



Alexander von Humboldt
Stiftung/Foundation

Research Awards of the Alexander von Humboldt Foundation

General Regulations and Information
for Research Award Winners

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(as of: March 2020)

Preface

The Alexander von Humboldt Foundation links Germany to the knowledge of the world. In global competition for the topmost experts, it offers to this end various programmes to attract scientists and scholars at different stages of their careers. Support involves both funding and personal supervision in all matters relating to a stay in Germany and to subsequent cooperations. For these cooperations, the Alexander von Humboldt Foundation offers numerous other kinds of sponsorship in the framework of the alumni programme. In this way, an active international network of more than 30,000 academics has grown up since the Foundation was founded in 1953.

The Humboldt Research Awards have been a central pillar of the Alexander von Humboldt Foundation's sponsorship activities since 1972. The awards honour the academic achievements to date of internationally recognised scientists and scholars from abroad. A not insignificant number of award winners has subsequently been granted the Nobel Prize. The research award programmes take particular account of the needs of the international academic elite. The award winners are invited to spend time for research in Germany and are able to organize their stay on a flexible basis. Apart from sponsoring international science, the Alexander von Humboldt Foundation aims to develop a personal relationship between the researchers from all countries and disciplines and Germany itself. This does not only happen in laboratories and libraries, but in everyday life: through contacts to the people of the country. In order to intensify these contacts, the Alexander von Humboldt Foundation sponsors German courses for the award winners and their spouses. At the award winners' symposium in Bamberg and the Alexander von Humboldt Foundation's annual meeting in Berlin, there is an opportunity to get to know other Humboldtians and the Foundation's staff personally.

This brochure is intended as a guide for award winners and their academic hosts, offering practical advice and explaining the rules of the programme. The Alexander von Humboldt Foundation is grateful for any suggestions which might improve or supplement this brochure.

I wish all award winners and their hosts a successful academic collaboration and stimulating and pleasant experiences in Germany. I would be pleased to welcome you to one of our events.

Bonn, March 2020

A handwritten signature in black ink, appearing to read 'Enno Aufderheide', written in a cursive style.

Dr. Enno Aufderheide
Secretary General of the
Alexander von Humboldt Foundation

A. Research Awards of the Alexander von Humboldt Foundation

The Alexander von Humboldt Foundation grants Research Awards to internationally renowned academics from abroad in recognition of their entire academic record to date. In addition, award winners are invited, in cooperation with their specialist colleagues, to carry out research projects of their own choice in Germany for a period ranging from about six months to an entire year.

Detailed programme information about nomination requirements for granting research awards can be downloaded from the Internet at: www.humboldt-foundation.de/web/programmes-by-target-group.html.

This brochure contains general regulations and information about the rules of the research award programmes, especially for the award winners' research stay in Germany. The regulations apply to award winners in the programmes:

- Humboldt Research Award
- Carl Friedrich von Siemens Research Award of the Alexander von Humboldt Foundation
- Reimar Lüst Award for International Scholarly and Cultural Exchange
- Konrad Adenauer Research Award
- Georg Forster Research Award
- Max Planck-Humboldt Medal
- Friedrich Wilhelm Bessel Research Award
- Fraunhofer-Bessel Research Award
- Philipp Franz von Siebold Award.

1. Conferment and acceptance of research award

The Alexander von Humboldt Foundation notifies the recipients that they have been selected for the award in writing (award letter). Concurrently, the Foundation sends a copy of the award letter to the nominators in Germany.

The award letter states the amount of the award that is stated in the respective programme information and which is final and binding.

By returning the declaration of acceptance (which accompanies the award letter) the recipients of the award confirm that they accept the award and are in agreement with the regulations for award winners.

The award certificates, signed by the President of the Alexander von Humboldt Foundation, are presented to the award winners in person at the Symposium for Award Winners or at the Annual Meeting of the Alexander von Humboldt Foundation (see also A.7.).

2. Commencement of research stay in Germany

The date of commencement of research stays planned by award winners is set in agreement with host scholars and scientists in Germany. The length of research stays depends on the respective requirements and conditions of planned research cooperation and will likewise be agreed upon jointly.

In the interest of promoting international specialist cooperation, the Alexander von Humboldt Foundation expressly welcomes long-term research stays of award winners in Germany. The research period at the German host institute(s) may, if desired, be divided into several stays. However, the Alexander von Humboldt Foundation can reimburse travel costs only once (see also A.5.). The Foundation requests early notification of the scheduling of a research stay so that all necessary arrangements can be made on time.

The Alexander von Humboldt Foundation wishes to make national and international announcements of research awards. Therefore, award winners are requested to submit the names and addresses of the deans and/or presidents of their own universities or research institutions who should be informed of the honour conferred by the research award. Furthermore, when the award winners commence their stay at German universities and research institutes, they will be portrayed on the corresponding Alexander von Humboldt Foundation's website (www.humboldt-foundation.de/web/award-winners-in-germany.html). This is meant to give specialist colleagues in Germany an opportunity to establish contact with award winners.

