



Alexander von Humboldt
Stiftung/Foundation

Overcoming the pandemic with science – Humboldt Research Hubs in Africa

– Regulations on the Use of Funds –

(August 2020)

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Regulations on the Use of Funds (status: August 2020)

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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

The financing of Humboldt Research Hubs in Africa is an instrument of alumni sponsorship that aims to allow alumni of Humboldt Foundation sponsorship programmes working in leading academic positions at African universities and research institutions to conduct long-term research concepts with particular relevance to overcoming pandemics. As part of this sponsorship, alumni will choose collaborative partners in Germany. Alumni may also choose to integrate a further collaborative partner who works in a leading academic position in an African country. The aim is to engage alumni in successful international cooperation as heads of Humboldt Research Hubs and invite these to partner institutions in Germany to conduct their research concepts. As part of mutual exchange activities, junior researchers (usually doctoral candidates or postdocs) will also be integrated as potential applicants for one of the Alexander von Humboldt Foundation's research fellowships. Established junior researchers may also be integrated into the leadership of a Humboldt Research Hub.

Using funding from the Federal Foreign Office, the Alexander von Humboldt Foundation will initially sponsor five Humboldt Research Hubs in Africa, starting in 2021. In addition, with funding from the Bayer Science and Education Foundation, one Humboldt Bayer Science Foundation Research Hub can be sponsored.

II. Funding recipient, authority administering the funding amount

The recipient of funding will be the head of the Humboldt Research Hub. The Alexander von Humboldt Foundation expects the head of the Humboldt Research Hub's home institution to take on the fiduciary responsibility for the administration of 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, the funding will be transferred to his/her home institution.

III. Purpose, use and provision of funding amount

The Humboldt Research Hub funding is for a fixed term of five years with a total funding amount of up to €750,000. The funding amount and the funding period are stated in the award letter from the Alexander von Humboldt Foundation. Funding of the fourth and fifth year will be granted following a positive interim assessment which will take place in the third year of funding. As a matter of principle, an extension of the funding period is not intended.

The head of the Humboldt Research Hub must use the funding amount for the purposes of conducting the research concept with particular relevance for overcoming pandemics, at the Humboldt Research Hub in Africa and in cooperation with partner institutions in Germany and, if applicable, Africa. The funding amount may be used to cover all expenses for this purpose. These expense types include:

- Management costs: up to €10,000 per year.
- Research stays for the head of the Humboldt Research Hub at the relevant partner institution in Germany: up to €10,000 per year. Up to €3,000 per month may be used to cover living expenses for the head of the Humboldt Research Hub; the Alexander von Humboldt Foundation's Fellowship Guidelines, as amended, apply.
- Financing of reciprocal stays for junior researchers and collaborative partners from Africa and Germany; employment of junior researchers at the Research Hub; conducting mutual workshops and conferences etc.: as part of the available funding amount without an annual limit.
- Financing of scientific equipment and consumables: up to €50,000 per year.

- Salary supplements for the head of the Humboldt Research Hub and collaborative partners in leading academic positions at African institutions: up to €50,000 per year – taking into consideration the relevant applicable statutory and (non-)collective and/or salary-related regulations and in consultation with the respective home institution.

The annual maximum amount for the “Management costs”, “Research stays for the head of the Humboldt Research Hub at the relevant partner institution in Germany” and “Salary supplements for the head of the Humboldt Research Hub and collaborative partners in leading academic positions at African institutions” expense types must not be exceeded.

The financial plan submitted to the Alexander von Humboldt Foundation is binding. However, the amount for the “Financing of scientific equipment and consumables” expense type may be exceeded by up to 20% without consulting the Alexander von Humboldt Foundation provided that savings of the same amount are made under another expense type. In this context, statements made in the award letter are binding; in particular, cuts in funding made for specific parts of the application must be respected. It is possible to make other alterations if they become necessary in the course of research at the Humboldt Research Hub, but only on previous written agreement by the Alexander von Humboldt Foundation. The relevant application should include an explanatory statement and a revised version of the financial plan.

The “Management costs” expense type may be used to cover all expenses incurred for the purposes of setting up and developing the Humboldt Research Hub. This includes all expenses arising from the use of material or personnel infrastructure, whether pre-existing or established specifically for the Research Hub (e.g. general institutional facilities, laboratories/workrooms, operating and maintenance costs, material and staff management, auditing). For this purpose, an agreement must be concluded between the head of the Humboldt Research Hub and his/her home institution, and submitted to the Alexander von Humboldt Foundation before the first instalment of the funding amount is paid (cf. form in Enclosure 1).

