

Overcoming global challenges with new technologies
–
Humboldt Research Hubs in Africa and the Middle East

– **Regulations on the Use of Funds** –

(February 2026)

Contents

Regulations on the Use of Funds (as of: February 2026)

- I. The programme and its objective**
- II. Funding recipient, authority administering the funding amount**
- III. Purpose, use and provision of the funding amount**
- IV. Human and material resources**
- V. Scientific equipment**
- VI. Taxation, social security contributions and other levies**
- VII. Exploiting research results – publications, patents and licences. Use of the Alexander von Humboldt Foundation 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 head of the Humboldt Research Hub and the home institution responsible for administering the funding amount” 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

As part of its alumni programme, the Alexander von Humboldt Foundation promotes the strengthening of research capacities in transition and developing countries and the long-term networking of alumni in these countries with researchers in Germany.

From 2026, the Humboldt Foundation will be sponsoring up to five Humboldt Research Hubs in Cameroon, Egypt, Ethiopia, Ghana, Jordan, Kenya, South Africa or Turkey with funding from the Federal Ministry of Research, Technology and Space.

Financing Humboldt Research Hubs is an instrument of alumni sponsorship that enables alumni of Alexander von Humboldt Foundation sponsorship programmes to work with collaborative partners at universities and research institutions in Germany to carry out long-term research concepts with particular relevance to overcoming global challenges. The Humboldt Foundation is especially keen to see junior researchers included in these research cooperations, and also encourages the involvement of postdoctoral researchers in leadership functions at the Humboldt Research Hubs.

Further collaborative partners working in academic leadership positions at universities and research institutions in other countries in Africa or the Middle East may also participate if the countries in question are eligible to receive public development funding (Official Development Assistance, ODA) as per the regulations of the Development Assistance Committee (DAC). Countries in armed conflict situations and countries subject to sanctions limiting international monetary transactions are excluded. Humboldt Research Hubs in South Africa must integrate a collaborative partner in another African country. All collaborative partners are expected to each contribute and pursue their own research questions that increase the global relevance of the concept; the Foundation moreover welcomes the involvement of private-sector stakeholders (e.g. startups) in the countries participating in the Humboldt Research Hubs.

The aim of the Humboldt Research Hubs is to develop innovative solutions to global challenges by using AI and other cutting edge and key technologies such as digital networking, robotics, findings from space research etc. in ways that serve the common good. Challenges considered “global” are those that are faced both by the countries of the Global South (and especially the countries involved in the respective Humboldt Research Hubs) and those of the Global North (and especially Germany), albeit at differing intensities and in differing manifestations – e.g. in fields as significant as future energies, climate change adaptation, digital security, health, water supply, economics, natural resources, crisis preparedness, mobility etc.

II. Funding recipient, authority administering the funding amount

The funding recipient will be the head of the Humboldt Research Hub. The Alexander von Humboldt Foundation expects the home institution of the head of the Humboldt Research Hub to take on the fiduciary responsibility for administering the funding amount in the name of and on behalf of the head of the Humboldt Research Hub. For this purpose, an agreement must be concluded and submitted to the Alexander von Humboldt Foundation before the first instalment of the funding amount is paid (cf. form in Enclosure 1). Upon request by the head of the Humboldt Research Hub (see form in Enclosure 2), the funding amount will be transferred to their home institution. The funds will be paid into a

dedicated bank account held by the home institution, and must be administered through a tamper-proof and auditable project account set up specifically for the Humboldt Research Hub.

III. Purpose, use and provision of the funding amount

Funding for the Humboldt Research Hub is provided for a fixed term of five years with a total funding amount of up to €800,000. The funding amount and the funding period are stated in the award letter from the Alexander von Humboldt Foundation. Funding for the fourth and fifth year will be granted subject to a positive interim assessment in the third year of funding. There is no option to extend the funding period.

The head of the Humboldt Research Hub must use the funding amount to carry out the requested research concept at the Humboldt Research Hub in the respective country in cooperation with the institutes of the collaborative partner in Germany and, if applicable, a further country in Africa or the Middle East. The funding amount may be used to cover all expenses that serve this purpose. These expenses include:

- Employing junior researchers at the Humboldt Research Hub and at cooperating institutions in Africa and the Middle East;
- Reciprocal visits and mobility for collaborative partners and junior researchers;
- Research stays in Germany for the head of the Research Hub;
- Holding joint workshops and conferences at the Research Hub and at cooperating institutions, conference attendance;
- Scientific equipment (only for the Humboldt Research Hub and, if applicable, cooperating institutions in Africa and the Middle East), consumables, academic literature, sundries (up to €60,000 per year);
- Salary supplements for the head of the Humboldt Research Hub and collaborative partners in leading academic positions at institutions in Africa and the Middle East (up to €30,000 per year);
- Management costs (up to €20,000 per year).

