



**Alexander von Humboldt**  
Stiftung/Foundation

# Guidelines and Information for Research Fellows

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**(Research Fellowship Programme)  
(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 support 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.

From the very beginning, Humboldt Research Fellowships have been the focus of the Alexander von Humboldt Foundation's sponsorship activities. They enable exceptionally highly-qualified scientists and scholars from abroad to conduct research of their choice in cooperation with academic hosts at research institutions in Germany. They are complemented by the Georg Forster Research Fellowships which promote researchers with above-average qualifications from developing and threshold countries. 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 research fellows and their spouses. Furthermore, a network meeting, a study tour and the Alexander von Humboldt Foundation's annual meeting provide various opportunities to get together and network with other Humboldtians as well as with members of the Foundation's staff.

This brochure is intended as a guide for research fellows 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 research fellows 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 FELLOWSHIP GUIDELINES

The Alexander von Humboldt Foundation grants research fellowships to scientists and scholars from abroad with above-average qualifications to sponsor long-term research stays at research institutions in Germany. The purpose of the research fellowships is to carry out the proposed research, chosen by the research fellows themselves, in cooperation with an academic host who must provide the necessary research facilities at the host institute and act as a mentor during the research stay.

Research fellowships are granted to **post-doctoral** and **experienced researchers**:

- Research fellowships for **post-doctoral researchers** allow scientists and scholars from abroad with above-average qualifications, at the beginning of their academic careers, who have only **completed their doctorates in the last four years** to stay in Germany for an extended period of research (6-24 months).
- Research fellowships for **experienced researchers** allow scientists and scholars from abroad with above-average qualifications, who **completed their doctorates less than twelve years ago**, to stay in Germany for an extended periods of research (6-18 months, may be divided up into as many as three stays). Researchers are expected to have their own discernable research profile. They should usually be working at least at the level of Assistant Professor or Junior Research Group Leader or have a record of several years of independent academic work.

The payment of the fellowship amount and additional benefits is subject to the availability of funds.

The following regulations and guidelines apply to all Humboldt research fellows from abroad. Any programme-related deviations ensuing from the programme information will be restated in the award documents (Alexander von Humboldt Foundation award letter and accompanying documents).

### A.1. The Research Fellowship

The research fellowship is awarded to the research fellow for the purpose of carrying out the proposed research, which has been chosen by the research fellow and agreed upon with the host, at a host institute in Germany; it covers the cost of living in Germany. By accepting the research fellowship the research fellow commits him- or herself fully to the objective of the fellowship during the duration thereof. It is not possible to pursue any other full-time employment in Germany or elsewhere during the period sponsored by the

Alexander von Humboldt Foundation (language and research fellowship); see also A.1.8., A.1.10. and E. for details.

### **A.1.1. Acceptance**

The documents confirming that a research fellowship has been awarded (grant documents) include an *acceptance form*. The original of this form should be completed, signed, and returned to the Alexander von Humboldt Foundation as soon as possible, at the latest four weeks after receiving the grant documents. Research fellows granted language fellowships (see also A.3.2.) are requested to return the completed and signed enrolment form for the intensive language course to the Alexander von Humboldt Foundation together with the acceptance form. A passport-size photograph is necessary for the Humboldt identity card (see also B.7.).

### **A.1.2. Commencement**

The date the research stay begins is stated in the award letter and normally corresponds to the date proposed by the research fellow in his/her application. However, the date should be agreed with the academic host in Germany before the declaration of acceptance is returned to the Alexander von Humboldt Foundation.

Please bear in mind that the academic year in Germany is divided into two semesters. The winter semester usually begins in October and ends in March, while the summer semester runs from April to September. Lectures usually take place from mid-October to mid-February and from mid-April to mid-July.

### **A.1.3. Duration**

The research fellowship is approved by the relevant independent Alexander von Humboldt Foundation Selection Committee taking account of the period applied for by the candidate:

- Research fellowships for post-doctoral researchers are granted for a period of 6 to 24 months.
- Research fellowships for experienced researchers are granted for a period of 6 to 18 months. The fellowship can be divided up into three blocks lasting at least three months each. On principle, no more than 36 months may elapse between the beginning of the first stay and the end of the last stay in Germany.

### **A.1.4. Extension**

If the envisaged research cannot be completed within the time available and the period the research fellowship was awarded for is shorter than the



maximum sponsorship period, application may be made for an extension of the fellowship, stating the reasons. The maximum sponsorship period is 24 months (for post-doctoral researchers) or 18 months (for experienced researchers). Extensions must not extend the maximum sponsorship period. Decisions on extensions are taken by the Alexander von Humboldt Foundation on the basis of scientific necessity and the funds at the Foundation's disposal. Extensions can neither be granted for pursuit of a new research outline nor of a new theme which has developed from the original research outline. Applications for extension should be submitted to the Foundation 3 to 4 months prior to the end of the fellowship. Processing takes 6 to 8 weeks. If necessary, applications may be submitted for individual months. Applications for long-term extensions cannot always be granted in full, even if the application is completely justified scientifically, because from our experience, the number of applications for extensions well exceeds the Alexander von Humboldt Foundation's financial possibilities.

The application form is available on the Foundation's website at:  
[www.humboldt-foundation.de/web/extension.html](http://www.humboldt-foundation.de/web/extension.html)

Applications for extensions of the fellowship must include the following documents:

- A report on the research completed to date and research which the applicant plans to undertake during the extension period. This report should contain an outline of the results of research conducted to date as well as the reasons for an extension.
- Documentation of the research work conducted so far, e.g. off-prints of already published research results, manuscripts or abstracts of lectures, preprints etc...
- A confidential statement as well as a renewed confirmation of research facilities and mentoring agreement by the academic host in Germany. This should contain an assessment of the conducted research and the reasons for the requested extension. It is the responsibility of the research fellow to ensure that the academic host provides the confidential statement as well as the renewed confirmation of research facilities and mentoring agreement.

Under certain circumstances, an extension of the research fellowship may also be applied for in the context of further benefits for families (see also A.3.6.3.1. and A.3.6.3.2.).

#### **A.1.5. Europe research stay**

During the sponsorship period, research fellows may conduct research *at research institutions in other European countries* (see also list of countries in

the annex; except in fellows' own countries) if this is necessary to carry out the proposed research successfully. As a rule, the total duration of the Europe research stay may not account for more than 25% of the estimated sponsorship period. If the stay is divided up into several blocks (experienced researchers), the duration of any one Europe research stay may not account for more than half of the respective sponsorship period.

In the event of a research stay in the fellow's own country, the research fellowship must be temporarily suspended (*see also A.1.10.*).

The application form is available on the Foundation's website at:  
[www.humboldt-foundation.de/web/europe-research-stay.html](http://www.humboldt-foundation.de/web/europe-research-stay.html)

Applications for a Europe research stay must include the following documents:

- a brief description of the planned research,
- full details of schedules,
- a confirmation of research facilities by the academic host or academic institution (e.g. library, museum etc.) in a European country other than Germany; It is the responsibility of the research fellow to ensure that the academic host abroad provides the confirmation of research facilities.
- a recommendation by the academic host in Germany,
- an expense voucher for the research fellow's travel expenses, for example, copies of tickets or a quotation from a travel agency.

If the application for a Europe research stay is approved, the research fellow will receive a *Europe allowance* of EUR 550 per month (or EUR 700 if accompanied by his/her marital partner) for the duration of the stay abroad, in addition to the research fellowship. This allowance will not be granted if the Europe research stay falls immediately at the beginning or end of the respective research stay. In addition, the Alexander von Humboldt Foundation will bear the cost of research fellows' travel, according to the travel voucher, although only up to the limit of the lump sum for travel expenses for the target country (*see also A.3.1.*) valid at the time of application. The list of travel lump sums is available on the Foundation's website at:

[www.humboldt-foundation.de/web/lump-sums-research-fellows.html](http://www.humboldt-foundation.de/web/lump-sums-research-fellows.html)

Within the framework of alumni sponsorship, a stay outside Germany is not possible during a renewed research stay (*see also C.1.2.*).

### **A.1.6. Value of research fellowship**

The amount of the research fellowship is 2,670 EUR per month (post-doctoral researchers) and 3,170 EUR per month (experienced researchers). The research fellowship amount includes a mobility allowance (see *also* A.3.5.) and a subsidy towards the cost of medical and liability insurance (see *also* A.3.7.).

### **A.1.7. Fellowship payments**

The monthly payments of the research fellowship are transferred 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](http://www.ecb.europa.eu/paym/integration/retail/sepa/html/index.en.html)) usually on the first day of the month. Research fellows who do **not** have a personal bank account in the SEPA region must 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](http://www.humboldt-foundation.de/bank-account). Fellowship payments can only be transferred to the named account if the relevant information has been received by the Alexander von Humboldt Foundation by the 15th of the previous month.

In order to open a bank account in Germany, research fellows must, where necessary, provide the bank with their Tax Identification Number (TIN) from the country in which they are resident for taxation purposes. We therefore recommend that you contact the relevant authorities before leaving for Germany to enquire whether your country of residence has adopted the Common Reporting Standard (a set of global regulations on the international exchange of tax-related data) and obtain a TIN if necessary.

Alternatively, at some university locations, the first monthly payment of the research fellowship to recipients who do **not** have a personal bank account in the SEPA region at the beginning of their stay can be made via the cash office of the respective German university or via the cash office of the non-university research institute. It must be collected in person from there by the 15th of the month. Addresses of the cash offices, sorted by university locations, are available on the Foundation's website at: [www.humboldt-foundation.de/web/aaa-addresses.html](http://www.humboldt-foundation.de/web/aaa-addresses.html). You are advised to present the Humboldt ID card (see B.7.), but the Alexander von Humboldt Foundation award letter and a valid passport are also acceptable.

On principle, research fellows are not entitled to receive monthly fellowship payments if they are absent from the German host institute for a total of more

than 14 days (continuous or accumulative) during the sponsorship period. In such cases, the Alexander von Humboldt Foundation reserves the right to make cuts in fellowship payments. Attendance at conferences and research trips as well as visits to archives and libraries etc., that are essential for carrying out the proposed research, do not count as absences (see also A.1.10.).

At the beginning of the research stay – i.e. during the first month – research fellows are entitled to their first payments only when arriving by 15th of the month (or the following working day). Fellows who arrive in Germany after this date are not entitled to payments for the current month. In the last month of the research fellowship, research fellows must be present at least until 15th of the month. Fellows who leave Germany before this date are not entitled to payment of the fellowship for the current month.

**The following applies if an experienced researcher's stay lasts less than 6 months:**

On principle, research fellows are not entitled to receive monthly fellowship payments if they are absent from the German host institute for a total of more than 5 days (continuous or accumulative) during the respective short research visit. In such cases, the Alexander von Humboldt Foundation reserves the right to reduce the amount of the fellowship payments. Attendance at conferences and research trips as well as visits to archives and libraries etc., that are essential for carrying out the proposed research, do not count as absences (see also A.1.10.).

