni Associations also very often assist in attending to the needs of German scientists and scholars in foreign countries. In general, they gladly advise newly selected Humboldtians before they depart for Germany. The Alexander von Humboldt Foundation welcomes research award winners' participation in the activities of Alumni Associations. There is a Humboldt Alumni Association in Germany, as well. Addresses may be downloaded from the Foundation's website: *http://www.humboldt-foundation.de/web/alumni-associations.html* .

4. Humboldt Network Online: Information on the Alexander von Humboldt Foundation's website

Under the address *http://www.humboldt-foundation.de/web/home.html*, the Foundation furnishes up-to-date information about its activities and programmes.

The **Humboldt Network** section of the Internet homepage *(http://www.humboldt-foundation.de/web/humboldt-network.html)* contains information which may be used to enhance the networking of Humboldtians above and beyond national frontiers and disciplines.

The **Network Online** is a section protected by password, giving Humboldtians direct access to the Alexander von Humboldt Foundation's database and thus enabling them to update their personal data (such as address changes) and to obtain current information about specialised fields and key research areas as well as addresses of Humboldtians throughout the world. All scientists and scholars sponsored by the Alexander von Humboldt Foundation are included into the Network Online and their entries can be researched. Additionally, some of these data are publicly accessible. This access to current data is intended to facilitate contacts and cooperation with and within the Humboldt network across countries and disciplines.

The website also gives access to the **„Bibliographia Humboldtiana"** *(http://www.humboldt-foundation.de/web/service-portal.html)*. This is a special database containing bibliographical data of academic publications by Humboldtians resulting from sponsorship by the Alexander von Humboldt Foundation (from the year 2000 on). It also includes details of translations of German publications. The Alexander von Humboldt Foundation asks all Humboldtians to enter the bibliographic data of those publications in the Bibliographia Humboldtiana. Entries can be made within the password-protected section of the Network Online. The display of the data is publicly accessible.

The office of the American partner organisation of the Alexander von Humboldt Foundation in Washington also provides assistance in making contact with other Humboldtians in the **United States**:

American Friends of the Alexander von Humboldt Foundation
1012 14th Street NW • Suite 1015 • Washington, DC 20005 • USA
Telefon: (202) 783-1907
Fax: (202) 783-1908
E-Mail: margot.pfefferle@americanfriends-of-avh.org
Website: www.americanfriends-of-avh.org

Alexander von Humboldt
Stiftung/Foundation

Sofja Kovalevskaja Award

- Regulations on the Use of Funds -

(January 2013)

Contents

Regulations on the Use of Funds (as of: January 2013)

I. The programme and its objective

II. Recipient of award funds, authority administering award funds

III. Purpose, use and provision of award funds

IV. Human and material resources

V. Scientific equipment

VI. Taxes, social security and other levies

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

VIII. Reports on the use of funds and audits

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

X. General regulations

Enclosure 1 "Agreements between the award winner and the host institution" form
Enclosure 2 "Fund request" form
Enclosure 3 "Report on the use of funds" form
Enclosure 4 Rules of good scientific practice, procedures, and penalties in the event of malpractice

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.