



Alexander von Humboldt
Stiftung/Foundation

Alexander von Humboldt Professorship
International Award for Research in Germany

- Regulations on the Use of Funds -

(April 2018)

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Regulations on the Use of Funds (as of: April 2018)

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I. The programme and its objective

On the strength of an endowment from the Federal Ministry of Education and Research in the context of the *International Research Fund for Germany*, the Alexander von Humboldt Foundation is granting the Alexander von Humboldt Professorship to academics of all disciplines from abroad, who are internationally recognised as leaders in their field, allowing them to pursue ground-breaking research at universities and research institutions in Germany. Virtually unaffected by administrative constraints, they will enjoy a high degree of freedom in creating their own working conditions.

Academics from abroad are eligible to be nominated for this International Award for Research in Germany if they are at the forefront of their discipline and are expected to contribute to enhancing Germany's sustained international competitiveness as a research location in consequence of the award.

The award funds, totalling 5 million EUR for academics in experimental disciplines and 3.5 million EUR for researchers in theoretical disciplines, are being made available over a period of five years. Even by international comparison, it allows award winners to profit from competitive general conditions that create the basis for a long-term academic future in Germany. This applies both to their personal income and the financial resources for their research work. The award funds enable the award winners to continue the research work they have been carrying out abroad in Germany without interruption, or to begin new projects.

Universities and non-university research institutions in Germany profit from academic expertise from abroad and thus gain support for their own strategic (re-)orientation. It is also an opportunity for them to attract established cutting-edge researchers from abroad to their own institutions on an enduring basis, in order to invigorate their international cooperation, and to consolidate any links resulting from it.

II. Recipient of award funds, authority administering award funds

The recipient of award funds is the award winner. The Alexander von Humboldt Foundation expects the receiving institution in Germany, at which the award winner carries out his or her research work, 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 receiving institution, 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 receiving institution at the award winner's request (cf. Form, Enclosure 2).

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 letter about the conferment of award (award letter) to carry out research of his or her own choice in Germany over a period of five years. As a matter of principle, an extension of the funding period is not intended.

The award winner must use the award funds to carry out his or her research work at the receiving institution in Germany. The award funds may be used to cover all expenses serving this purpose (including the necessary equipment and material, personnel, travel expenses, etc.). The award winner may draw a monthly sum from the award funds (totalling 1/12 of the yearly salary) for his or her personal income. The amount of the yearly salary from the award funds is determined by the receiving institution; it can amount to up to 180,000 EUR p. a. Other income, including additional salary payments by the receiving institution or from third parties, will not be set against this.

The award winner is otherwise free to determine contractual details concerning his or her personal income from the award funds within the valid legal regulations as well as regulations with regard to collective bargaining and salary law in agreement with the receiving institution. The amount of the yearly salary from the award funds determined by the receiving institution (up to 180,000 EUR p. a.) must not be exceeded.

The receiving institution in Germany receives a flat-rate payment of 15% from the award funds (administrative flat-rate). It can be used to help 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). In addition, the administrative flat-rate may be used to finance e.g. "welcome packages" that provide measures to integrate the award winner into his or her new living environment and into the research institution, including support for the professional integration of the award winner's partner, reserves for salary supplements after the funding period comes to an end, or compensation for the loss of retirement savings that were accrued abroad, etc.

The receiving institution 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. 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 and
- successfully concluded appointment negotiations with the receiving institution,
- submitted the signed "Agreements between the award winner and the receiving institution" (cf. Form, Enclosure 1),
- submitted a project outline and financial plan and
- submitted the "Fund Request" (cf. Form, Enclosure 2) to the Alexander von Humboldt Foundation.

The following deadlines must be observed (the date of the Alexander von Humboldt Foundation's award letter serves as reference date):

- within 4 weeks at the latest: submission of written declaration of acceptance;
- within 8 months at the latest: successful conclusion of appointment negotiations with the receiving institution, submission of "Agreements between the award winner and the receiving institution" (cf. Form, Enclosure 1), as well as project outline and financial plan,
- within 12 months at the latest: award winner begins his or her research work at the receiving institution in Germany.

In case these deadlines are not met, the Alexander von Humboldt Foundation reserves the right to revoke the conferment of award.

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 the receiving institution 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 receiving institution acts as employer on behalf of the award winner. This status is based upon the standard legal general conditions governing the use of public funds applicable at the receiving institution. The same applies to the use of material resources, particularly expenditure on travel and the awarding of assignments to third

parties. The award winner may earmark part of the award funds which the receiving institution 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.