At the beginning of the research stay – i.e. during the first month – research fellows are entitled to the first payments only when arriving 5 days after the official beginning of the sponsorship period (or the following working day) at the latest. Fellows who arrive in Germany after this date are not entitled to payment of the fellowship for the current month. In the last month of the respective sponsorship period, research fellows must be present until no less than 5 days prior to the end of the sponsorship period. Fellows who leave Germany before this date are not entitled to payment of the fellowship for the current month.

The above also applies to additional benefits within the framework of the research fellowship (*mobility allowance, family allowance for marital partners, family allowance for children, maternity protection and parenthood: parental support, subsidy towards health and liability insurance, subsidy towards research costs for hosts, Carl Friedrich von Siemens fellowship supplement in the Greater Munich area*).

**A.1.8. Additional earnings**

Research fellows are obliged to inform the Alexander von Humboldt Foundation of any additional earnings (salary or income from employment or self-employment in Germany, German or foreign fellowships).

Any additional earnings exceeding the upper limit for "marginal" part-time employees (the so-called "Verdienstgrenze für geringfügig Beschäftigte", currently EUR 450 gross per month) will be offset against the instalment of the fellowship. Any type of employment yielding additional earnings which exceed the so-called "Verdienstgrenze für geringfügig Beschäftigte" must be approved in advance by the Alexander von Humboldt Foundation which will examine whether this additional employment endangers the objective of the fellowship (*see also A.1. and A.1.10.*); in such cases the Alexander von Humboldt Foundation reserves the right to terminate or suspend the fellowship.

Utilisation of other fellowships financed by German public funding is not allowed.

### **A.1.9. Postponement**

Research fellowships may neither be postponed for an indefinite period of time nor without compelling reasons.

If a fellow is unable to begin the research fellowship on the date originally intended, he/she is requested to notify the Alexander von Humboldt Foundation immediately so that a new date can be arranged. It is essential that the new date be agreed in consultation with the academic host and the host institute in Germany; the Alexander von Humboldt Foundation's approval is dependent on the agreement of the academic host and the Foundation's budget situation.

The Alexander von Humboldt Foundation is interested in keeping postponements in research fellowships *as short-term as possible* (12 months at most). If the fellowship is being divided up into three blocks, no more than 36 months may elapse between the beginning of the first stay and the end of the last stay in Germany (*see also A.1.3.*).

In exceptional cases, *long-term* postponements (usually no more than 24 months) may be possible. A decision on long-term postponements is dependent on a new research outline coordinated with the academic host, proof of further academic qualifications, the research fellow having reached a certain career stage (date of doctorate) and the Foundation's financial planning. Postponement to take advantage of another fellowship in Germany or a third country is usually **not** possible.

### **A.1.10. Interruption**

The research fellowship is awarded in order to carry out the proposed research, which has been chosen by the research fellow and agreed upon

with the host, at a host institute in Germany; it is supposed to cover subsistence in Germany. By accepting the research fellowship the research fellow commits him- or herself to the objective of the fellowship during the duration thereof. Pursuing any other full-time employment in Germany or elsewhere during the period sponsored by the Alexander von Humboldt Foundation (language and research fellowship) contradicts the objective of the fellowship and leads to the suspension or termination of the fellowship.

The Alexander von Humboldt Foundation requires research fellows to pursue academic work in Germany for the period of the research fellowship and not to be absent from their host institutes for periods exceeding 14 days (continuous or accumulative) in total. The Alexander von Humboldt Foundation must be given immediate written notification of any circumstances demanding a longer period of absence from the host institute (also due to illness). Prolonged periods of absence from the host institute require the approval of both the academic host and the Alexander von Humboldt Foundation.

The research fellowship – and thus payment of the monthly fellowship and allowances – will be discontinued in case of

- prolonged periods of time spent outside Germany (except for stays in other European countries approved by the Alexander von Humboldt Foundation – *see also A. 1.5.*),
- absence from host institutes not approved by the Alexander von Humboldt Foundation,
- prolonged illness.

If it should be necessary to interrupt a research stay for other reasons, written application (no specific form required) must be made to the Alexander von Humboldt Foundation in advance stating the reasons. The application must include written approval from the academic host.

The Alexander von Humboldt Foundation is interested in keeping interruptions in research fellowships *as short-term as possible* (12 months at most). If the fellowship is being divided up into three blocks, no more than 36 months may elapse between the beginning of the first stay and the end of the last stay in Germany (*see also A. 1.3.*). A decision on long-term interruption is dependent on a new research outline coordinated with the academic host, proof of further academic qualifications, the research fellow having reached a certain career stage (date of doctorate) and the Alexander von Humboldt Foundation's financial planning. Interruption to take advantage of another fellowship in Germany or a third country is usually **not** possible.

On principle, research fellows are not entitled to receive monthly fellowship payments if they are absent from the German host institute for a total of more than 14 days (continuous or accumulative) during the sponsorship period. In such cases, the Alexander von Humboldt Foundation reserves the right to make cuts in fellowship payments. Attendance at conferences and research trips as well as visits to archives and libraries etc., that are essential for carrying out the proposed research, do not count as absences (*see also also A.1.7.*).

**The following applies if an experienced researcher's stay lasts less than 6 months:**

On principle, research fellows are not entitled to receive monthly fellowship payments if they are absent from the German host institute for a total of more than 5 days (continuous or accumulative) during the respective short research visit. In such cases, the Alexander von Humboldt Foundation reserves the right to make cuts in fellowship payments. Attendance at conferences and research trips as well as visits to archives and libraries etc., that are essential for carrying out the proposed research, do not count as absences (*see also also A.1.7.*).

The above also applies to additional benefits within the framework of the research fellowship (*mobility allowance, family allowance for marital partners, family allowance for children, maternity protection and parenthood: parental support, subsidy towards health and liability insurance, subsidy towards research costs for hosts, Carl Friedrich von Siemens fellowship supplement in the Greater Munich area*).

**A.1.11. Change of host institute or university**

Transfer from one university or host institute to another is possible if there are important professional or personal reasons for doing so. Detailed applications to the Alexander von Humboldt Foundation for transfer must be approved in writing by both the current and the prospective host institutes. It should, however, be noted that a change of host institute may lead to considerable delay and expense caused by searching for accommodation, moving, re-registering etc.

Should the host not be willing to continue cooperation during the sponsorship period and a new host institute accepted by the Alexander von Humboldt Foundation cannot be found within 4 weeks, the Foundation reserves the right to interrupt sponsorship or partially revoke the award of the fellowship.

## **A.2. Events arranged by the Alexander von Humboldt Foundation**

### **A.2.1. Network meeting**

Each year a number of regional network meetings are held for **research fellows** newly arrived in Germany (**without their families**). These meetings take place in German university towns. The aim is:

- to familiarise foreign research fellows with the Alexander von Humboldt Foundation and the various forms of sponsorship it offers;
- to inform them about university institutes and the system of higher education in Germany, particularly in comparison with foreign higher education systems;
- to create networks amongst the research fellows themselves and with Alexander von Humboldt Foundation staff;
- to give them an insight into conditions in Germany and to promote long-term scientific contacts in discussions within groups organised according to country and discipline.

### **A.2.2. Annual meeting**

The Alexander von Humboldt Foundation's annual meeting takes place in Berlin in the summer (June/July). All **research fellows** and **award winners** from all disciplines and countries staying in Germany are invited once to attend this meeting **with their families**. The meeting offers an opportunity to exchange views with representatives of foreign missions and to talk with members of the Board of Trustees, the Selection Committees, and the staff of the Alexander von Humboldt Foundation. The highlight of the annual meeting is a reception given by the President of the Federal Republic of Germany for all participants.

### **A.2.3. Study tour**

During the second half of August each year, a study tour is arranged for **research fellows**. The tour lasts approximately fourteen days and takes participants to regions of Germany at some distance from host towns, including visits to towns and cities, industrial firms, and places of historical interest. The aim is to enable research fellows to increase their knowledge of Germany beyond the experience they gain in German host towns. During the study tour, a reception is arranged for each group at Alexander von Humboldt Foundation headquarters. The groups (30 to 40 persons per group) are composed of research fellows working in neighbouring host towns. For organisational reasons, the study tour may not be interrupted, nor is participation possible for less than the full period of the tour.



Research fellows' **husbands and wives** are also invited to take part in this tour. As they are conceived as study visits, they are too strenuous for **children** and consequently, **not** suitable. The Alexander von Humboldt Foundation regrets that children may not join the tour.

Research fellows may *only participate once* in the study tour and meetings arranged by the Alexander von Humboldt Foundation, even if their research fellowships are extended or sponsorship for a renewed research stay in Germany has been granted. *Invitations* to these events are sent to research fellows in good time.

### **A.3. Additional benefits**

The Alexander von Humboldt Foundation may grant the following benefits, in addition to the monthly fellowship payments, if the necessary preconditions are fulfilled:

- travel lump sum (*see also A.3.1.*),
- language fellowships/language courses (*see also A.3.2. and A.3.3.*),
- initial lump sum (*see also A.3.4.*),
- mobility allowance (*see also A.3.5.*),
- family allowance for marital partners (*see also A.3.6.1.*),
- family allowance for children (*see also A.3.6.2.*),
- maternity protection and parenthood: parental support (*see also A.3.6.3.*),
- subsidy towards the cost of medical and liability insurance (*see also A.3.7.*),
- subsidy towards research costs for academic hosts (*see also A.3.8.*),
- Carl Friedrich von Siemens fellowship supplement in the Greater Munich area (*see also A.3.9.*).

Usually, these additional benefits can only be granted if the Alexander von Humboldt Foundation has been informed in good time and/or applications have been submitted **in advance**. The granting of additional benefits is subject to the availability of budgetary funds.

#### **A.3.1. Travel lump sum**

The Alexander von Humboldt Foundation will grant **research fellows** a single lump sum to cover return travel expenses to Germany. The amount is calculated annually on the basis of current rail (2nd Class and IC or ICE surcharge) or flight (Economy Class) costs for the shortest route. A list of lump sums for travel, organised according to country, is included in the grant documents. The list is also available on the Foundation's website at:  
[www.humboldt-foundation.de/web/lump-sums-research-fellows.html](http://www.humboldt-foundation.de/web/lump-sums-research-fellows.html)

The country from which the fellow embarks on travel to Germany is decisive. The sum valid at the time the research fellowship is awarded will be transferred with the first fellowship payment.

As an exception, research fellows who are unable to advance travel expenses to Germany themselves (e.g. because of national foreign currency regulations outside Europe) will, on application, receive an Economy Class flight ticket from the Alexander von Humboldt Foundation for the shortest route. An application form is available on the Foundation's website at: [www.humboldt-foundation.de/web/flight-ticket.html](http://www.humboldt-foundation.de/web/flight-ticket.html).

If the Alexander von Humboldt Foundation has provided a flight ticket for travel to Germany a lump sum for travel will be granted at half the standard rate in the final month of the fellowship.

The lump sum for travel expenses will only be granted to research fellows who have not resided in Germany for more than 3 months prior to the commencement of the Alexander von Humboldt Foundation sponsorship. If that criterion has not been met, a lump sum for travel will be granted at half the standard rate in the final month of the fellowship.

The Foundation can only grant the lump sum for travel expenses to and/or from Germany if they are not borne by another institution.

Travel expenses can only be borne once. If the research fellowship is interrupted (*see also A.1.10.*), the Alexander von Humboldt Foundation cannot grant a second lump sum for travel.