The annual maximum amounts for the expense types “management costs” and “salary supplements” may not be exceeded.

The financial plan submitted to the Alexander von Humboldt Foundation is binding. However, the sums budgeted for any given expense type – with the exception of the expense types “management costs” and “salary supplements” – may be exceeded by up to 20% without consulting the Alexander von Humboldt Foundation provided that savings of the same amount are made on another expense type. In this context, statements made in the award letter are binding; in particular, cuts in funding for specific parts of the application must be respected. Further alterations may be made if they become necessary in the course of research at the Humboldt Research Hub, but only with the prior written consent of the Alexander von Humboldt Foundation. The relevant application should include an explanatory statement and a revised version of the financial plan.

The expense type “management costs” may be used to cover all expenses incurred for the purposes of setting up and supporting the Humboldt Research Hub, including what are known as indirect project

expenditures. It may be used to compensate for all costs resulting from the use of existing and/or specifically acquired materials or specifically created personnel infrastructure (e.g. general institutional facilities, laboratories/workrooms, operating and maintenance costs, materials and staff management, energy consumption, IT infrastructure, testing).

The expense type “salary supplements” may be used to pay salary supplements to the head of the Humboldt Research Hub and to collaborative partners in leading academic positions at institutions in Africa and the Middle East – in consultation with their respective home institution and taking into consideration the relevant applicable statutory and (non-)collective and/or salary-related regulations.

Research stays must be conducted in accordance with the fellowship guidelines of the Alexander von Humboldt Foundation, as amended. Daily allowances to cover the cost of living may only be provided at a level customary for the respective country or location, and only up to the maximum fellowship rates set by the Alexander von Humboldt Foundation.

The funding amount must be used economically and prudently.

The funding amount will usually be made available in quarterly instalments in line with the financial plan. Funds transferred abroad will be subject to the exchange rate determined by the bank responsible for the transaction. The first instalment will be paid as soon as the researcher selected to manage the Humboldt Research Hub has accepted the sponsorship by sending in the written acceptance form and submitted the signed “Agreement between the head of the Humboldt Research Hub and the home institution responsible for administering the funding amount” (see form in Enclosure 1), and the Fund Request (see form in Enclosure 2) to the Alexander von Humboldt Foundation.

Payments of the funding amount are dependent on the availability of budgetary means.

IV. Human and material resources

The head of the Humboldt Research Hub and their home institution shall come to a mutual agreement (cf. form in Enclosure 1) on the procedure for employing staff during the sponsorship period and on the regulations governing the awarding of contracts or conclusion of other agreements. The home institution acts as employer on behalf of the head of the Humboldt Research Hub and performs this function as required by the statutory legal conditions governing the use of public funds at the home institution. This also applies to the use of material resources, particularly travel expenses, and the awarding of contracts to third parties. If the funding amount is used abroad, the statutory general conditions governing the use of public funds at that location shall apply (in particular those pertaining to labour and employment, social and collective bargaining law). This shall also apply for the awarding of contracts to third parties. Salaries may not exceed the nationally or locally customary level; the same applies to the use of funds for material expenditures (particularly for travel). The head of the Humboldt Research Hub may earmark part of the funding amount for use by their home institution to grant fellowships, in particular for junior researchers and guest researchers from abroad. The value of these fellowships should be based on the customary fellowship amounts at the respective institution.

V. Scientific equipment

Scientific equipment financed using the funding amount may only be purchased for the Humboldt Research Hub and/or the home institution of any other collaborative partners in Africa or the Middle East.

