



**Alexander von Humboldt**  
Stiftung/Foundation

## **The Philipp Schwartz Initiative**

### **Programme Information**

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## **A. Programme and background**

### **A.1. Programme objective**

The Philipp Schwartz Initiative of the Alexander von Humboldt Foundation is a sponsorship programme that is financed by the Federal Foreign Office to support researchers who are subject to significant and continuous personal threat in their country of origin. Such a threat can take various forms that range from restrictions on scientific/academic or personal freedom, censorship, wrongful dismissal from employment, unlawful arrest or court proceedings and can extend all the way to physical harm. Such threats can arise from persecution that is driven by political, religious, ethnic, gender or identity-specific motivations or from armed conflicts.

The Philipp Schwartz Initiative puts universities and research institutions in Germany in a position to host endangered researchers on the basis of a fellowship or an employment contract. The decision whether to use a research fellowship or an employment contract lies with the nominating institution. Grants are awarded by the Alexander von Humboldt Foundation to universities and research institutions that have been chosen in the course of a selection procedure. These grants are then used to finance the funding for researchers. Funding for primary fellowships is provided for up to 24 months and covers living expenses (for the Research Fellowship programme line) or the employer's gross wage costs (for the Employment Contract programme line) during the fellow's stay at the host institution. Each primary fellowship is supplemented with a flat-rate lump sum (auxiliary funds) for the host institution. Both programme lines allow for extending fellowships by up to 12 months through a co-financing model.

The Alexander von Humboldt Foundation pursues several objectives with the Philipp Schwartz Initiative. Threatened researchers are to be given an opportunity to get themselves and their families out of harm's way, embark upon a new career path in a protected and academically fruitful setting, and then continue their career in Germany, in another country or, in some cases in the long run, even in their countries of origin. Only when they remain available to the worldwide science system can threatened researchers make important contributions to increasing knowledge and to rebuilding or preserving and improving their country's social structures in general and the science system in particular. At the same time, the initiative aims to anchor – at German and European level – sustainable support structures and public awareness for the growing threat to researchers and scientific freedom around the world. It additionally seeks to network key players in this area.

The Philipp Schwartz Initiative is financed by the Federal Foreign Office, the Alfried Krupp von Bohlen und Halbach Foundation, the Andrew W. Mellon Foundation, the Fritz Thyssen Foundation, the Gerda Henkel Foundation, the Klaus Tschira Foundation, the Robert Bosch Stiftung, the Stifterverband für die deutsche Wissenschaft and the Stiftung Mercator.

## **A.2. Background**

As critical thinkers, researchers often play a singular role in the response to crises. At the same time, they can come under serious threat for expressing their opinions or focusing on certain topics in their work, or even by simply belonging to a certain group. For nearly 70 years now, the Alexander von Humboldt Foundation has been sponsoring internationally mobile scientists and scholars, including from countries with autocratic regimes. During this time, the Foundation has helped foster dialogue between people in various geopolitical blocs, convey authentic images of a liberal country, and build international relations. The latter efforts have been particularly valuable during the emergence of reform movements in repressive systems. With the Philipp Schwartz Initiative, the Alexander von Humboldt Foundation is going even further and is sending a clear signal around the world that it provides support and aid for threatened researchers.

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

## **A.3. The Employment Contract and Research Fellowship programme lines**

In December 2020, the Alexander von Humboldt Foundation introduced the possibility for host institutions to employ threatened researchers on the basis of an employment contract. The added Employment Contract programme line supplements the Research Fellowship programme line, which has existed since the launch of the programme. Prior to submitting its application, the institution making the application decides, in consultation with the nominee, which programme line in the Philipp Schwartz Initiative the researcher will be nominated for. The choice of programme line has no influence on the outcome of the selection process.

Upon application, it is generally possible to convert sponsorship that was initially approved as a research fellowship to sponsorship based on an employment contract. This is subject to the availability of funds (see section D.3).

## **B. Requirements for applying for funding**

### **B.1. Eligibility**

Any university or other research institution in Germany that falls into one of the following categories is eligible to submit applications:

- state or state-recognised higher education institutions (see HRK Higher Education Compass)
- research institutions belonging to one of the members of the Alliance of Science Organisations in Germany (Max Planck Society, Helmholtz Association, Leibniz Association, Fraunhofer-Gesellschaft)
- research institutions belonging to the federal government or a state (*Land*) government
- other research institutions that can conclusively demonstrate their research focus and structures (see Appendix 3a: Cover Sheet)

Only one application may be submitted per institution. An application may however contain nominations for several researchers / scholars.