3. Payment of award money

The award money is normally paid in instalments. The amount is transferred, in principle, to a **personal bank account (current account) in the Single Euro Payments Area (SEPA)**

(www.ecb.europa.eu/paym/integration/retail/sepa/html/index.en.html). Award winners who do **not** have a personal bank account in the SEPA region are asked to open one as soon as possible.

The relevant details of the **personal bank account in the SEPA region** must be provided to the Alexander von Humboldt Foundation as early as possible. The form for providing these details is available on the Foundation's website at: www.humboldt-foundation.de/bank-account.

If it is possible to open a personal bank account in the SEPA region only after arrival in Germany, a first instalment may be paid via the cash office of the respective German university or non-university research institute in some locations. In this case, the instalment must be collected in person within a specified period of time. It is advisable to present the Alexander von Humboldt Foundation award letter and a valid passport to the cashier. Addresses of the cash offices, sorted by university locations, are available on the Foundation's website at: www.humboldt-foundation.de/web/aaa-anschriften.html.

To open a bank account in Germany, award winners may be required to provide the bank with their Tax Identification Number (TIN) from the country in which they are resident for taxation purposes. We therefore recommend that award winners enquire with the appropriate authorities whether their country of residence is participating in the Common Reporting Standard, a set of global regulations on the international exchange of tax-related data, and apply for a TIN if necessary.

When setting up a bank account, it is worth comparing each individual bank's conditions as they often vary. It may also be useful to arrange a personal appointment in advance to open a bank account at the preferred bank branch in Germany and to present the Alexander von Humboldt Foundation award letter and the General Regulations and Information for Research Award Winners.

The research award is granted in recognition of the academic achievements and the personality of the award winner and may only be claimed by the award winner personally. Payment of the award money may also only be made to the award winner personally and exclusively. Claims to the award may not be transferred.

Payment of the award money is subject to the budgetary availability of funds.

4. Taxes

Award winners are responsible for all matters pertaining to their taxation.

However, the Alexander von Humboldt Foundation would like to point out that according to German tax law, awards are not usually liable to income tax in Germany in the following cases: if they are primarily granted in recognition of the award winner's life's work, or entire academic work, personality, convictions held, or function as a role-model. This is precisely the Foundation's intention in granting research awards, the purpose of which is to honour the entire academic work of award winners in their capacity as internationally outstanding research individuals.

The laws in the award winners' own countries or countries of residence may include special regulations on taxing awards. If in doubt, a tax accountant in the award winner's own country should be consulted.

Note: After registration with the Residents' Registration Office, the Federal Central Tax Office sends out a letter notifying the Tax Identification Number (see B.2). This number is allocated to every person recorded in a register of residents in Germany, regardless of whether that person is required to pay taxes in Germany.

5. Travel costs

The Alexander von Humboldt Foundation grants award winners a travel allowance to cover return travel expenses to Germany. A list of allowance amounts is enclosed in the award documents. The respective allowance will be remitted after the commencement of the research stay in Germany to the bank account to be established in Germany (see also A.3.).

Regardless of the number of research stays in Germany, travel expenses can be borne only once by the Alexander von Humboldt Foundation.

Travel allowances may also be granted to marital partners and children under 18 provided they take up residence with the award winner in Germany for a period of at least six months. 50 percent of the allowance will be paid for children from two to eleven years of age and 10 percent for children under two.

The Alexander von Humboldt Foundation cannot bear additional charges for the transportation of luggage.

6. German courses

The Alexander von Humboldt Foundation is prepared, where possible, to bear the costs of German language courses for award winners and/or their marital partners who wish to learn German. Applications, stating the course length, number of hours and costs, should be submitted in writing to the Alexander von Humboldt Foundation prior to commencement of the course. The Foundation expects a regular attendance of the German language instruction. In the event of absence from lessons, the refund of course fees may be required.

7. Symposium for Award Winners and Annual Meeting of the Alexander von Humboldt Foundation

All award winners and their families are invited to attend the symposium for award winners and the annual meeting of the Alexander von Humboldt Foundation once during their stays in Germany.

The *symposium*, which takes place annually in Bamberg in March or April, offers award winners an opportunity to meet other award winners, German scholars and scientists, representatives of research funding organisations in Germany and members of the Alexander von Humboldt Foundation's selection committee.

The *annual meeting*, held in Berlin in June or July, is the main gathering of Humboldt guest researchers and their families staying in Germany. The highlight of the annual meeting is a reception hosted by the President of the Federal Republic of Germany.