If a research fellowship has been approved for a stay divided up into as many as three blocks (experienced researchers), a travel lump sum will be granted for each block. Otherwise, the aforementioned conditions apply.

Travel expenses will **not** be paid in the context of sponsorship for renewed research stays in Germany (*see also C.1.*).

**Further information:**

- There are special arrangements for the payment of travel expenses by third parties for research fellows travelling from *Japan, the Republic of Korea or from institutes of the Chinese Academy of Sciences*. Research fellows will be informed of these arrangements with the grant documents.
- The Alexander von Humboldt Foundation will only pay travel expenses for family members in exceptional cases.

### A.3.2. Language fellowships

The success of the research stay in Germany depends to a large extent on command of German. If indicated in the application forms, research fellows whose knowledge of German is insufficient for a stay in Germany will be granted a language fellowship by the selection committee responsible, in addition to their research fellowship. This will enable them to attend an intensive language course at a Goethe Institute or other recognised language school in Germany. Irrespective of the research fellow's application, language fellowships may also be granted if the selection committee is convinced that improving proficiency in German is essential for the success of the research stay.

Research fellows will receive confirmation of language fellowships together with the award letter. If participation in an intensive language course in Germany is not possible for compelling reasons, prior approval of exemption must be given by the Alexander von Humboldt Foundation and the academic host. Alternatively, informal application may be made to the Foundation for sponsorship to attend a German course in the applicant's own country.

Intensive language courses usually last 2 to 4 months. The language fellowship falls immediately **prior** to the actual research fellowship - if the stay is divided up into several blocks (experienced researchers) immediately prior to one of those blocks - and can neither be interrupted nor taken up during the research fellowship. Intensive language courses after the beginning of the research fellowship, which would interrupt research work, cannot be granted by the Alexander von Humboldt Foundation. Neither is it admissible to interrupt stays in Germany after completion of intensive language tuition if this leads to a delay in starting the fellowship.

To ensure successful participation, it is essential for research fellows to arrive in Germany on the first day of the intensive language course. The Alexander von Humboldt Foundation requires research fellows to attend German language courses on a regular basis. Interruption of intensive language courses (e.g. to attend conferences) is not possible. In the event of absence from lessons, research fellows may be required to refund course fees (course and accommodation fees, breakfast money, pocket money).

On arrival at the language institute, research fellows have to register there. They will be notified about business hours by the language institute when they receive confirmation that they are enrolled for an intensive language course. Research fellows may only take up residence in the accommodation reserved by the language institute from the first day of the course. The Alexander von Humboldt Foundation will not bear costs resulting from premature or late arrival (e.g. hotel accommodation, private tuition).

As part of the language fellowship programme, the Alexander von Humboldt Foundation pays the course fees plus the cost of bed and breakfast. On principle, the Foundation provides fellows with breakfast money. To cover other meals and expenses the Alexander von Humboldt Foundation grants research fellows pocket money totalling EUR 610 per month. Both breakfast money and pocket money are paid out by the language institute. On arrival at some institutes it is possible to book breakfasts on course days.

If **marital partners** wish to participate in an intensive language course with the research fellow **simultaneously**, language fellowships for marital partners may also be granted on **written application** for a course under the same conditions lasting up to 4 months, providing the Alexander von Humboldt Foundation's financial situation allows. The enrolment form for the language course should be filled-in and signed by the marital partner and submitted together with the application form. One of the preconditions for approval is that marital partners stay in Germany for a further period of at least 3 months (without interruption) after termination of the intensive language course and that children do not arrive in Germany before the end of the language course (*see also application form included in the grant documents*). Unfortunately, exceptions are not possible. Travel expenses incurred by marital partners cannot be refunded. Accommodation in double rooms is provided for couples.

Research fellows wishing to bring their families to Germany have the following options:

- they initially attend an **intensive language course** alone, only bringing their families to Germany when the research fellowship begins;
- they initially attend an **intensive language course** with their marital partners, only bringing their children to Germany when the research fellowship begins;
- they do not attend an **intensive language course**, but begin an evening course in the vicinity of their host institute during the research fellowship (*see also A.3.3.*).

On application (no specific form required) the Alexander von Humboldt Foundation may cover the examination fees at the end of the language course.

Within the framework of alumni sponsorship, a language fellowship is not possible during a renewed research stay (*see also C.1.2.*).

### A.3.3. German courses during the research fellowship

Most universities only offer foreign nationals German language courses to a limited extent. We therefore recommend you to obtain additional information on courses offered by "Volkshochschulen" (adult education centres) and private language schools in your host town or city and the various conditions to be fulfilled. The Foreign Students' Advisory Offices International Offices or Welcome Centres at universities or your academic hosts will be pleased to advise you accordingly.

Depending on the budget situation, the Alexander von Humboldt Foundation will award a subsidy towards the cost of these courses for research fellows and marital partners (provided they stay in Germany for more than 3 months) if the applications are well-founded. Usually, this is only possible if they have not taken advantage of a 4-month grant for intensive language tuition. Kindly inform the language institute that the course is being attended during a Humboldt research fellowship.

The application form is available on the Foundation's website at:  
*[www.humboldt-foundation.de/web/language-course.html](http://www.humboldt-foundation.de/web/language-course.html)*

Applications must be submitted to the Alexander von Humboldt Foundation **prior** to commencement of the German language course. Processing usually takes up to 14 days.

On principle, the costs for German courses can only be refunded if the course takes place in the first half of the stay in Germany. German language courses at the end of research fellowships or German language courses for children cannot be financed by the Alexander von Humboldt Foundation. Intensive language courses taking place **after** the research fellowship has begun, which would interrupt the research work, cannot be financed by the Foundation.

The Alexander von Humboldt Foundation requires research fellows and marital partners to attend German language courses on a regular basis. Interruption of language courses (e.g. to attend conferences) is not possible. In the event of absence from lessons, research fellows may be required to refund course fees.

The Alexander von Humboldt Foundation **cannot** provide subsidies for courses in other foreign languages.

Within the framework of alumni sponsorship, a subsidy towards the cost of German courses is not possible during a renewed research stay (*see also C.1.2.*).

### **A.3.4. Initial lump sum**

A non-recurring initial lump sum of EUR 430 is paid to research fellows with the first instalment of the fellowship or with the first payment at the language institute. This is intended to meet part of the expenses incurred at the beginning of a stay in Germany (charges for excess luggage on the way to and from Germany; travel expenses between the point of arrival and the place where the language course or research stay is taking place; the cost of the medical examination required for the residence permit (*see also B.3.*); bridging finance for the period after the language course and prior to commencement of the research fellowship; the cost of finding accommodation etc.). The initial lump sum is only paid if the research fellow has not been in Germany for more than 3 months when the fellowship starts.

The initial lump sum should also make it possible to buy a *BahnCard 25* (2<sup>nd</sup> class rail card, *see www.bahn.de*). If no initial lump sum is granted the Alexander von Humboldt Foundation will bear the cost of a single *BahnCard 25* (2<sup>nd</sup> class).

Holders of this rail card receive a discount of 25% on standard fares within Germany as well as to some neighbouring countries. The purchase of rail cards is strongly recommended because research fellows will only receive 75% of rail fares within Germany, including IC and ICE surcharges, when travel refunds for attending Alexander von Humboldt Foundation events (*see also A.2.*) are calculated.

Research fellows bringing their families to Germany should consider whether it is more advantageous to buy a family rail card or to make use of discounts for families and accompanying travellers. Additionally, it may be possible to reduce costs by taking advantage of discounts for early-booking or internet special offers for rail journeys which can be planned well in advance.

The initial lump sum or *BahnCard* are **not** granted in the event of sponsorship for renewed research stays in Germany (*see also C.1.2.*).

### **A.3.5. Mobility allowance**

During the research fellowship (not during the language course) research fellows receive a mobility allowance of EUR 100 per month with each fellowship payment automatically. The mobility allowance constitutes a supplement for expenses in connection with necessary conference attendance and/or research travel, archive and library visits, etc. in Germany and abroad. Additional travel and/or conference allowances cannot be granted. Please coordinate all of your travel plans with your academic host. In addition, keep in mind that the upper limit for absence from the host institute, when these absences are not related to research, is 14 days (continuous or

accumulative) in total. Circumstances, which require a longer absence from the host institute, must be reported immediately in writing to the Alexander von Humboldt Foundation (*see also A.1.10.*).

The above regulations also apply in the event of sponsorship for renewed research stays in Germany (*see also C.1.2.*).

### **A.3.6. Benefits for families**

In addition to the monthly fellowship payments, the Alexander von Humboldt Foundation may provide further benefits for accompanying marital partners and children if the respective conditions are met.

#### **A.3.6.1. Family allowance for marital partners**

For marital partners accompanying the research fellows to Germany for a period of at least 3 months (without interruption), an application may be submitted for a family allowance for marital partners during the sponsorship period amounting to EUR 276 per month. If marital partners are not required to have a visa for Germany a certified copy of the marriage certificate must be sent to the Alexander von Humboldt Foundation together with the application. The application form and further information are available on the Foundation's website at: [www.humboldt-foundation.de/web/benefits-for-families.html](http://www.humboldt-foundation.de/web/benefits-for-families.html)

Marital partners' earnings (salary or income from employment or self-employment in Germany, German or foreign fellowships) exceeding the upper limit for "marginal" part-time employees (the so-called "Verdienstgrenze für geringfügig Beschäftigte", currently EUR 450 gross per month) will be offset against the family allowance for marital partners.

**For fellows accompanied by children under 15 months the following applies:**

For children of Nationals of the European Union (EU) and the European Economic Area (EEA) – Austria, Belgium, Bulgaria, Croatia, Cyprus (Greek part), The Czech Republic, Denmark, Estonia, Finland, France, Germany, Great Britain, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Liechtenstein, Lithuania, Luxemburg, Malta, The Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden – and Switzerland a **parental allowance ("Elterngeld")** according to German law (Federal Parental Allowance Act, "BEEG") can be applied for from the day of the child's birth until the end of the 14th month. This also applies to research fellows' marital partners from other countries who spend more than 6 months (without interruption) with their children in Germany. **Further important information is available on our above-mentioned website.** In all these cases, the Alexander von Humboldt Foundation cannot grant a family allowance for

marital partners. Should the application for a parental allowance be turned down, please get in touch with the Foundation enclosing a copy of the refusal notice and of the marital partner's residence permit. On principle, the Alexander von Humboldt Foundation can only grant a family allowance for marital partners if it can be confirmed that, during the period applied for, a parental allowance according to German law is not being or has not been paid.

Payment of the allowance is discontinued when the marital partner leaves Germany. Wherever possible, the Alexander von Humboldt Foundation should be notified of the marital partner's departure 4 weeks in advance. The Foundation should also be informed immediately of any change in the circumstances upon which the decision to grant the allowance was based.

The above regulations also apply in the event of sponsorship for renewed research stays in Germany (*see also C.1.2.*).

### **A.3.6.2. Family allowance for children**

The family allowance for children comprises a substitutional payment equal to child benefit according to German law should the family not be entitled to receive it, and an additional flat-rate child allowance for single-parent research fellows.

