



MAX-PLANCK-GESELLSCHAFT



Alexander von Humboldt
Stiftung/Foundation

Max Planck Research Award Alexander von Humboldt Foundation and Max Planck Society International Research Award

Information and Recommendations for Award Winners
Regulations on the Use of Funds

Preface	2
Who was Max Planck?	4
A. The Max Planck Research Award – Alexander von Humboldt Foundation and Max Planck Society International Research Award	6
1. Conferment of award	6
2. Acceptance of award and commencement of research work	7
3. Taxation	8
4. German language courses	8
5. Annual meetings of the Alexander von Humboldt Foundation and the Max Planck Society	8
6. Report on award winners' experiences	9
B. General conditions and recommendations for the stay in Germany	9
1. Entry requirements, visa	9
2. Registration, residence permit	11
3. Health and liability insurance, legal costs insurance, as well as other insurances	12
4. Accommodation	16
5. Permission to drive in Germany	16
C. Alumni sponsorship and international networks of the Alexander von Humboldt Foundation and the Max Planck Society	16
1. Invitation to renewed research stays to Germany	17
2. Humboldt Kosmos	17
3. Humboldt Colloquia and Humboldt Kollegs	17
4. Humboldt Alumni Associations	18
5. Humboldt Network Online: Information on the Alexander von Humboldt Foundation's website	18
6. Humboldt Life	19
Regulations on the Use of Funds	21

(as of: June 2016)

Preface

The Alexander von Humboldt Foundation brings the knowledge of the world to Germany. In global competition for the topmost experts, it offers 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 the stay in Germany. On top of this, the Alexander von Humboldt Foundation offers numerous other kinds of sponsorship in the framework of its alumni programmes. In this way, an active international network of more than 27,000 academics including 52 Nobel Prize winners has grown since the Foundation was founded in 1953.

The Max Planck Society is Germany's most successful research organisation – no less than 18 Nobel Prize winners have joined its ranks since it was founded in 1948. This puts it on a par with the best and most respected research institutions in the world. Every year, around 15,000 articles are published in distinguished international journals and many of them can be counted amongst the most frequently-cited publications in their respective field – proof of the outstanding research work conducted at Max Planck institutes.

The Alexander von Humboldt Foundation and the Max Planck Society jointly confer the Max Planck Research Award, which is funded by the German Federal Ministry of Education and Research, on exceptionally qualified German and foreign scientists who have already achieved international recognition and are expected to continue to produce outstanding academic results in international collaborations – not least with the assistance of this award. Apart from sponsoring international science, the Max Planck Society and the Alexander von Humboldt Foundation aim 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 in Germany and with the German scientists abroad as the case may be. In order to intensify these contacts in Germany, the Alexander von Humboldt Foundation and the Max Planck Society sponsor German courses for the award winners and their marital partners. At events organised by Max Planck Society and the

Alexander von Humboldt Foundation, there is an opportunity to get to know other members of each organisation's network and the staff personally.

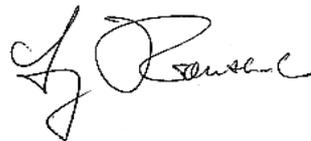
This brochure is intended as a guide for award winners and representatives of the home institutions, offering practical advice and explaining the rules of the programme. Details as to the use of the award funds are regulated in the "Regulations on the Use of Funds". The Alexander von Humboldt Foundation and the Max Planck Society are grateful for any suggestions which might improve or supplement this brochure.

We wish the award winners successful academic collaborations, as well as all the best personally. We would be pleased to welcome you to one of our events.

Bonn/München, June 2016



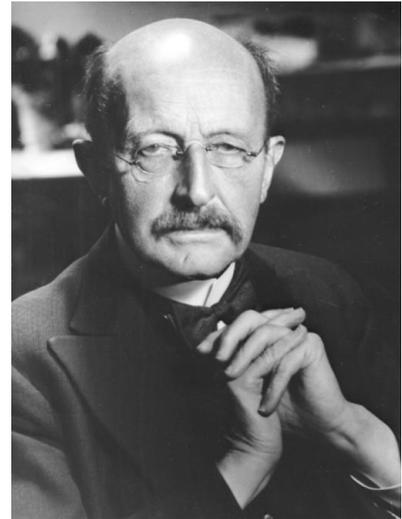
Dr. Enno Aufderheide
Secretary General of the
Alexander von Humboldt Foundation



Dr. Ludwig Kronthaler
Secretary General of the
Max Planck Society

Who was Max Planck?

A conservative revolutionary has created the basis of modern natural sciences: with his quantum theory which postulates that energy can be transferred only in very particular portions, the so-called quanta, Max Planck (1858-1947) not only made the processes on the atomic and sub-atomic level comprehensible but also triggered off the greatest change in physics since Newton.



Max Planck was born on April 23rd, 1858 in Kiel, the son of a professor of law. The family moved to Munich when his father Julius Wilhelm Planck accepted a chair in civil law at the University of Munich in 1867. At the age of barely 16, Max Planck graduated from Munich's Maximilian-Gymnasium in 1874.

In 1874/75, after thorough consideration, he decided to study physics and mathematics at the "Ludwig-Maximilian" University of Munich. Three years later, Max Planck moved to the University of Berlin. He later returned to Munich where he obtained his doctoral degree at the age of 21.

Only one year later, in 1880, he qualified as a university lecturer and became an associate professor at the University of Munich. In 1885, he accepted a chair at the University of Kiel. After the death of his teacher Gustav Kirchhoff, Max Planck, only 31 years old, was invited to become his successor as professor of theoretical physics at the University of Berlin in 1889. It was here that he began his exclusively theoretical research on thermal radiation in 1894.

On December 14th 1900 – the date that is considered to be the date of birth of the quantum theory – Max Planck achieved the height of his scholarly work: he presented his law on radiation, later named after him, to the German Physical Society in Berlin. For this achievement Max Planck was awarded with the Nobel Prize for Physics in 1918.

In 1913, Max Planck was elected Rector of the University of Berlin. He used his influential position and managed, in the same year, to recruit Albert Einstein from Switzerland to Berlin for the newly-created Kaiser Wilhelm Institute of Physics.