8. Exploitation of 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, in particular all public presentations, appropriate

reference should be made to the funding provided by the Alexander von Humboldt Foundation:

- In publications, an appropriate place must be chosen to state that funding has been provided by the Alexander von Humboldt Foundation.
- Publications, stating the title and bibliographical details, must be entered in the data-base "Bibliographia Humboldtiana" of the service portal "My Humboldt" on the Alexander von Humboldt Foundation's website:
www.humboldt-foundation.de/web/my-humboldt.html
- They can also be entered via Humboldt Life: www.humboldt-life.de (see also C.8).
- If award winners are interested in publishing research results in the fields of chemistry, physics, mathematics or informatics through the *German National Library of Science and Technology (TIB)* – Leibniz Information Centre for Science and Technology and University Library (www.tib.eu/en), they can contact the TIB directly:

Postal address

for letters:

for parcels:

German National Library for Science
and Technology (TIB)
Postfach 6080
30060 Hannover

German National Library for Science
and Technology (TIB)
Welfengarten 1B
30167 Hannover

E-mail: information@tib.eu.

Any further questions may be directed to Dr. Elzbieta Gabrys-Deutscher – elzbieta.gabrys@tib.eu.

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 in other logos.

- Use of the logo 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” (see also C.7) in an electronic file format that conforms to the specific requirements for print: www.humboldt-foundation.de/web/service-portal.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 (see also D).

In addition, the Alexander von Humboldt Foundation considers it important that any commercially utilisable results be adequately (especially by patents and utility models) protected and exploited. In this context, too, award winners are asked to refer to the sponsorship by the Alexander von Humboldt Foundation and to take note of the following points:

- Any research results which might be eligible for commercial exploitation should be presented to the appropriate agencies, such as industry. If it seems recommendable to register a patent or similar legal protection for the research results, it is always essential, for legal reasons, to start proceedings *before* publishing the relevant results.

The people to contact, specialised in registering patents and legally protecting research results, are patent agents (“Patentanwälte”) and patent broking companies (“Patentverwertungsstellen/-agenturen”). The various options for exploiting results and all matters related to this (legal questions, whom to contact about publication, registering patents etc.) should be discussed with the host institution directly.

- With regard to the exploitation of patents etc., the Alexander von Humboldt Foundation does not enter into binding legal agreements with its award winners or their host institutions. On principle, the relationship is governed by the customary legal regulations pertaining at the place where the institution, at which the research results have been achieved, is located:

usually, these regulations envisage a division of revenue between the institution and the scientist.

- Should award winners achieve economically successful results in the framework of Alexander von Humboldt Foundation sponsorship the Foundation would, of course, be very grateful for a voluntary share in the ensuing revenue in the form of a donation to the Alexander von Humboldt Foundation.

9. Report on experiences

Towards the end of the research stay, the Alexander von Humboldt Foundation asks award winners to give personal feedback about their experiences in Germany and to describe their impressions of academic collaboration and daily life in Germany. For this purpose, the award winners will receive an e-mail in good time that contains a password-secured web link to an Alexander von Humboldt Foundation online questionnaire. With regard to the content of the report, comparisons with conditions in the award winners' own countries are of particular interest. Comments on the design and organisation of the Alexander von Humboldt Foundation sponsorship and funding programmes are welcome.

Similarly, the Alexander von Humboldt Foundation also asks academic hosts in Germany to report on how they have experienced cooperation with the award winners.

These reports are important and of interest to the Foundation because foreign guests often make more precise observations and their opinions may be more balanced thanks to greater distance. The reports are carefully evaluated on a confidential basis. In addition, they can also help the Alexander von Humboldt Foundation to continue improving its programmes and making them as effective as possible.

B. General conditions and information for the stay in Germany

1. Entry requirements, visa

In order to stay in Germany citizens of non-EU (European Union)/EEA (European Economic Area) countries must have a valid residence title. Detailed information on this can be obtained from the cultural sections of the Federal Republic of Germany's diplomatic or consular missions in award winners' own countries or countries of residence. Addresses and further important information regarding entry requirements are available on the website of the Federal Foreign Office at:
www.auswaertiges-amt.de/EN.

Citizens of *EU member states, as well as those from Iceland, Liechtenstein, Norway and Switzerland* neither require an entry visa nor a permit for stays of longer duration. If they are planning to spend a longer period of time in Germany (more than 3 months), they are usually only required to register with the local Residents' Registration Office.

Citizens of *Australia, Brazil, Canada, Israel, Japan, New Zealand, the Republic of Korea and the USA* may enter Germany on a valid passport without a visa. They must apply for a residence permit at the Aliens' Registration Office immediately after arrival in Germany. **Please note:** Scientific work as a research award winner may only start when the residence permit has been issued. Since the process for issuing a residence permit can take several weeks, the Alexander von Humboldt Foundation strongly recommends applying for a **visa** for the research stay at the visa section of the relevant German diplomatic mission before entering the country. For *short stays up to a maximum of 90 days within a period of 12 months* citizens of the above mentioned countries do not need a visa and are entitled to carry out scientific work.

