



Appendix 1
to the Programme Guidelines of the Philipp Schwartz Initiative

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

(Last updated: 08 February 2017)

I. Background

As critical thinkers, researchers often play a singular role in the response to crises. At the same time, however, they may put themselves in grave peril by voicing their opinions freely. The importance of providing threatened researchers with support by sending visible signals has long been recognised around the world. Platforms including the *Scholars at Risk* network offer global support to universities wishing to become involved in this cause. Germany as a research location is currently not fulfilling its potential as regards this issue, and is also not represented adequately within the *Scholars at Risk* network. Concurrently, the Alexander von Humboldt Foundation (AvH) is an organisation which has been sponsoring internationally mobile academics – including those from countries with autocratic regimes – for over 60 years. Over the course of six decades, the AvH has made various important contributions: towards promoting dialogue between people in various regional blocks, towards the dissemination of authentic images of a liberal country, and towards the establishment of international relations. The latter efforts have proved particularly valuable in the development of reform movements within repressive systems.

A few words about Philipp Schwartz: in the wake of the summary dismissal from his professorship at the University of Frankfurt during the National Socialist regime, the Jewish pathologist and anatomist fled to Zurich in 1933. Conscious of the threatening position he, and numerous other German academics faced, he founded what later became known as the "Notgemeinschaft deutscher Wissenschaftler im Ausland" (Society for the Support of German Scholars Abroad), which successfully facilitated the hiring of over 2,000 researchers abroad by 1946. He himself received – as did countless other researchers with his assistance – a professorship in Turkey, where he continued his endeavours in support of fleeing researchers. Despite his academic reputation and repeated efforts, he was unable to return to Germany even after the end of the war, with the result that he emigrated to the USA in 1952, where he headed a research institute and died in 1977.

II. The Philipp Schwartz Initiative of the Alexander von Humboldt Foundation

The objective, on the one hand, is to enable universities and other research institutions (hereinafter referred to as host institutions) in Germany to receive threatened researchers via the granting of funding and, on the other hand, to raise awareness of the plight of threatened researchers and to network stakeholders interested and involved in this issue.

The host institutions (not the AvH) shall be responsible for selecting the threatened researchers, announcing the selection decision, providing the recipients with support and transferring the corresponding funds.

III. Application prerequisites

III.1 Eligibility

All universities and other research institutions in Germany are eligible to submit applications. The applicant shall be responsible for submitting all documentation related to the application to the AvH.

Institutions in Germany that fall into the following categories are eligible to apply:

- State or state-recognised universities (see HRK Higher Education Compass)
- Research institutions belonging to one of the members of the Alliance of Science Organisations in Germany (Max Planck Society, Helmholtz Association, Leibniz Association, Fraunhofer-Gesellschaft)
- Research institutions belonging to the Federation or a Federal State
- Other research institutions that can convincingly demonstrate their research focus and structures (see Appendix 5: Cover Sheet)

III.2 Funding prerequisites

Researchers from all academic disciplines and all countries of origin who are demonstrably under threat may be considered for research funding within the context of Philipp Schwartz fellowships, who:

- hold a **doctorate** or equivalent academic degree (Ph.D., C.Sc. or equivalent)
- in general **have not yet spent more than three years away from their home countries** at the time of application; researchers who hold German university entrance qualifications ("Bildungsinländer") are not eligible
- demonstrate the **language skills** required for the successful completion of the research project
- possess **academic qualifications** (e.g. publications)
- possess potential to be integrated into the (research-related) **job market**
- who have not yet been funded in the context of the **Philipp Schwartz Initiative**
- individuals holding **dual nationality**, who thus have access to a safe country, and German nationals are not eligible to be nominated
- **multiple nominations** of the same individual by several potential host institutions are not permissible

IV. Application procedure, evaluation criteria, selection

IV.1 Elements of the application

The application constitutes the following elements, each of which must be submitted using the corresponding forms (see the appendices to the Programme Guidelines), beginning with the signed Cover Sheet (Appendix 5):

1. the host institution's concept for the creation of a sustainable support infrastructure for threatened researchers (Appendix 6); this does not apply to institutions that were successful in previous calls for applications
2. application for a Philipp Schwartz fellowship including confirmation that the researcher is threatened (Appendix 7)
3. Financing Plan (Appendix 8)

1. *Optional for institutions that were successful in the 1st call:* Institutions that submitted successful applications in the 1st call may apply for “best practice funding”. This does not require an application for fellowship funds in the 2nd round (see appendix 13).