### **B.2. Nomination requirements**

Researchers in any field and from any country of origin who are demonstrably under threat may be considered for research funding through a Philipp Schwartz Fellowship, when they

- hold a research doctorate or equivalent academic degree (Ph.D., C.Sc. or equivalent; in the case of doctorates in medicine or law, equivalence to a research doctorate may need to be proven);
- have not yet spent more than five years away from their home countries as a rule. *Bildungsinländer* (foreigners who have completed their training or studies in Germany) are not eligible for nomination;
- possess the language skills required for the successful completion of their research project;
- possess academic qualifications (e.g. publications);
- possess the potential for being integrated into the (research-related) job market;
- have not yet been sponsored through the Philipp Schwartz Initiative.

Individuals who have access to a safe country due to dual nationality or other circumstances, such as marriage to an EU citizen, and German nationals are generally not eligible to be nominated. The same individual may not be nominated by several potential host institutions at the same time.

## **C. Application procedure, evaluation criteria, selection**

### **C.1. Elements of the application**

The application consists of the following elements, each of which must be submitted using the appropriate form (see Appendix 3):

- cover sheet;
- the host institution's concept for creating a sustainable support infrastructure for threatened researchers (this requirement does not apply to institutions that were successful in a previous call for applications);
- application for a Philipp Schwartz Fellowship indicating the programme line (Employment Contract or Research Fellowship), including evidence that the researcher is threatened; in the event that several candidates are nominated, separate application forms and appendices must be submitted, including statements by the respective academic mentors;
- in the Research Fellowship programme line: preliminary calculation of fellowship benefits;
- financing plan.

Applications should indicate on the form 3c which programme line (Employment Contract or Research Fellowship) has been chosen for the respective nominee. An application for funding through the Philipp Schwartz Initiative may contain nominations in one or both programme lines.

A nomination in the programme line Research Fellowship must comprise a preliminary calculation of fellowship benefits (see Appendix 3d).

A nomination in the programme line Employment Contract does not require a calculation of benefits. The Alexander von Humboldt Foundation will use a flat-rate amount that is supposed to cover the gross labour costs the employer pays for the fellow. In accordance with personnel rates for “Postdoctoral Researchers and Comparable” as defined by the German Research Foundation (DFG), this amount is determined to be EUR 77,400 for the year 2023. In the case of a positive funding decision, the host institution will determine the exact amount required (see section D.3.)

The institution making the application is responsible for checking certificates and other documents that provide substantiation regarding, for example, the nominee's doctorate or residence status; only copies or digital scans should be included with the application. A translation must be attached for all documents that are not in German or English.

The application must be signed by the head of the submitting institution (such as president, rector or – for non-university research institutions – director) and then sent electronically compiled in one file (PDF) by the project manager to [schwartz-initiative@avh.de](mailto:schwartz-initiative@avh.de). Electronic signatures will not be accepted. However, application forms that have been personally signed may be scanned and then transmitted electronically. In view of how vulnerable electronic communication can be, institutions are requested to protect applications with passwords. Passwords should be transmitted to AvH by telephone or fax, but not via the same channel as the application itself.

## **C.2. Proof of threat**

The existence of a pertinent threat has to be proven for each nomination submitted to the Philipp Schwartz Initiative. This threat can take various forms, ranging from restrictions on academic or personal freedom, censorship, wrongful dismissal from employment, unlawful arrest or court proceedings, all the way to physical harm. Such threats can arise from persecution that is driven by political, religious, ethnic, gender or identity-specific motivations or from armed conflicts. It is key that the threat is substantial and sustained, and that the threat to the nominee is acute at the time of their nomination or that within the last five years the nominee left the location where they were exposed to said threat.

Please note: The Alexander von Humboldt Foundation does not determine whether a threat exists. This is done by the Federal Office for Migration and Refugees (BAMF), or an equivalent authority elsewhere within the EU, by the Scholars at Risk Network (SAR) or the Council for At-Risk Academics (CARA), or by trusted third parties such as German diplomatic representations abroad. The existence of a threat can be proven in the following ways:

- a. through the establishment of the individual's residence status in the course of an asylum procedure in the EU indicating that the threat to the individual is officially recognised
- b. through a credible threat assessment issued by the Scholars at Risk Network (SAR) or the Council for At-Risk Academics (CARA) no more than 12 months before the application closing date
- c. through a statement issued by a trusted third party (such as German representations abroad or Non-Governmental Organisations) no more than 12 months before the application closing date

When the individual's residence status has been established as outlined under a. above, additional confirmation of a threat to the individual as outlined under b. above is not required. Only universities and other institutions, not individuals, may submit requests for threat assessments for the Philipp Schwartz Initiative to SAR and CARA. Please do not request a threat assessment from more than one partner organisation. In order to ensure that threat assessments can be issued in time, all relevant documents must be submitted to SAR or CARA at least four weeks before the application deadline.