After the death of Adolf von Harnack, the first President of the Kaiser Wilhelm Society (founded in 1911), Max Planck – already 72 years old – was elected his successor in 1930. In 1937, he was forced to relinquish this position by the National Socialist regime. Once again, in 1945, after the end of the war, he devoted himself to the service of the Society as its President and agreed

that the successor organisation should bear his name in future. When the "Max Planck Society" was first founded, under the presidency of Otto Hahn, in Bad Driburg in the British Zone of Occupation on September 11th, Max Planck was 88 years old. He closed his eyes forever on October 4th, 1947 in Göttingen.

A. The Max Planck Research Award – Alexander von Humboldt Foundation and Max Planck Society International Research Award

The Alexander von Humboldt Foundation and the Max Planck Society jointly confer the Max Planck Research Award endowed by the Federal Ministry of Education and Research on exceptionally highly-qualified scientists and scholars from Germany and abroad. The researchers are expected to have already achieved international recognition and to continue to produce outstanding academic results in international cooperation – not least with the assistance of this award. The award is intended to give the award winners a flexible financial framework to begin, further or extend the research of their choice in cooperation with partners in Germany (for award winners from abroad) or abroad (for award winners from Germany).

On an annually-alternating basis, the call for nominations addresses areas within the natural and engineering sciences, the life sciences, and the humanities. By choosing specific areas, the Max Planck Society and the Alexander von Humboldt Foundation wish to give an additional impulse to disciplines which have not yet established themselves in Germany or which should be developed further.

As a rule, the award is endowed with EUR 750,000. Every year, two awards are conferred on internationally renowned academics – one of them working in Germany and the other one working abroad. Nominations of qualified **female academics** are especially welcome.

A joint, independent Alexander von Humboldt Foundation and Max Planck Society selection committee decides on the award winners and the amount of the award.

The Max Planck Society and the Alexander von Humboldt Foundation run the programme jointly. All financial transactions are managed by the Alexander von Humboldt Foundation. Award winners are integrated in both the support and alumni programmes for guest researchers of the Alexander von Humboldt Foundation and the specific measures run by the Max Planck Society.

1. Conferment of award

The Max Planck Research Award is jointly conferred by the Max Planck Society and the Alexander von Humboldt Foundation under the auspices of the Federal Ministry of Education and Research.

The scientists and scholars who have been selected are informed about the conferment of award in writing by the Alexander von Humboldt Foundation and the Max Planck Society (award letter). At the same time, a copy of the

award letter is sent by the Alexander von Humboldt Foundation to the nominating institutions in Germany.

The value of the award is stated in the award letter. It is determined by the selection committee and is final and binding.

The German-language text of both the award letter and this brochure, "Max Planck Research Award – Alexander von Humboldt Foundation and Max Planck Society International Research Award. Information and Recommendations for Award Winners / Regulations on the Use of Funds", is authoritative; the English-language text merely serves as a useful translation.

The award certificates will be bestowed on the award winners by the Federal Minister of Education and Research at an Award Ceremony in Berlin.

2. Acceptance of award and commencement of research work

By returning the declaration of acceptance, which accompanies the award letter, and the further award documents, the recipients of the award confirm that they accept the award and are in agreement with the conditions pertaining to the regulations governing the use of funds. The award funds are at the award winners' disposal for a period of three to a maximum of five years immediately following the conferment of award. As a matter of principle, an extension of the funding period is not intended.

The research work planned by the award winners commences as soon as possible, in the course of the calendar year of the award conferment at the latest.

The Alexander von Humboldt Foundation and the Max Planck Society have an interest in publicising the award conferment both nationally and internationally. Thus, award winners are requested to submit the names and addresses of the Presidents of their own universities or institutions who should be informed about the honour the award confers. The Presidents of the universities or research institutions named by award winners as their partners in international cooperation will also receive notification that the award has been granted. Furthermore, when the award winners commence their stay at German universities and research institutes, they will be presented on the corresponding Alexander von Humboldt Foundation's website:

<http://www.humboldt-foundation.de/web/award-winners-in-germany.html>.

This allows specialist colleagues in Germany to get into contact with them.

Detailed information about Max Planck Research award winners and their research work (since 2004) is available on the following website:

<http://www.humboldt-foundation.de/web/dossier-max-planck-award.html>.

3. Taxation

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

The Max Planck Society and the Alexander von Humboldt Foundation assume that the award will be classified as a grant towards a research project in Germany and, as such, be free of tax. Whether the proportion of the award funds earmarked for covering living expenses during a research stay in Germany (for award winners from abroad) or abroad (for award winners from Germany) is taxable should be examined individually. In this case, any existing double taxation agreements may be relevant.

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

4. German language courses

If award winners or their marital partners wish to attend German language courses, the Alexander von Humboldt Foundation is prepared, as far as possible, to bear the costs for the course. Application should be made in writing to the Alexander von Humboldt Foundation before the course begins (stating the duration, number of lessons and course fee). The Alexander von Humboldt Foundation expects a regular attendance. In the event of absence from lessons, the refund of course fees may be required.

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

5. Annual meetings of the Alexander von Humboldt Foundation and the Max Planck Society

The award winners and their families are invited to attend the annual meeting of the Alexander von Humboldt Foundation and the Max Planck Society.

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

6. Report on award winners' experiences

Apart from reports on work carried out and results achieved (cf. Regulations on the Use of Funds, VIII.), towards the end of the funding period, the Max Planck Society and the Alexander von Humboldt Foundation ask the award winners to submit a short, informal report including information on the scientific cooperation with their international partners, contacts to other research institutions as well as the award winners' and their families' personal impressions of their stay in Germany (for award winners from abroad) and abroad (for award winners from Germany). Comparisons with the situation in their own country are particularly interesting. Any suggestions about further development of the Max Planck Research Award and other sponsorship programmes are welcome.

The Alexander von Humboldt Foundation and the Max Planck Society also ask the international cooperation partners to report on their experiences in cooperating with the award winners.

For the Max Planck Society and the Alexander von Humboldt Foundation, the reports are both important and revealing; they will be evaluated carefully and confidentially. They can help the Alexander von Humboldt Foundation and the Max Planck Society to continue improving their programmes and making them as effective as possible.

B. General conditions and recommendations for the stay in Germany

The following pages contain practical advice and recommendations that are intended to help award winners from abroad prepare their research stay in Germany.

1. Entry requirements, visa

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

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

Citizens of *Australia, Brazil, Canada, Israel, Japan, New Zealand, the Republic of Korea and the USA* may enter Germany on a valid passport. They must apply for a residence permit at the Aliens' Registration Office immediately after arrival in Germany.