V. Scientific equipment

Scientific equipment financed from the award funds is purchased by the receiving institution 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 receiving institution. Equipment with a procurement or production value exceeding EUR 410 (excluding purchase tax) passes into the inventory of the receiving institution and must continue to be used for scientific purposes when the funding period comes to an end.

The receiving 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 receiving institution in the event that the award winner transfers to another institution. The award winner may only remove the equipment to another institution in Germany in mutual agreement with the receiving institution and with prior written authorization 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 receiving institution. 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 logo

The Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship be published. In publications and all other (especially public) presentations, appropriate

reference should be made to the funding provided by the Alexander von Humboldt Foundation 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 Alexander von Humboldt Foundation in the framework of the Alexander von Humboldt Professorship endowed by the Federal Ministry of Education and Research. The Alexander von Humboldt Professorship is to be presented as an endowed professorship; the nomenclature should, in particular, be used as an addition to the name of the chair and in official correspondence, in particular in the letter head.
- 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 <https://www.humboldt-foundation.de/web/my-humboldt.html>. They can also be entered via Humboldt Life: <https://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

Email: 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 three parts: the head of Alexander von Humboldt, the script nameplate and the bilingual addition "Stiftung/Foundation". These elements jointly comprise the **inseparable** word/image trademark. The logo and its constituent parts may not be copied, altered or 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: <https://www.humboldt-foundation.de/web/my-humboldt.html>.
- Any other use of the logo requires prior written permission from the Alexander von Humboldt Foundation and must be requested in writing, stating the intended use of the logo.

The Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship 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 or agencies ("Patentverwertungsstellen/-agenturen"). All related matters (legal questions, whom to contact about publication, registering patents etc.) must be clarified with the receiving institution directly.
- The legal relationship between the award winner and the receiving institution is governed 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. A written agreement to this effect between the award winner and the receiving institution 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 four months after the funding period has come to an end. The report on work must present the results achieved in detail and provide an accounting of 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 peer reviewers. 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 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 representing the receiving institution in personnel and business matters must certify that the facts and figures in the report on the use of funds are correct. If the receiving 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 receiving institution must retain the receipts for the period stated in its own 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 representatives are 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. The award winner and the receiving institution 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. 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:
<https://www.wma.net/policies-post/wma-declaration-of-helsinki-ethical-principles-for-medical-research-involving-human-subjects/>;
 - b. the German Embryo Protection Act (Gesetz zum Schutz von Embryonen, ESchG), as amended:
<https://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: *<https://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:
<https://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: <https://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/HTML/?uri=CELEX:32014R0511&from=EN>;

b. Implementing Regulation (EU) 2015/1866 laying down detailed rules for the implementation of Regulation (EU) No 511/2014 as regards the register of collections, monitoring user compliance and best practices:

<http://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:32015R1866&from=en>;

c. the German Act Implementing the Obligations under the Nagoya Protocol, Implementing Regulation (EU) No. 511/2014 and Amending the Patent Act and the Environmental Audit Act (Gesetz zur Umsetzung der Verpflichtungen nach dem Nagoya-Protokoll, zur Durchführung der Verordnung (EU) Nr. 511/2014 und zur Änderung des Patentgesetzes sowie zur Änderung des Umweltauditgesetzes), as amended:

http://www.bgbl.de/xaver/bgbl/start.xav?startbk=Bundesanzeiger_BGBl&jumpTo=bgbl115s2092.pdf;

- when transferring knowledge abroad, which could be of importance to the military or the armaments industry of the transfer countries, the respective valid version of the relevant regulations in the Federal Republic of Germany's foreign trade law and foreign trade decrees as well as further relevant implementation rules:

https://www.gesetze-im-internet.de/awg_2013/index.html and https://www.gesetze-im-internet.de/awv_2013/index.html/;

3. to focus his or her work on research in Germany in agreement with the receiving institution and to be present regularly and permanently at the receiving institution in Germany according to customary practice in the respective discipline;
4. to inform the Alexander von Humboldt Foundation immediately of applications for or any further funding granted for the same purpose;

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

By affiliating the award winner, the receiving institution obligates itself to ensure that the award winner will be working as a leading academic and will be able to conduct his or her research work with a high degree of independence. This includes total integration into the institution and membership in the department, including budgetary allocation decisions, etc. Award winners should enjoy all rights associated with a professorship. A written agreement to this effect between the award winner and the receiving institution must be submitted to the Alexander von Humboldt Foundation (cf. Form, Enclosure 1).

