



## The Philipp Schwartz Initiative of the Alexander von Humboldt Foundation Programme Guidelines (2<sup>nd</sup> Call)

(Last updated: 01 July 2016)

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### A. Allocation and Funding Guidelines of the Philipp Schwartz Initiative

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

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

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

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

### B. Application by the host institution

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

1. the host institution's concept for the creation of a sustainable support infrastructure for threatened researchers (Appendix 6)
2. application for a Philipp Schwartz fellowship including confirmation that the researcher is threatened (Appendix 7)
3. Financing Plan (Appendix 8)
4. *Optional for institutions that were successful in the 1<sup>st</sup> call:* Institutions that submitted successful applications in the first call for applications may apply for "best practice funding". This does not require an application for fellowship funds in the 2nd round (see appendix 13).

The application must be made by the host institution and sent by post to the following address: Alexander von Humboldt-Stiftung, Jean-Paul-Str. 12, 53173 Bonn, Referat 1.1, or via email to [schwartz-initiative@avh.de](mailto:schwartz-initiative@avh.de).

### **C. Allocation agreement**

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

### **D. Request for funds, payment and repayment**

Upon receipt of the signed allocation agreement by the AvH, funds may be requested via the fund request form provided for this purpose. The allocation may only be requested to the extent that it is required within six weeks of payment by the AvH for payments due, and not before (no. 1.4 ANBest-P). The funds must be used exclusively within the period of entitlement. The period of entitlement shall begin on 1 January 2017 at the earliest and shall end on 31 December 2018 at the latest.

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

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

### **E. Proof of employment of funds / documentation**

The proof of employment of funds conforms to the terms and conditions regulated by the ANBest-P as of 2014 (Appendix 4). The following diverging or supplementary requirements to the above are hereby determined:

- The interim report (No. 6.1, Sentence 2, ANBest-P) must be submitted to the AvH by 15 February at the latest.
- The (overall) proof of employment of funds must be submitted to the AvH three months at the latest after the intended purpose of the allocation has been fulfilled.
- To this end, the following drafts should be used:
  - Substantive Report (Appendix 9)
  - Financial Report (Appendix 10) including the corresponding lists of receipts
  - Itemised information regarding the fellowship recipients (see Appendix 11)

The required documentation must be signed and submitted in paper form by the project leader and, as appropriate, by the university's examination office, and simultaneously sent electronically to [schwartz-initiative@avh.de](mailto:schwartz-initiative@avh.de). All relevant documentation related to funding within the Philipp Schwartz Initiative must be retained by the applicant institution for a period of six years after the conclusion of the year of submission of the proof of employment of funds for purposes of inspection.

### **F. PR activities**

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

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

The use of the Humboldt Foundation logo in correspondence with fellowship recipients is not permitted.

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

## **G. Regulations governing the allocation of fellowships**

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

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

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

## **H. Selection procedure**

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

## **I. Termination of the fellowship and repayment obligation**

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