



Appendix 1
to the Programme Guidelines of the Philipp Schwartz Initiative

The Philipp Schwartz Initiative of the Alexander von Humboldt Foundation Programme Information (6th Call)

(Last updated: 5 June 2019)

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 and other institutions of higher education wishing to become involved in this cause. 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 65 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 pre-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 that fall into the following categories are eligible to submit applications:

- State or state-recognised higher education institutions (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)

Each institution may only submit one application which may contain nominations for several scholars.

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 **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 that have access to a safe country due to **dual nationality** or other circumstances 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 (multiple if applicable) including confirmation that the researcher is threatened (Appendix 7). If several candidates are nominated, separate application forms and appendices must be submitted, including statements by the respective academic mentors. The applying institution must prioritise candidates internally. This prioritisation will be handled confidentially and taken into consideration during the selection procedure, but it will not be binding to the selection committee.
3. Financing Plan (Appendix 8)

Confirmation of threat:

Pertinent threat has to be proven for each nomination in the context of the Philipp Schwartz Initiative. It can take various forms, such as limitations to the academic or personal freedom, censorship, wrongful dismissal from employment, unlawful arrest or court proceedings, to physical harm. Reasons for such threats can be political, religious, ethnic, gender- or identity-based motivations or armed conflict. It is key that the threat is severe and ongoing, and that the nominee is exposed to the threat at the time of nomination, or has not left the location where she/he was exposed to that threat, more than three years ago.

Please note: Threat is not assessed nor confirmed by the Alexander von Humboldt Foundation, but either by the Federal Office for Migration and Refugees (BAMF), or through the Scholars at Risk Network (SAR) or the Council for At-Risk Academics (CARA). It can be confirmed in the following ways:

- either by way of a residence status in the context of an asylum-granting procedure within the EU that confirms a recognized threat
- or by way of a credible threat assessment issued no more than 12 months before by a third party, such as the *Scholars at Risk Network* or the *Council for At-Risk Academics*

If a residence status has been issued that confirms a pertinent threat, it is not necessary to obtain an additional threat assessment from SAR or CARA. CARA can only accept such requests from universities and other institutions, while SAR will accept requests for threat assessments both from institutions and from individual at-risk researchers. Please do not request threat assessment from more than one partner.

In order to ensure that assessments can be completed in time, all relevant documentation must be submitted to SAR or CARA no later than **23 August 2019**.

IV.2 Selection of applications from prospective host institutions

The central question 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 of threat to be submitted under IV.1, no evaluation as to the degree of threat will be undertaken. Incomplete applications will be rejected on formal grounds.

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 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).

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. The host institution is obliged to ensure that the residence status of any 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. Double funding is not permitted.

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 initially 24 months. The host institution may determine the actual funding period within this upper limit. An extension option is possible (see V.3).

The period of sponsorship shall initially begin on 1 January 2020. Where there are valid reasons (especially delayed entrance into Germany beyond the control of the applicant), it may be possible, upon application, 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.

V.2 Lump sum for the host institution

In addition, the host institution will receive a lump sum of 20,000 EUR for each Philipp Schwartz fellow hosted, for expenditure related to raising awareness concerning the issue of "threatened researchers" at its own institution, for developing appropriate support structures, for developing measures for individual researchers, and for networking activities between researchers and host institutions. In particular, the funds shall allow the host institution, the academic mentor, and the Philipp Schwartz fellow to start early and intensive preparations for the transition phase at the end of the fellowship.

V.3 Extensions

The option to extend Philipp Schwartz Fellowships is governed by special programme documents (appendices 14ff.).

V.4 Childbirth within sponsorship period

1. Philipp Schwartz fellows who give birth during their sponsorship period may be granted, upon application, an extension of their fellowship of up to 3 months in accordance with the regulations of the Federal Maternity Protection Act. Stipend payments will continue. If the fellow does not reside in Germany during her maternity period, her research fellowship will be interrupted and stipend payments will be suspended.

2. Philipp Schwartz fellows who give birth during their sponsorship period may be granted an interruption of their fellowship of up to 6 months upon application. Stipend payments will be suspended during the interruption period.

Applications may be made for either one of these options or a combination of both. Applications can only be submitted by host institutions in combination with the approval of the academic mentor and an adjusted financial plan. The corresponding documentation (e.g. medical certificate at the time of the application, birth certificate after birth) does not have to be submitted to the AvH, but must be reviewed by the host institution, and copies must be retained for six years for potential review by the AvH.

VI. Deadlines and final provisions

The complete application must be submitted to the Alexander von Humboldt Foundation by **13 September 2019**. This submission deadline shall not be deemed a term of exclusion; however, late or incomplete applications may not 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.

All application documents must be submitted in the form of a single PDF file in the following order: appendix 5 (cover sheet), appendix 6 with enclosure (if applicable), appendix 7 (with the enclosures research post confirmation and mentoring agreement, statement by the academic mentor, brief proposal on the research project, confirmation of threat, CV, diplomas), appendix 8 (financing plan).

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

In view of how easily electronic communication can be compromised, institutions are requested to protect applications with passwords. Passwords should be transmitted to AvH by post or fax, and via the same channel as the application itself.