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 Alexander von Humboldt Foundation reserves 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 regulated in detail in the document, "Rules of good scientific practice, procedures, and penalties in the event of malpractice" (cf. Enclosure 4).

The Alexander von Humboldt Foundation reserves the right to amend the Regulations on the Use of Funds at any time, provided that the amendments, while taking due account of the interests of the Alexander von Humboldt Foundation, are reasonable vis-à-vis the award 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 in writing within four weeks. In the event of an objection the Alexander von Humboldt Foundation reserves 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: April 2018)

Alexander von Humboldt Professorship

Agreements between the award winner and the receiving institution

Award winner:

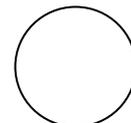
Receiving institution entrusted with the administration of award funds:

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 be used for carrying out the award winner's scientific work at the receiving institution in Germany. The receiving 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. Furthermore, the following agreements have been concluded:
- b) **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 receiving institution. 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.
- c) **Agreement on the status and rights of the award winner, patents and licenses (cf. Regulations on the Use of Funds, VII., IX.):**
The receiving institution obligates itself to ensure that the award winner will be working as a leading academic and will be able to carry out his or her research work with a high degree of independence. This includes total integration into the institution and membership in the department, including budgetary allocation decisions, etc. The award winner enjoys all rights associated with a professorship.
The legal relationship between the award winner and the receiving institution is furthermore governed 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.
- d) **Agreement on the right to audit (cf. Regulations on the Use of Funds, VIII.):**
The Alexander von Humboldt Foundation or its authorised representatives are 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.
- e) **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 receiving institution in personnel and business matters

Place and date

Name of signatory

Personal signature

**Alexander von Humboldt-Proffessur / Alexander von Humboldt Professorship
Preisgeldabruf / Fund Request**

Preisträger/in / Award winner:

**Mit der Verwaltung des Preisgeldes betraute
aufnehmende Institution in Deutschland/
Receiving institution in Germany entrusted
with the administration of award funds:**

Benötigtes Preisgeld / Award funds required:

Jahr/Year (insgesamt nicht mehr als 60 Monate/ not exceeding 60 months altogether)	2018	2019	2020	2021	2022	2023	gesamt/ total
1. Personalmittel (Hinweis: Die Höhe des Betrages für das persönliche Einkommen des/r Preisträgers/in aus dem Preisgeld wird von der aufnehmenden Institution festgelegt (bis zu 180.000 EUR p. a.) und ist in monatlichen Teilbeträgen (1/12 des Betrages p. a.) auszuführen / Human resources (Please note: The amount of the award winner's personal income from the award funds is determined by the receiving institution (up to 180,000 EUR p. a.) and has to be paid on a monthly basis (1/12 of the amount p.a.).)	EUR						
2. Sachmittel Material resources	EUR						
3. Verwaltungspauschale (15 % des Preisgeldes) Administrative flat-rate (15% of award funds)	EUR						
Summe/Total	EUR						

Die Auszahlung erfolgt in Teilbeträgen – je nach Bedarf und Verfügbarkeit der Haushaltsmittel – sobald wie möglich. Der Kassenbestand zum 31.12. eines jeden Jahres sollte 200.000 EUR nicht überschreiten; in begründeten Ausnahmefällen sind Überschreitungen möglich./

Payments are made in instalments and are effected – depending on the demand and the availability of budgetary means – as soon as possible. The cash balance as per Dec. 31st of each year should not exceed 200,000 EUR; in exceptional cases this amount can be exceeded.

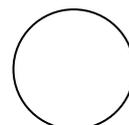
Kontoverbindung der aufnehmenden Institution: / **Bank account** of the receiving institution:

Kontoinhaber/Account holder	
Name der Bank/Name of the bank	
BIC	
IBAN	
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 aufnehmende Institution im Bereich der Personal- und Wirtschaftsverwaltung zu vertreten / Designation and official stamp of the department authorised to represent the receiving institution personnel and business matters

Ort und Datum / Place and date

Name der/s Unterzeichnenden
Name of signatory

Eigenhändige Unterschrift/Personal signature

Alexander von Humboldt Professorship

Report on the of use of funds

for the period from to

Interim report / Report on the use of funds – *please delete as applicable*

Award winner: _____

Receiving institution entrusted with the administration of award funds: _____

Total amount of award funds: _____

Total funding period: _____

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

B. Numerical report for the report period from to

Cash balance at the beginning of the report period: EUR

Award funds accrued during the report period: EUR

Interest accrued during the report period: EUR

Total of disposable award funds during the report period: EUR _____

Expenses paid from award funds:

1. Human resources: EUR.....

of these: award winner's personal income: EUR

2. Material resources: EUR.....

2.1 Scientific equipment EUR.....

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

2.2 Travel expenses: EUR.....

2.3 Consumables/other: EUR.....

3. Administrative flat-rate: EUR.....

Total expenditure during the report period: EUR _____

Cash balance at the end of the report period: EUR _____

p.t.o.