Citizens of *other countries* usually have to apply for an **entry visa** from the appropriate German diplomatic mission in their own country or country of residence before entering Germany. It is essential that the visa be issued for the first place in Germany at which the stay is supposed to begin. "Scientific work" at the respective research institute is to be indicated as the reason to travel. In case a long-term stay in Germany is planned, the so-called national D-Visa is to be applied for. Award winners should **in no case** enter Germany on a Schengen Visa of the category "C". It entitles to enter Germany for short-term stays of up to 90 days **only** and **cannot** be extended.

If marital partners and/or children are accompanying the award winners to Germany, it is recommended to submit the applications for all the members of the family at the same time. Award winners should bear in mind that many visa offices only accept applications after making an appointment. This should be done well in advance as it may take several weeks to arrange a date.

German foreign missions (embassies and consulates) issue visas on their own responsibility both to researchers who have been granted research awards of the Alexander von Humboldt Foundation as well as to marital partners and unmarried underage children accompanying them (§ 34 of the Decree on Residence, "AufenthV"). Processing may take several weeks, which needs to be taken into consideration when planning the time schedule.

The national D-visa, issued in award winners' own countries, entitles to enter and stay in Germany for the duration of its validity (usually up to 90 days). It is strongly recommended not to apply for any other type of visa as extensions might be excluded.

The **residence permit issued in Germany** by the responsible Aliens' Registration Office in Germany (see also B.2.) entitles holders to multiple entry into the country and – under the provisions of the Convention Implementing the Schengen Agreement – to spend short periods (up to 90 days in six months) in the following countries: Austria, Belgium, Czech Republic, Denmark, Estonia, Finland, France, Greece, Hungary, Iceland, Italy, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, The Netherlands, Norway, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden and Switzerland.

In case a visa for merely a maximum duration of 90 days (Schengen Visa of the category "C"; **not** extendable!) is needed, an application form may be filled out online at: videx.diplo.de. However, a print-out of the completed form must be submitted personally at the German diplomatic mission together with the necessary application documents. "Scientific work" at the respective research institute is to be indicated as the reason to travel; a Schengen Visa of the category "C" for the purpose of a visit or a touristic stay does **not** entitle to take up scientific work.

2. Registration, residence permit

On arrival in Germany, award winners must register within one week with the local Residents' Registration Office (which is usually located in the Town Hall or Municipal Offices) at the new place of residence. This also applies to accompanying family members. Registration forms can be obtained at the respective municipal offices directly; or generally on the website of the municipal authorities.

Any change of address during the stay in Germany has to be registered with the appropriate Residents' Registration Office within one week. Prior to leaving Germany, award winners and accompanying family members must inform the Residents' Registration Office of their departure.

Note: After registration with the Residents' Registration Office, the Federal Central Tax Office sends out a letter notifying the Tax Identification Number. This number is allocated to every person recorded in a register of residents in Germany.

Well before the visa expires, a residence permit must be applied for at the local Aliens' Registration Office. As the necessary processing often takes several weeks, it is recommended to make this application as early as possible. Please also note that an appointment to make the application frequently requires prior (online) registration. The following documents usually have to be submitted:

- completed application forms for a *residence permit*, forms are obtainable from the Aliens' Registration Office;
- *the registration document* from the Residents' Registration Office of the place of residence in Germany;
- proof of *health insurance coverage* valid in Germany (*for details see also B.3.*);
- in certain cases, a *health certificate* issued by a registered physician in Germany (Public Health Offices in many German towns carry out the required medical examination at a relatively low charge). Since a health certificate is not always required, award winners should make enquiries at the Aliens' Registration Office first of all. In general, foreign health certificates are not accepted; X-rays only if they are less than three months old;

- a valid *passport*;
- in certain cases, the *originals of birth certificate(s)* and, if applicable, the *marriage certificate*;
- a recent *passport photograph*;
- a *copy of the Alexander von Humboldt Foundation's award letter*.

Unless the Aliens' Registration Office is presented with all the necessary documents, residence permits cannot be issued or extended. Award winners who not yet have a good command of German should ask whether there is anyone at the host institute who knows their way around and might be willing to accompany them to the various authorities.

According to the rules of the *Immigration Act*, award winners' marital partners are allowed to take up gainful employment in Germany. Members of the family accompanying award winners enjoy, with regard to taking up gainful employment, the same legal status as the foreigner they are accompanying. As a rule, this means: marital partners are allowed to carry out occupations which do not require the agreement of the Federal Employment Agency ("Bundesagentur für Arbeit"), according to §§ 2-15 of the *Employment Regulations ("BeschV")*. Other occupations may only be carried out with the agreement of the Federal Employment Agency.