#### **A.3.6.2.1. Child benefit according to German law or substitutional payment by the Alexander von Humboldt Foundation respectively**

If children (section 2 par.1 clauses 1 and 2 of the Federal Child Benefit Act, "BKGG") under the age of 18 accompany research fellows to Germany for a period of at least 3 months (without interruption), application may be made for a substitutional payment for child benefit according to German law amounting to 204 EUR a month during the sponsorship period. If the children do not require a visa for Germany a certified copy of the birth certificate(s) must be sent to the Alexander von Humboldt Foundation together with the application. The application form and further information are available on the Foundation's website at: [www.humboldt-foundation.de/web/benefits-for-families.html](http://www.humboldt-foundation.de/web/benefits-for-families.html)

#### **Please note the following:**

Nationals of the European Union (EU) and the European Economic Area (EEA) – Austria, Belgium, Bulgaria, Croatia, Cyprus (Greek part), The Czech Republic, Denmark, Estonia, Finland, France, Germany, Great Britain, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Liechtenstein, Lithuania, Luxemburg, Malta, The Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden – and Switzerland are eligible for **child benefit ("Kindergeld")** according to German law (Income Tax Act, "EStG" or



Federal Child Benefit Act, "BKGG"). This also applies to research fellows from other countries whose children spend more than 6 months (without interruption) in Germany. In these cases, the Alexander von Humboldt Foundation cannot grant a substitutional payment.

Information on applying for child benefit can be found on the internet at:  
[www.humboldt-foundation.de/web/benefits-for-families.html](http://www.humboldt-foundation.de/web/benefits-for-families.html)

Should the application for child benefit be turned down, please get in touch with the Alexander von Humboldt Foundation enclosing a copy of the refusal notice and of your residence permit. On principle, the Alexander von Humboldt Foundation can only grant a substitutional payment if it can be confirmed that, during the period applied for, child benefit according to German law is not being or has not been paid.

The substitutional payment is discontinued when the children leave Germany. Wherever possible, the Alexander von Humboldt Foundation should be notified of their departure 4 weeks in advance. The Foundation should also be informed immediately of any change in the circumstances upon which the decision to grant the substitutional payment was based.

The above regulations also apply in the event of sponsorship for renewed research stays in Germany (*see also C.1.2.*).

#### **A.3.6.2.2. Flat-rate allowance for children of single-parent research fellows**

If children (section 2 par.1 clauses 1 and 2 of the Federal Child Benefit Act, "BKGG") under the age of 18 accompany a single-parent research fellow to Germany for a period of at least 3 months (without interruption), application may be made for a flat-rate monthly child allowance amounting to 400 EUR a month for the first child and 100 EUR a month for each additional child. If the children do not require a visa for Germany a certified copy of the birth certificate(s) must be sent to the Alexander von Humboldt Foundation together with the application. The application form and further information are available on the Foundation's website at:

[www.humboldt-foundation.de/web/benefits-for-families.html](http://www.humboldt-foundation.de/web/benefits-for-families.html)

The above regulations also apply in the event of sponsorship for renewed research stays in Germany (*see also C.1.2.*).

#### **A.3.6.3. Maternity protection and parenthood: Parenting support**

The Alexander von Humboldt Foundation offers research fellows a number of options to support them in raising children, which are described in detail below.

### **A.3.6.3.1. Maternity leave: Extension of the fellowship**

If a baby is born to a research fellow during the sponsorship period, the mother may submit a written application to extend the period granted for sponsorship by up to 3 months, in line with statutory maternity rights. It is also possible to extend the sponsorship period if the research fellowship comes to an end during statutory maternity leave (usually 6 weeks prior to and 8 weeks after birth). A medical certificate confirming the pregnancy and stating the expected date of birth as well as the academic host's confirmation of research facilities and mentoring agreement are required to process this application. Decisions on extensions are taken by the Alexander von Humboldt Foundation on the basis of the funds at the Foundation's disposal. A certified copy of the birth certificate must be submitted after the child is born.

When the research fellow does not reside in Germany during her maternity leave, the research fellowship will be temporarily interrupted and the fellowship payments will be suspended.

The application form is available on the Foundation's website at:  
[www.humboldt-foundation.de/web/benefits-for-families.html](http://www.humboldt-foundation.de/web/benefits-for-families.html)

### **A.3.6.3.2. Parenthood: Extension of the research fellowship in the context of parenting support**

Application in writing may be made to **extend** a research fellowship by up to 12 months if at least one child under the age of 12 when the fellowship begins (for research stays that are divided up into blocks: when the block begins) accompanies the research fellow to Germany during the sponsorship period. This also applies if the first child is born during the sponsorship period. If the research fellowship was granted for a sponsorship period of less than 12 months, the extension period may generally not exceed the granted sponsorship period (in the case of experienced researchers research blocks will be summed up if applicable). Extensions of the research fellowship that are based on statutory maternity leave (see *also* A.3.6.3.1.) will not be taken into account in this connection.

The duration of the extension will be determined on the basis of the actual duration of stay of the accompanying child in Germany. As a prerequisite for claiming an extension, the child must be present in Germany for the entire duration of the extension. The extension ends when the child leaves Germany.

An extension of the research fellowship in the context of parenting support will only be granted if the envisaged research cannot be completed within the available period of time. An extension cannot be granted for pursuit of a new research outline or of a new theme which has developed from the original

research outline. Decisions on extensions are taken by the Alexander von Humboldt Foundation on the basis of the funds at the Foundation's disposal. Applications for extension should be submitted to the Foundation three to four months prior to the end of the research fellowship (see *also A.1.4.*).

The academic host's confirmation of research facilities and mentoring agreement is required for an extension of the research fellowship to be granted.

The application form is available on the website of the Alexander von Humboldt Foundation at:

[www.humboldt-foundation.de/web/benefits-for-families.html](http://www.humboldt-foundation.de/web/benefits-for-families.html)

#### **A.3.6.3.3. Parenthood: Interruption of the research fellowship**

A research fellow may submit a written application (no specific form required) to **interrupt** the research fellowship for up to 18 months if a baby is due to be born or if the research fellow (male or female) is responsible for caring for a child under the age of 12 during the sponsorship period. A written statement from the academic host must be submitted confirming that the object of the fellowship is not endangered.

#### **A.3.7. Subsidy towards the cost of medical and liability insurance**

The Alexander von Humboldt Foundation can pay research fellows, marital partners, and minors (under the age of 18) accompanying them to Germany for a period of at least 3 months (without interruption) a subsidy of EUR 70 per month towards the cost of medical and liability insurance during the sponsorship period (see *also B.10.*) in Germany. The subsidy is automatically paid to research fellows together with the monthly fellowship payments. Subsidies for family members accompanying research fellows are granted individually on application. If the marital partner and/or children do not require a visa for Germany a certified copy of the marriage certificate and/or children's birth certificate(s) must be sent to the Alexander von Humboldt Foundation together with the application. The application form is available on the Foundation's website at:

[www.humboldt-foundation.de/web/benefits-for-families.html](http://www.humboldt-foundation.de/web/benefits-for-families.html)

Marital partners' earnings (salary or income from employment or self-employment in Germany, German or foreign fellowships) exceeding the upper limit for "marginal" part-time employees (the so-called "Verdienstgrenze für geringfügig Beschäftigte", currently EUR 450 gross per month) will be offset against their subsidy towards the cost of medical and liability insurance.

Payment of the subsidy to marital partners and/or children is discontinued when they leave Germany. Wherever possible, the Alexander von Humboldt Foundation should be notified of their departure 4 weeks in advance. The Foundation should also be informed immediately of any change in the circumstances upon which the decision to grant the subsidy was based.

The above regulations also apply in the event of sponsorship for renewed research stays in Germany (*see also C.1.2.*).

#### **A.3.8. Subsidy towards research costs for hosts**

Budget allowing, the Alexander von Humboldt Foundation is able to grant a subsidy towards research costs to hosts of foreign research fellows in Germany. The subsidy is intended as a contribution to cover research-related costs, including administrative costs directly connected to the research being carried out. During the sponsorship period, the subsidy amounts to 500 EUR (for research in the humanities and social sciences) or 800 EUR monthly (for research in the natural sciences and engineering). Before the sponsorship period begins, academic hosts will receive a form for the purpose of informing the Alexander von Humboldt Foundation of the host institute's relevant bank account.

#### **A.3.9. Carl Friedrich von Siemens fellowship supplement in the Greater Munich area**

Research fellows who conduct their research project at a host institute in the Greater Munich area receive a Carl Friedrich von Siemens fellowship supplement in the amount of EUR 350 per month automatically. This supplement is provided with the aim of offsetting the higher cost of living in the Greater Munich area. It will be granted during the time from 2015 to 2024 using funds from the Munich-based Carl Friedrich von Siemens Foundation as part of a cooperation agreement with the Alexander von Humboldt Foundation.

The above regulations also apply in the event of sponsorship for renewed research stays in Germany (*see also C.1.2.*).

#### **A.4. 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 under the auspices of the Humboldt Research Fellowship 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 database "Bibliographia Humboldtiana" of the service portal "My Humboldt" on the Alexander von Humboldt Foundation's website: [www.humboldt-foundation.de/web/my-humboldt.html](http://www.humboldt-foundation.de/web/my-humboldt.html). They can also be entered via Humboldt Life: [www.humboldt-life.de](http://www.humboldt-life.de) (see also C.3.5.).
- If research fellows 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/](http://www.tib.eu/en/)), they can contact the TIB directly:

Postal address

for letters:

for parcels:

German National Library of Science  
and Technology (TIB)

German National Library of Science  
and Technology (TIB)

Postfach 6080  
30060 Hannover

Welfengarten 1B  
30167 Hannover

E-mail: [information@tib.eu](mailto:information@tib.eu)

Any further questions may be directed to Dr.-Ing. Elzbieta Gabrys-Deutscher – [elzbieta.gabrys@tib.eu](mailto: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 via the log-in mask of the service portal “My Humboldt” (see *also* C.3.4.) in an electronic file format that conforms to the specific requirements for print:  
[www.humboldt-foundation.de/web/my-humboldt.html](http://www.humboldt-foundation.de/web/my-humboldt.html)

- Any other uses of the logo require prior written permission from the Alexander von Humboldt Foundation and must be requested in writing, stating the intended use of the logo.

In addition, the Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship should be utilised. Commercially-utilisable results, in particular, should be adequately protected (especially by patents and utility models) and exploited:

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

The people to contact, specialised in registering patents and legally protecting research results, are patent agents ("Patentanwälte") and patent broking companies or agencies ("Patentverwertungsstellen/-agenturen"). All related matters (legal questions, whom to contact about publication, registering patents etc.) must be clarified with the 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 research fellows or their host institutes. 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 you achieve economically successful results in the framework of Alexander von Humboldt Foundation sponsorship we should, 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.

## **A.5. Reports**

Research fellows are not required to produce a special report on the research they have carried out. Rather, the Alexander von Humboldt Foundation

expects results to be presented in academic publications, even if they only appear much later. Please enter these publications in our database "Bibliographia Humboldtiana" even after your research fellowship has come to an end (see also A.4. and C.3.4.).