Citizens of *other countries* usually have to apply for an **entry visa** from the appropriate German diplomatic mission in their own country or country of residence before entering Germany. It is essential that the visa should be issued for the first place in Germany at which the stay is supposed to begin. One should **in no case** enter Germany on a tourist visa. It allows to stay in Germany for three months only and **cannot** be extended.

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

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

The so-called D-visa, issued in award winners' own countries, entitles to enter and stay in Germany for the duration of its validity (usually up to 90 days). Application may not be made for any other type of visa as extensions might be excluded.

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

In case a visa for merely a maximum duration of 90 days (Schengen Visa) is needed, an application form may be filled out online under <https://videx.diplo.de/videx/?2>. However, a print-out of the completed form must be submitted personally at the German diplomatic mission together with the necessary application documents. There is no online application form for long-term stays in Germany.

2. Registration, residence permit

On arrival in Germany, award winners must register within one week with the local **Residents' Registration Office** (which is usually located in the Town Hall or Municipal Offices) at the new place of residence. This also applies to accompanying family members. Registration forms can be obtained at stationers' shops or at the respective offices directly; some municipal authorities have included them on their websites. Any change of address in Germany has to be registered with the appropriate Residents' Registration Office within one week.

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, the Tax Identification Number of both the applicant and the child in question must be specified. Well before the visa expires, a **residence permit** must be applied for at the local **Aliens' Registration Office**. As the necessary processing often takes several weeks, it is recommended to make this application as early as possible. The following documents usually have to be submitted:

- completed application forms for a *residence permit*; forms are obtainable from the Aliens' Registration Office;
- *the registration document* from the Residents' Registration Office of the place of residence in Germany;
- proof of *health insurance cover* valid in Germany (for details cf. B.3.);
- in certain cases, a *health certificate* issued by a registered physician in Germany (Public Health Offices in many German towns carry out the required medical examination at a relatively low charge). Since a health certificate is not always required, award winners should make enquiries at the Aliens' Registration Office first of all. In general, foreign health certificates are not accepted; X-rays only if they are less than three months old;
- a valid *passport*;
- in certain cases, the *originals of birth certificate(s)* and, if applicable, *marriage certificate*;
- a recent *passport photograph*;
- a *copy of the award letter* of the Alexander von Humboldt Foundation and the Max Planck Society.

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

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

According to the *Decree on Residence (AufenthV)*, research fellows of the Alexander von Humboldt Foundation and the Max Planck Society 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).

Marital partners and unmarried underage children accompanying research fellows of the Max Planck Society and the Alexander von Humboldt Foundation 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 or the Max Planck Society.

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

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

Award winners and any members of their families accompanying them must have adequate health insurance coverage during the entire duration of their

research stay in Germany. The responsible Aliens' Registration Offices require proof of adequate health insurance before they will issue a residence permit. Any costs ensuing from illness or accident can neither be borne by the Alexander von Humboldt Foundation nor by the Max Planck Society nor by host institutes. It should be kept in mind that both out-patient and in-patient medical care are very expensive in Germany.

Health insurance coverage for a period of up to three months in Germany may be offered by award winners' existing insurance policies or companies at home. In such cases, the health insurance company must confirm **in writing** that it will also cover risks during the stay in Germany.

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

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

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

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

Attached to the award letter for Max Planck Research Awardees abroad are leaflets from various health insurance companies which offer coverage for the **medical treatment of acute illness not related to previous illness and in case of accident**. These companies also offer **liability insurance** and, in

some cases, additional insurance coverage for the holders of European Health Insurance Cards. The leaflets are also available on the Alexander von Humboldt Foundation's website at:

<http://www.humboldt-foundation.de/web/insurance.html>

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

Important advice on private (travel) health insurance:

- Illness and any consequences thereof which have been incurred before the insurance policy was taken out (not only chronic diseases) are excluded from insurance coverage. As some latent illnesses become acute as a result of a change of climate or eating habits (e.g., kidney and gall stones) award winners are urged to have a complete medical examination prior to departure from home and, if necessary, undergo treatment.
- No insurance schemes are prepared to take on the costs of pre-natal examinations and births if the mother has become pregnant before entering Germany. If necessary, before signing a contract, award winners should discuss under what conditions the insurance company would be prepared to take on the costs if pregnancy should occur during the time spent in Germany.
- Furthermore, it is necessary to make careful enquiries as to which other kinds of treatment are not covered by the insurance company (e.g., costs for routine and prophylactic medical examinations; vaccinations).
- The cost of treatment after an accident during a stay in Germany is covered by medical insurance.
- Especially if it is necessary to spend time in hospital, the requisite formalities and the costs which will be refunded should be discussed with the insurance company in detail.

If award winners or their accompanying family members should have to be admitted to hospital, then they should immediately present their insurance certificate and request that the hospital contact their insurance company to confirm that the costs will be covered. It should be made clear to the doctor or hospital providing the treatment that award winners are not so-called

private patients because the health insurance options enclosed in the award letter do not cover costs for special services such as single or double rooms or treatment by consultants or privately-affiliated doctors, so-called "Belegärzte".

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

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

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

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

Further insurance options:

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

The conditions and contents of insurance policies of each insurance company differ greatly. Before signing a contract it is advisable to obtain detailed information and to compare several policy quotes being considered. It is strongly recommended that it be determined whether the insurance coverage

is a cost effective solution for the respective individual situation, keeping in mind the limited time in Germany. Consideration should be given to how long contributions may be required and under what circumstances the insurance company will actually agree to pay out benefits.

4. Accommodation

It is often very difficult to find suitable accommodation. The Foundation recommends to contact as soon as possible the housing department of the Foreign Students' Advisory Office ("Akademisches Auslandsamt"), the International Office or the Welcome Centre of the hosting institution and to inform the cooperating partner in Germany of these activities. Guesthouses ("Gästehäuser") for scholars from abroad are operated at a number of universities (addresses can be downloaded from the Alexander von Humboldt Foundation's website under <http://www.humboldt-foundation.de/web/ibzen.html>). If accommodation at a guesthouse is desired, reservations should be made well in advance, because waiting lists can be lengthy.

5. Permission to drive in Germany

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

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

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

C. Alumni sponsorship and international networks of the Alexander von Humboldt Foundation and the Max Planck Society

The Alexander von Humboldt Foundation and the Max Planck Society undertake to maintain contacts with all award winners by providing information on the activities of the Foundation and the Society, inviting them

to attend network conferences in Germany and abroad and by offering funding possibilities for renewed research stays to Germany.