According to the Decree on Residence (AufenthV) Humboldt research fellows are exempt from paying fees for the issue of

- a national visa (category D, research stays of more than 3 months) according to § 52, sub-section 5, line 1, no. 1 (AufenthV)
- a Schengen visa (research stays of up to 3 months) according to § 52, sub-section. 8 (AufenthV)
- a residence permit in Germany and the extension thereof according to § 52, sub-section 5, line 1 no. 2 (AufenthV).

Humboldt research fellows' marital partners and unmarried underage children are exempt from paying fees for the issue of

- a national visa (category D) according to § 52, sub-section 5, line 2 (AufenthV) provided that they are included in the sponsorship awarded by the Alexander von Humboldt Foundation.

As a rule, it can be assumed that award winners, their marital partners and unmarried underage children will also be exempt from paying the respective charges.

The Alexander von Humboldt Foundation sends all award winners a *Humboldt identity card* once they have arrived in Germany. It should contribute to facilitating contacts with the authorities and institutions of higher education. But it is not a substitute for official identity documents.

3. Health and liability insurance, legal costs insurance, as well as other insurances

Award winners and any members of their families accompanying them must have adequate health insurance coverage during the entire duration of their research stay in Germany. The responsible Aliens' Registration Offices require proof of adequate health insurance before they will issue a residence permit. Any costs ensuing from illness or accident can neither be borne by the Alexander von Humboldt Foundation nor by host institutes. It should be kept in mind that both out-patient and in-patient medical care are very expensive in Germany.

Health insurance coverage for a period of up to three months in Germany may be offered by award winners' existing insurance policies or companies at home. In such cases, the health insurance company must confirm **in writing** that its insurance coverage is valid in Germany.

For stays exceeding three months, award winners from EU Member States and the European Economic Area (Iceland, Liechtenstein, Norway and Switzerland) are subject to the following regulations: if award winners are covered by statutory health insurance in their own country, their health insurance company at home will, upon request, issue form E106 or S1. This form E106 or S1 allows award winners and their family members to register with a German health insurance company. Form E106 or S1 must be completed prior to the stay in Germany and sent to the chosen statutory health insurance company stating the award winner's future German address. The German health insurance company will then provide all necessary medical services and subsequently invoice the health insurance company in the award winner's own country for its expenditures.

For stays under three months, award winners from the above-listed countries are eligible for a European Health Insurance Card, provided that they are covered by statutory health insurance in their own country. In case of illness, the health insurance scheme or company in the respective country will only cover the contractual benefits that are usual in Germany and which are medically necessary and cannot be postponed until the award winner's return home.

Award winners who are not covered in this way **must** take out private medical (travel) insurance in Germany for themselves and **all accompanying family members**.

The Alexander von Humboldt Foundation explicitly wishes to emphasise that in Germany everyone is liable for any damage caused to a third-party. Parents are liable for their children. It is, therefore, common practice to take out a private **(family) liability insurance** against any claims ensuing from accidental damage caused to others.

Together with the award documents award winners receive a link to information regarding conditions and tariffs from various private travel health insurance companies, which offer coverage for the **medically necessary treatment of acute illness not related to previous illness and in case of accident**: www.humboldt-foundation.de/web/insurance.html. An **accident insurance** which pays only in the event of invalidity as well as a **private liability insurance** may be taken out optionally.

It is recommended to contact an insurance company before entering Germany so that any questions can be clarified in advance. Applications should be sent to the insurance company or agency directly, not to the Alexander von Humboldt Foundation. Insurance coverage only takes effect when the first premium has been transferred to the insurance company's account immediately after entering the country or if direct debit has been authorised from a bank account.

Important advice on private (travel) health insurance:

- Illness and any consequences thereof which have been incurred **before** the insurance policy was taken out (not only chronic diseases) are excluded from insurance coverage. As some latent illnesses (e.g., kidney and gall stones) may become acute as a result of a change of climate or eating habits etc. award winners are urged to have a complete medical

examination prior to departure from home and, if necessary, undergo treatment.

- The cost of prenatal examinations and delivery is usually not covered by any insurance company when pregnancy has begun before arrival in Germany. If necessary, before signing a contract, award winners should discuss under what conditions the insurance company would be prepared to cover the costs if pregnancy should occur during the time spent in Germany.
- Furthermore, it is necessary to make careful enquiries as to which other kinds of treatment are not covered by the insurance company (e.g., costs for routine and prophylactic medical examinations; vaccinations).
- The cost of treatment after an accident during a stay in Germany is covered by medical insurance.
- Especially if it is necessary to spend time in hospital, the requisite formalities and the costs which will be refunded should be discussed with the insurance company in detail.

If award winners or their accompanying family members should have to be admitted to hospital, then they should immediately present their insurance certificate and request that the hospital contact their insurance company to confirm that the costs will be covered. It should be made clear to the doctor or hospital providing the treatment that award winners are **not** so-called **private patients** because the health insurance options enclosed in the award letter do not cover costs for special services such as single or double rooms or treatment by consultants or privately-affiliated doctors, so-called "Belegärzte".