The scientific equipment shall be purchased by the home institution of the head of the Humboldt Research Hub in the name and on behalf of the head of the Humboldt Research Hub and shall immediately become the property of the home institution of the Humboldt Research Hub's head or the collaborative partner upon purchase. Where the purchase or production value of this equipment exceeds €800 (excluding VAT), it must be inventoried and used for the academic purposes of the head of the Humboldt Research Hub and/or the collaborative partners and their specialist colleagues for a minimum of 10 years in line with the applicable regulations. The head of the Humboldt Research Hub and their home institution shall ensure that the necessary technical and financial conditions for installing and operating the equipment are established and that the head of the Humboldt Research Hub or the collaborative partner has the full right of disposition over the equipment during the entire funding period. Equipment may only be taken to another institution by mutual agreement between the home institution and the head of the Humboldt Research Hub or the collaborative partner – the latter in agreement with the head of the Humboldt Research Hub – and requires prior written authorisation by the Alexander von Humboldt Foundation.

VI. Taxation, social security contributions and other levies

The head of the Humboldt Research Hub is responsible for all matters relating to taxation, customs, employment and social security legislation and for observing all other laws and state regulations; administrative responsibility lies with the head's home 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 in respect of fellowships as well as work and service contracts in the country in question and, where applicable, abroad.

VII. Exploiting research results – publications, patents and licences. Use of the Alexander von Humboldt Foundation 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 the donor, the Federal Ministry of Research, Technology and Space:

- 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 Humboldt Research Hubs endowed by the Federal Ministry of Research, Technology and Space.
- Publications, stating the title and bibliographical details, must be uploaded on the service portal "[My Humboldt](#)" on the Alexander von Humboldt Foundation's website.

If heads of Humboldt Research Hubs are interested in publishing research results in the fields of chemistry, physics, mathematics or informatics through the [German National Library of Science and Technology](#) (TIB) – Leibniz Information Centre for Science and Technology and University Library they can contact the TIB directly ([contact information and contact persons](#)).

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 consists of two parts: Alexander von Humboldt's bust and the lettering. These

elements jointly comprise the **inseparable** word/image trademark. The logo and its constituent parts may not be copied, altered or truncated or integrated in other logos.

- Approval for using the logo with the label “Unterstützt von/ Supported by” is deemed to have been granted if publications and any other, especially public, statements (e.g., conference presentations) contain reports on research results that are directly related to a 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 [“My Humboldt”](#) section of the service portal in an electronic file format that conforms to the specific requirements for print.
- 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 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*Patentanwältinnen”) 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 receiving institution directly.
- The legal relationship between the head of the Humboldt Research Hub and their home institution the local standard regulations pertaining to employee inventions shall apply. A letter of intent between the head of the Humboldt Research Hub and his/her home institution to this effect must be submitted to the Alexander von Humboldt Foundation (cf. form in Enclosure 1).

VIII. Reports on the use of funds and audits

The head of the Humboldt Research Hub is required to submit a brief report on work carried out and results achieved in the preceding calendar year as well as a digital copy of the numerical (interim) report on the use of funds (cf. form in Enclosure 3) to the Alexander von Humboldt Foundation by 28 February of each year. A detailed and final report on work carried out and results achieved, and a digital copy of the numerical (total) report on the use of funds (cf. form in Enclosure 3) must be submitted by the head of the Humboldt Research Hub not later than three months after the funding period has come to an end. The head’s home institution must retain the originals of the reports on the use of funds as well as all receipts in accordance with the applicable retention periods, at least however for six years.

The report on work conducted and results achieved must present the results achieved in detail and address the most important items in the numerical report. Reports on work conducted and results achieved may be passed on to the Alexander von Humboldt Foundation’s peer reviewers. The Alexander von Humboldt Foundation reserves the right to evaluate and publish these reports. Where such reports contain information that should be especially protected, e.g information relevant to patent rights, this must be specifically indicated. If this is the case, any potentially planned publications shall be agreed between the Foundation and the head of the Humboldt Research Hub.

The head of the Humboldt Research Hub must certify that the funding amount has been used in accordance with its stated purpose as well as economically and prudently. The department representing the head's home 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 head's home institution has its own auditors, they must review and endorse that the funding amount has been used for its stated purpose as well as economically and prudently. If the audit cannot be carried out at this institution, then an external auditor must be commissioned to conduct the audit. The costs for an external audit may be covered under the "management costs" expense type.

Any monies from the funding amount that remain unused after completion of the final accounts must be returned to the Alexander von Humboldt Foundation immediately, regardless of the submission deadline for the report on the use of funds.