Confirmation of threat:

In the context of the Philipp Schwartz Initiative, a pertinent threat can be confirmed in two ways:

- by way of a residence status in the context of an asylum-granting procedure that confirms a recognized threat
- by way of a credible threat assessment from a third party, such as the *Scholars at Risk Network*, the *Scholar Rescue Fund*, or the *Council for At-Risk Academics*

The host institution shall be responsible for ensuring, in individual cases, that the residence status of the potential funding recipients enables those in question to complete a period of research at the respective institution within the framework of the Philipp Schwartz fellowship, this irrespective of the precise nature of eligibility. Double funding is not permitted.

IV.2 Selection of applications from prospective host institutions

The central issue determining selection is as follows:

Does the combination of the host institution’s strategy, the compatibility between the guest’s and the host institution’s specialisms, the guest’s academic qualifications and the host institution’s activities on behalf of a specific person create the impression that the perspectives for the period after funding has come to an end are likely to facilitate the beginning of a promising new academic career in Germany, another country or the individual’s own country outside the Philipp Schwartz Fellowship?

Over and above the confirmation to be submitted under IV.1, no evaluation as to the degree of threat will be undertaken. Incomplete applications will be rejected.

IV.3 Selection committee

The selection shall be made by a committee consisting of representatives of the Alexander von Humboldt Foundation and other research and funding institutions as well as individual academics with special expertise in assessing academic or academically-related career paths.

V. Funding of the threatened researchers via the host institution

V.1 Conditions for the awarding of Philipp Schwartz fellowships

The host institutions award the funds in the form of fellowships, which bear the name "Philipp Schwartz fellowships of the host institution XY". The regulations stipulated in the Programme Guidelines shall apply. In addition, the local regulations governing the awarding of research fellowships and the execution of academic research projects shall apply. The fellowship recipients must be obliged to comply with the laws and regulations in force at the respective research location and at the host institution. On a case-by-case basis, the host institution is obliged to ensure that the residence status of the person receiving funding on commencement of the fellowship allows him or her to complete a research stay at the respective institution under the Philipp Schwartz Programme.

The host institution shall receive a monthly lump-sum amount of 3,500 EUR for the fellowship recipient. As far as its use is concerned, the following distinctions must be made:

- The monthly fellowship payment in accordance with Article 2, Para. 1 of the Fellowship Guidelines must be paid from this amount (fellowship category IV, currently 2,500 EUR), providing that the conditions are met.
- The amount of 1,000 EUR in excess of this payment may be used for additional ancillary and support benefits in accordance with the regulations stipulated in the Programme Guidelines. The host institution shall be responsible for deciding on the provision of particular benefits outlined in the Fellowship Guidelines stipulated by the Federal Foreign Office, considering the specific situations of the funded individuals in the process.

The fellowships are calculated to last for a maximum period of 24 months. The host institution may determine the actual funding period within this upper limit.

The period of entitlement shall initially begin on 1 August 2017. Where there are valid reasons (especially delayed exit beyond the control of the applicant), it may be possible to postpone commencement for a limited period.

It is possible to award the fellowships within the context of "matching funds", provided that the above-mentioned points are taken into consideration and that double funding does not occur. Funding from third sources must be taken into account.

It is anticipated that it will only be possible to award one fellowship to each successful applicant institution.

Institutions are free to nominate one or more substitutes – in case that a person declines the fellowship or in the (at this time unlikely) event that more than one fellowship can be awarded per successful institution.

V.2 Lump sum for the host institution

In addition, the host institution will receive a lump sum to the value of 12,000 EUR for expenditure related to awareness-raising concerning the issue of "threatened researchers" at its own institution, as well as for the development of appropriate supporting structures. If application has been made, this lump sum will be granted once per funding period irrespective of the number of fellowships approved at any one time. Application may also be made if a lump sum has already been granted in the context of a previous selection round.

The allocation of funds to the host institutions will be made within the context of a fixed-rate funding programme in accordance with the General Auxiliary Conditions for Allocations for the Promotion of Projects (ANBest-P).

VI. Deadlines and final provisions

The complete application must be submitted to the Alexander von Humboldt Foundation by **21 April 2017**. This submission deadline shall not be deemed a term of exclusion; however, applications received late or those which are incomplete may no longer be considered. It is the responsibility of the applicants to ensure that all the documentation required for the application is forwarded to the Humboldt Foundation as a single entity. The application should be sent electronically to schwartz-initiative@avh.de. Electronic signatures are not, however, accepted. Please scan and send the application form you have signed personally.