However, before the research fellowship does come to an end, the Alexander von Humboldt Foundation requests research fellows to write a *brief report* on their experiences and observations during academic cooperation and in their day-to-day life in Germany. For this purpose, research fellows will receive a password-secured web link to an Alexander von Humboldt Foundation online questionnaire via e-mail well before the end of the research fellowship. The report should include a comparison with conditions in their countries. Similarly, the academic hosts will also be requested to submit a brief report on how they have experienced cooperation.

These reports are important and of interest to the Alexander von Humboldt Foundation because foreign guests often observe more closely and, due to a greater distance to events, more objectively. The reports are carefully evaluated on a confidential basis and assist the Alexander von Humboldt Foundation to continue improving their programmes and make it as effective as possible.

#### **A.6. Certificate**

Before they leave Germany all research fellows will be sent a certificate, signed by the President of the Alexander von Humboldt Foundation, that they have been the recipient of a research fellowship.

## **B. GENERAL CONDITIONS AND HINTS FOR THE STAY IN GERMANY**

### **B.1. Passport**

All research fellows require a valid passport or equivalent identity document when entering Germany. **This passport must be valid at least until the end of the stay in Germany and – if the research fellowship is extended – include this period as well.** Citizens of certain countries are required to have a passport valid for at least 3 months longer than the period of the research fellowship. Please do not vary the spelling of your name.

### **B.2. Birth, marriage, income and vaccination certificates**

When applying for a residence permit (*see also B.3.*) for you and family members accompanying you, you are frequently required to submit the *originals* of birth certificates and, if applicable, marriage certificates. When applying for parental allowance (*see also A.3.6.1.*), applicants are required by the authorities to submit proof of income for the last 2 years.

Therefore, please bring these documents with you to Germany. If you have vaccination certificates, bring them with you, too. This may be important in case of illness.

### **B.3. Entry visa, residence permit**

In order to stay in Germany citizens of non-EU/EEA 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 research fellows' own countries or countries of residence. Addresses and further important information regarding entry requirements can be found on the website of the Federal Foreign Office at: [www.auswaertiges-amt.de/](http://www.auswaertiges-amt.de/).

Normally, research fellows are required to obtain an **entry visa** from the appropriate German diplomatic mission in their own countries or current countries of residence before entering Germany. The visa must be issued for the place in Germany at which research fellows stay **initially** – i.e. the place where the language institute is located if the research stay begins with a language course (*see also A.3.2.*).

If marital partners and/or children are accompanying you during the research stay, you are recommended to submit the applications for all the members of the family at the same time. Research fellows 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 (*see also information included in the grant documents*).



German foreign missions (embassies and consulates) issue visas on their own responsibility both to researchers whose academic work has been arranged through the Alexander von Humboldt Foundation and who are in receipt of a fellowship from the Foundation for this purpose, as well as to marital partners and unmarried underage children accompanying them (§ 34 of the Decree on Residence, "AufenthV"). Processing may take several weeks. Please take this into consideration when planning your time schedule.

The national D-visa, issued in research fellows' own countries, entitles you to enter and stay in Germany for the duration of its validity (usually up to 90 days). Please do not apply for any other kind of visa as extensions might be excluded. The "final" residence permit, which entitles you to enter and leave the country repeatedly, will only be issued by the Aliens' Registration Office at your place of residence in Germany.

Should you need a visa for a maximum duration of 90 days (Schengen Visa, category "C"; **not** extendable!), you may fill out an application form online at: [videx.diplo.de](http://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 since 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.

#### **Notice:**

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 fellow 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.

#### **Exceptions:**

- 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** do not need a visa for short stays up to a

maximum of 90 days within a period of 12 months and are entitled to carry out scientific work.

**Please note:**

- Research fellows from the *People's Republic of China* and the *Administrative District of the German Embassy in Moscow, Russian Federation*, are subject to special procedures for applying for an entry visa. The research fellows will receive this information together with the grant documents.

Research fellows planning to take part in conferences in European countries other than Germany, for which they need an entry visa, should note that processing by the appropriate diplomatic missions may also take several weeks.

The residence permit issued by the responsible Aliens' Registration Office in Germany 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 6 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.

Please inform the Alexander von Humboldt Foundation, your academic host and, if applicable, your language institute immediately of any delays in issuing the entry visa preventing you from arriving in Germany on the agreed date.

Immediately on arrival in Germany, research fellows are required to register with the local Residents' Registration Office (which is usually located in the Town Hall or Municipal Offices; the respective forms can be obtained from the Residents' Registration Office directly or they can also be downloaded from the local authority websites, *see also B.5.*) at their new place of residence. If the research stay is preceded by a language fellowship (*see also A.3.2.*), research fellows must register at the place where their language institute is located and, after moving to their institution of higher education or host institute, register at their new place of residence once again (*see also B.5.*).

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. When filing an application for child benefit to the family benefits office (*c.f. A.3.6.2. 1.*), the Tax Identification Number of both the applicant and the child in question must be specified.

Well before the visa expires, you must apply to the local Aliens' Registration Office for a residence permit. As the necessary processing often takes several weeks, you are 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:

- *the registration document from the Residents' Registration Office* where you are registered in Germany;
- proof of *health insurance coverage* valid in Germany (see also B.10.);
- 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, research fellows 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 3 months old;
- a valid *passport* (see also B.1.);
- in certain cases, the originals of birth certificate(s) and, if applicable, marriage certificates;
- a recent *passport photograph*;
- the Humboldt identity card (see also B.7.) or a copy of the Alexander von Humboldt Foundation's award letter;
- a *certificate* issued by the Alexander von Humboldt Foundation *stating the period and value of the research fellowship*. This certificate is sent to all research fellows at their host institutes or language institutes after arrival in Germany;
- complete application forms for a *residence permit*, forms are obtainable from the Aliens' Registration Office.

Unless the Aliens' Registration Office is presented with all the necessary documents, residence permits cannot be issued or extended.

During your stay in Germany the Foreign Students' Advisory Office at your university will be pleased to assist you in answering questions or solving problems related to the residence permit. If you do not yet have a good command of German you should ask whether there is anyone at your host institute who knows their way around and might be willing to accompany you to the various authorities.

Following the introduction of the *Immigration Act*, it is easier than it used to be for research fellows' husbands and wives to take up gainful employment in Germany: members of the family accompanying fellows now enjoy the same legal status as the foreigner they are accompanying with regard to taking up gainful employment. As a rule, this means: marital partners are allowed to pursue 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.

#### **B.4. Exemption from fees**

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 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.

#### **B.5. Registration and de-registration of German address**

Research fellows must register with the Residents' Registration Office within one week of finding accommodation (*see also B.3.*). This also applies to accompanying family members. 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, research fellows and accompanying family members must inform the Residents' Registration Office of their departure.

Registration forms can be obtained at the respective offices directly or the municipal authorities have included them on their websites.

#### **B.6. Passport photographs**

The Alexander von Humboldt Foundation would like to point out that the German authorities demand biometric passport photographs which must comply with legal requirements. Photographic studios in Germany dispose of the official specimen boards.

#### **B.7. Humboldt identity card**

After their arrival in Germany, research fellows who submitted a passport-size photograph (*see also A.1.1.*) will receive a Humboldt identity card. This is to assist them in their contact to public authorities and universities. However, the Humboldt identity cards are not a substitute for official identity documents.

## **B.8. Status of research fellows as guest researchers**

During the research stay, research fellows carry out their proposed research in cooperation with academic hosts they have chosen themselves. They are neither employees of the Alexander von Humboldt Foundation nor of their host institute. However, since they make regular use of the facilities made available by their academic hosts and host institutes, they must comply with the rules and regulations generally applicable at the respective institutes. In Germany, too, university institutes often have staffing and financial problems. To avoid misunderstandings, we urge you to clarify with your academic host the practical aspects of your cooperation with the research and support staff of the institute as well as the possibility of using scientific equipment, PC, telephone, fax, etc. at the earliest opportunity. Host institutions are obliged to ensure the same levels of safety and occupational health for research fellows as they do for other academics working at the institute.

## **B.9. Permission to practice medicine**

Physicians who wish to practice their profession during the research stay are required to obtain permission under Article 10 of the Federal Medical Code ("*Bundesärzteordnung*"). Applications must be submitted in writing to the president's office ("Regierungspräsidium") of the administrative district in which research fellows plan to carry out their proposed research *at the earliest opportunity*. Where possible, applications should be submitted with the support of academic hosts prior to arrival in Germany. A special fact sheet forwarded to all physicians with the grant documents contains information about requirements to be met and documents to be submitted with the application.

## **B.10. Medical and liability insurance, legal costs insurance, as well as other insurances**

From the very first day, research fellows and family members accompanying them **must** be covered by medical insurance providing adequate coverage in Germany **for the entire duration of their** stay in Germany. The responsible Aliens' Registration Offices require proof of adequate health insurance before they will issue a residence permit. Costs incurred through illness or accident cannot be borne by the Alexander von Humboldt Foundation or host institutes. Please keep in mind that both out-patient and in-patient medical facilities are extremely expensive in Germany. The Alexander von Humboldt Foundation pays a monthly subsidy of EUR 70 (*see also A.3.7.*).

Insurance coverage may be provided by research fellows' medical insurance companies in their country of origin for stays of up to three months. In such cases, the insurance company must confirm **in writing** that it will also cover risks during the research fellow's stay in Germany.

For stays exceeding three months, research fellows from EU Member States and the European Economic Area (Iceland, Liechtenstein, Norway and Switzerland) are subject to the following regulations: if a fellow is covered by statutory health insurance in his or her own country, his or her health insurance company at home will, upon request, issue form E106 or S1. This form E106 or S1 allows research fellows and their family members to register with a German health insurance company. Form E106 or S1 must be completed prior to the stay Germany and sent to the chosen statutory health insurance company stating the fellow'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 fellow's country of origin for its expenditures.

For stays under three months, fellows 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 of origin will only cover the contractual benefits that are usual in Germany and which are medically necessary and cannot be postponed until the fellow's return home.

Research fellows 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 claims resulting from damage caused unintentionally.

In the grant documents information is included on conditions and tariffs of various travel health insurance companies which offer coverage for the **necessary medical treatment of acute illness not related to previous illness and after an accident**. Some of them also offer **accident and liability insurance**, please also see on the Foundation's website at:

*[www.humboldt-foundation.de/web/insurance.html](http://www.humboldt-foundation.de/web/insurance.html)*

A private accident insurance only covering disability after an accident as well as a private **liability insurance** can optionally be taken out.

The Alexander von Humboldt Foundation recommends research fellows to establish contact with an insurance company **before** arrival in Germany to ensure that all questions can be clarified in good time. 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 from the bank account has been authorised.

