



Appendix 1
to the Programme Guidelines of the Philipp Schwartz Initiative

The Philipp Schwartz Initiative of the Alexander von Humboldt Foundation

Programme Information

(Last updated: 25/02/2016)

I. Background

As critical thinkers, researchers often play a singular role in the response to crises. At the same time, however, they may put themselves in grave peril by voicing their opinions freely. The importance of providing threatened researchers with support by sending visible signals has long been recognised around the world. Platforms including the *Scholars at Risk* network offer global support to universities wishing to become involved in this cause. Germany as a research location is currently not fulfilling its potential as regards this issue, and is also not represented adequately within the *Scholars at Risk* network. Concurrently, the Alexander von Humboldt Foundation (AvH) is an organisation which has been sponsoring internationally mobile academics – including those from countries with autocratic regimes – for over 60 years. Over the course of six decades, the AvH has made various important contributions: towards promoting dialogue between people in various regional blocks, towards the dissemination of authentic images of a liberal country, and towards the establishment of international relations. The latter efforts have proved particularly valuable in the development of reform movements within repressive systems.

A few words about Philipp Schwartz: in the wake of the summary dismissal from his professorship at the University of Frankfurt during the National Socialist regime, the Jewish pathologist and anatomist fled to Zurich in 1933. Conscious of the threatening position he, and numerous other German academics faced, he founded what later became known as the "Notgemeinschaft deutscher Wissenschaftler im Ausland" (Society for the Support of German Scholars Abroad), which successfully facilitated the hiring of over 2,000 researchers abroad by 1946. He himself received – as did countless other researchers with his assistance – a professorship in Turkey, where he continued his endeavours in support of fleeing researchers. Despite his academic reputation and repeated efforts, he was unable to return to Germany even after the end of the war, with the result that he emigrated to the USA in 1952, where he headed a research institute and died in 1977.

II. The Philipp Schwartz Initiative of the Alexander von Humboldt Foundation

The objective, on the one hand, is to enable universities and other research institutions (hereinafter referred to as host institutions) in Germany to receive threatened researchers via the granting of funding and, on the other hand, to raise awareness of the plight of threatened researchers and to network stakeholders interested and involved in this issue.

The host institutions (not the AvH) shall be responsible for selecting the threatened researchers, announcing the selection decision, providing the recipients with support and transferring the corresponding funds.

III. Application prerequisites

III.1 Eligibility

All universities and other research institutions in Germany are eligible to submit applications. The applicant shall be responsible for submitting all documentation related to the application to the AvH.

III.2 Funding prerequisites

Threatened researchers from all academic disciplines and all countries of origin may be considered for research funding within the context of Philipp Schwartz fellowships, who:

- hold a **doctorate** or equivalent academic degree (Ph.D., C.Sc. or equivalent);
- in general **have not yet spent more than three years away from their home countries** at the time of application; so-called "non-mobile foreign students" are excluded;
- demonstrate the **language skills** required for the successful completion of the research project. If the latter prerequisite is not fulfilled, the applicant institution shall be called upon to take the measures necessary to ensure that the language requirements are met.

IV. Application procedure, evaluation criteria, selection

IV.1 Elements of the application

The application constitutes the following elements, each of which must be submitted using the corresponding forms (see the appendices to the Programme Guidelines), beginning with the signed Cover Sheet (Appendix 5):

1. the host institution's concept for the creation of a sustainable support infrastructure for threatened researchers (Appendix 6)
2. application for a Philipp Schwartz fellowship including confirmation that the researcher is threatened (Appendix 7)
3. Financing Plan (Appendix 8)

Definition of "threatened":

- Individuals with a residence status related to an asylum procedure consistent with a recognised endangerment; the status must enable the potential funding recipient to pursue research activities at the host institution
- Individuals with a type of residence status related to a credible proof of endangerment, e.g. documentation from the *Scholars at Risk* network, the *Scholar Rescue Fund*, the *Council for At-Risk Scholars* or German diplomatic missions

The host institution shall be responsible for ensuring, in individual cases, that the residence status of the potential funding recipients enables those in question to complete a period of research at the respective institution within the framework of the Philipp Schwartz fellowship, this irrespective of the precise nature of eligibility.