The Alexander von Humboldt Foundation, DLR Projektträger, the Federal Ministry of Research, Technology and Space and the German Federal Audit Office, or authorised representatives thereof, are entitled to request the submission of books, receipts and other business records and to verify the use of the funding amount in local surveys at any time. The head of the Humboldt Research Hub and their home institution must sign a declaration agreeing to this procedure and submit it to the Alexander von Humboldt Foundation (cf. form in Enclosure 1).

IX. Rules of Good Scientific Practice, legal regulations and general obligations

When carrying out the research work funded, the heads of the Humboldt Research Hubs are obligated to comply with the rules of good scientific practice and the relevant laws that apply at the respective research location, and to the Alexander von Humboldt Foundation. Besides personal integrity it is further assumed that the heads of the Humboldt Research Hubs have observed the applicable regulations and laws also in the previous research they have conducted.

By accepting the sponsorship, the heads of the Humboldt Research Hubs obligate themselves:

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 research project (see also III., "project outline");
2. when carrying out the research work funded, to comply in Germany *in particular* with:
 - the rules of good scientific practice (see also Enclosure 4);
 - when planning and carrying out experiments on human subjects
 - a. [the World Medical Association Declaration of Helsinki](#) – Ethical Principles for Medical Research Involving Human Subjects in the revised version of October 2013;
 - b. the [German Embryo Protection Act](#) (Gesetz zum Schutz von Embryonen, ESchG), as amended;
 - c. the [German Act Ensuring Protection of Embryos in Connection with the Importation and Use of Human Embryonic Stem Cells](#) (Gesetz zur Sicherstellung des Embryonenschutzes im Zusammenhang mit Einfuhr und Verwendung menschlicher embryonaler Stammzellen, StZG), as amended;
 - when planning and carrying out experiments on animals, the regulations of the [German Animal Welfare Act](#) (Tierschutzgesetz, TierSchG) and the relevant implementing rules, as

amended;

- when planning and carrying out genetic engineering experiments, the regulations of the [German Genetic Engineering Act](#) (Gesetz zur Regelung der Gentechnik, GenTG) and the relevant implementing rules, as amended;
 - when planning and carrying out experiments relating to matters of biological diversity as covered by the [Nagoya Protocol](#):
 - a. [Regulation \(EU\) No 511/2014](#) on Compliance Measures for Users from the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization in the Union;
 - b. [Implementing Regulation \(EU\) 2015/1866](#) laying down detailed rules for the implementation of Regulation (EU) No 511/2014 as regards the register of collections, monitoring user compliance and best practices;
 - c. the [German Act Implementing the Obligations under the Nagoya Protocol, Implementing Regulation \(EU\) No. 511/2014 and Amending the Patent Act and the Environmental Audit Act](#) (Gesetz zur Umsetzung der Verpflichtungen nach dem Nagoya-Protokoll, zur Durchführung der Verordnung (EU) Nr. 511/2014 und zur Änderung des Patentgesetzes sowie zur Änderung des Umweltauditgesetzes), as amended;
 - 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;
 - when using the sponsorship received, the provisions of the respective current Budget Act of the Federal Republic of Germany, according to which the funds may not be used to finance terrorist activities and may not be given to recipients who are terrorist organisations or support terrorist organisations;
3. to focus his or her work on research in Germany in agreement with the receiving institution and to be present regularly and permanently at the receiving institution in Germany according to customary practice in the respective discipline;
 4. to inform the Alexander von Humboldt Foundation immediately of applications for or any further funding granted for the same purpose;
 5. to abide by the rules on the use of the Alexander von Humboldt Foundation logo (see also VII).

X. General regulations

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

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

Should the Regulations on the Use of Funds fail to be respected, the Alexander von Humboldt Foundation reserves the right to revoke the sponsorship decision in part or in full, to discontinue

sponsorship payments or demand repayment of the funds or parts thereof. This also applies if

- the head of the Humboldt Research Hub makes or has made false statements during the application process or during the funding period or if other serious facts emerge which would have militated against the conferment of the sponsorship 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” (see also Enclosure 4);
- the conditions for receiving sponsorship are no longer met;
- the head of the Humboldt Research Hub terminates the sponsorship;
- it becomes evident that the head of the Humboldt Research Hub is not making sufficient or reasonable efforts to achieve the purpose of the sponsorship;
- the head of the Humboldt Research Hub is denied entry to or permission to reside in the Federal Republic of Germany;
- the head of the Humboldt Research Hub is involved in terrorist activities or supports terrorist activities.

