



The Philipp Schwartz Initiative of the Alexander von Humboldt Foundation Programme Guidelines (3rd Call)

(Last updated: 08 February 2017)

A. Allocation and Funding Guidelines of the Philipp Schwartz Initiative

Within the framework of the Philipp Schwartz Initiative, the Alexander von Humboldt Foundation (AvH) provides institutions in Germany (universities and other research institutions, see Programme Information) with the financial means to host and sponsor threatened foreign researchers at their respective establishments in the context of a fixed-rate funding programme. Its purpose is to create an incentive for the host institutions to raise additional funds. The binding provisions applicable to the above are as follows:

- the Programme Information as of 01 July 2016 (Appendix 1)
- the Fellowship Guidelines of the Federal Foreign Office in the latest version (as of 16 December 2011) (Appendices 2 a and b)
- the Special Auxiliary Conditions for Allocations Provided by the Federal Foreign Office (BNBest-AA), as of September 2014 (Appendix 3)
- the General Auxiliary Conditions for Allocations for the Promotion of Projects (ANBest-P), as of September 2016 (Appendix 4)

The Programme Guidelines described below supplement and specify the aforementioned provisions.

The disbursement of funding is subject to the availability of resources.

B. Application by the host institution

The host institution is responsible for submitting a complete application including the following elements, beginning with the Cover Sheet (Appendix 5):

1. the host institution's concept for the creation of a sustainable support infrastructure for threatened researchers (Appendix 6); institutions which were successful in a previous call do not need to re-submit
2. application for a Philipp Schwartz fellowship including confirmation that the researcher is threatened (Appendix 7)
3. Financing Plan (Appendix 8)

The application should be sent electronically to schwartz-initiative@avh.de. Electronic signatures are not, however, accepted. Please scan and send the application form you have signed personally.

C. Allocation agreement

In the event of a positive selection decision, a grant letter will be issued, together with an acceptance form, which must be signed by the head of the host institution or an authorised representative and returned to the AvH. This represents the allocation agreement.

D. Request for funds, payment and repayment

Upon receipt of the signed allocation agreement by the AvH, funds may be requested via the fund request form provided for this purpose. The funds may only be requested to the extent that it is required within six weeks of payment by the AvH for payments due, and not before (no. 1.4 ANBest-P). The funds must be used exclusively within the period of entitlement. The period of entitlement shall initially begin on 1 August 2017. Where there are valid reasons (especially delayed exit beyond the control of the applicant), it may be possible to postpone commencement for a limited period, on application.

Funds received and no longer required must be transferred back to the AvH account specified in the allocation agreement at the earliest opportunity (regardless of the time limit stipulated for the submission of the proof of employment of funds), as otherwise interest may have to be levied. The financing plan must be amended accordingly.

The one-off lump sum of 12,000 EUR shall be paid on request according to need. The allocation recipient shall be obliged to use these funds in accordance with the specifications formulated in the Programme Guidelines, and the precise usage must be accounted for in accordance with the relevant regulations.

E. Proof of employment of funds / documentation

The proof of employment of funds conforms to the terms and conditions regulated by the ANBest-P as of September 2016 (Appendix 4). The following diverging or supplementary requirements to the above are hereby determined:

- The interim report (No. 6.1, Sentence 2, ANBest-P) must be submitted to the AvH by 15 February of the following year at the latest.
- The (overall) proof of employment of funds must be submitted to the AvH three months after the funding period at the latest.
- To this end, the following drafts should be used:
 - Substantive Report (Appendix 9)
 - Numerical Report (Appendix 10) including corresponding list of receipts
 - Itemised information regarding the fellowship recipients (see Appendix 11)
 - Handouts: Information on completing financial reports (Appendix 12) and template for the list of receipts (Appendix 13)

Hard copies of the required documentation including all the relevant original signatures must be submitted by post (in order to meet the deadline, also by email in advance to schwartz-initiative@avh.de). All relevant documentation related to funding within the Philipp Schwartz Initiative must be retained by the institution funded for a period of six years after the conclusion of the year in which the proof of employment of funds is submitted for purposes of inspection.

F. PR activities

The host institution shall be obliged to take the following into account in the context of its communication and PR activities:

- As regards the fellowship recipients: The funding shall constitute "Philipp Schwartz fellowships of the host institution X". This is unrelated to the Humboldt Research Fellowship programme, and inclusion within the Humboldt Network is not possible. The use of the Humboldt Foundation logo in correspondence with fellowship recipients is not foreseen either.

- The host institution shall be obliged to seek the permission of fellowship recipients as far as the public announcement of their fellowships is concerned. If such permission is withheld, no announcement may be made.
- As regards the general public: "Within the framework of the Philipp Schwartz Initiative of the Alexander von Humboldt Foundation, funded by the Federal Foreign Office and private foundations, University X has been given the opportunity to award Philipp Schwartz fellowships to threatened individuals...".

G. Regulations governing the allocation of fellowships

The application requirements, funding opportunities and funding support are detailed in the specifications of the Programme Information and in the provisions listed in section A.

The funding shall constitute "Philipp Schwartz fellowships of the host institution X" (without the addition "for threatened researchers").

The host institution shall assume the role of fellowship-granting agency for their Philipp Schwartz fellows, including the entire administration in accordance with the additional local procedures and regulations applying to the awarding of fellowships. This shall also apply to all fellowship-related documentation (e.g. fellowship confirmation letter, acceptance form, fellowship certificates etc.) and the regulation of administrative issues (e.g. residential status of the fellows, health insurance cover, proof of financing, accommodation, etc.). The points specified under "PR activities" must be taken into consideration. In addition, the host institution shall be obliged to guarantee secure communication with the fellowship recipients, in order to avoid endangering them in individual cases.

H. Selection procedure

The selection of individuals to be funded by means of Philipp Schwartz fellowships shall be made by the host institution taking account of the key points stipulated in the Programme Information.

I. Termination of the fellowship and repayment obligation

The fellows must be obligated in writing to inform the host institution of all changes in circumstances relevant to the award and amount of the fellowship, this with immediate effect. In the event that grounds for the fellowship's termination are ascertained, the contract with the fellow must be terminated, the fellowship benefits discontinued by the host institution and any benefits obtained unjustly reclaimed and repaid to the AvH. The fellowship confirmation letter must contain a proviso to this effect. In the event of a fellowship's cancellation, it is possible to fund another individual matching the profile described in the programme information for the remaining term of the fellowship, this by agreement with the AvH.