### **Advice on private 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 cover. Since some latent diseases (e.g. kidney and gall stones) may become acute as a result of change of climate or food habits etc., research fellows are urged to have a complete medical examination in good time 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. Before taking out insurance, research fellows should, where necessary, clarify with the insurance company the conditions for covering costs in the event of pregnancy in Germany.
- Furthermore, it is necessary to make careful inquiries as to which other kinds of treatments will not be reimbursed by the insurance company (e.g. cost of routine and prophylactic medical check-ups, vaccinations).
- The cost of treatment after an accident during a stay in Germany is covered by medical insurance.
- Prior to hospitalisation, the requisite formalities and the costs which will be refunded should be discussed with the insurance company in detail. Research fellows admitted to hospital should always present their insurance certificate immediately and request the hospital to contact their insurance company straight away to confirm that costs will be covered. It should be made clear to the doctor or hospital providing the treatment that the research fellows or their accompanying family members are **not** so-called **private patients**, since usually the insurance company does not cover costs for special services such as accommodation in single or two-bed rooms or treatment by senior consultants or privately-affiliated doctors, so-called "Belegärzte".
- If research fellows plan to travel abroad during their stay in Germany, they should enquire with their health insurance company well in advance whether additional insurance is necessary.
- Research fellows are strongly urged not to change their health insurance during the stay in Germany as this may have unforeseeable consequences.
- Residence permits are only issued (for the research fellow, as well as for all family members coming to Germany) on proof of medical insurance coverage taking effect immediately after arrival.
- Research fellows are not entitled to special medical insurance rates for students.

The enclosed documents are to be read very carefully. Research fellows should make sure that the medical insurance coverage for themselves and their family members is adequate and will take effect from the beginning of their stay in Germany.

Of course, research fellows may take out a medical insurance policy with any company they like, 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 not only provides cover for driving one's own vehicles, but also provides cover as a passenger, pedestrian or cyclist.

### **Further insurance options:**

In Germany there are other areas of life and purposes for which individual insurance cover 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 cover), 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, however, 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.

### **B.11. Taxes, social security**

Since research fellows are not employees (*see also B.8.*), carrying out the proposed research is not classified as gainful employment under the terms of German Income Tax Law. Consequently, the monthly fellowship payments are not considered as earned income and are not subject to social insurance deductions. Humboldt research fellows are exempt from taxation *under Article 3, No. 44 of the German Income Tax Law.*



The laws in the research fellows' own countries may include special regulations on taxing research fellowships. If in doubt, research fellows should consult a tax advisor in their own country.

Note: After registration with the Residents' Registration Office, the Federal Central Tax Office sends out a letter notifying the Tax Identification Number (see *also B.3.*). 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.

## **B.12. Date of arrival and notification of address in Germany**

The expected date of arrival in Germany should be stated in the *declaration of acceptance*. If this date is changed subsequently, the following institutions must be notified of the exact time of arrival as soon as possible, not later than 3 weeks prior to arrival by e-mail:

- the Alexander von Humboldt Foundation,
- the language institute if you have been enrolled for an intensive language course,
- the academic host or the host institute providing the research facilities, the Foreign Students' Advisory Office, the International Office or the Welcome Centre at the respective university (addresses, sorted by university locations, are available on the Foundation's website at: [www.humboldt-foundation.de/web/aaa-addresses.html](http://www.humboldt-foundation.de/web/aaa-addresses.html)),
- your landlady or landlord in Germany if you have signed a tenancy agreement.

Please bear in mind that any change of date costs the Alexander von Humboldt Foundation considerable additional time and money.

Moreover, research fellows are requested to inform the Alexander von Humboldt Foundation and the Foreign Students' Advisory Office at their institute as soon as possible of a valid correspondence address in Germany, including telephone number and e-mail. It is important to notify the above offices of any change of address in Germany as this is the only way to ensure that mail from the Alexander von Humboldt Foundation will always reach research fellows punctually.

Furthermore, the Alexander von Humboldt Foundation strongly recommends research fellows to inform the central mail distribution office and telephone operator at the university and/or host institute as soon as possible, preferably in person, that they are embarking upon research work at the host institutes.

This is to ensure that mail also reaches recipients via the university and/or institute address.

## **B.13. Contacts**

### **B.13.1. Alexander von Humboldt Foundation headquarters**

The Alexander von Humboldt Foundation regards it as one of its most important tasks to offer foreign guest-researchers personal assistance and advice and to help them overcome any difficulties encountered during their stay in Germany. This assistance is only given upon request to ensure that research fellows feel as free as possible to plan their research stay.

Research fellows who experience major difficulties when entering Germany or during their research stay are requested to inform the Alexander von Humboldt Foundation without delay to enable it to provide immediate assistance if possible.

### **B.13.2. German host institutes**

Academic hosts and their staff will advise research fellows on all matters connected with their research. The Alexander von Humboldt Foundation attaches great importance to arranging suitable facilities for research fellows at German host institutes and therefore maintains contact with academic hosts.

Host institutes selected by research fellows provide suitable research facilities and assist in carrying out the agreed upon research. Research fellows thus temporarily become members of research groups at institutes. The success of cooperation essentially depends on coordination and acceptance of the rights and obligations by both parties concerned (*see also B.8.*).

### **B.13.3. Foreign Students' Advisory Offices – International Offices – Welcome Centres**

The staff of the Foreign Students' Advisory Offices, International Offices and Welcome Centres at the universities also do their best to assist research fellows in answering questions or solving any problems they may have. Addresses, sorted by university locations, are available on the Foundation's website at: [www.humboldt-foundation.de/web/aaa-addresses.html](http://www.humboldt-foundation.de/web/aaa-addresses.html).

An overview of the Welcome Centres sponsored by the Alexander von Humboldt Foundation can be found on the Foundation's website at: [www.humboldt-foundation.de/web/welcome-centres-winners.html](http://www.humboldt-foundation.de/web/welcome-centres-winners.html).

Some Foreign Students' Advisory Offices, International Offices or Welcome Centres at research institutions issue *Studienführer* or *information brochures for guest scientists* providing foreign guests with information about the institutions and their facilities. This information may be requested in writing from the respective Foreign Students' Advisory Offices prior to the commencement of the research fellowship.

Some Foreign Students' Advisory Offices, International Offices and Welcome Centres also offer a varied programme of events for foreign guests during the semester, such as local excursions, film evenings, concerts etc. Addresses of university associations of various nationalities may be obtained on request.

## **B.14. The first days in Germany**

Unfortunately, the Alexander von Humboldt Foundation is unable to arrange for members of its staff to meet research fellows on their arrival in Germany. However, it recommends research fellows to inform their language institutes and/or academic hosts of their exact time of arrival well in advance.

### **B.14.1. First visit to the host institute and Foreign Students' Advisory Office**

On arrival in Germany, research fellows should immediately contact their academic host and the Foreign Students' Advisory Office. The Foreign Students' Advisory Office may possibly help research fellows to find a hotel room for the first few days if they have not yet found accommodation. Furthermore, these offices will give them information on other matters (e.g. finding accommodation, registration etc.).

Research fellows should, however, bear in mind that the Foreign Students' Advisory Offices are only open on weekdays and often only in the morning (especially at the beginning of the semester they are very busy, too). The same applies to travel agencies, which will also be pleased to assist research fellows in finding hotel accommodation. *Research fellows are therefore strongly advised not to arrive in Germany without prior notification and not to choose the weekend.*

### **B.14.2. Finding accommodation**

Finding accommodation in Germany is often difficult and time-consuming. The housing situation varies considerably according to region and the availability of accommodation is very limited in some areas. Thus the Alexander von Humboldt Foundation strongly recommends research fellows to address the question of accommodation, preferably in writing, with host institutes in Germany and the Foreign Students' Advisory Offices,

International Offices or Welcome Centres directly, **well before arrival**. The appropriate form is available on the Foundation's website at:  
[www.humboldt-foundation.de/web/housing.html](http://www.humboldt-foundation.de/web/housing.html)

Research fellows must state clearly how many family members will accompany them to Germany and during which period of time. Research fellows should take into account that up to 40% of the monthly fellowship goes toward renting accommodation in Germany (see also [www.euraxess.de/germany/information-assistance/accommodation](http://www.euraxess.de/germany/information-assistance/accommodation)).

To make it easier for research fellows to find accommodation, particularly during the initial period of the research stay, the Alexander von Humboldt Foundation **strongly** recommends that research fellows who wish to come to Germany with their families should first travel **alone** and only send for their families when they have found adequate accommodation.

#### **B.14.3. Practical hints for your stay in Germany on the internet**

Useful hints and recommendations for your stay in Germany can be found amongst others on the internet on the website of EURAXESS Germany, the advice point for internationally mobile researchers ([www.euraxess.de](http://www.euraxess.de)), and [www.study-in.de/en/](http://www.study-in.de/en/) as well as on the website of the German Academic Exchange Service ([www.daad.de](http://www.daad.de)).

## **C. ALUMNI SPONSORSHIP AND HUMBOLDT NETWORK**

It is the Alexander von Humboldt Foundation's aim to sponsor their alumni on a long-term and individual basis. Contact should be maintained after the end of the initial research stay in Germany in order to strengthen the relationships to specialist colleagues in Germany and permanently consolidate academic collaboration. Finally, alumni sponsorship should make it possible for the academic work embarked upon to be continued successfully abroad.

The Alexander von Humboldt Foundation keeps its alumni informed of existing sponsorship opportunities. Alumni who are of particular importance to German science, economy, and politics, either due to their outstanding academic work or to their important function in the academic or foreign cultural fields, are invited for renewed stays in Germany.

Prerequisite for alumni to be sponsored within the framework of the Alumni Programme is the continuation of superior achievements and academic activity. The Alumni Programme is **not subject to a career stage or an age limit**.

Further information, leaflets, and application forms referring to the types of sponsorship offered within the framework of the Alumni Programme are available on the Foundation's website at:

*[www.humboldt-foundation.de/web/alumni-sponsorship-abroad.html](http://www.humboldt-foundation.de/web/alumni-sponsorship-abroad.html)*

### **C.1. Additional research visits to Germany**

Alumni are eligible to apply for support for a renewed research stay in Germany after they have completed their initial research stay in Germany and returned abroad. Decisions on additional research stays in Germany are taken by the Alexander von Humboldt Foundation on the basis of scientific necessity and the funds at the Foundation's disposal.

#### **C.1.1. Short visit of up to 30 days**

Short visits of up to 30 days can be used for taking an active part (lecture, posters, leading a working group) in international congresses in Germany, for lecture tours or informative visits, for making and nurturing academic contacts, or for short working visits to research institutes in Germany. A combination of these individual activities would be welcomed.

The application form is available on the Foundation's website at:

*[www.humboldt-foundation.de/web/renewed-research-stay.html](http://www.humboldt-foundation.de/web/renewed-research-stay.html)*

Applications for a short visit of up to 30 days must include the following documents:

- curriculum vitae
- list of publications during the last 5 years,
- short description of activities planned,
- invitations from academic colleagues from the institutes to be visited,
- details of financial contributions from third parties, if applicable.

If participation in a congress is planned, a programme of the congress announcing the applicant's own contribution (lecture/posters etc.) should also be included as well as information on conference fees.

Short visits are sponsored by providing a daily allowance and, in cases of active participation, reimbursement of conference fees. Travel expenses cannot be paid. Once all the relevant documents have been received, processing takes about a month. Retrospective approval is not possible.

### **C.1.2. Research stay of up to 3 months**

A research stay of up to 3 months can be used either to continue or complete work which was started during the first research stay in Germany or to initiate new joint research outlines with specialist colleagues in Germany. Alumni are free to choose the academic host; competence should be the determining factor.