If the Alexander von Humboldt Foundation terminates the sponsorship, payment of the funds is discontinued and any payments made for the period after termination must be repaid. If incorrect information has been provided regarding significant facts or if such facts have been concealed, or if the Alexander von Humboldt Foundation has identified serious violations of the Rules of Good Scientific Practice and established these in properly completed proceedings, the amounts received must be repaid from the beginning as per Section 49a Para. 3 of the German Administrative Procedure Act (“Verwaltungsverfahrensgesetz”, VwVfG) at an annual interest rate of five percent above the base rate in accordance with Section 247 of the German Civil Code (“Bürgerliches Gesetzbuch”, BGB).

In other cases where the sponsorship is terminated by the Alexander von Humboldt Foundation, the amounts received must be repaid from the date on which the reason for termination occurred and interest must be paid accordingly. The obligation to return the funds persists even after the sponsorship period has ended. If the reason for termination does not lie with the heads of the Humboldt Research Hubs, he or she may retain any funds paid by the Alexander von Humboldt Foundation up to the point of termination of the sponsorship.

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 head of the Humboldt Research Hub. Amendments will be announced to the head of the Humboldt Research Hub in writing well in advance. The amendments are considered to have been approved if the head of the Humboldt Research Hub 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 February 2026

Humboldt Research Hubs

Agreements between the head of the Humboldt Research Hub and the home institution entrusted with the administration of the funding amount

Head of the Humboldt Research Hub:

Home institution entrusted with the administration of the funding amount:

The above-named institution and the head of the Humboldt Research Hub have reached the following agreements:

a) Purpose and administration of funding amount:

The funding amount is intended for the purposes of carrying out the research concept with particular relevance to overcoming global challenges at the Humboldt Research Hub in cooperation with partner institutions in Germany and, where applicable, Africa or the Middle East. The home institution entrusted with the administration of the funding amount has taken note of the Regulations on the Use of Funds enclosed with the award documents and will support the head of the Humboldt Research Hub to the best of its ability while observing these regulations. A dedicated, tamper-proof and auditable project account will be set up to administer the funding amount. The head of the research hub will have the sole right of disposal over this account. Furthermore, the following agreements have been concluded:

b) Agreement on the administration of the funding amount and on matters of tax, customs, employment and social security legislation; furthermore, on compliance with other laws and state regulations (Letter of intent; see Regulations on the Use of Funds, II., IV., VI., VIII., IX.):

The head of the Humboldt Research Hub is responsible for all matters relating to taxation, customs, employment and social security legislation and for observing all other laws and state regulations; administrative responsibility lies with the head's home institution. The latter acts as employer on behalf of the head of the Humboldt Research Hub, takes on responsibility for administering the funding amount and must retain the receipts for the period stated in the applicable regulations, or for at least six years.

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

Regarding the legal relationship between the head of the Humboldt Research Hub and their home institution, the local standard regulations pertaining to employee inventions shall apply.

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

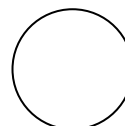
The Alexander von Humboldt Foundation, DLR Projektträger, the Federal Ministry of Research, Technology and Space and the German Federal Audit Office, or authorised representatives thereof, are entitled to request the submission of books, receipts and other business records and to verify the use of the funding amount 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

Personal signature of the head of the Humboldt Research Hub

Designation and official stamp of the department authorised to represent the home institution responsible for administering the funding amount in personnel and business matters



Place and date

Name of signatory

Personal signature

Humboldt-Forschungshubs / Humboldt Research Hubs Abruf des Foerderbetrages / Fund Request

Leitung des Humboldt-Forschungshubs / Head of the Humboldt Research Hub:

Mit der Verwaltung des Foerderbetrages betraute Heimatinstitution /
Home institution entrusted with the administration of funds:

Benoetigter Foerderbetrag / Funds required:

Jahr / Year	2026	2027	2028	2029	2030	2031
1. Personalmittel / Human resources						
1.1. Gehaltsaufstockungen für die Leitung des Forschungshubs und Kooperationspartner*innen in Afrika und dem Nahen Osten - max. 30.000 EUR p.a. / <i>Salary supplements for the head of the Research Hub and collaborative partners in Africa and Middle East - max. 30,000 EUR p.a.</i> AZA 0812	EUR	EUR	EUR	EUR	EUR	EUR
1.2 Beschaeftigung von Nachwuchsforschenden am Forschungshub und an kooperierenden Instituten in Afrika und dem Nahen Osten / <i>Employment of junior researchers at the Research Hub and at cooperating institutes in Africa and Middle East</i> AZA 0812	EUR	EUR	EUR	EUR	EUR	EUR
2. Sachmittel / Material resources						
2.1 Wechselseitige Aufenthalte und Mobilitaet der Forschungshubleitungen, Kooperationspartner*innen und Nachwuchsforschenden / <i>Reciprocal visits and mobility for the head of the Research Hub, collaborative partners and junior researchers</i> AZA 0844	EUR	EUR	EUR	EUR	EUR	EUR
2.2 Teilnahme an Konferenzen / <i>Conference participation</i> AZA 0845	EUR	EUR	EUR	EUR	EUR	EUR
2.3 Workshops und Tagungen am Forschungshub und kooperierenden Instituten / <i>Workshops and conferences at the Research Hub and at cooperating institutes</i> AZA 0835	EUR	EUR	EUR	EUR	EUR	EUR
2.4 Wissenschaftliche Geraete und Verbrauchsmittel (max. 60.000 EUR p.a / <i>Scientific equipment and consumables (max. 60,000 EUR p.a.)</i>						
2.4.1 Wissenschaftliche Geraete über 800 EUR / <i>Scientific Equipment exceeding 800 EUR</i> AZA 0850	EUR	EUR	EUR	EUR	EUR	EUR
2.4.2 Verbrauchsmittel, Fachliteratur, Konferenzgebuehren, Wissenschaftliche Geräte bis 800 EUR, Sonstiges / <i>Consumables, scientific literature, conference fees, scientific equipment up to 800 EUR, sundries</i> AZA 0842	EUR	EUR	EUR	EUR	EUR	EUR
3. Managementkosten zum Auf- und Ausbau des Forschungshubs (max. 20.000 EUR p.a.) / Management costs to set up and support the Research Hub (max. 20,000 EUR p.a.) AZA 0865	EUR	EUR	EUR	EUR	EUR	EUR
Summe / Total	EUR	EUR	EUR	EUR	EUR	EUR

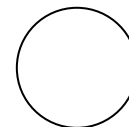
Die Auszahlung erfolgt in Tranchen – je nach Verfüegbarkeit der Haushaltsmittel – sobald wie moeglich. / *Payments are made in instalments and will be effected as soon as possible – depending on the availability of budgetary funds.*

Kontoverbindung: / Bank account:

Kontoinhaber/in / <i>Account holder</i>	
Name der Bank / <i>Name of the bank</i>	
Bankleitzahl (BLZ) / <i>Bank code number / BIC</i>	
Kontonummer / <i>Account number / IBAN</i>	
Verwendungszweck / <i>Intended use</i>	

Ort und Datum / *Place and date*

Eigenhaendige Unterschrift der Leitung des Forschungshubs/
Personal signature of Head of Research Hub



Wir haben bei der Erstellung dieses Foerderbetragabrufes mitgewirkt / *We have assisted in the preparation of this fund request:*

Bezeichnung und ggf. Dienststempel der Stelle, die zustaendig ist, den Humboldt-Forschungshub im Bereich Personal- und Wirtschaftsverwaltung zu vertreten. /
Designation and, if applicable, official stamp of the department authorised to represent the Humboldt Research Hub in personnel and business matters.

Ort und Datum / *Place and date*

Name des*der Unterzeichnenden/
Name of signatory

Eigenhaendige Unterschrift/
Personal signature

Humboldt-Forschungshub / Humboldt Research Hub

Zwischennachweis / Verwendungsnachweis – nicht Zutreffendes bitte streichen

Interim Report / Report on the Use of Funds – delete as applicable

Nachweiszeitraum von – bis / <i>Report period from – to</i>	
Leitung des Forschungshubs / <i>Head of Research Hub</i>	
Mit der Verwaltung des Foerderbetrages betraute Heimatinstitution / <i>Home institution entrusted with the administration of funds:</i>	
Foerderbetrag (gesamt) / <i>Funding amount (total):</i>	
Foerderzeitraum (gesamt) von – bis / <i>Funding period (total) from – to:</i>	

A. Sachbericht (bitte als separate Anlage) / ***Report on Work Carried Out and Results Achieved*** (please attach a separate enclosure)