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

1. Invitation to renewed research stays to Germany

The Max Planck Society and the Alexander von Humboldt Foundation would like to see award winners abroad continue academic cooperation with specialist colleagues in Germany on a long-term basis. It is possible to invite award winners to spend a further period of research in Germany.

Research awards are granted only once. Invitations to renewed research stays serve the aim of continuing cooperation initiated during the award winner's original stay or to complete a joint research project. Short-term visits solely intended to gather information and material or to attend academic conferences in Germany can be supported by granting daily allowances.

Recommendations for invitations may be submitted for research stays commencing three years at the earliest after completion of the award winner's last funding; only scholars and scientists in Germany are entitled to make recommendations. They need not necessarily be the award winners' original nominating scholars.

Further details may be downloaded from the Internet:
<http://www.humboldt-foundation.de/web/invitation.html>.

2. 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.

3. Humboldt Colloquia and Humboldt Kollegs

The Alexander von Humboldt Foundation regularly organises colloquia abroad and invites Humboldtians from the country or region concerned to attend. The Foundation also invites scientists and scholars from Germany. Among these are often specialist members of the Alexander von Humboldt Foundation's selection committees. They hold lectures outlining the current

state of research in Germany and explore ways of intensifying cooperation with foreign research institutes. Furthermore, contacts among Humboldtians in a given area are established or renewed and opportunities afforded for personal talks with Alexander von Humboldt Foundation staff members. By visiting institutes of Humboldtians, members of the Humboldt delegation gain insight into the research situation in the countries in question. Information talks draw the attention of young scholars and scientists to the sponsorship opportunities offered by the Alexander von Humboldt Foundation.

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

Initiatives of Humboldt Alumni Associations and individual Humboldtians to organise regional and interdisciplinary conferences can be supported financially. The aim is to strengthen regional and interdisciplinary networking of Humboldtians. The organisers are responsible for the content of the so-called Humboldt Kollegs. Detailed information can be downloaded from the Foundation's website:

<http://www.humboldt-foundation.de/web/humboldt-kollegs-en.html>

4. Humboldt Alumni Associations

In many countries, Humboldtians have joined together to form Humboldt Alumni Associations, which cultivate social and professional contacts with one another, with the Alexander von Humboldt Foundation and with Germany. The Foundation gives full encouragement to these 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. The Alexander von Humboldt Foundation welcomes research award winners' participation in the activities of Alumni Associations. There is a Humboldt Alumni Association in Germany, as well. Addresses may be downloaded from the Foundation's Internet website:

<http://www.humboldt-foundation.de/web/alumni-associations.html>

5. Information on the Alexander von Humboldt Foundation's website

Under the address <http://www.humboldt-foundation.de/web/home.html>, the Alexander von Humboldt Foundation furnishes up-to-date information about its activities and programmes.

The **Humboldt Network** section of the Internet homepage (<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”** 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** (<http://www.humboldt-foundation.de/network-publications>). This is a special database containing bibliographical data of academic publications by Humboldtians resulting from sponsorship by the Alexander von Humboldt Foundation (from the year 2000 on). It also includes details of translations of German publications. The Alexander von Humboldt Foundation asks all Humboldtians to enter the bibliographic data of those publications in the Bibliographia Humboldtiana. The data are publicly accessible. Entries can also be made via Humboldt Life.

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

American Friends of the Alexander von Humboldt Foundation
1101 17th Street NW, Suite 603
Washington, DC 20036
USA
Tel.: (+1 202) 7831907
Email: info@americanfriends-of-avh.org
Website: <http://www.americanfriends-of-avh.org/>

6. Humboldt Life

Humboldt Life (<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.



MAX-PLANCK-GESELLSCHAFT



Alexander von Humboldt
Stiftung/Foundation

Max Planck Research Award

Alexander von Humboldt Foundation and Max Planck Society
International Research Award

– Regulations on the Use of Funds –

(June 2016)

Contents

Regulations on the Use of Funds (as of: June 2016)

- I. The programme and its objective
- II. Recipient of award funds, authority administering award funds
- III. Purpose, use and provision of award funds
- IV. Human and material resources
- V. Scientific equipment
- VI. Taxation, social security and other levies
- VII. Exploiting research results – publications, patents and licenses.
Use of the Alexander von Humboldt Foundation's logo
- VIII. Reports on the use of funds and audits
- IX. Rules of good scientific practice, legal regulations and general obligations
- X. General regulations

- Enclosure 1** "Agreements between the award winner and home institution or institution entrusted with the administration of award funds" form
- Enclosure 2** "Fund request" form
- Enclosure 3** "Report on the use of funds" form
- Enclosure 4** Rules of good scientific practice, procedures, and penalties in the event of malpractice

I. The programme and its objective

The Alexander von Humboldt Foundation and the Max Planck Society jointly confer the Max Planck Research Award endowed by the Federal Ministry of Education and Research on exceptionally highly-qualified scientists and scholars from Germany and abroad. The researchers are expected to have already achieved international recognition and to continue to produce outstanding academic results in international cooperation – not least with the assistance of this award. The award is intended to give the award winners a flexible financial framework to begin, further or extend the research of their choice in cooperation with partners in Germany (for award winners from abroad) or abroad (for award winners from Germany).

On an annually-alternating basis, the call for nominations addresses areas within the natural and engineering sciences, the life sciences, and the humanities. By choosing specific areas, the Max Planck Society and the Alexander von Humboldt Foundation wish to give an additional impulse to disciplines which have not yet established themselves in Germany or which should be developed further.

Every year, two awards are conferred on internationally renowned academics – one of them working in Germany and the other one working abroad.

II. Recipient of award funds, authority administering award funds

The Max Planck Society and the Alexander von Humboldt Foundation jointly administer the award. The financial aspects are administered by the Alexander von Humboldt Foundation.

The recipient of award funds is the award winner. The Alexander von Humboldt Foundation expects the home institution of the award winner or a cooperating partner institution in Germany – which has among other things the necessary knowledge of applicable labour, social security and collective bargaining law – to take on fiduciary responsibility for the administration of the award funds in the name of and on behalf of the award winner. For this purpose, an agreement must be concluded between the award winner and the home institution or institution entrusted with the administration of award funds, and submitted to the Alexander von Humboldt Foundation before the first instalment of the award funds is paid (cf. Form, Enclosure 1). The award funds are remitted to the institution entrusted with the administration of award funds at the award winner's request (cf. Form, Enclosure 2). The selection of this institution requires the approval of the Alexander von Humboldt Foundation. The approval is considered granted with the transfer of the first instalment of award funds.