The application form is available on the Foundation's website at:  
[www.humboldt-foundation.de/web/renewed-research-stay.html](http://www.humboldt-foundation.de/web/renewed-research-stay.html)

Applications for a renewed research stay must include the following documents:

- curriculum vitae
- list of publications during the last 5 years,
- research outline,
- details of financial contributions from third parties, if applicable.

It is the responsibility of the alumni to ensure that the academic host provides a confidential statement as well as a confirmation of research facilities and mentoring agreement.

Once all the relevant documents have been received, the Alexander von Humboldt Foundation will decide on the application, usually within 3 months. The decision on the application will be made on the basis of an assessment of the applicant's academic qualifications and activities, the academic quality

and relevance of the planned research, as well as the significance of a further stay both academically and in foreign policy terms. The scale of sponsorship already granted, as well as the period of time elapsed since the last Alexander von Humboldt Foundation sponsorship, will be taken into account.

A monthly research fellowship sum will be granted. *Sections A.3.5., A.3.6.1., A.3.6.2., A.3.7., A.3.8. and A.3.9* contain information on additional benefits as well as the application procedures. Initial lump sums or BahnCards, language fellowships, language courses and a Europe research stay will not be sponsored. Travel expenses for the journey to and from abroad will usually not be reimbursed.

On principle, alumni are not entitled to receive monthly fellowship payments if they are absent from the German host institute for more than 5 days in total (continuous or accumulative). In such cases, the Alexander von Humboldt Foundation reserves the right to reduce the amount of the fellowship payments. Attendance at conferences and research trips as well as visits to archives and libraries etc., that are essential for carrying out the proposed research, do not count as absences (*see also A.1.7., A.1.10.*).

At the beginning of the research stay – i.e. during the first month – alumni are entitled to the first payments only when arriving 5 days after the official beginning of the sponsorship period (or the following working day) at the latest. Alumni who arrive in Germany after this date are not entitled to payment of the monthly fellowship. In the last month of the respective sponsorship period, alumni must be present until no less than 5 days prior to the end of the sponsorship period. Alumni who leave Germany before this date are not entitled to payment of the monthly fellowship.

The above also applies to additional benefits within the framework of alumni sponsorship for renewed research stays in Germany (*mobility allowance, family allowance for marital partners, family allowance for children, subsidy towards health and liability insurance, subsidy towards research costs for hosts, Carl Friedrich von Siemens fellowship supplement in the Greater Munich area*).

## **C.2. Sponsorship abroad**

### **C.2.1. Return fellowships**

After successfully completing the initial research stay in Germany sponsored by the Alexander von Humboldt Foundation, it is possible to apply for a return fellowship to sponsor reintegration into a research institute abroad. The return fellowship includes a sponsorship of EUR 500 per month over a period of a year which should be used to build up and develop the fellow's own working

groups. Additionally, EUR 500 are available for the purchase of specialist literature.

Application for a return fellowship must be made no later than 6 months after completing the initial research stay in Germany sponsored by the Alexander von Humboldt Foundation, and the return fellowship be taken up no later than 12 months after completing the initial research stay. Experienced researchers are only eligible to apply if the duration of the last sponsorship period was at least 6 months.

Application forms and further information are available on the Foundation's website at: [www.humboldt-foundation.de/web/return-fellowship.html](http://www.humboldt-foundation.de/web/return-fellowship.html)

Return fellowships can be awarded for a return to research institutions in Central and Eastern Europe and to developing or threshold countries. The current lists of potential countries are available on the Foundation's website at:

[www.humboldt-foundation.de/web/return-fellowship-developing-countries-list-of-countries.html](http://www.humboldt-foundation.de/web/return-fellowship-developing-countries-list-of-countries.html)

[www.humboldt-foundation.de/web/return-fellowship-countries-central-eastern-europe-list-of-countries.html](http://www.humboldt-foundation.de/web/return-fellowship-countries-central-eastern-europe-list-of-countries.html)

### **C.2.2. Donations of books and equipment grants**

Particularly alumni in developing countries (current register of countries:

[www.humboldt-](http://www.humboldt-foundation.de/pls/web/docs/F18938/laenderlisteGeraetebeihilfenBuchspendeneenglisch.pdf)

[foundation.de/pls/web/docs/F18938/laenderlisteGeraetebeihilfenBuchspendeneenglisch.pdf](http://www.humboldt-foundation.de/pls/web/docs/F18938/laenderlisteGeraetebeihilfenBuchspendeneenglisch.pdf))

are eligible to apply to the Alexander von Humboldt Foundation for donations of academic literature (including e-books) and scientific equipment.

Applications by alumni from countries, which are not listed in the current register of countries, can be assessed by the Foundation only in duly substantiated exceptional cases. Substantial criteria for this case-by-case examination are the economic development of the country, the financial situation of the respective institution as well as the reasons given by the applicant, why it is not possible to finance the requested books and scientific equipment from other sources. The questionnaire is available on the Foundation's website at:

[www.humboldt-foundation.de/pls/web/docs/F-](http://www.humboldt-foundation.de/pls/web/docs/F-990381083/list_of_questions_book_donations_equipment_subsidies.pdf)

[990381083/list\\_of\\_questions\\_book\\_donations\\_equipment\\_subsidies.pdf](http://www.humboldt-foundation.de/pls/web/docs/F-990381083/list_of_questions_book_donations_equipment_subsidies.pdf)

Individual applications for a donation of academic literature should not usually exceed **EUR 1000**. Especially books by German authors or published by German publishers can be donated. Subscription costs for journals **cannot**



be borne by the Alexander von Humboldt Foundation. The books donated will be given to the institutes of the alumni and are designated first and foremost for their research work. A completed application form, which is available on the Foundation's website at:

*[www.humboldt-foundation.de/web/book-donations.html](http://www.humboldt-foundation.de/web/book-donations.html)* and a curriculum vitae should be submitted.

The acquisition of scientific equipment should make it possible for the alumni to successfully continue the research started in Germany upon their return to the home country. In this way, sustainable collaboration with academic hosts or other specialist colleagues in Germany should be sponsored.

Applications for equipment subsidies should not exceed a total amount of EUR 20,000. If applications for higher subsidies are submitted, applications should either be made jointly by several Humboldtians or documentation should be enclosed confirming that part-financing is available from other sources.

Alumni need to purchase the equipment in their own responsibility and in accordance with the import regulations, especially the release/ exemption from customs duties. The necessary funding for purchasing the equipment can be provided by the Alexander von Humboldt Foundation in the form of a subsidy. Upon purchase, the equipment immediately becomes the property of the home institution abroad. The equipment must be passed into the inventory of the respective institution and must continue to be used for scientific purposes of the alumni and their colleagues for at least 10 years. The alumni and their respective home institution ensure that the necessary technical and financial conditions for installing and operating the equipment exist. Follow-up costs for service and spare parts have to be borne by the home institution. Alumni may only remove the equipment to another institution abroad in mutual agreement with their home institution and with prior written authorisation by the Alexander von Humboldt Foundation.

The application form is available on the Foundation's website at:

*[www.humboldt-foundation.de/web/equipment-subsidies.html](http://www.humboldt-foundation.de/web/equipment-subsidies.html)*

The application for equipment subsidies has to include the following documents:

- curriculum vitae,
- precise description and technical specifications of the equipment requested,
- 3 comparative offers from different local distributors or from abroad in Euros or US Dollars,
- a research plan indicating the use of the equipment requested,

- a list of publications covering the last 5 years,
- a statement by the head of the receiving institute confirming the agreement to assume both ownership and responsibility for any costs ensuing from ownership as well as the confirmation to pass the equipment into the inventory of the receiving institute and to use the equipment for the scientific purposes of the alumni and their colleagues for at least 10 years; further details of any investment by the institute itself, if applicable,
- a confirmation of possible co-financing by a third party.

### **C.2.3. Printing subsidies for book publishing**

On application the Alexander von Humboldt Foundation may grant printing subsidies for books publishing research results directly linked to grants provided by the Alexander von Humboldt Foundation, especially those ensuing from a research stay in Germany. If the publication is written jointly with other authors, the printing subsidy may be reduced accordingly.

The preconditions for sponsorship are that

- the publication is published by a German publisher or in the German language,
- the print run does not exceed 1,000 copies, and
- the number of complimentary copies does not exceed 25 % of the print run.

The application form is available on the Foundation's website at:  
*[www.humboldt-foundation.de/web/printing-subsidies.html](http://www.humboldt-foundation.de/web/printing-subsidies.html)*

The application for a printing subsidy has to include the following documents:

- curriculum vitae,
- detailed estimate of cost from the publisher (see also website),
- information on financial contributions from third parties,
- written explanation justifying the choice of the publisher, and
- written statement by the academic host in Germany or by a German specialist colleague. It is the responsibility of the applicant to ensure that the academic host or specialist colleague provides the statement.

Instead of book publishing the Alexander von Humboldt Foundation also supports the open access publication of research results. Applications, including the aforementioned documents, may be submitted for the reimbursement of the necessary costs in the context of a printing subsidy.

### **C.2.4. Inviting academics from Germany**

Alumni and their academic hosts or collaborative partners in Germany can apply for a subsidy to sponsor guest visits by academics from Germany to the

institutes of the alumni abroad. The guest visit should be used for lectures and academic contacts at the institute of the alumni and possibly at other institutes in the country. Priority will be given to journeys undertaken by academic hosts or collaborative partners from Germany to countries with limited foreign currency reserves.

Applications for subsidies should include the following documents:

- informal application by the alumni or the academics from Germany giving details of the schedule, contents, and objective of the journey,
- estimate of expected travel expenses,
- invitation from the alumni abroad.

The subsidy is intended to cover or partially cover the travel expenses incurred by the academics from Germany. The Alexander von Humboldt Foundation expects the institute visited to bear the costs of the stay locally.

### **C.2.5. Post-Doctoral and Experienced Researchers from Germany, the Feodor Lynen, JSPS, and MOST Programmes**

On the strength of Feodor Lynen Research Fellowships for Post-Doctoral and Experienced Researchers, the Alexander von Humboldt Foundation gives highly-qualified German scholars and scientists an opportunity to spend extended periods working on research in cooperation with alumni and other members of the Humboldt Network abroad. Selection criteria are comparable to those for research fellowships for foreign scholars. Financing is provided jointly by the foreign host institutes and the Alexander von Humboldt Foundation.

Detailed information on sponsorship conditions can be downloaded from the Foundation's website.

Furthermore, the Alexander von Humboldt Foundation coordinates the assessment procedure for the granting of research fellowships by the Japan Society for the Promotion of Science (JSPS) and the Ministry of Science and Technology (MOST) in Taiwan and mentors research fellows during their stay in Japan or Taiwan.

The Alexander von Humboldt Foundation can also help German alumni, who have completed their research stay abroad and returned to Germany, to maintain contacts with Humboldtians in all countries by financing short reciprocal visits within the framework of alumni sponsorship.

### **C.2.6. Research Group Linkage Programme**

The Alexander von Humboldt Foundation sponsors long-term research collaborations between academics in Germany and abroad. The funding of

research group linkage is one of the alumni support tools designed to build a sustainable basis for long-term international academic collaboration. Another of its aims is to integrate (doctoral and post-doctoral) junior researchers as potential candidates for a Humboldt research fellowship into these collaborations.