## **C.3. Selection of applications from prospective host institutions**

The following central question provides the basis for selection decisions:

*Does the combination of*

- *the host institution's concept,*
- *the compatibility between the guest and the proposed academic mentor (also with regard to the research proposal),*
- *the guest's academic qualifications,*
- *the host institution's commitment on behalf of the nominated person,*
- *specific support measures by the host institution and the mentor,*

- *and the individual's prospects for the time after the funding provided through the Philipp Schwartz Initiative comes to an end  
create the impression that these factors are likely to result in the start of a promising new academic career in Germany, another country or even the individual's own country?*

Over and above the proof of threat pursuant to section C.2., no evaluation as to the degree of threat will be undertaken.

Incomplete applications will be rejected on formal grounds.

#### **C.4. Selection committee**

Selections will be made by a committee consisting of representatives of the Alexander von Humboldt Foundation, other research institutions and funding bodies as well as individual academics with special expertise in assessing academic or academically-related career paths.



## **D. Funding threatened researchers through the host institution**

### **D.1. Accounting**

Funding from the Philipp Schwartz Initiative must be posted to a separate project account and administered separately in order to ensure transparency in the use of these funds in the event of an audit by the Humboldt Foundation, a certified public accountant on behalf of the Humboldt Foundation, or by Germany's supreme audit institution, the *Bundesrechnungshof*. The 24-month primary sponsorship and the six-month extension funded by the Humboldt Foundation constitute separate grants and must accordingly be posted to separate accounts and administered separately.

### **D.2. Elements of the grant**

#### **D.2.1. Primary sponsorship**

In connection with the grant, funding that is tied to a specific individual (funds for employing the individual as a researcher through the Employment Contract programme line or fellowship funds provided through the Research Fellowship programme line) during the primary fellowship period plus an flat-rate lump sum ("auxiliary funds") for the host institution will be made available.

##### **D.2.1.1. Funding that is tied to a specific individual**

Funds provided for contract-based employment or for a research fellowship are to be used to finance a research stay for up to 24 months for a threatened researcher at the host institution in Germany, including ancillary benefits where applicable. The research stay cannot be conducted from abroad.

##### **D.2.1.2. Flat-rate auxiliary funds for the host institution**

In addition to the funding provided for a specific individual, the host institution receives a flat-rate lump sum ("auxiliary funds") in the amount of EUR 20,000 for each person it hosts in connection with the Philipp Schwartz Initiative. These auxiliary funds are to be used for expenditures related to raising awareness at the host institution concerning the issue of "threatened researchers", for developing appropriate support structures, for measures to enable the research stay and expertise, for networking activities between researchers and the institutions that support them, and especially for measures geared to continuing the respective researcher's training. The flat-rate auxiliary funds are not to be used to cover general administrative expenses.

These funds are considered to be a flat-rate allowance and are to be used accordingly. The Alexander von Humboldt Foundation expects the host institution to use the flat-rate auxiliary funds with the aim of achieving the programme objectives, for the above-mentioned purposes, and in keeping with the applicable principles regarding the use of public funds. The activities financed with the flat-rate auxiliary funds must be disclosed in substantive reports submitted to the Alexander von Humboldt Foundation. Only the inflow and outflow of funds are to be listed in the financial part of the report on the use of funds. Receipt lists and receipts for the individual expenditures made with the flat-rate auxiliary funds are not to be submitted to the Alexander von Humboldt Foundation or the audit firm commissioned by the

Foundation. However, the *Bundesrechnungshof* (Germany's supreme audit institution) reserves the right to audit all use of public funds. It is therefore necessary to retain receipts and/or vouchers for at least six years after submission of the final report on the use of (total) funds in the event that they are requested during audits conducted by the funding provider or the *Bundesrechnungshof*.

The project manager decides on the use of the flat-rate auxiliary funds paid to the host institution. Ideally, the project manager and the academic mentor jointly decide on planned measures before the application is made. This decision then governs the use of funds during the course of the project.