III. Purpose, use and provision of award funds

As soon as the award has been conferred, the award winner is entitled to the award funds as stated in the Alexander von Humboldt Foundation's and Max Planck Society's letter about the conferment of award (award letter). The amount is placed at the award winner's disposal to carry out research of his or her own choice over a period of 3 to a maximum of 5 years. As a matter of principle, an extension of the funding period is not intended.

The award funds are intended to finance the award winner's scientific work and may be used to cover all expenses which serve this purpose (including the necessary equipment and material, personnel, travel expenses, etc.). The goal of the work under the auspices of the award is to initiate and conduct research with partners in Germany or abroad. Up to 20% of the award funds may be used for the procurement of scientific equipment. A substantial portion of the award funds should be used to include students and young scientists from Germany and abroad in the research work.

Up to 20% of the award funds (up to 10,000 EUR per month) may be used to cover the award winner's living expenses during his or her research stay in Germany (for award winners from abroad) or abroad (for award winners from Germany). If the award winner continues to receive a regular salary (e.g. from a professorship), then that amount – up to 5,000 EUR – is to be set against the amount allocated for living expenses. In Germany, this salary is subject to income tax; abroad, the legal regulations of the respective country apply. The award funds or portions thereof used for personal salary of the award winner may not exceed that amount.

The home institution, where the award winner conducts his or her research, or the institution entrusted with the administration of award funds, may receive a flat-rate payment (a total of up to 15%) from the award funds (administrative flat-rate). It can be used to cover any costs resulting from the use of existing and/or specifically acquired material or specifically created personnel infrastructure (e.g. general institute facilities, laboratories or workrooms, operating and maintenance costs, finance and personnel management and auditing). For this purpose, an agreement must be concluded between the award winner and his or her home institution or institution entrusted with the administration of award funds, and submitted to the Alexander von Humboldt Foundation before the first instalment of award funds is paid (cf. Form, Enclosure 1).

The home institution or the institution entrusted with the administration of award funds may place unused funds from the administrative flat-rate at the disposal of the award winner to carry out his or her research work.

The award funds must be used economically and prudently.

The award funds are paid in instalments by the Alexander von Humboldt Foundation. Funds transferred abroad will be subject to the exchange rate determined by the bank responsible for the transaction. The first instalment is available on request (cf. Form, Enclosure 2) as soon as the recipient of the award has:

- accepted the award by returning the written declaration of acceptance to the Alexander von Humboldt Foundation,
- submitted the signed "Agreements between the award winner and the institution entrusted with the administration of award funds" (cf. Form, Enclosure 1),
- submitted a project outline and financial plan,
- submitted information on planned research stays in Germany (for award winners from abroad) or abroad (for award winners from Germany) where applicable, and
- submitted the "Fund Request" (cf. Form, Enclosure 2) to the Alexander von Humboldt Foundation.

Payments of award funds are dependent on the availability of budgetary means.

Any interest accrued during the funding period must be used for the research project.

IV. Human and material resources

The award winner and his or her home institution or the institution entrusted with the administration of award funds come to a mutual agreement (cf. Form, Enclosure 1) on the procedure for employing staff during the funding period and on the regulations governing the awarding of assignments or conclusion of other contracts. The home institution or the institution entrusted with the administration of award funds acts as employer on behalf of the award winner. This status is based upon the local, standard legal general conditions governing the use of public funds applicable at the home institution or the institution entrusted with the administration of award funds (especially with respect to labour, social security and collective bargaining law). The same applies to the use of material resources, particularly expenditure on travel and the awarding of assignments to third parties. Salaries may not exceed the state and local customary norm. The award winner may earmark part of the award funds which the home institution or the institution entrusted with the

administration of award funds may use to grant fellowships, particularly to guest researchers from abroad. The basis for determining the value of the fellowships should be the monthly instalments paid by the German Academic Exchange Service and the Alexander von Humboldt Foundation to graduate and post-doc fellows respectively. In all other countries the local customary amounts are to be used.

V. Scientific equipment

Scientific equipment financed from the award funds is purchased by the home institution or the institution entrusted with the administration of award funds in the name of and on behalf of the award winner in accordance with his or her requirements. Upon purchase, it immediately becomes the property of the home institution or cooperating partner institution. Equipment with a procurement or production value of more than EUR 410 (excluding purchase tax) passes into the inventory of the respective institution and must continue to be used for scientific purposes when the funding period comes to an end. The respective institution ensures that the necessary technical and financial conditions for installing and operating the equipment exist and that the award winner has the full right of disposition over the equipment during the entire funding period. The equipment remains the property of the home institution or cooperating institution in Germany in the event that the award winner transfers to another institution. The award winner may only remove the equipment to another institution in mutual agreement with the respective institution and with prior written authorisation by the Alexander von Humboldt Foundation.

VI. Taxation, social security and other levies

The award winner bears responsibility for all matters relating to taxation, customs, employment and social security legislation and for observing all other laws and state regulations; administrative responsibility lies with the home institution or the institution entrusted with the administration of award funds. A letter of intent to this effect must be submitted to the Alexander von Humboldt Foundation (cf. Form, Enclosure 1). Particular attention is drawn to special tax regulations in respect of fellowships as well as work and service contracts in Germany and, if applicable, abroad.

VII. Exploiting research results – publications, patents and licenses. Use of the Alexander von Humboldt Foundation's logo

The Max Planck Society and the Alexander von Humboldt Foundation consider it important that research results achieved in the framework of sponsorship be published. In publications and all other (especially public) presentations, appropriate reference should be made to the funding provided by the Alexander von Humboldt Foundation and the Max Planck Society as well as the donor, the Federal Ministry of Education and Research:

- In publications, an appropriate place must be chosen to state that funding has been provided by the Max Planck Society and the Alexander von Humboldt Foundation in the framework of the Max Planck Research Award endowed by the Federal Ministry of Education and Research.
- Publications, stating the title and bibliographical details, must be entered in the data-base "Bibliographia Humboldtiana" of the service portal "My Humboldt" on the Alexander von Humboldt Foundation's website <http://www.humboldt-foundation.de/web/my-humboldt.html>. They can also be entered via Humboldt Life: <http://www.humboldt-life.de>
- If award winners are interested in publishing research results in the fields of chemistry, physics, mathematics or informatics through the *German National Library of Science and Technology – German Research Reports (TIB)*, they can contact the TIB directly:

Postal address

for letters:

for parcels:

Technische Informationsbibliothek

Deutsche Forschungsberichte

Postfach 6080

30060 Hannover

Technische

Informationsbibliothek

Deutsche Forschungsberichte

Welfengarten 1B

30167 Hannover

E-mail: dtf-edok@tib.uni-hannover.de

Any further questions may be directed to Dr. Elzbieta Gabrys-Deutscher – Elzbieta.Gabrys@tib.uni-hannover.de

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 3 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" in an electronic file format that conforms to the specific requirements for print: <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.

