



Alexander von Humboldt
Stiftung/Foundation

Alexander von Humboldt Professorship International Award for Research in Germany

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

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(as of: October 2017)

Preface

The Alexander von Humboldt Foundation links Germany to the knowledge of the world. In global competition for the topmost experts, it offers to this end various programmes to attract scientists and scholars at different stages of their careers. Support involves both funding and personal support in all matters relating to a stay in Germany and to subsequent cooperations. For these cooperations, the Alexander von Humboldt Foundation offers numerous other kinds of sponsorship in the framework of its alumni programmes. In this way, an active international network of more than 28,000 academics has grown since the Foundation was founded in 1953.

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. Apart from sponsoring international science, the Alexander von Humboldt Foundation aims to develop a personal relationship between the researchers from all countries and disciplines and Germany itself. This does not only happen in laboratories and libraries but in everyday life: through contacts to the people of the country. In order to intensify these contacts, the Alexander von Humboldt Foundation sponsors German courses for the award winners and their marital partners. At the annual meeting and other events organised by the Alexander von Humboldt Foundation, there is an opportunity to get to know other Humboldtians and the Foundation's staff personally.

This brochure is intended as a guide for award winners and representatives of the academic receiving 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 is grateful for any suggestions which might improve or supplement this brochure.

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

Bonn, October 2017

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

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

A. The Alexander von Humboldt Professorship

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, is 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.

1. Conferment of award

The International Award for Research in Germany is conferred by 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 (award letter). At the same time, a copy of the award letter is sent by the Alexander von Humboldt Foundation to the receiving institutions in Germany.

The value of the award is stated in the award letter. The amount of the yearly salary, which the award winner may draw from the award funds for his or her personal income is determined by the receiving institution; it can amount to up to 180,000 EUR p. a.

The German-language text of both the award letter and this brochure "Alexander von Humboldt Professorship – International Award for Research in Germany. 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 awards will be bestowed on the award winners at an Award Ceremony in Berlin.

2. Acceptance of award and commencement of research work in Germany

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 acceptance of the award serves further negotiations with the receiving institution. As soon as the award has been conferred, the award winners are entitled to the award funds to carry out research of their 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 winners and their receiving institutions agree jointly on the commencement of the planned research work in Germany, which should be as soon as possible, 12 months after the conferment of the award at the latest.

The Alexander von Humboldt Foundation has 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 receiving universities in Germany will also receive notification that the award has been granted.

Furthermore, when the award winners have commenced their stay at German universities or research institutes, they will be presented on the respective Alexander von Humboldt Foundation's website:

<https://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 Alexander von Humboldt Professors and their research work is available on the following website:

<https://www.humboldt-foundation.de/web/dossier-humboldt-professorship.html>.

3. Taxation

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

The Alexander von Humboldt Foundation assumes 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 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, award winners should consult a tax advisor in their own country.

Note: After registration with the Residents' Registration Office, the Federal Central Tax Office sends out a letter notifying the Tax Identification Number (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.

4. German language course

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.

5. Annual Meeting of the Alexander von Humboldt Foundation

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

The annual meeting, held in Berlin in June or July, is the main gathering of Humboldt guest researchers and their families staying in Germany. The

highlight of the annual meeting is a reception 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 Alexander von Humboldt Foundation asks the award winners to submit a short, informal report including information on the scientific integration into the receiving institution, contacts to other research institutions in Germany and abroad, as well as the award winners' and their families' personal impressions of their stay in Germany. Comparisons with the situation in their own country are particularly interesting. Any suggestions about further development of the Alexander von Humboldt Professorship and other sponsorship programmes are welcome.

The Alexander von Humboldt Foundation also asks the receiving institutions in Germany to report on their experiences in cooperating with the award winners and on their integration into the institutions.

For the Alexander von Humboldt Foundation, the reports are both important and revealing because scientists from abroad often observe things much more precisely and are able to base their judgements on greater objectivity. The reports will be evaluated carefully and confidentially. They can help the Alexander von Humboldt Foundation to continue improving their programmes and making them as effective as possible.

B. General conditions and recommendations for the stay in Germany

1. Entry requirements, visa

In order to stay in Germany citizens of non-EU (European Union)/EEA (European Economic Area) countries must have a valid residence title. Detailed information on this can be obtained from the cultural sections of the Federal Republic of Germany's diplomatic or consular missions in award winners' own countries or countries of residence. Addresses and further important information regarding entry requirements can be found on the website of the Federal Foreign Office at: <https://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 without a visa. They must apply for a residence permit at the Aliens' Registration Office immediately after arrival in Germany. **Please note:** Academic work as a research award winner may only start when the residence permit has been issued. Since the process for issuing a residence permit can take several weeks, the Alexander von Humboldt Foundation strongly recommends applying for a **visa** for the research stay at the visa section of the relevant German diplomatic mission before entering the country. For short stays up to a maximum of 90 days within a period of 12 months citizens of the above mentioned countries do not need a visa.

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*. Award winners should **in no case** enter Germany on a tourist visa. It allows them 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 entitles holders to multiple entry into the country and – under the provisions of the Convention Implementing the Schengen Agreement – to spend short periods (up to 90 days in six months) in the following countries: Austria, Belgium, Czech Republic, Denmark, Estonia, Finland, France, Greece, Hungary, Iceland, Italy, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, The Netherlands, Norway, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden and Switzerland.

In case a visa for merely a maximum duration of 90 days (Schengen Visa) 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. Please also note that an appointment to make the application frequently requires prior (online) registration. The following documents usually have to be submitted:

- completed application forms for a *residence permit*; forms are obtainable from the Aliens' Registration Office;
- *the registration document* from the Residents' Registration Office of the place of residence in Germany;
- proof of *health insurance cover* valid in Germany
- 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.