### **D.2.2. Co-financed extensions**

The individual sponsorship can be extended by up to 12 months. In such cases, the Alexander von Humboldt Foundation provides fellowship funds / funds for contracted employment in the same monthly amount as for the primary fellowship for a period of up to six months (the extension period covered by the Alexander von Humboldt Foundation) when the host institution provides financing for the same number of months or can ensure financing through a third party (extension period covered by the host institution), see section D.5.

### **D.2.3. Accompanying programme and networking**

The Alexander von Humboldt Foundation offers an accompanying programme for Philipp Schwartz Fellows, project managers and academic mentors which includes regular events and additional networking activities and information offerings at national, European and global level.

## **D.3. Conditions for employing Philipp Schwartz Fellows through the Employment Contract programme line**

When an individual is sponsored through the Employment Contract programme line, the Alexander von Humboldt Foundation initially grants the host institution personnel funds in the form of a flat-rate amount that is supposed to cover the gross labour costs the employer pays for the fellow (see section C.1.). Prior to the beginning of the funding period, the host institution determines the specific grade classification for the Philipp Schwartz fellow and informs the Humboldt Foundation of the required funds via an updated financing plan.

These funds are to be used for employment contracts that are subject to social security payments and fall under the collective agreement applicable to the host institution and under the relevant pay system. Moreover, the host institution becomes the employer of the person sponsored through the Philipp Schwartz Initiative and is responsible for the contractual arrangements for the person's employment with the institution (or with the *Land* or federal government, as the case may be). At no time will the Alexander von Humboldt Foundation assume the role of employer. The Alexander von Humboldt Foundation does not provide advice on labour law.

The employment is to be organised in correspondence with the "Postdoc and Comparable" career stage. In principle, it is to be classified no lower than E13, grade 3 (or its equivalent) and no higher than E14, grade 2 (or its equivalent).

The approved funding is available for financing payments that are justifiable under the respective collective wage agreement. This includes benefits covered by the respective collective wage agreement and by law, employer contributions to social insurance, annual special payments and possible other bonuses or allowances the employer may grant based on applicable collective bargaining law, plus performance-based elements of the remuneration. Further benefits or benefits not covered by collective bargaining agreements may not be paid. Funds that are not needed are to be returned immediately.

When the appropriated personnel funds are not sufficient to cover payments for the sponsored individual that are in line with collective bargaining scales and could not be foreseen at the beginning of the sponsorship, such as in the event of increased funding requirements due to an increase in pay rates or to maternity protection and parental leave, the Alexander von Humboldt Foundation can make additional funding available, subject to the availability of budgetary funds. The host institutions must apply for these additional funds in writing, giving details and the specific amount of the additional funding needed.

As employer, the host institution is responsible for compliance with the statutory obligations and the regulations on the use of funds. The host institution will prepare the employment contract based on the collective agreement and pay system applicable to it, and ensure the proper remittance of taxes and social insurance contributions. The sponsored individual is not to be placed in a better position than employees who fall under the TV-Bund or TV-L collective wage agreements. This also applies in cases where the host institution's own pay scale deviates from the collective wage agreement or where no collective agreement exists.

Funding will be granted in order to employ the sponsored individual with the aim of conducting at the host institution the research project the sponsored individual proposed and coordinated with their scientific mentor. Upon hiring, the host institution must oblige the threatened person to dedicate himself\*herself completely to the purpose of their employment and their (new) professional focus throughout the duration of their employment. This employment can take the form of a part-time position; this does not however extend the duration of the employment. Teaching at the host institution is permissible, provided that these activities serve the fellow's further professional qualification. It is not possible to pursue any other full-time employment in Germany or abroad during the sponsorship.

The laws, regulations and ethics guidelines that apply to employment and to conducting research projects at the respective location apply in addition to the Programme Guidelines of the Philipp Schwartz Initiative and the provisions of the respective employment contract. The sponsored individual must be obliged to comply with the relevant laws and regulations in force at the respective research location and at the host institution.

Upon application, it is generally possible to convert sponsorship that was initially approved as a research fellowship to an employment contract. This is subject to the availability of budgetary funds. The host institution must submit, at least four weeks before the planned conversion date, a formal written application signed by the project manager to the Alexander von Humboldt Foundation together with an updated

financing plan and confirmation that assistance will be provided in matters relating to labour and residence law.

#### **D.4. Conditions for awarding Philipp Schwartz Fellowships through the Research Fellowship programme line**

The following section outlines the conditions governing the award of Philipp Schwartz Fellowships by host institutions and describes the sponsorship package that is available through these fellowships. The Fellowship Guidelines of the Federal Foreign Office in their current version otherwise apply.