The Alexander von Humboldt Foundation and the Max Planck Society consider it important that research results achieved in the framework of sponsorship, not least in Germany itself, be utilised. Commercially-utilisable results should be adequately protected (particularly by patents and utility models) and exploited:

- Research results potentially eligible for commercial exploitation must be presented to the appropriate agencies, such as industry. If it seems recommendable to register a patent or similar legal protection for research results, it is essential, for legal reasons, to start proceedings **before** publishing the relevant results. The people to contact specialised in registering patents and legally protecting research results are patent agents ("Patentanwälte") and patent broking companies ("Patentverwertungsstellen/ -agenturen"). All related matters (legal questions, whom to contact about publication, registering patents etc.) must be clarified with the home institution or the institution entrusted with the administration of award funds directly.
- If research is conducted abroad, the Max Planck Society and the Alexander von Humboldt Foundation expect that both research results as well as licenses, patents etc. are offered and exploited in Germany, too.

- The legal relationship between the award winner and the home institution or the institution entrusted with the administration of award funds is governed by the locally applying legal regulations. In Germany, the provisions of the German "Employees Invention Act" apply, whereby the award winner should enjoy the same status as a professor in the legal context. A written agreement to this effect between the award winner and the home institution or institution entrusted with the administration of award funds must be submitted to the Alexander von Humboldt Foundation (cf. Form, Enclosure 1).

VIII. Reports on the use of funds and audits

By April 30th of each year, the award winner is required to submit a brief report on work carried out and results achieved in the preceding calendar year as well as a numerical (interim) report on the use of funds (cf. Form, Enclosure 3). A detailed final report on work carried out and results achieved, and a numerical report on the use of (total) funds for the entire funding period must be submitted not later than 4 months after the funding period has come to an end. The report on work must present the results achieved in detail and go into the most important items in the numerical report on the use of funds. Reports on work may be passed on to the Alexander von Humboldt Foundation's and the Max Planck Society's peer reviewers. The Max Planck Society and the Alexander von Humboldt Foundation reserve the right to evaluate and publish these reports. As far as these reports contain information deserving special protection, e.g. relevant to patent law, this must be particularly indicated. In this respect, the Max Planck Society and the Alexander von Humboldt Foundation would come to an agreement with the award winner prior to a possible publication.

The award winner must certify that the award funds have been used in accordance with their stated purpose as well as economically and prudently. The department authorised to represent the institution entrusted with the administration of award funds in personnel and business matters must certify that the facts and figures in the report on the use of funds are correct. If this institution has its own auditors, they must review and endorse that the award funds have been used in accordance with their stated purpose as well as economically and prudently. If the audit cannot be carried out at this institution, then an external auditor must be commissioned to conduct the audit. The costs for this may be deducted from the administrative flat-rate. After the reports on the use of funds have been submitted, the institution entrusted with the administration of award funds must retain the receipts for the period stated in its regulations, for at least six years.

Any award funds that remain unused after completion of the final accounts must be returned to the Alexander von Humboldt Foundation.

The Alexander von Humboldt Foundation or its authorised representative is entitled to request the submission of books, receipts and other business records and to verify the use of the award funds in local surveys at any time. The award winner and the institution entrusted with the administration of award funds must give written approval for this procedure and submit it to the Alexander von Humboldt Foundation (cf. Form, Enclosure 1).

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

The award recognises the entire academic record to date and the personality of outstanding scientists and scholars. When carrying out the research work funded, award winners are obligated to comply with the rules of good scientific practice and the relevant laws that apply at the respective research location, and to the Alexander von Humboldt Foundation as well as to the Max Planck Society. Besides personal integrity it is further assumed that award winners have observed the applicable regulations and laws also in the previous research they have conducted.

By accepting the award, the award winners obligate themselves:

1. to notify the Alexander von Humboldt Foundation immediately if the intended use of funds is altered or no longer relevant. This also applies to anything more than just minor changes to the research project (cf. III., "project outline");
2. when carrying out the research work funded, to comply in particular with:
 - the rules of good scientific practice (cf. Enclosure 4);
 - when planning and carrying out experiments on human subjects
 - a. the World Medical Association Declaration of Helsinki – Ethical Principles for Medical Research Involving Human Subjects in the revised version of October 2013:
[http://www.wma.net/en/30publications/10policies/b3/index.html.pdf?print-media-type&footer-right=\[page\]/\[toPage\]](http://www.wma.net/en/30publications/10policies/b3/index.html.pdf?print-media-type&footer-right=[page]/[toPage]);
 - b. the German Embryo Protection Act (Gesetz zum Schutz von Embryonen, ESchG), as amended:
<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: <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: <http://www.gesetze-im-internet.de/tierschg/BJNR012770972.html>;
 - when planning and carrying out genetic engineering experiments, the regulations of the German Genetic Engineering Act (Gesetz zur Regelung der Gentechnik, GenTG) and the relevant implementing rules, as amended: <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 (<https://www.cbd.int/abs/doc/protocol/nagoya-protocol-en.pdf>):
 - a. Regulation (EU) No 511/2014 on Compliance Measures for Users from the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization in the Union: <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32014R0511&from=DE>;
 - 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/PDF/?uri=CELEX:32015R1866&from=DE>;
 - 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: [http://www.bgbl.de/xaver/bgbl/start.xav#_bgbl_%2F%2F*\[%40attrid%3D%27bgbl115s2092.pdf%27\]_1458660897684](http://www.bgbl.de/xaver/bgbl/start.xav#_bgbl_%2F%2F*[%40attrid%3D%27bgbl115s2092.pdf%27]_1458660897684); and
 - when transferring knowledge abroad, which could be of importance to the military or the armaments industry of the transfer countries, the respective valid version of the relevant regulations in the Federal Republic of Germany's foreign trade law and foreign trade decrees as well as further relevant implementation rules: http://www.gesetze-im-internet.de/awg_2013/index.html and http://www.gesetze-im-internet.de/awv_2013/index.html;
3. to inform the Alexander von Humboldt Foundation immediately of applications for or any further funding granted for the same purpose;