Prerequisites for application:

- One of the applicants is working at a research institute in one of the countries on the current list (excepting, in particular, institutes in Australia, Canada, Japan, New Zealand, Western Europe and the USA), and is an alumnus of a Humboldt fellowship or award programme (“Humboldtian”).
- One of the applicants is working at a research institute in Germany.

Applications for sponsoring institutional partnerships should include the following documents:

- the completed application form, which is available on the Foundation's website at:  
[www.humboldt-foundation.de/web/research-group-linkage-programme.html](http://www.humboldt-foundation.de/web/research-group-linkage-programme.html)
- a time and expense schedule, broken down by years, indicating the intended use of funds (form),
- a budget plan, explaining the time and expenses schedule,
- if applicable, estimates for equipment items requested, preferably in the form of a concrete quotation,
- a detailed research plan,
- curriculum vitae and list of publications for the last five years for all academics involved,
- statements from the directors of the institutes involved.

The current list of countries eligible as well as the precise sponsorship conditions and the application form can be downloaded from the Foundation's website at:

[www.humboldt-foundation.de/web/research-group-linkage-programme.html](http://www.humboldt-foundation.de/web/research-group-linkage-programme.html)

### **C.2.7. 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](http://www.humboldt-foundation.de/web/alumni-award.html)

### **C.3. Humboldt Network**

#### **C.3.1. 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.

#### **C.3.2. Humboldt Colloquia and Humboldt Kollegs**

The Alexander von Humboldt Foundation regularly organises colloquia abroad and invites members of the Humboldt network from the country or region concerned to attend. The Foundation also invites scientists and scholars from Germany. Among them 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. In addition, these meetings serve to maintain regional contacts within the Humboldt network, and provide the opportunity to speak with Foundation staff in person. By visiting institutes of alumni, members of the Humboldt delegation gain insight into the research situation in the countries in question. Information talks draw the attention of young researchers to the sponsorship opportunities offered by the Alexander von Humboldt Foundation.

Suggestions and invitations by alumni for holding of such colloquia are welcome. The Alexander von Humboldt Foundation gladly relies on the experience and assistance of members from the Humboldt network especially of Humboldt Alumni Associations in organizing these meetings.

Initiatives of Humboldt Alumni Associations and individual alumni 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 Foundation's website: [www.humboldt-foundation.de/web/humboldt-kollegs-en.html](http://www.humboldt-foundation.de/web/humboldt-kollegs-en.html)

### C.3.3. Humboldt Alumni Associations

In many countries, alumni 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 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 scientists and scholars in foreign countries. In general, they gladly advise newly selected Humboldtians before they depart for Germany. There is a Humboldt Alumni Association in Germany, as well. Addresses may be downloaded from the Foundation's website:

*[www.humboldt-foundation.de/web/alumni-associations.html](http://www.humboldt-foundation.de/web/alumni-associations.html)*

### C.3.4. Information on the Alexander von Humboldt Foundation's websites

Under the internet address ***[www.humboldt-foundation.de](http://www.humboldt-foundation.de)***, the Alexander von Humboldt 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](http://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-public.html](http://www.humboldt-foundation.de/web/my-humboldt-public.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/web/bibliographia-humboldtiana.html](http://www.humboldt-foundation.de/web/bibliographia-humboldtiana.html)*). 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. The data are publicly accessible. Entries can also be made via Humboldt Life.

### **C.3.5. Humboldt Life**

**Humboldt Life** ([www.humboldt-life.de/](http://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. Users 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.

### **C.3.6. Alumniportal Deutschland: Social network for Germany alumni**

On the Alumniportal Deutschland fellows and alumni 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, sustainability, German language and culture.

To register for the community, please visit [www.alumniportal-deutschland.org/en/](http://www.alumniportal-deutschland.org/en/).

After registration the Alexander von Humboldt Foundation's own group of alumni on the Alumniportal can be accessed by using the following link: [community.alumniportal-deutschland.org/](http://community.alumniportal-deutschland.org/).

## **D. RULES OF GOOD SCIENTIFIC PRACTICE, LEGAL REGULATIONS AND GENERAL OBLIGATIONS**

While carrying out the research sponsored by the Alexander von Humboldt Foundation, research fellows are obligated to comply with the rules of good scientific practice and the relevant laws that apply at the respective research location as well as to the Alexander von Humboldt Foundation. Besides personal integrity it is further assumed that research fellows have observed the applicable regulations and laws also in their previous research they have conducted.

By accepting the research fellowship, fellows 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/](http://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/](http://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/](http://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](http://www.gesetze-im-internet.de/tierschg/BJNR012770972.html);
- by 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/](http://www.gesetze-im-internet.de/gentg/);



- when planning and carrying out experiments relating to matters of biological diversity as covered by the Nagoya Protocol ([www.cbd.int/abs/doc/protocol/nagoya-protocol-en.pdf](http://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:  
<http://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:  
<http://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](http://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](http://www.gesetze-im-internet.de/awg_2013/index.html) and  
[www.gesetze-im-internet.de/awv\\_2013/index.html](http://www.gesetze-im-internet.de/awv_2013/index.html)

The research fellows are, furthermore, obligated to abide by the rules on the use of the Alexander von Humboldt Foundation logo (see also A.4.).

## **E. GENERAL REGULATIONS**

The "Guidelines and Information for Research Fellows" are a constituent part of the fellowship award.

The German-language text of the "Guidelines and Information for Research Fellows" ("Richtlinien und Hinweise für Forschungsstipendiatinnen und Forschungsstipendiaten") is binding; the English-language text is merely a translation.

Should the above-stated guidelines and obligations fail to be respected, the Alexander von Humboldt Foundation reserves the right to revoke the granting of the fellowship in part or full, cease paying further fellowship benefits, or demand the repayment of the research fellowship, including collateral allowances and benefits. This also applies if the research fellow has made or makes false claims in his or her application or during the period of sponsorship, or when other serious facts emerge which would have militated against the granting of the research fellowship had they been known to the selection committee at the time. Procedures and penalties in the event of violations of the guidelines and obligations and especially in the 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 Annex).

The Alexander von Humboldt Foundation reserves the right to amend the "Guidelines and Information for Research Fellows" 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 research fellows. Amendments will be announced to the research fellow in writing well in advance. Amendments are considered to have been approved if the research fellow has not lodged an objection in writing within four weeks. In 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.

## ANNEX

### 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 4 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 4 weeks.
- 4.4. If use is not made of the right to remonstrate, the Alexander von Humboldt Foundation may impose one of the measures listed above in paragraph 3.
- 4.5. If the remonstrations submitted by the party concerned fails to convince the Alexander von Humboldt Foundation, and in particular, fails to refute the suspicions 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.

## List of countries for Europe research stays

Europe research stays are possible in the following countries:

Albania	Latvia
Andorra	Liechtenstein
Armenia	Lithuania
Austria	Luxembourg
Azerbaijan	Malta
Belarus	Moldavia
Belgium	Monaco
Bosnia-Herzegovina	Montenegro
Bulgaria	The Netherlands
Croatia	North Macedonia
Cyprus	Norway
Czech Republic	Poland
Denmark	Portugal
Estonia	Romania
Finland	Russian Federation
France	San Marino
Georgia	Serbia
Great Britain	Slovakia
Greece	Slovenia
Hungary	Spain
Iceland	Sweden
Ireland	Switzerland
Israel	Turkey
Italy	Ukraine
Kosovo	Vatican City



## Checklist for Research Fellows

Please *notify* the Alexander von Humboldt Foundation *immediately* of any **changes** (postponement, change of residence, visa problems etc)! For all **applications to the Alexander von Humboldt Foundation**: *the earlier the better*.

On receiving notification of fellowship grant	<ul style="list-style-type: none"> <li>- acceptance form to Alexander von Humboldt Foundation (A.1.1.)*</li> <li>- registration for language course to Alexander von Humboldt Foundation (A.1.1.)</li> <li>- application for a Tax Identification Number (TIN) from the appropriate authorities in the research fellow's country of residence, if required (A.1.7.)</li> <li>- application for issue/extension of passport (B.1.)</li> <li>- visa application in research fellow's own country – also for accompanying marital partner and children (B.3.)**</li> <li>- application for postponement of research fellowship (A.1.9.)</li> <li>- arrange accommodation with the academic host and/or Foreign Students' Advisory Office (B.10.)</li> <li>- take out medical insurance/liability insurance cover effective from day of arrival (B.10.)</li> <li>- for physicians: application for permission to practice medicine (B.9.)</li> <li>- in case of change of date of arrival: notification to the Alexander von Humboldt Foundation, language institute, academic host, Foreign Students' Advisory Office (B.13.)</li> </ul>
Commencement of language course/ research fellowship	<ul style="list-style-type: none"> <li>- <b>1st week:</b> registration with the Residents' Registration Office (B.3.)</li> <li>- <b>immediately thereafter:</b> application for a residence permit with the Aliens' Registration Office (B.3.)</li> <li>- application for child benefit and/or parental allowance with the appropriate authorities (A.3.6.1., A.3.6.2.1.,)****</li> <li>- notification of current address to the Alexander von Humboldt Foundation and Foreign Students' Advisory Office (B.12.)</li> </ul>
After receipt of residence permit ****	<ul style="list-style-type: none"> <li>- application for child benefit and/or parental allowance with the appropriate authorities (A.3.6.1., A.3.6.2.1.)</li> </ul>
After moving into rented accommodation/ after removal	<ul style="list-style-type: none"> <li>- <b>1st week:</b> registration with the Residents' Registration Office (B.3., B.5.)</li> </ul>
	<ul style="list-style-type: none"> <li>- notification of private bank account in Germany to the Alexander von Humboldt Foundation: by the 15th day of the month (A.1.7.)</li> <li>- application for subsidy towards the cost of medical insurance, if applicable, for benefits for families (A.3.6., A.3.7.)</li> <li>- application for German course allowance: at least 2 weeks prior to commencement of course (A.3.3.)</li> <li>- notification of interruption of stay: 1 month in advance (A.1.10.)</li> <li>- notification of departure of marital partner and/or children: 1 month in advance (A.3.6.1., A.3.6.2., A.3.6.3.2., A.3.7.)</li> <li>- any changes affecting payments by the Alexander von Humboldt Foundation: 1 month before taking effect</li> </ul>
If necessary for professional reasons: 3-4 months before end of fellowship	<ul style="list-style-type: none"> <li>- application to the Alexander von Humboldt Foundation for extension of research fellowship (A.1.4.)</li> </ul>
Immediately before departure	<ul style="list-style-type: none"> <li>- de-registration at Residents' Registration Office (B.5.)</li> <li>- de-registration at Aliens' Registration Office (B.5.)***</li> </ul>

\* Chapters in brackets refer to the brochure "Guidelines and Information for Research Fellows"

\*\* Not applicable to research fellows from the EU, Iceland, Liechtenstein, Norway, Switzerland, Australia, Brazil, Canada, Israel, Japan, New Zealand, Republic of Korea, U.S.A.

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\*\*\*\* Fellows from the EU, Iceland, Liechtenstein, Norway, Switzerland only need proof of registration in Germany.