- If award winners plan to travel abroad during the stay in Germany, they should inquire with their health insurance companies well in advance whether additional insurance for travel abroad is necessary.
- Award winners are strongly urged not to change their health insurance during the stay in Germany because this can have unforeseen consequences.
- Residence permits are only issued (for all the members of the family coming to Germany) if proof can be provided of health insurance coverage which must be valid from the moment of entering Germany.

Award winners are requested to read the health insurance company leaflets very carefully and to ensure that the health insurance coverage for themselves and accompanying family members is valid from the very beginning of the stay in Germany.

Award winners may, of course, take out whichever health insurance they choose, providing it offers adequate coverage for the entire duration of the stay in Germany.

It should be noted that it is also possible to take out a **legal costs insurance** in Germany (e.g. for drivers). This kind of insurance covers the cost of a lawyer in the event of a dispute arising from an accident, for example. A driver's legal costs insurance policy not only provides coverage for driving one's own vehicles but also provides coverage as a passenger, pedestrian or cyclist.

Further insurance options:

In Germany there are other areas of life and purposes for which individual insurance coverage can be arranged besides statutory health insurance, liability insurance and legal costs insurance. For example: accident insurance (some health insurance providers include this in their standard coverage), household contents insurance, travel insurance, life assurance to provide for the future and pension schemes for old age provision, incapacity or income protection insurance.

The conditions and contents of insurance policies of each insurance company differ greatly. Before signing a contract it is advisable to obtain detailed information and to compare several policy quotes being considered. It is strongly recommended that it be determined whether the insurance coverage is a cost effective solution for the respective individual situation, keeping in mind the limited time in Germany. Consideration should be given to how long contributions may be required and under what circumstances the insurance company will actually agree to pay out benefits.

4. Accommodation

It is often very difficult to find suitable accommodation. The Foundation recommends to contact as soon as possible the housing department of the Foreign Students' Advisory Office ("Akademisches Auslandsamt"), the

International Office or the Welcome Centre of the host university and to inform the host in Germany of these activities. Guesthouses (“Gästehäuser“) for non-German scholars are operated at a number of universities (addresses can be downloaded from the Alexander von Humboldt Foundation's website under www.humboldt-foundation.de/web/ibz-en.html). If accommodation at a guesthouse is desired, reservations should be made well in advance, because waiting lists can be lengthy.

5. Permission to drive in Germany

Driving licences issued by *Member States of the European Union* as well as *Iceland, Liechtenstein* and *Norway* are also valid in Germany.

Those with valid (international) driving licences issued in *another country* are allowed to drive a vehicle for a period of up to 6 months during their stay in Germany. If award winners do not have an international driving licence it is usually necessary for them to carry a German translation.

When the six months have elapsed, however, it is necessary to have a German driving licence. The requirements for issuing a German driving licence depend on which state issued the original licence. In order to find out how to obtain a German licence and what requirements have to be fulfilled, the responsible licensing authority at the place of residence in Germany should be contacted well in advance. In exceptional cases and on application, licensing departments may extend the validity of foreign driving licences for up to 6 months if it is possible to prove that the licence-holder will not be resident in Germany for more than 12 months.

C. Alumni sponsorship and Humboldt network

The Alexander von Humboldt Foundation undertakes to maintain contacts with all award winners by providing information on the Foundation's activities, inviting them to attend network conferences in Germany and abroad and by offering sponsorship possibilities for renewed research stays in Germany.

Award winners are kindly requested to inform the Alexander von Humboldt Foundation of changes of the address and position, preferably via the service portal (see also C.6.), as well as about honours and awards received and other relevant events.

1. Invitation to renewed research stays in Germany

The Alexander von Humboldt Foundation would like to see award winners continue academic cooperation with specialist colleagues in Germany on a long-term basis. The invitation programme offers an opportunity to invite Alexander von Humboldt Foundation research award winners to conduct research in Germany once again.

The conferment of a research award by the Alexander von Humboldt Foundation is a unique, one-time distinction. Invitations to renewed research stays may be extended to award winners after completion of their initial stays in Germany. Invitations serve the purpose of allowing award winners and their colleagues in Germany to continue the collaborative work initiated during previous stays, to complete a joint research project or to pursue new joint research. Decisions on applications by the Alexander von Humboldt Foundation take into consideration the scientific or scholarly justification of the invitation and the availability of funds.

Shorter visits that aim exclusively at collecting information and material or participating in conferences in Germany may be supported by daily allowances.

Only scholars and scientists in Germany are entitled to make recommendations for invitations. They need not necessarily be the award winners' original nominating hosts. Further details are available on the Foundation's website at:

www.humboldt-foundation.de/web/invitation/html.