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

X. General regulations

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

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

Should the Regulations on the Use of Funds fail to be respected, the Max Planck Society and the Alexander von Humboldt Foundation reserve the right to revoke the decision on conferring the award in part or in full and to demand repayment of the award funds or parts thereof. This also applies if the award winner makes false statements during the funding period or if other serious facts emerge which would have militated against the conferment of the award had they been known to the selection committee at the time. The procedures and penalties in the event of violations of the Regulations on the Use of Funds and especially in case of scientific or other malpractice are detailed in the document "Rules of good scientific practice, procedures, and penalties in the event of malpractice" (cf. Enclosure 4).

The Alexander von Humboldt Foundation and the Max Planck Society reserve the right to amend the Regulations on the Use of Funds at any time, provided that the amendments, while taking the interests of the Max Planck Society and the Alexander von Humboldt Foundation into account, are reasonable vis-à-vis the award winner. Amendments will be announced to the award winner in writing well in advance. The amendments are considered to have been approved if the award winner has not lodged an objection within 4 weeks. In the event of an objection, the Alexander von Humboldt Foundation and the Max Planck Society reserve the right to cease funding within a reasonable period of time.

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

(as of: June 2016)

Max Planck Research Award

Agreements between the award winner and the home institution, respectively institution entrusted with the administration of award funds

Award winner:

Home institution, respectively institution entrusted with the administration of award funds:

The above-mentioned institution and the award winner have reached the following agreements:

a) Purpose and administration of award funds:

The award funds are intended to finance the award winner's scientific work in cooperation with partners in Germany (for award winners from abroad) or abroad (for award winners from Germany). The institution entrusted with the administration of award funds has taken note of the Regulations on the Use of Funds enclosed in the award documents and will support the award winner to the best of its ability while observing these regulations. In addition, the following agreements have been concluded:

b) Agreement on the administrative flat rate (cf. Regulations on the Use of Funds, III.):

The home institution, where the award winner conducts his or her research, or the institution entrusted with the administration of award funds, may receive a flat-rate payment (a total of up to 15%) from the award funds (administrative flat-rate). It can be used to cover any costs resulting from the use of existing and/or specifically acquired material or specifically created personnel infrastructure (e.g. general institute facilities, laboratories or workrooms, operating and maintenance costs, finance and personnel management and auditing).

Accordingly, the institution entrusted with the administration of award funds will receive an administrative flat-rate amounting to ____% (in words: ____ percent) of the award and will use it in accordance with its stated purpose as well as economically and prudently.

c) Agreement on the administration of award funds as well as taxation, customs, employment and social security matters; furthermore, on compliance with other laws and state regulations (letter of intent; cf. Regulations on the Use of Funds II., IV., VI., VIII., IX.):

The award winner bears responsibility for all matters relating to taxation, customs, employment and social security legislation and for observing all other laws and state regulations; administrative responsibility lies with the home institution or institution entrusted with the administration of award funds. The latter acts as employer on behalf of the award winner, takes on responsibility for the administration of award funds and retains the receipts for the period stated in its own regulations, for at least six years.

d) Agreement on patents and licenses (cf. Regulations on the Use of Funds, VII.):

The legal relationship between the award winner and the home institution or the institution entrusted with the administration of award funds is governed by the locally applying legal regulations – in Germany by the provisions of the German "Employees Invention Act", whereby the award winner should enjoy the same status as a professor in the legal context.

p.t.o.

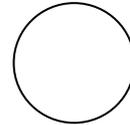
e) Agreement on the right to audit (cf. Regulations on the Use of Funds, VIII.):

The Alexander von Humboldt Foundation or its authorised representative is entitled to request the submission of books, receipts and other business records and to verify the use of award funds in local surveys at any time.

Alterations and additions to these agreements require the authorisation of the Alexander von Humboldt Foundation.

Place and date

Award winner's personal signature



Designation and official stamp of the department authorised to represent the institution entrusted with the administration of award funds in personnel and business matters

Place and date

Name of signatory

Personal signature

**Max-Planck-Forschungspreis / Max Planck Research Award
Preisgeldabruf / Fund Request**

Preisträger/in / Award winner:

Mit der Verwaltung des Preisgeldes betraute Institution /
Institution entrusted with the administration of award funds:

Benötigtes Preisgeld / Award funds required:

Jahr/Year	2016	2017	2018	2019	2020	2021	Gesamt /Total
1. Personalmittel (Hinweis: Mittel zur Deckung des Lebensunterhaltes des/r deutschen/ausländischen Preisträgers/in im Ausland/in Deutschland – max. 10.000,- EUR pro Monat max. 20% des Preisgeldes) <i>Human resources (please note: funds to cover German award winner's living expenses abroad / foreign award winner's living expenses in Germany – max. of 10,000 EUR per month, max. of 20% of award funds)</i>	EUR						
2. Sachmittel (Hinweis: Geräte max. 20% des Preisgeldes) / Material Resources (please note: equipment max. 20% of award funds)	EUR						
3. Verwaltungspauschale (bis zu 15% des Preisgeldes) / Administrative flat-rate (up to 15% of award funds)	EUR						
Summe/Total	EUR						

Die Auszahlung erfolgt in Teilbeträgen – je nach Verfügbarkeit der Haushaltsmittel – sobald wie möglich. / Payments are made in instalments and are effected – depending on the availability of budgetary means – as soon as possible.

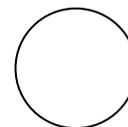
Kontoverbindung der mit der Verwaltung des Preisgeldes betrauten Institution: /
Bank account of the institution entrusted with the administration of award funds:

Kontoinhaber/in / Account holder	
Name der Bank / Name of the bank	
BIC	
IBAN / Kontonummer / Account number	
Evtl. Verwendungszweck / Intended use if applicable	

Ort und Datum / Place and date

Eigenhändige Unterschrift des/r Preisträgers/in /
Award winner's personal signature

Wir haben bei der Erstellung dieses Preisgeldabrufes mitgewirkt /
We have assisted in the preparation of this Fund Request:



Bezeichnung und Dienststempel der Stelle, die zuständig ist, die mit der Verwaltung des Preisgeldes betraute Institution im Bereich der Personal- und Wirtschaftsverwaltung zu vertreten. / Designation and official stamp of the department authorised to represent the institution entrusted with the administration of award funds in personnel and business matters.