These provisions apply to all Philipp Schwartz Research Fellowships that are granted starting January 2021. As a rule, research fellowships that are provided through previous grants are to be recalculated and adjusted within eight weeks following publication of the regulations on the use of funds. When an adjustment of benefits would represent a disadvantage for the recipient, the requirement to adjust does not apply, but only with regard to the fellowship funding and benefits.

##### **D.4.1. The host institute as fellowship provider**

The Philipp Schwartz Research Fellowship is provided to cover living costs in Germany while the recipient conducts the research project put forward in the application. When a Philipp Schwartz Fellow accepts their research fellowship, the host institute must oblige them to fully dedicate themselves to the objective of the fellowship and to their (new) career focus. It is not possible to pursue any other full-time employment in Germany or abroad during the sponsorship period.

Since Philipp Schwartz Fellows who have been accepted in the Research Fellowship programme line are not employees, conducting their research projects is not considered gainful employment as defined by the German Income Tax Act (*Einkommensteuergesetz*). The monthly fellowship disbursements are therefore not earned income and are not subject to German social security contributions. Research fellowships are tax exempt under section 3 (44) of the German Income Tax Act. Laws in the research fellow's country of origin or country of residence may contain special provisions regarding the taxation of research fellowships. In case of doubt, a tax advisor should be consulted.

The host institution is to oblige its Philipp Schwartz Fellows to inform it of any secondary employment. Secondary employment with earnings exceeding the upper limit for "marginal part-time employees" (the so-called *Verdienstgrenze für geringfügig Beschäftigte*, currently EUR 450 gross per month) requires the host institution's prior approval. Such earnings must be offset against the monthly fellowship amount. The institution is responsible for determining whether the secondary employment jeopardises the objective of the fellowship. If this is the case, the Alexander von Humboldt Foundation is to be notified immediately and the fellowship is to be suspended or terminated if necessary.

Philipp Schwartz Fellows may not accept additional fellowships financed through German public funds.

The rules, regulations and ethics guidelines that apply to the award of research fellowships and to conducting scientific research at the respective location also apply in addition to the Programme Guidelines and the Programme Information of the Philipp Schwartz Initiative and the Fellowship Guidelines of the Federal Foreign Office. Fellowship recipients are to be obliged to comply with the laws and regulations that are in force at the respective research location and apply to the host institution.

#### **D.4.2. Presence at the host institute**

As a rule, Philipp Schwartz Fellows are required to be present at the respective host institute. Philipp Schwartz Fellows in the Research Fellowship programme line are not entitled to the monthly fellowship payment if they are absent from their host institute for more than 14 calendar days (consecutively or altogether) during the sponsorship period. In such cases, the host institute is required to reduce the fellowship payments and inform the Alexander von Humboldt Foundation. Attendance at conferences, research trips, visits to archives and libraries and similar activities that are essential for conducting the proposed research or for developing the individual's career prospects are not counted.

During the first month of a research fellowship, recipients are entitled to a disbursement only when they enter the host country by the 15th of that month (or the next working day). During the last month of a fellowship, recipients are entitled to a disbursement only when they are present in the host country until at least the 15th of the month.

#### **D.4.3. Fellowship benefits provided through the Philipp Schwartz Initiative**

The fellowship benefits outlined below are provided through the Research Fellowship programme line. This list details the options laid down in the Fellowship Guidelines of the Federal Foreign Office.

A preliminary calculation of maximum fellowship benefits is to be submitted with the application for a Philipp Schwartz Fellowship (see Appendix 3d). A binding statement regarding the composition of the fellowship benefits is to be submitted before the sponsorship begins. Once the sponsorship begins, deviations are to be coordinated in writing with the Alexander von Humboldt Foundation by submitting updated versions of the fellowship calculation and the financing plan.

##### **D.4.3.1. Amount of the fellowship**

In general, the amount of the research fellowship is in principle EUR 2,670 per month. This includes a standard fellowship in the amount of EUR 2,500 plus a mobility allowance of EUR 100 and, as a rule, a subsidy of EUR 70 towards the cost of medical and liability insurance where applicable.

##### **D.4.3.2. Ancillary benefits under the research fellowship**

In addition to the monthly fellowship payments, the host institution can, in consultation with the Alexander von Humboldt Foundation, grant the individual fellow certain needs-based benefits when the respective conditions are met. The project

manager at the host institution is responsible for advising the recipient regarding the available ancillary benefits, and for checking and retaining corresponding documents (such as proof of marriage or birth). The Alexander von Humboldt Foundation grants funding to cover ancillary benefits, subject to the availability of budgetary funds.