IV.2 Selection of applications from prospective host institutions

The selection is carried out according to the following criteria:

- Persuasiveness of the concept relating to the creation of a sustainable support infrastructure for threatened researchers
- Compatibility of the concept with the host institution
- Level of commitment to the individuals in question on the part of the institution as a whole and the hosting institute
- Formal compatibility of the profiles of the potential funding recipients with the definition of "threatened researchers"
- Transparency of the financing plan

No expert evaluation of the curriculum vitae of the potential funding recipients, nor an evaluation as regards the level of endangerment shall take place. Incomplete applications shall be formally rejected.

In the event that a large number of formally eligible applications is received, the AvH shall award the funds in such a manner that as many host institutions as possible receive allocations. This may mean that not all individuals on the list of any one institution are able to receive a fellowship, but only one person per institution, for example (in accordance with the sequence stipulated by the institution).

If not all complete applicants are able to be considered within the framework of the allocation procedure outlined above, the AvH shall give preference to those applications which include an excellent concept created by the host institution, and which dedicate particular efforts to the assistance of the potential funding recipient.

If, at a point in time after the allocation decision has been made, additional funds become available, e.g. as a result of cancellations, the AvH shall allocate the host institution further financing to fund the individuals stipulated in the original application.

IV.3 Selection committee

The selection shall be made by a committee consisting of representatives of the Alexander von Humboldt Foundation and other research and funding institutions and individual academics, as applicable.

V. Funding of the threatened researchers via the host institution

V.1 Conditions for the awarding of Philipp Schwartz fellowships

The host institutions award the funds in the form of fellowships, which bear the name "Philipp Schwartz fellowships of the host institution XY". The regulations stipulated in the Programme Guidelines shall apply. In addition, the local regulations governing the awarding of research fellowships and the execution of academic research projects shall apply. The fellowship recipients must be obliged to comply with the laws and regulations in force at the respective research location and at the host institution.

The host institution shall receive a monthly lump-sum amount of 3,500 EUR for the fellowship recipient. As far as its use is concerned, the following distinctions must be made:

- The monthly fellowship payment in accordance with Article 2, Para. 1 of the Fellowship Guidelines must be paid from this amount (fellowship category IV, currently 2,500 EUR), providing that the conditions are met.

- The amount exceeding this payment may be used for additional ancillary and support benefits in accordance with the regulations stipulated in the Programme Guidelines. The host institution shall be responsible for deciding on the provision of particular benefits outlined in the Fellowship Guidelines stipulated by the Federal Foreign Office, considering the specific situations of the funded individuals in the process.

The fellowships are calculated to last for a maximum period of 24 months. The host institution may determine the actual funding period within this upper limit.

It is possible to award the fellowships within the context of "matching funds", as long as the above-mentioned points are taken into consideration. Double funding shall be excluded. The fellowship benefits must be invoiced.

The AvH anticipates that 20 awards will be made in 2016.

Fellowships shall start on 01/07/2016 at the earliest and end on 30/06/2018 at the latest. Commencing the fellowship at a later date will result in the curtailment of the funding period.

V.2 Lump sum for the host institution

In addition, the host institution will receive a lump sum to the value of 12,000 EUR for expenditure related to awareness-raising concerning the issue of "threatened researchers" at its own institution, as well as for the development of appropriate supporting structures.

The allocation of funds to the host institutions will be made within the context of a fixed-rate funding programme in accordance with the General Auxiliary Conditions for Allocations for the Promotion of Projects (ANBest-P).

VI. Deadlines and final provisions

The complete application must be submitted to the Alexander von Humboldt Foundation by **31/03/2016**. This submission deadline shall not be deemed a term of exclusion; however, applications received late or those which are incomplete may no longer be considered (send applications in paper form to: Alexander von Humboldt-Stiftung, Referat Strategische Planung, Stichwort: *Philipp Schwartz-Initiative*, Jean-Paul-Str. 12, 53173 Bonn; and also, in electronic form, to the email address schwartz-initiative@avh.de).