Ort und Datum / Place and date

Name der/s Unterzeichnenden
Name of signatory

Eigenhändige Unterschrift
Personal signature

Max Planck Research Award

Report on the use of funds

for the period from to
 Interim report / Report on the use of funds – *please delete as applicable*

Award winner: _____

Home institution or institution entrusted with the administration of award funds: _____

Total amount of award funds: _____

Total funding period: _____

Report recorded in: Euro
 other currency: _____ (please indicate).¹

A. Report on the work carried out and results achieved (please attach as separate enclosure)

B. Numerical report for the report period fromto

Cash balance at the beginning of the report period:

Award funds accrued during the report period:

Interest accrued during the report period:

Total of disposable award funds during the report period _____

Expenses paid from award funds:

1. Human resources:

of these: award winner's living expenses during research stay abroad/in Germany:

2. Material resources:

2.1 Scientific equipment

Items with a procurement or production value of more than EUR 410 (excluding purchase tax) are included in the home institution's or cooperating partner institution's inventory. They are available to be used for scientific purposes as of the end of the funding period.

2.2 Travel expenses:

2.3 Consumables/other:

3. Administrative flat-rate:

Total expenditure during the report period: _____

Cash balance at the end of the report period: _____

p.t.o.

¹ The Report on the Use of Funds is to be submitted in the currency in which the award funds were credited to the account of the institution entrusted with the administration of the award funds.

After submitting the report on the use of funds, receipts will be retained by the institution entrusted with the administration of funds for the period stated in its regulations, for at least six years.

The report on work carried out and results achieved is enclosed.

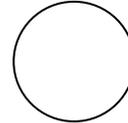
The Regulations on the Use of Funds have been observed.

The award funds have been used economically and prudently.

Place and Date

Award winner's personal signature

It is herewith certified that the above-cited facts and figures are correct:



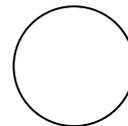
Designation and official stamp of the department authorised to represent the institution entrusted with the administration of funds in personnel and business matters

Place and date

Name of signatory

Personal signature

It is herewith certified that the award funds have been used in accordance with their stated purpose as well as economically and prudently and, furthermore, that the transactions and receipts correspond with the data:



Designation and official stamp of the auditing body

Please indicate:

- Department of the institution entrusted with the administration of funds authorised to conduct internal audits.
- External auditor

Place and date

Name of signatory

Personal signature

Rules of good scientific practice, procedures, and penalties in the event of malpractice

1. Rules of good scientific practice

- 1.1. Those sponsored by the Alexander von Humboldt Foundation are obligated to inform themselves about and comply with the rules of good scientific practice that are in effect at their host institution.
- 1.2. Moreover, those sponsored are to pledge themselves, and the staff they employ in the framework of Alexander von Humboldt Foundation funding, to observe the rules of good scientific practice below. Violations of these rules or scientific or other malpractice (see paragraphs 2 and 3) may result in the penalties described in paragraph 4.
- 1.3. The following principles constitute the rules of good scientific practice, both in general and specified to the individual disciplines as necessary:
 - *General principles of scientific work*
 - to work in accordance with the accepted standards of the discipline;
 - to observe the rules specific to the respective discipline with regard to the attaining, selecting, using, documenting, and long-term securing of data and other findings;
 - to challenge consistently all one's own findings;
 - to maintain strict honesty with regard to the contributions of partners, competitors, and predecessors.
 - *Cooperation and supervisory responsibility in working groups*
 - to assure cooperation and supervisory responsibility in working groups; in particular, to take organisational measures to ensure that the tasks of leadership, supervision, conflict management, and quality assurance are clearly assigned and actually fulfilled;
 - not to compromise research activities of others.
 - *Supervision of junior researchers*
 - to ensure appropriate supervision for graduates, doctoral candidates, and students, in particular by providing each of them with a primary mentor in the working group. Responsibility for promoting junior researchers is a top-level management priority.
 - *Scientific publications:*
 - to produce and disseminate scientific publications in accordance with the accepted rules and standards of the discipline; and, in particular when new findings are to be published, to describe these findings and the applied methods completely and comprehensibly as well as account for one's own and others' preliminary work exhaustively and correctly.

- If several participants are involved in a scientific project and its subsequent publication, only those can be named as co-authors who significantly contributed to the conceptual design, formulation, analysis and interpretation of the data or findings, and the drafting of the manuscript, and have consented to its publication; so-called 'honorary authorship' is not permissible; third-party support is to be listed under acknowledgements.

2. Scientific or other malpractice

2.1. Scientific malpractice is the misrepresentation of facts in a scientific context, either consciously or due to gross negligence, infringement of intellectual property of others, or any other encroachment upon others' research activities. Decisions will be made on a case-by-case basis. The following, in particular, can be considered scientific malpractice:

2.1.1. *Misrepresentation of facts* such as

- 2.1.1.1. forging or distorting data, for example by selecting and rejecting undesirable results without declaring them, or by manipulating illustrations or images;
- 2.1.1.2. false information in an application or a funding proposal, including false information about the publication organ and publications in print.

2.1.2. *Infringement of intellectual property* concerning copyrighted work by others or significant scientific findings, hypotheses, teachings, or research approaches by others such as

- 2.1.2.1. unauthorized 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. unauthorized publication and unauthorized 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 authorized 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 probable cause plausibly, the Alexander von Humboldt Foundation may impose one of the above-mentioned penalties. Prior to making the decision, the Alexander von Humboldt Foundation may request an expert opinion on the existence of malpractice from the Ombudsman of the DFG or a comparable body affiliated with the host institution.

5. Scope of application, coming into effect, and temporary provisions

The above regulations apply to academics who receive sponsorship from the Alexander von Humboldt Foundation as well as applicants for funding, host institutions, alumni, members of selection committees and peer reviewers of the Alexander von Humboldt Foundation.

The regulations take effect on 01.08.2007. Individual sponsorship activities that have been concluded by this date will not be affected by these regulations, but are subject to the general rule that the Alexander von Humboldt Foundation can alter or revoke its funding decisions if circumstances are brought to its attention after the fact that would have led to a different decision on the part of the Alexander von Humboldt Foundation.