The available ancillary benefits (other than the mobility allowance in the amount of EUR 100 and the subsidy of EUR 70 towards the cost of medical and liability insurance) are:

- family benefits for marital partners
- family benefits for children
- subsidies for medical and liability insurance for family members
- additional benefits for the birth of a child during the sponsorship period

#### **D.4.3.2.1. Mobility allowance**

As part of their monthly fellowship, Philipp Schwartz Fellows in the Research Fellowship programme line automatically receive a mobility allowance in the amount of EUR 100 a month for the duration of their research fellowship. The mobility allowance is a grant to cover expenses arising in connection with necessary conference attendance, research travel, visits to archives and libraries, and similar activities in Germany and abroad. Although additional allowances for travel or conferences cannot be provided through the fellowship funding, they can however be made available through the flat-rate auxiliary funds provided to the host institution. Philipp Schwartz Fellows are required to always coordinate any travel plans with their academic mentor.

#### **D.4.3.2.2. Family benefits for marital partners**

In addition to the monthly fellowship payments, the host institution can grant additional benefits for marital partners and children who accompany the fellow, when the respective conditions are met. The project manager at the host institution is responsible for verifying that the requirements are met: When the fellow's marital partner and/or children does/do not require a visa for Germany, the project manager at the host institution is responsible for checking the individual's entitlement (based on the fellow's marriage certificate and/or the child's (children's) birth certificate(s)). A copy of the respective document must be retained for at least six years. These documents are to be presented only upon request to the Alexander von Humboldt Foundation or the audit firm it has commissioned.

Upon application, a family allowance in the amount of EUR 276 a month may be granted during the sponsorship period when the fellow's marital partner accompanies the fellow to Germany for at least three months without interruption. Any income of the fellow's marital partner (salary or earnings from self-employment or dependent employment in Germany, German or foreign fellowships) which exceeds the upper limit for "marginal part-time employees" (the so-called *Verdienstgrenze für geringfügig Beschäftigte*, currently EUR 450 gross per month) is to be offset against the family allowance paid for the marital partner.

A Philipp Schwartz Fellow who resides in Germany with their children for more than six months without interruption can apply for payment of a parental allowance under German law – Federal Parental Allowances and Parental Leave Act

(*Bundeselterngeld- und Elternzeitgesetz*) – during the first 14 months of the respective child's life. Payment of a family allowance for the marital partner is not to be approved in any of these cases. Should the application for payment of a parental allowance be turned down, the host institution is responsible for retaining copies of the official notification of rejection. As a rule, the family allowance may be granted for the marital partners only when it has been confirmed that a parental allowance under German law is not being or has not been paid during the period being applied for. The family allowance for the fellow's marital partner is discontinued when the marital partner leaves Germany.

#### **D.4.3.2.3. Family benefits for children**

Family benefits for children can include a substitutional payment in the amount of the government child benefit, provided that legal entitlement to payment of child benefit does not exist. When children (section 2 (1), No. 1 and 2 of the Federal Child Benefits Act - *Bundeskindergeldgesetz*) up to the age of 18 accompany a Philipp Schwartz Fellow to Germany for a period of at least three months (without interruption), the host institution may grant a substitutional payment for child benefit in the respective amount during the sponsorship period. When the marital partner and/or children does/do not require a visa for Germany, the project manager at the host institution is responsible for checking the individual's entitlement (based on their marriage certificate and/or the child's (children's) birth certificate(s)). A copy of the respective document(s) must be retained for at least six years. These documents are to be presented only upon request to the Alexander von Humboldt Foundation or the audit firm it has commissioned.

Philipp Schwartz Fellows whose children reside in Germany for more than six months without interruption may apply for child benefit (*Kindergeld*) under German law (Income Tax Act – *Einkommensteuergesetz* or the Federal Child Benefits Act – *Bundeskindergeldgesetz*). In these cases, the host institution cannot grant a substitutional payment for child benefit. Should the application for child benefit be turned down, the host institution is responsible for retaining copies of the official notification of rejection and the applicant's residence permit. As a rule, the substitutional payment for child benefit may be granted only when it can be confirmed that child benefit paid under German law will not be or has not been paid during the period being applied for. The substitutional payment for child benefit is discontinued when the child/children leave(s) Germany.