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 receiving 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 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*) if they are travelling within the European Community for the purpose of carrying out research (cf. Recommendation of the European Parliament and of the Council of 28.09.2005 (2005/761 EC)).
- 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 are exempt from paying fees for the issue of

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

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

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

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

Award winners and any members of their families accompanying them must have adequate health insurance cover during the entire duration of their research stay in Germany. Any costs ensuing from illness or accident can neither be borne by the Alexander von Humboldt Foundation nor by receiving institutions. 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 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 E106 or S1 allows award winners and their family members to register with a German health insurance company. Form E106 or S1 must be completed prior to the stay in Germany and sent to the chosen statutory health insurance company stating the award winner's future German address. The German health insurance company will then provide all necessary medical services and subsequently invoice the health insurance company in the award winner's own country for its expenditures.

For stays under three months, award winners from the above-listed countries are eligible for a European Health Insurance Card, provided that they are covered by statutory health insurance in their own country. In case of illness, the health insurance scheme or company in the respective country 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 medical insurance in Germany for themselves and **all accompanying family members**. The personnel administration at the host institution can be contacted for further information and advice.

If award winners are employed or being offered a chair by the receiving institution, they are usually free to choose whether to be insured under the compulsory health insurance scheme or by a so-called "Ersatzkasse" (substitutional health insurance fund). Both insurance schemes provide full health insurance cover for the award winners and – if the requirements for family health insurance cover are met – for any family members accompanying them, as well. It is strongly recommended to study the small print very carefully prior to taking out private health insurance in order to avoid unwelcome surprises.

If family members are only coming on short visits to Germany and are not eligible for family insurance cover under the award winners' insurance scheme, it is worth taking out private travel health insurance. This provides insurance cover for **medical treatment in the case of acute illness not related to preexisting illness and after accidents**.

It is worth contacting an insurance company before entering Germany so that any questions can be dealt with in advance. Insurance cover only takes effect when the first premium has been transferred to the insurance company's

account immediately after entering the country or if direct debit from the bank account has been authorised.

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 cover. 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.
- Prior to hospitalisation, the requisite formalities and the costs which will be refunded should be discussed with the insurance company in detail. To be on the safe side, award winners or their accompanying family members should always present their insurance certificate to the hospital immediately and request the hospital to contact their insurance company straight away to confirm that the costs will be covered. It should be made clear to the doctor or hospital providing the treatment that award winners or their accompanying family members are **not** so-called **private patients** because private travel health insurance usually does 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 their 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 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.

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

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 costs of a lawyer in the event of a dispute arising from an accident, for example. A driver's legal costs insurance policy not only provides cover for driving one's own vehicles, but also provides cover as a passenger, pedestrian or cyclist.

Further insurance options:

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

The conditions and contents of insurance policies of each insurance company, however, differ greatly. Before signing a contract it is recommended 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, how long contributions may be required and under what circumstances the insurance company will actually agree to pay out benefits.

4. Accommodation

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

<https://www.humboldt-foundation.de/web/ibz-en.html>). If accommodation at a guesthouse is desired, reservations should be made well in advance, because waiting lists can be lengthy.

5. Permission to drive in Germany

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

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 Humboldt network

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

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

1. Humboldt Kosmos

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

2. Humboldt Colloquia and Humboldt Kollegs

The Alexander von Humboldt Foundation regularly organizes 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's staff members. By visiting institutes of Humboldtians, members of the Humboldt delegation gain insight into the research situation in the countries in question. Information talks draw the attention of young scholars 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:

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

3. 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 website:

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

4. Information on the Alexander von Humboldt Foundation's Website

The Alexander von Humboldt Foundation furnishes up-to-date information about its activities and programmes under the Internet address <https://www.humboldt-foundation.de>.

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

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

American Friends of the Alexander von Humboldt Foundation

Washington, DC • USA

Telefon: (202) 783-1907

Fax: (202) 783-1908

E-Mail: info@americanfriends-of-avh.org

Website: <https://www.americanfriends-of-avh.org>

5. Humboldt Life

Humboldt Life (<https://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.



Alexander von Humboldt
Stiftung/Foundation

Alexander von Humboldt Professorship
International Award for Research in Germany

- Regulations on the Use of Funds -

(October 2017)

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Enclosure 4 Rules of good scientific practice, procedures, and penalties in the event of malpractice

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 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. 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:

b. <https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:32014R0511&from=EN>; 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: <https://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:

https://www.bgbl.de/xaver/bgbl/start.xav#__bgbl__%2F%2F%5B%40attr_id%3D%27bgbl115s2092.pdf%27%5D__1499840676301;

- 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: October 2017)

Alexander von Humboldt Professorship

Agreements between the award winner and the receiving institution

Award winner:

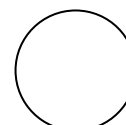
Receiving institution entrusted with the administration of award funds:

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 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.
- 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	EUR	EUR	EUR	EUR	EUR	EUR
2. Sachmittel Material resources	EUR	EUR	EUR	EUR	EUR	EUR	EUR
3. Verwaltungspauschale (15 % des Preisgeldes) Administrative flat-rate (15% of award funds)	EUR	EUR	EUR	EUR	EUR	EUR	EUR
Summe/Total	EUR	EUR	EUR	EUR	EUR	EUR	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.

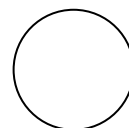
Kontoverbindung der aufnehmenden Institution: / **Bank account** of the receiving institution:

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.

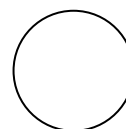
The Regulations on the Use of Funds have been observed.

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:



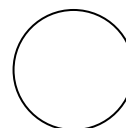
Designation and official stamp of the department authorized to represent the receiving institution in personnel and business matters

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.