The funding amount must be used economically and prudently.

The funding amount will 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 funding amount will be transferred to a dedicated Humboldt Research Hub bank account. The first instalment will be transferred immediately once the selected researcher has accepted the sponsorship by sending the written acceptance form and submitted the signed “Agreement between the head of the Humboldt Research Hub and the home institution entrusted with the administration of 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 his/her home institution shall come to a mutual agreement (cf. form in 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 home institution acts as employer on behalf of the head of the Humboldt Research Hub. This status is based upon the standard legal general conditions governing the use of public funds at the home institution. The same applies to the use of material resources, particularly expenditure on travel and the awarding of assignments to third parties. If parts of the funding amount are used abroad, local legal general conditions governing the use of public funds must be applied (particularly with regard to labour, social and tariff law). This also applies to the awarding of assignments 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 which the home institution may use to grant fellowships, in particular for junior researchers and guest researchers from abroad. The basis for determining the value of the fellowship should be the customary fellowship amounts at the respective institution.

V. Scientific equipment

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

The scientific equipment shall be purchased by the head of the Humboldt Research Hub's home institution in the name and on behalf of the head of the Humboldt Research Hub and shall immediately become the property of the head of the Humboldt Research Hub's home institution or the collaborative partner's home institution in Africa, respectively, upon purchase. This equipment must, where the purchase or production value exceeds €800 (excluding VAT), be inventoried and used for the academic purposes of the head of the Humboldt Research Hub or the collaborative partner in Africa, respectively, and his/her specialist colleagues for a minimum of 10 years in line with the applicable regulations. The head of the Humboldt Research Hub or the collaborative partner in Africa, respectively, and his/her 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 in Africa, respectively, 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 as well as, the collaborative partner in Africa – the latter by mutual agreement with the head of the Humboldt Research Hub, respectively. It requires prior written authorisation by the Alexander von Humboldt Foundation.

VI. Taxation, social 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 sponsorship provided by the Alexander von Humboldt Foundation as well the financing by the German Federal Foreign Office or the Bayer Science Foundation, respectively:

- In publications, a suitable place must be chosen to state that funding has been provided by the Alexander von Humboldt Foundation within the scope of the alumni sponsorship programme financed by the Federal Foreign Office or the Bayer Science Foundation, respectively.
- Publications, stating the title and bibliographical details, must be entered on the Alexander von Humboldt Foundation website using the "My Humboldt" service portal: https://www.humboldt-foundation.de/en/login?redirect_id=en/my-humboldt. Entries can also be made via Humboldt Life: www.humboldt-life.de/. If interested, research results may be published in the areas of chemistry, physics, mathematics or computer science by the German National Library of Science and Technology (TIB) – Leibniz Information Centre for Science and Technology and University Library (<https://www.tib.eu/en/>):

Postal address
for letters:

Technische Informationsbibliothek
(TIB)
Postfach 6080
30060 Hannover

for parcels:

Technische Informationsbibliothek
(TIB)
Welfengarten 1B
30167 Hannover

Email: information@tib.eu

If you have any further questions, please contact Dr.-Ing. Elzbieta Gabrys-Deutscher – elzbieta.gabrys@tib.eu – as a point of contact.

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 into other logos.
- Use of the logo with the label "Unterstützt von/Supported by" 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 of the service portal "My Humboldt" in an electronic file format that conforms to the specific requirements for print.
<https://www.humboldt-foundation.de/web/mein-humboldt-public.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 usable 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 ("Patentanwaelte") 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 home institution directly.
- For the legal relationship between the head of the Humboldt Research Hub and his/her 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

By 30 April of each year, 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 numerical (interim) report on the use of funds (cf. form in Enclosure 3). A detailed and final report on work carried out and results achieved, and a numerical (total) report on the use of funds (cf. form in Enclosure 3) must be submitted not later than four months after the funding period has come to an end. 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 carried out 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 in accordance with their 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. After submission of the (total) report on the use of funds, the head's home institution must retain all receipts in accordance with the applicable retention periods, or for at least six years.

