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**Alexander von Humboldt**  
Stiftung / Foundation

## **German Research Chair in “Mathematics and its Applications” at the African Institute for Mathematical Sciences (AIMS) in South Africa**

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Information and Recommendations for the Chair  
Holder / Regulations on the Use of Funds

<b>Contents</b>	<b>Page</b>
PREFACE	1
A. GERMAN RESEARCH CHAIR IN “MATHEMATICS AND ITS APPLICATIONS” AT THE AFRICAN INSTITUTE FOR MATHEMATICAL SCIENCES (AIMS) IN SOUTH AFRICA	3
1. Approval of funding for the Research Chair in “Mathematics and its Applications” at the African Institute for Mathematical Sciences (AIMS) in South Africa	3
2. Acceptance of funding and commencement of research work	4
3. Taxes	4
4. German courses	5
5. Annual Meeting of the Alexander von Humboldt Foundation	5
6. Report on experiences	5
B. GENERAL CONDITIONS AND INFORMATION FOR THE STAY IN GERMANY	6
1. Entry requirements, visa	6
2. Registration, residence permit	7
3. Health and liability insurance, legal costs insurance, as well as other insurances	9
4. Accommodation	12
5. Permission to drive in Germany	13
C. ALUMNI SPONSORSHIP AND HUMBOLDT NETWORK	14
1. Renewed research stays in Germany	14
2. Invitation of researchers from Germany: The Feodor Lynen Research Fellowship Programme	15
3. Humboldt Kosmos	15
4. Humboldt Colloquia and Humboldt Kollegs	15
5. Humboldt Alumni Associations	16
6. Information on the Alexander von Humboldt Foundation’s websites	16
7. Alumniportal Deutschland: Social network for Germany alumni	17
REGULATIONS ON THE USE OF FUNDS (AS OF OCTOBER 2020)	19

- Enclosure 1** “Agreements between the chair holder and AIMS South Africa” form
- Enclosure 2** “Fund request” form
- Enclosure 3** “Report on the use of funds” form
- Enclosure 4** Rules of good scientific practice, procedures, and penalties in the event of malpractice  
(Information and Recommendations as of: January 2021)

## **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 later cooperations. For these cooperations the Alexander von Humboldt Foundation offers numerous kinds of sponsorship in the framework of the alumni programmes. In this way, an active international network of more than 30,000 academics has grown up since the Alexander von Humboldt Foundation was founded in 1953.

The German Research Chair in “Mathematics and its Applications” at the African Institute for Mathematical Sciences (AIMS) in South Africa is announced under the programme financed by the Federal Ministry of Education and Research (BMBF) entitled “German Research Chairs” and intended as a long-term contribution to strengthening mathematical higher education and research in Africa, in particular to promoting international networking in mathematics. The chair holder is invited to conduct research stays in Germany, and may arrange these flexibly.

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. Such relationships are established not only in the context of scientific collaboration, but also 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. 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 the chair holder and representatives of AIMS South Africa, offering practical advice and explaining the rules of the research chair. Details as to the use of the 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.

We wish the chair holder successful scientific collaborations with colleagues in Germany. We would be pleased to welcome you to one of our events.

Bonn, January 2021

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. GERMAN RESEARCH CHAIR IN “MATHEMATICS AND ITS APPLICATIONS” AT THE AFRICAN INSTITUTE FOR MATHEMATICAL SCIENCES (AIMS) IN SOUTH AFRICA**

The Alexander von Humboldt Foundation is announcing a research chair, under the programme financed by the Federal Ministry of Education and Research (BMBF) entitled “German Research Chairs”, at the African Institute for Mathematical Sciences in South Africa. [AIMS South Africa](#) is part of the [AIMS-Next Einstein Initiative](#) (AIMS-NEI). This initiative seeks to establish a coordinated network of 15 supra-regional centres of excellence in Africa during the next ten years to help meet the need for scientists trained in mathematics.

The internationally advertised research chair is designed to help strengthen university education in mathematics and research in Africa, promote networking between AIMS South Africa and German universities, and support networking amongst the various AIMS centres in Africa.