B. Zahlenmaessiger Nachweis / Numerical report

Lokale Waehrung
[1] / *Local*
currency [1] EUR

Kassenbestand zu Beginn des Nachweiszeitraumes / <i>Cash balance at the beginning of the report period</i>	0,00 XOF	0,00 €
Im Nachweiszeitraum zugeflossener Foerderbetrag / <i>Funds accrued during the report period</i>	0,00 XOF	0,00 €
Summe verfuegbarer Foerderbetrag im Nachweiszeitraum / <i>Total disposable funding amount during the report period</i>	0,00 XOF	0,00 €

Daraus geleistete Ausgaben / Expenses paid:

1. Personalmittel / <i>Human resources:</i>	0,00 XOF	0,00 €
1.1 Gehaltsaufstockungen für die Leitung des Forschungshubs und Kooperationspartner*innen in Afrika und dem Nahen Osten / <i>Salary supplements for the head of the Research Hub and collaborative partners in Africa and Middle East (AZA 0812)</i>	0,00 XOF	0,00 €
1.2 Beschaeftigung von Nachwuchsforschenden am Forschungshub und an kooperierenden Instituten in Afrika und dem Nahen Osten / <i>Employment of junior researchers at the Research Hub and at cooperating institutes in Africa and Middle East (AZA 0812)</i>	0,00 XOF	0,00 €
2. Sachmittel / <i>Material resources:</i>	0,00 XOF	0,00 €
2.1 Wechselseitige Aufenthalte und Mobilitaet der Forschungshubleitungen, Kooperationspartner*innen und Nachwuchsforschenden / <i>Reciprocal visits and mobility for the head of the Research Hub, collaborative partners and junior researchers (AZA 0844)</i>	0,00 XOF	0,00 €
2.2 Teilnahme an Konferenzen / <i>Conference participation (AZA 0845)</i>	0,00 XOF	0,00 €
2.3 Workshops und Tagungen am Forschungshub und kooperierenden Instituten / <i>Workshops and conferences at the Research Hub and at cooperating institutes (AZA 0835)</i>	0,00 XOF	0,00 €
2.4 Wissenschaftliche Geraete und Verbrauchsmittel / <i>Scientific equipment and consumables</i>	0,00 XOF	0,00 €
2.4.1 Wissenschaftliche Geraete über 800 EUR / <i>Scientific Equipment exceeding 800 EUR (AZA 0850)</i>	0,00 XOF	0,00 €
Gegenstaende, deren Anschaffungs- oder Herstellungswert 800 EUR (ohne Umsatzsteuer) uebersteigt, sind am Humboldt-Forschungshub inventarisiert. Sie stehen nach Ablauf des Foerderzeitraumes weiterhin wissenschaftlichen Zwecken zur Verfuegung. / <i>Items with a procurement or production value of more than 800 EUR (excluding purchase tax) are included in the inventory of the Humboldt Research Hub. They are available to be used for scientific purposes as of the end of the funding period.</i>		
2.4.2 Verbrauchsmittel, Fachliteratur, Konferenzgebühren, Wissenschaftliche Geraete bis 800 EUR, Sonstiges / <i>Consumables, scientific literature, conference fees, scientific equioment up to 800 EUR, sundries (AZA 0842)</i>	0,00 XOF	0,00 €
3. Managementkosten zum Auf- und Ausbau des Forschungshubs / <i>Management costs to set up and support the Research Hub (AZA 0865)</i>	0,00 XOF	0,00 €

Summe Ausgaben im Nachweiszeitraum / Total expenditure during the report period	0,00 XOF	0,00 €
Kassenbestand zum Ende des Nachweiszeitraumes / Cash balance at the end of the report period	0,00 XOF	0,00 €

[1] Der Verwendungsnachweis ist in jener Waehrung zu fuehren, in der der Foerderbetrag dem Humboldt-Forschungshub zugeflossen ist. / *The Report on the Use of Funds must be provided in the currency in which the funding amount was received by the Humboldt Research Hub.*

Nach Vorlage einer Digitalkopie des Verwendungsnachweises bei der Alexander von Humboldt-Stiftung werden die Ausgabenbelege und das Original des Verwendungsnachweises an der Heimatinstitution entsprechend den für sie geltenden Aufbewahrungsfristen aufbewahrt, mindestens sechs Jahre. / *After submitting a digital copy of the Report on the Use of Funds to the Alexander von Humboldt Foundation, the receipts as well as the original of the Report on the Use of Funds will be retained by the home institution for the period stated in its regulations, for at least six years.*