Any funds 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, the Federal Foreign Office and the German Federal Audit Office, the Bayer Science Foundation (if applicable) 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 his/her home institution must give written approval for 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 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 concept.
2. When carrying out the research work funded, to comply 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: www.wma.net/policies-post/wma-declaration-of-helsinki-ethical-principles-for-medical-research-involving-human-subjects/;
 - b. the German Embryo Protection Act (Gesetz zum Schutz von Embryonen, ESchG), as amended: www.gesetze-im-internet.de/eschg/;
 - 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: www.gesetze-im-internet.de/stzg/
 - 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: www.gesetze-im-internet.de/tierschg/BJNR012770972.html;

- 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: www.gesetze-im-internet.de/gen_tg/;
- when planning and carrying out experiments relating to matters of biological diversity as covered by the Nagoya Protocol (www.cbd.int/abs/doc/protocol/nagoya-protocol-en.pdf):
 - 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:

eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:32014R0511&from=EN;
 - 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:

eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:32015R1866&from=en;
 - 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:

https://www.bgbl.de/xaver/bgbl/start.xav?startbk=Bundesanzeiger_BGBl&jumpTo=bgbl115s2092.pdf;
- 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://www.gesetze-im-internet.de/awg_2013/

http://www.gesetze-im-internet.de/awv_2013/;

3. to inform the Alexander von Humboldt Foundation immediately of applications for or any further funding granted for the same purpose;

4. to abide by the rules on the use of the Alexander von Humboldt Foundation logo (see also VII).

X. General regulations

The Regulations on 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 granting funding in part or in full and to demand repayment of the granted funding amount or parts thereof. This also applies if the head of the Humboldt Research Hub makes false statements during the funding period or is found to have made such statements during the application procedure, or if other serious facts emerge which would have militated against granting funding had they been known to the Alexander von Humboldt Foundation 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, taking into account the interests of the Alexander von

Humboldt Foundation, are reasonable for 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.

Last updated: August 2020

Humboldt Research Hubs in Africa

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 the funding amount:

The funding amount is intended for the purposes of carrying out the research concept with particular relevance to overcoming pandemics at the Humboldt Research Hub in Africa and in cooperation with partner institutions in Germany and, if applicable, Africa. The home institution entrusted with the administration of the funding amount has taken note of the Regulations on the Use of Funds enclosed in the award documents and will support the head of the Humboldt Research Hub to the best of its ability while observing these regulations. For the funding, a separate account will be established. The head of the Research Hub alone has the right to dispose of the funding paid into 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 bears responsibility 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 retains the receipts for the period stated in its own regulations, for at least six years.

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

For the legal relationship between the head of the Humboldt Research Hub and his/her 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.):

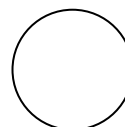
The Alexander von Humboldt Foundation, the Federal Foreign Office, as well as the Federal Audit Office, the Bayer Science Foundation (if applicable) or auditors authorised by them, are entitled to request the submission of books, receipts and other business records and to verify the use of the funding 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 in Afrika / Humboldt Research Hubs in Africa
Abruf des Foerderbetrages / Fund Request

Leiter/in des Humboldt-Forschungshubs / *Head of the Humboldt Research Hub:*

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

Benoetigter Foerderbetrag / Funding required:

| Jahr / Year | 2021 | 2022 | 2023 | 2024 | 2025 | 2026 |
|---|------------|------------|------------|------------|------------|------------|
| 1. Personalmittel (Gehaltsaufstockungen fuer den/die Leiter/in des Forschungshubs und Kooperationspartner/innen in Afrika – bis zu 50.000 EUR p.a.) / Human resources (salary supplements for the head of the Research Hub and collaborative partners in Africa – up to €50,000 p.a.) | EUR | EUR | EUR | EUR | EUR | EUR |
| 2. Sachmittel / Material resources | | | | | | |
| 2.1 Forschungsaufenthalte des/der Leiters/in des Forschungshubs in Deutschland (inklusive Reisekosten) – bis zu 10.000 EUR p.a. (bis zu 3.000 EUR pro Monat fuer Lebenshaltungskosten) / <i>Research stays for the head of the Research Hub in Germany (incl. travel costs) – up to €10,000 p.a. (up to €3,000 per month to cover living costs)</i> | EUR | EUR | EUR | EUR | EUR | EUR |
| 2.2 Wechselseitige Aufenthalte von Kooperationspartnern/innen und Nachwuchsforschenden; Beschaeftigung von Nachwuchsforschenden; Konferenzen und Workshops, etc. / <i>Reciprocal visits for collaborative partners and junior researchers, employment of junior researchers, conferences and workshops, etc.</i> | EUR | EUR | EUR | EUR | EUR | EUR |
| 2.3 Wissenschaftliche Geraete und Verbrauchsmittel (bis zu 50.000 EUR p.a) / <i>Scientific equipment and consumables (up to €50,000 p.a.)</i> | EUR | EUR | EUR | EUR | EUR | EUR |
| 3. Managementkosten zum Auf- und Ausbau des Forschungshubs (bis zu 10.000 EUR p.a.) / Management costs to set up and support the Research Hub (up to €10,000 p.a.) | EUR | EUR | EUR | EUR | EUR | EUR |
| Summe / Total | EUR | EUR | EUR | EUR | EUR | EUR |