#### **D.4.3.2.4. Subsidy towards the cost of medical and liability insurance**

The host institution can pay a subsidy of EUR 70 a month towards the cost of medical and liability insurance during the sponsorship period to Philipp Schwartz Fellows as well as their marital partners and children below the age of 18 who accompany the respective fellow to Germany for a period of at least three months without interruption. This subsidy is paid automatically together with the monthly fellowship payments to the respective Philipp Schwartz Fellow. The host institution must verify the entitlement of accompanying family members (length of residence in Germany, age of the children) and include it when calculating the ancillary fellowship benefits. When the marital partner and/or children does/do not require a visa for Germany, the project manager at the host institution is responsible for verifying the fellow's entitlement (based on their marriage certificate and/or the child/children's

birth certificate(s)). A copy of the respective document(s) must be retained for at least six years. These documents are to be presented only upon request to the Alexander von Humboldt Foundation or the audit firm it has commissioned. Income of the fellow's marital partner (salary or earnings from self-employment or dependent employment in Germany, German or foreign fellowships) which exceeds the upper limit for "marginal part-time employees" (the so-called *Verdienstgrenze für geringfügig Beschäftigte*, currently EUR 450 gross per month) is to be offset against the subsidy paid for their medical and liability insurance. The subsidy for the marital partner and/or children is discontinued when they leave Germany.

#### **D.4.3.2.5. Parental support**

Host institutions may provide Philipp Schwartz Fellows parental support in the following forms: Fellows can apply for individual measures or a combination of measures, even when the research fellowship ends during statutory maternity leave. Applications together with an adjusted financial plan are to be submitted to the Alexander von Humboldt Foundation by the project manager at the host institution. The project manager must review the corresponding documents (medical certificate issued at the time of the application, birth certificate after a birth) and retain copies of them for six years. These documents are not to be submitted to the Alexander von Humboldt Foundation with the application. The academic mentor's agreement is a prerequisite for approving an application. Confirmation that research facilities will be made available and support will be provided must be submitted to the Alexander von Humboldt Foundation when the application is made.

##### **D.4.3.2.5.1. Maternity protection when a baby is born during the sponsorship period**

Philipp Schwartz Fellows who give birth during their sponsorship period may be granted upon application an extension of their sponsorship period (primary fellowship or AvH-funded phase of a co-financed extension) of up to three months in accordance with the regulations of the Federal Maternity Protection Act (*Mutterschutzgesetz*). Fellowship payments will continue to be paid in full. The fellowship benefits granted to date will continue to be provided during the extension period.

##### **D.4.3.2.5.2. Extension for parental support purposes**

In addition to the maternity protection provided for in section D.4.3.2.7.1., Philipp Schwartz Fellows who give birth during their sponsorship period (primary fellowship or AvH-funded phase of a co-financed extension) may be granted upon application an extension of their sponsorship period of up to 12 months for parental support purposes. The fellowship benefits granted to date will continue to be provided during the extension period.

#### **D.4.3.3. German courses**

German courses are to be financed through the auxiliary funds for the host institution.



## **D.5. Co-financed extension option (“3rd year”)**

### **D.5.1. Objective**

The Philipp Schwartz Initiative offers fellows in both programme lines (Employment Contract and Research Fellowship) the option of extending their sponsorship by up to 12 additional months (“3rd year”). This option was created to help the host institution intensify its focus on developing Philipp Schwartz Fellows’ potential for successfully continuing their professional careers and on developing creative solutions for the extension phase which may be structurally beneficial to the host institution as well.

### **D.5.2. Eligibility**

Any host institution that has successfully nominated one or more threatened researchers to be sponsored through the Philipp Schwartz Initiative and now supervises and supports them as Philipp Schwartz Fellows (fellows or contracted employees) is eligible to submit nominations.

### **D.5.3. Sponsorship requirements**

Extensions are approved within the framework of a co-financing model. Co-financing models consist of a period that is financed by the Alexander von Humboldt Foundation (AvH extension – a maximum of six months) and a period financed by the host institution (HI extension – with the same duration as the AvH extension).

The co-financing model must be divided into consecutive periods: The primary sponsorship must be followed, without any interruption, by the AvH extension. The AvH extension must then be followed immediately by the HI extension. The order may be changed upon application with good reason. As a rule, interruptions are not permitted either during an extension period or between extension periods.

The funding for financing the AvH extension is authorised as a separate grant. The terms and conditions that apply to the primary sponsorship also apply to the AvH extension. The only difference is that the Alexander von Humboldt Foundation may not provide a flat-rate lump sum (auxiliary funds) as funding. Rather, it may only provide funding that is tied to a specific fellow.