2. Invitation of early career researchers from Germany: The Feodor Lynen Research Fellowship Programme

Alexander von Humboldt Foundation award winners can also act as hosts in their home countries for researchers from Germany:

Through the Feodor Lynen Research Fellowships for post-doctoral researchers and experienced researchers, the Foundation enables scholars from Germany with above-average qualifications to spend extended periods of research abroad in cooperation with alumni and other members of the Alexander von Humboldt Foundation Network. The selection criteria are comparable to those for research fellowships for foreign guest researchers. The Foundation generally expects a contribution by the hosts abroad to financing of the fellowship amount.

The specific eligibility and funding conditions can be accessed on the Foundation's website: www.humboldt-foundation.de/web/lynen-stipendium.html

3. Humboldt Alumni Award for Innovative Networking Initiatives

The Alexander von Humboldt Foundation grants up to four Humboldt Alumni Awards per year to promote innovative networking initiatives of alumni of the Alexander von Humboldt Foundation's fellowship and award programmes. It is designed to support initiatives, not covered by the Foundation's existing sponsorship and alumni programmes, and to promote academic and cultural relations between Germany and the Humboldt Alumni's own countries and strengthen their collaboration in the respective regions.

One Humboldt Alumni Award is designated for the sponsorship of initiatives promoting networking between female academics. In this context, initiatives promoting and strengthening the long-term career paths of female scientists and scholars and their collaborative partners within the respective networks, taking account of professional and family obligations, should be favoured. Additionally, the initiatives should encourage more female researchers to participate in the Foundation's sponsorship programmes in future. Further information is available at: www.humboldt-foundation.de/web/alumni-award.html.

4. Humboldt Kosmos

"Humboldt Kosmos" – the Alexander von Humboldt Foundation's alumni magazine – is published biannually with a different interdisciplinary focus in each issue. In addition, it contains portraits of Humboldtians and reports on their research, information about sponsorship options as well as news from the Foundation and the network.

5. Humboldt Colloquia and Humboldt Kollegs

The Alexander von Humboldt Foundation regularly organises colloquia abroad and invites Humboldtians from the country or region concerned to attend. The Foundation also invites scholars from Germany. Among these are often specialist members of the Alexander von Humboldt Foundation's selection committees. They hold lectures outlining the current state of research in Germany and explore ways of intensifying cooperation with foreign research institutes. Furthermore, contacts among Humboldtians in a given area are established or renewed and opportunities afforded for personal talks with Alexander von Humboldt Foundation's staff members. By visiting institutes of Humboldtians, members of the Humboldt delegation gain insight into the research situation in the countries in question. Information talks draw the attention of young scholars and scientists to the sponsorship opportunities offered by the Foundation.

Suggestions and invitations by Humboldtians for the holding of such colloquia are welcome. The Alexander von Humboldt Foundation gladly relies on the experience and assistance of Humboldtians as well as of Humboldt Alumni Associations in organizing these meetings.

Initiatives of Humboldt Alumni Associations and individual Humboldtians to organise regional and interdisciplinary conferences can be supported financially. The aim is to strengthen regional and interdisciplinary networking of Humboldtians. The organisers are responsible for the content of the so-called Humboldt Kollegs. Detailed information can be downloaded from the Internet: www.humboldt-foundation.de/web/humboldt-kollegs-en.html.

6. Humboldt Alumni Associations

In many countries, Humboldtians have joined together to form Humboldt Alumni Associations, which cultivate social and professional contacts with one another, with the Alexander von Humboldt Foundation and with Germany. The Foundation gives full encouragement to these Humboldt Alumni Associations; regrettably, it can sponsor them financially to a very modest extent only. Humboldt Alumni Associations also very often assist in attending to the needs of German scholars in foreign countries. In general, they gladly advise newly selected Humboldtians before they depart for Germany. The Alexander von Humboldt Foundation is pleased when award winners participate in the activities of Humboldt Alumni Associations. Addresses may be downloaded from the Alexander von Humboldt Foundation's website:

www.humboldt-foundation.de/web/alumni-associations.html.

7. Information on the Alexander von Humboldt Foundation's websites

Under the Internet address ***www.humboldt-foundation.de***, the Foundation furnishes up-to-date information about its activities and programmes.

The **Humboldt Network** section of the Internet homepage (*www.humboldt-foundation.de/web/humboldt-network.html*) contains information which may be used to enhance the networking of Humboldtians above and beyond national frontiers and disciplines.

The **service portal** "My Humboldt" (*www.humboldt-foundation.de/web/my-humboldt.html*) is a password-protected area that gives all Humboldtians direct access to the Alexander von Humboldt Foundation's database, thus enabling them to update their personal data (such as address changes), apply for funding and obtain current information about specialised fields and key research areas as well as contact data for Humboldtians throughout the world. The **Humboldt Network search** covers all scientists and scholars sponsored by the Alexander von Humboldt Foundation. A subset of these data is also publicly accessible in the Humboldt Network section of the website. This access to current data is intended to facilitate contacts and cooperation with and within the Humboldt network across countries and disciplines.

