



Appendix 1
to the Programme Guidelines of the Philipp Schwartz Initiative

The Philipp Schwartz Initiative of the Alexander von Humboldt Foundation Programme Information (2nd Call)

(Last updated: 01 July 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; researchers who hold German university entrance qualifications (“Bildungsinländer”) are not eligible
- demonstrate the **language skills** required for the successful completion of the research project
- possess **academic qualifications** (e.g. publications)
- possess potential to be integrated into the (research-related) **job market**

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); this does not apply to institutions successful in the 1st call for applications
2. application for a Philipp Schwartz fellowship including confirmation that the researcher is threatened (Appendix 7)
3. Financing Plan (Appendix 8)
1. *Optional for institutions that were successful in the 1st call:* Institutions that submitted successful applications in the 1st call may apply for “best practice funding”. This does not require an application for fellowship funds in the 2nd round (see appendix 13).

Confirmation of threat:

In the context of the Philipp Schwartz Initiative, a pertinent threat can be confirmed in two ways:

- by way of a residence status in the context of an asylum-granting procedure that confirms a recognized threat
- by way of a credible threat assessment from a third party, such as the *Scholars at Risk Network*, the *Scholar Rescue Fund*, or the *Council for At-Risk Academics*

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. Double funding is not permitted.

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
- Academic qualification of the threatened researcher
- Prognosis for integration into the (research-related) job market

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.

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 is not permitted. The fellowship benefits must be invoiced.

Depending on the number and quality of applications, the AvH anticipates the following distribution of awards (1 fellowship + lump sum):

- up to 16 to institutions that have not received funding in the context of this initiative
- up to 8 to institutions that receive funding in the context of the 1st call of this initiative

It is expected that one fellowship will be awarded per successful institution. Institutions are free to nominate one or more substitutes – in case that a person declines the fellowship or in the (at this time unlikely) event that more than one fellowship can be awarded per successful institution.

Fellowships shall start on 01 January 2017 at the earliest and end on 31 December 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 **14 October 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).