The financing provided during the extension period financed by the host institution does not necessarily have to be the same amount or be provided in the same form as the financing provided during the AvH extension period. The host institution is responsible for the form and framework of the funding for its extension period. The host institution will determine the benefits to be paid to the fellow. They should be appropriate. The specific arrangements are bound by the requirements applicable to the funding used to finance the host institution extension period.

### **D.5.4. Application procedure and selection**

The application comprises the completed application form that is signed by the head of the host institution, plus confirmation that research facilities will be made available and that support will be provided, and a financing plan.

The complete application should be submitted to the Alexander von Humboldt Foundation at least three months before the Philipp Schwartz sponsorship ends. This does not constitute a cut-off date. However, it is possible that applications that arrive later than this or are incomplete cannot be considered. The institution making the application is responsible for submitting the complete set of required documents as one package to the Alexander von Humboldt Foundation. The application should be encrypted with a password and sent electronically to [schwartz-initiative@avh.de](mailto:schwartz-initiative@avh.de). The password should be sent to AvH by a separate channel (telephone, fax). Electronic signatures will not be accepted. Signed application forms can be scanned and then transmitted to AvH.

#### **D.5.5. Conditions for a sponsorship**

Upon accepting the approval decision, the host institution agrees for the duration of the AvH extension period to accept and comply with the conditions and rules that applied to the primary fellowship.

## **E. Communication and public relations activities**

### **E.1. Security of Philipp Schwartz Fellows**

In most cases, individuals who are sponsored through the Philipp Schwartz Initiative are also subject to significant risk even during their stay in Germany. Occasionally, simply identifying a person as being a Philipp Schwartz Fellow can have disastrous consequences, such as for relatives and colleagues who have remained in their country of origin. In light of this, all communication and public relations activities are to be guided by the principle of ensuring the safety of the respective individual. Electronic communication regarding sponsored persons should either use the individual's initials or be encrypted. Passwords used for the encryption of files are to be sent using a separate channel (telephone, fax or SMS).

Any announcements regarding a fellowship and any reference to a sponsored individual require the express consent of the fellow.

### **E.2. Public relations activities**

The host institution must additionally observe the following in its communications and public relations activities:

- The sponsored individual is not a fellow or employee of the Alexander von Humboldt Foundation but rather of the host institution. The designation to be used is "Philipp Schwartz Fellow of the host institution X".
- Sponsorships provided through the Philipp Schwartz Initiative are not Humboldt Research Fellowships. There are no provisions for recipients to join the Humboldt Network.
- The use of the Humboldt Foundation logo in correspondence with fellowship recipients is not provided for either.
- In dealings with the general public: "Within the framework of the Philipp Schwartz Initiative of the Alexander von Humboldt Foundation, funded by the Federal Foreign Office and private foundations, X (name of institution) has been given the opportunity to grant Philipp Schwartz funding to threatened individuals..."

"Philipp Schwartz Initiative" is a worldwide registered trademark.

## **F. Final provisions**

The Programme Guidelines and Programme Information of the Philipp Schwartz Initiative specify the conditions for grants provided through the Alexander von Humboldt Foundation's Philipp Schwartz Initiative. These documents are part of the grant. The German-language versions of these documents are binding. The English texts are convenience translations that are provided for information purposes only.

In the event of infringements of the Programme Guidelines or Programme Information, the Alexander von Humboldt Foundation reserves the right to revoke in part or in full the decision to grant funding and to demand repayment of the fellowship in part or in full. This also applies when the funded institution makes or made false claims in connection with its application during the sponsorship period or prior to that time; when it does not verify the accuracy of relevant information provided by persons who are sponsored through the Philipp Schwartz Initiative and does not notify the Alexander von Humboldt Foundation of any irregularities; or when other serious facts emerge which would have mitigated against the granting of the fellowship had they been known to the selection committee at the time.

The Alexander von Humboldt Foundation reserves the right to amend the Programme Guidelines and Programme Information at any time, provided that the amendments are reasonable vis-à-vis the funded institution while also taking due account of the interests of the Alexander von Humboldt Foundation. The funded institution will be notified of any amendments in writing well in advance. Amendments are considered to have been approved if the funded institution has not objected in writing within four weeks. In the event of an objection, the Alexander von Humboldt Foundation reserves the right to cease sponsorship within a reasonable period of time.

The exclusive legal venue is Bonn, Germany. German law applies exclusively without choice-of-law rules.