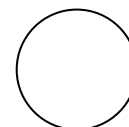
Die Auszahlung erfolgt in Tranchen – je nach Veruegbarkeit der Haushaltsmittel – sobald wie moeglich. / *Payments are made in instalments and initiated – depending on the availability of budgetary means – as soon as possible.*

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 des/r Leiters/in des Forschungshubs/
Head of Research Hub's personal signature



Wir haben bei der Erstellung dieses Foerderbetragsabrufes 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/r 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 / *Report period from – to*

Leiter/in des Forschungshubs/ *Head of Research Hub*

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

Foerderbetrag (gesamt) / *Funding amount (total):*

Foerderzeitraum (gesamt) von – bis / *Funding period (total) from – to:*

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
Wahrung [1] /
Local currency
[1] EUR

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

Daraus geleistete Ausgaben / Expenses paid:

| | | |
|--|-------------|---------------|
| 1. Personalmittel/ <i>Human resources:</i> | 0,00 | 0,00 € |
| Gehaltsaufstockungen fuer den/die Leiter/in des Forschungshubs und Kooperationspartner/innen in Afrika / <i>Salary supplements for the head of the Research Hub and collaborative partners in Africa</i> | 0,00 | 0,00 € |
| 2. Sachmittel / <i>Material resources:</i> | 0,00 | 0,00 € |
| 2.1 Forschungsaufenthalte des/der Leiters/in des Forschungshubs in Deutschland (inklusive Reisekosten) / <i>Research stays for the head of the Research Hub in Germany (incl. travel costs)</i> | 0,00 | 0,00 € |
| 2.2 Wechselseitige Aufenthalte von Kooperationspartnern/innen und Nachwuchsforschenden; Beschaeftigung von Nachwuchsforschenden; Konferenzen und Workshops, etc. / <i>Reciprocal visits of collaborative partners and junior researchers, employment of junior researchers, conferences and workshops, etc.</i> | 0,00 | 0,00 € |
| 2.3 Wissenschaftliche Geraete und Verbrauchsmittel / <i>Scientific equipment and consumables</i> | 0,00 | 0,00 € |
| 2.3.1 Wissenschaftliche Geraete / <i>Scientific equipment</i> | 0,00 | 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 purchase or production value of more than €800 (excluding VAT) 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> | | |
| 2.3.2 Verbrauchsmittel / <i>Consumables</i> | 0,00 | 0,00 € |
| 3. Managementkosten zum Auf- und Ausbau des Forschungshubs / <i>Management costs to set up and support the Research Hub</i> | | |
| Summe Ausgaben im Nachweiszeitraum / <i>Total expenditure in report period</i> | 0,00 | 0,00 € |
| Kassenbestand zum Ende des Nachweiszeitraumes / <i>Cash balance at the end of the report period</i> | 0,00 | 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 sponsorship amount was received by the Humboldt Research Hub.*

Die Ausgabenbelege werden am Humboldt-Forschungshub entsprechend den an der Heimatinstitution geltenden Aufbewahrungsfristen aufbewahrt, mindestens sechs Jahre. / *After submission of the Report on the Use of Funds, the receipts will be retained by the Humboldt Research Hub in accordance with the applicable retention period of the home institution, or for at least six years.*

Der Sachbericht ist als Anlage beigefuegt. / *The Report on Work Carried Out and Results Achieved is enclosed.*

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

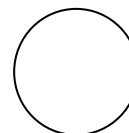
Der Foerderbetrag ist wirtschaftlich und sparsam verwendet worden. / *The funding amount has been used economically and prudently.*

Ort und Datum / *Place and date*

Eigenhaendige Unterschrift des/r Leiters/in 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.*

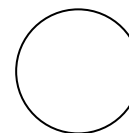


Ort und Datum / *Place and date*

Name des/r 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 herewith 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:*

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

I I 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 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 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 *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.

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. 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 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 remonstrations 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 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 and peer reviewers of the Alexander von Humboldt Foundation.

The regulations take effect on 01.08.2007. Individual Alexander von 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.