Der Sachbericht ist als Anlage beigefuegt. / *The Report on Work Carried Out and Results Achieved is included as an enclosure.*

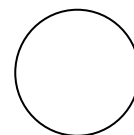
Die Verwendungsbestimmungen sind beachtet worden. / *The Regulations on the Use of Funds have been observed.*

Der Foerderbetrag ist wirtschaftlich und sparsam verwendet worden. / *The funding amount has been used economically and prudently.*

Ort und Datum / *Place and date*

Eigenhaendige Unterschrift der Leitung des Humboldt- Forschungshubs /
Personal signature of the Head of the Humboldt Research Hub

Die sachliche und rechnerische Richtigkeit der Angaben wird hiermit bestaetigt / *It is hereby certified that the above-cited facts and figures are correct:*



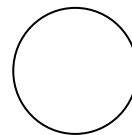
Bezeichnung und ggf. Dienststempel der Stelle, die zustaendig ist, den Humboldt-Forschungshub im Bereich der Personal- und Wirtschaftsverwaltung zu vertreten / *Designation and, if applicable, official stamp of the department authorised to represent the Humboldt Research Hub in personnel and business matters.*

Ort und Datum / *Place and date*

Name des*der Unterzeichnenden / *Name of signatory*

Eigenhaendige Unterschrift /
Personal signature

Die zweckentsprechende sowie wirtschaftliche und sparsame Verwendung des Foerderbetrages und Uebereinstimmung mit Buchungen und Belegen werden hiermit bestaetigt / *It is hereby certified that the funding amount has been used in accordance with the stated purpose as well as economically and prudently and, furthermore, that the transactions and receipts correspond with the data:*



Bezeichnung und ggf. Stempel der Pruefungseinrichtung / *Designation and, if applicable, stamp of the auditing body*

Bitte ankreuzen / Please tick:

- Es handelt sich hierbei um eine zur internen Pruefung befugte Einrichtung der Heimatinstitution. / *Department of the home institution authorised to conduct internal audits.*
- Es handelt sich hierbei um eine externe Pruefungseinrichtung / *External auditor.*

Ort und Datum / *Place and date*

Name des/r Unterzeichnenden / *Name of signatory*

Eigenhaendige Unterschrift /
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 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 Alexander von Humboldt Foundation 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 consider aspects of security-relevant research¹ (dual use, ethics) and document these by assessing opportunities and risks;
 - to observe the rules specific to the respective discipline with regard to the attaining, selecting, using, 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. Responsibility for promoting junior researchers is a top-level management priority.
- **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

¹ See [recommendations for handling of security-relevant research](#) from the German Research Foundation (Deutsche Forschungsgemeinschaft, DFG).

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, or by presenting an image and a statement corresponding to it in an incongruous manner;
- 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. **Unjustified appropriation of others' research achievements** 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 *shared 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 Alexander von Humboldt Foundation network. One of the indispensable expectations of those receiving support is that they do not demean other people on the basis of their membership of a group such as nationality, religion, gender, ethnicity or sexual orientation, incite violence on such characteristics or glorify violence.

3. Penalties

In the event of grave violation of the above rules of good scientific practice, in particular scientific or other malpractice, the Alexander von Humboldt Foundation 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 Alexander von Humboldt Foundation 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 Alexander von Humboldt Foundation 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 Alexander von Humboldt Foundation.

4. Procedure

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 Alexander von Humboldt Foundation, 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 (whistleblower protection).
- 4.2 In order to clarify the issue, the Alexander von Humboldt Foundation 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 Alexander von Humboldt Foundation will notify the party concerned, explicitly indicating the Alexander von Humboldt Foundation'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 Alexander von Humboldt Foundation 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 Alexander von Humboldt Foundation, and in particular, fails to refute the probable cause plausibly, the Alexander von Humboldt Foundation may impose one of the above-mentioned penalties. Prior to making the decision, the Alexander von Humboldt Foundation may request an expert opinion on the existence of malpractice from the “Research 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 as well as applicants for funding, host institutions, alumni, members of selection committees, peer reviewers and special reviewers of the Alexander von Humboldt Foundation.

The regulations take effect on 01.08.2007. Individual Humboldt Foundation-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 Alexander von Humboldt Foundation 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 Alexander von Humboldt Foundation.