The service portal “My Humboldt” also allows users to add entries to the **Bibliographia Humboldtiana** (www.humboldt-foundation.de/network-publications). This is a special database containing bibliographical data of academic publications by Humboldtians resulting from sponsorship by the Alexander von Humboldt Foundation (from the year 2000 on). It also includes details of translations of German publications. The Alexander von Humboldt Foundation asks all Humboldtians to enter the bibliographic data of those publications in the Bibliographia Humboldtiana. Entries can be made within the password secured section of the Network Online. The display of the data is publicly accessible. Entries can also be made via Humboldt Life.

The office of the American partner organisation of the Alexander von Humboldt Foundation in Washington also provides assistance in making contact with other Humboldtians in the **United States**:

American Friends of the Alexander von Humboldt Foundation
Washington, DC · USA
E-Mail: info@americanfriendsofavh.org
Website: www.americanfriendsofavh.org

8. Humboldt Life

Humboldt Life (www.humboldt-life.de) is the online social network of the Alexander von Humboldt Foundation. It offers registered users a number of tools enabling them to comprehensively present themselves and their research areas and to network with other members of the Humboldt family. User can also update their personal data and add publications here. Publications resulting from sponsorship by the Alexander von Humboldt Foundation can be accordingly identified and will appear in the publicly accessible Bibliographia Humboldtiana on the website of the Alexander von Humboldt Foundation.

9. Alumniportal Deutschland: Social network for Germany alumni

On the Alumniportal Deutschland award winners of the Alexander von Humboldt Foundation are given the opportunity to network with researchers and other Germany alumni throughout the world. The Alumniportal

Deutschland is a free internet platform for people who have been affiliated to an institution in Germany or a German institution abroad for purposes of study, research, employment, training/continuing education or language learning. In addition to a world-spanning online community, the Alumniportal Deutschland also provides information on science and research as well as the German language, society and culture.

To register for the community, please visit www.alumniportal-deutschland.org.

After registration the Alexander von Humboldt Foundation's own group of alumni on the Alumniportal can be accessed by using the following link: www.alumniportal-deutschland.de/group-humboldt-alumni.

D. Rules of good scientific practice, legal regulations and general obligations

The award recognises the entire academic record to date and the personality of internationally renowned scientists and scholars. When carrying out the research projects of their own choice, award winners are obliged to abide by the relevant rules of good scientific practice and corresponding laws which apply at the respective research location and to the Alexander von Humboldt Foundation. As well as personal integrity it is also taken for granted that award winners have abided by the relevant regulations and laws in their research work to date.

By accepting the award, award winners obligate themselves to comply in Germany *in particular* with:

- the rules of good scientific practice (see also annex);
- 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/gentg/;
- when planning and carrying out experiments relating to matters of biological diversity as covered by the Nagoya Protocol (<https://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;
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 and of the respective implementing rules:
www.gesetze-im-internet.de/awg_2013/index.html and
www.gesetze-im-internet.de/awv_2013/index.html

The award winners are, furthermore, obliged to abide by the rules on the use of the Alexander von Humboldt Foundation logo (see also A.8.).

E. General regulations

The "General Regulations and Information for Research Award Winners" are a constituent part of the conferment of the award.

The German-language text of the "General Regulations and Information for Research Award Winners" ("Allgemeine Bestimmungen und Informationen für Forschungspreisträgerinnen und Forschungspreisträger") is binding; the English-language text is merely a translation.

Should the above-stated regulations and obligations fail to be respected, the Alexander von Humboldt Foundation reserves the right to revoke the decision on conferring the award and to demand repayment of the award money or parts thereof. This also applies if other serious facts emerge which would have militated against the conferment of the award had they been known to the selection committee at the time. The procedures and penalties in the event of violations of the regulations and obligations and especially in case of scientific or other malpractice are regulated in detail in the document "Rules of good scientific practice, procedures, and penalties in the event of malpractice" (see also Enclosure).

The Alexander von Humboldt Foundation reserves the right to amend the "General Regulations and Information for Research Award Winners" at any time, provided that the amendments, while taking due account of the interests of the Alexander von Humboldt Foundation, are reasonable vis-à-vis the award winners. Amendments will be announced to the award winners in writing well in advance. The amendments are considered to have been approved if the award winner 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 sponsorship within a reasonable period of time.

The sole legal venue is Bonn/Germany. German law applies exclusively without conflicting rules.

ENCLOSURE:

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 remonstration submitted by the party concerned fails to convince the Alexander von Humboldt Foundation, and in particular, fails to refute the probable cause plausibly, the Alexander von Humboldt Foundation may impose one of the above-mentioned penalties. Prior to making the decision, the Alexander von Humboldt Foundation may request an expert opinion on the existence of malpractice from the 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 sponsorship activities 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.