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

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

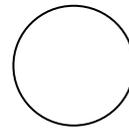
The Regulations on the Use of Funds have been observed.

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:



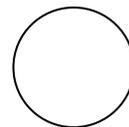
Designation and official stamp of the department authorized to represent the receiving institution in personnel and business matters

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, if applicable, official stamp of the auditing body

Please indicate:

- Department of the receiving institution 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. unauthorised utilisation by presumption of authorship (plagiarism), exploitation of research approaches and ideas, in particular as a peer reviewer (theft of ideas);
- 2.1.2.2. presumption or unsubstantiated appropriation of scientific authorship or co-authorship;
- 2.1.2.3. misrepresentation of contents;
- 2.1.2.4. unauthorised publication and unauthorised granting of access to third parties prior to the publication of the work, the findings, the hypothesis, the teaching, or the research approach;
- 2.1.2.5. claiming authorship or co-authorship of others without their consent.

2.1.3. *Sabotage of research activity*, including damaging, destroying, or manipulating experimental arrangements, equipment, documents, hardware, chemicals, or other materials needed by others to conduct scientific work (including malicious displacement or abstraction of books and other documents).

2.1.4. *Deletion of primary data* if it infringes legal provisions or accepted principles of scientific work in the discipline.

2.2. Scientific misconduct also comprises behaviour that entails a *shared responsibility* for the misconduct of others, in particular by active participation, joint knowledge of misrepresentations, co-authorship of falsified publications, or gross negligence of supervisory responsibilities.

2.3. For the purpose of the present rules, other misconduct is applicable if grave circumstances are discovered that challenge the personal aptitude of the individual sponsored to be a member (multiplier) of the global Alexander von Humboldt Foundation network.

3. Penalties

In the event of grave violation of the above rules of good scientific practice, in particular scientific or other malpractice, the Alexander von Humboldt Foundation can impose one or several of the following penalties, depending on the nature and gravity of the established misconduct

- 3.1. Written reprimand of the person concerned;
- 3.2. Request that the person concerned retract the discredited publication or correct the falsified data (in particular by publishing an erratum), or appropriately indicate the recall of Alexander von Humboldt Foundation sponsorship, for example in the erratum.
- 3.3. Temporary suspension of funding decisions pending the resolution of the issue;
- 3.4. Forfeiture of eligibility for Alexander von Humboldt Foundation sponsorship, permanent or temporary, depending on the gravity of the scientific malpractice;
- 3.5. Revocation of funding decisions (complete or partial cancellation of the grant, recall of funds granted, reclaim of funds spent), including the denial of the status of "Humboldtian";
- 3.6. Exclusion from review and committee work for Alexander von Humboldt Foundation.

4. Procedures

If a violation of the rules of good scientific practice (paragraph 1) or scientific or other malpractice (paragraph 2) is suspected, the following basic procedures take effect:

- 4.1. If probable cause is brought to the attention of the Alexander von Humboldt Foundation, the suspected person must be notified of the incriminating facts and be given the opportunity to respond in writing within four weeks. Simultaneously, the implementation of a funding decision can be suspended temporarily until the issue is resolved (see paragraph 3.3.). Without their consent, the identity of the informant and the allegedly injured party will not be disclosed to the party concerned in this phase (whistleblower-protection).
- 4.2. In order to clarify the issue, the Alexander von Humboldt Foundation office is authorised to request oral or written statements by the concerned as well as third parties at any time.
- 4.3. If no response is received or if a response is examined and the suspicion persists, the Alexander von Humboldt Foundation will notify the party concerned, explicitly indicating the Alexander von Humboldt Foundation's penalty options as well as the right of the concerned party to remonstrate within four weeks.
- 4.4. If use is not made of the right to remonstrate, the Alexander von Humboldt Foundation may impose one of the measures listed above in paragraph 3.
- 4.5. If the 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 Alexander von Humboldt Foundation-sponsored projects 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.