### **1. Approval of funding for the Research Chair in “Mathematics and its Applications” at the African Institute for Mathematical Sciences (AIMS) in South Africa**

The research chair in “Mathematics and its Applications” at the African Institute for Mathematical Sciences (AIMS) in South Africa is funded by the Alexander von Humboldt Foundation, under the programme financed by the BMBF entitled “German Research Chairs”.

The selected chair holder is informed in writing by the Alexander von Humboldt Foundation that funding has been approved (award letter). At the same time, copies of the award letter are sent by the Alexander von Humboldt Foundation to AIMS South Africa and to the cooperating university.

The funding amount for the research chair is stated in the award letter. The amount of the yearly salary which the chair holder may draw from the funding amount for his/her personal income is among other things subject to the career stage and is determined by AIMS South Africa; it can amount to up to 85,000 EUR p. a. in the case of a full professor (employer’s gross amount).

The German-language text of both the award letter and this brochure “German Research Chair in ‘Mathematics and its Applications’ at the African Institute for Mathematical Sciences (AIMS) in South Africa; Information and Recommendations / Regulations on the Use of Funds”, is authoritative; the English-language text merely serves as a useful translation.

The appointment of the chair holder is announced publicly in a ceremony held in South Africa.

## **2. Acceptance of funding and commencement of research work**

By returning the declaration of acceptance (which accompanies the award letter) and the further grant documents (see enclosures: Agreements between the chair holder and AIMS South Africa, Fund Request), the selected researcher confirms that he/she accepts the funding and is in agreement with the conditions pertaining to the regulations governing the use of funds. The funding amount for the research chair is available to the chair holder immediately following approval, for the period specified in the award letter.

The chair holder and AIMS South Africa agree jointly on taking up the research chair and the commencement of the intended research cooperations as soon as possible.

The Alexander von Humboldt Foundation has an interest in publicising the sponsorship of the research chair at AIMS South Africa both nationally and internationally. Thus, the chair holder is requested to submit the name and address of the president of his/her own university or institution who should be informed about the sponsorship. The rectors/presidents of the universities/research institutes in Germany named by the chair holder as international cooperation partners are also informed of the funding.

## **3. Taxes**

The chair holder is responsible for all matters pertaining to his/her taxation.

The Alexander von Humboldt Foundation assumes that the funding amount will be classified as a grant towards a research project in Germany and, as such, be free of tax. Whether the proportion of the funding amount earmarked for personal income at AIMS South Africa and 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 chair holder's own country or in South Africa may include special regulations on taxing the funding amount. If in doubt, the chair holder should contact a tax advisor in his/her own country and/or in South Africa.

Note: After registration with the Residents' Registration Office in Germany, 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, regardless of whether that person is required to pay taxes in Germany.

#### **4. German courses**

The Alexander von Humboldt Foundation is prepared, where possible, to bear the costs of German language courses for award winners and/or their marital partners who wish to learn German. Applications, stating the course length, number of hours and costs, should be submitted in writing to the Alexander von Humboldt Foundation prior to commencement of the course. The Foundation expects a regular attendance of the German language instruction. 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 chair holder and his/her family 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 hosted by the President of the Federal Republic of Germany.

#### **6. Report on 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 chair holder to submit a short, informal report including information on the scientific cooperation with the partner institutions in Germany and the contacts to other research institutions, as well as the chair holder's and his/her family's personal impressions of his/her stay in Germany. Comparisons with conditions in their own country are of particular interest. Comments on the design and organisation of the Alexander von Humboldt-Foundation sponsorship and funding programmes are welcome. (Any suggestions about further development of the research chair and other sponsorship programmes are welcome.)

Similarly, the Alexander von Humboldt Foundation also asks the scientific collaborative partners in Germany to report on how they have experienced cooperation with the chair holder.

These reports are important and of interest to the Foundation because foreign guests often make more precise observations and their opinions may be more balanced thanks to greater distance. The reports are carefully evaluated on a confidential basis. In addition, they can also help the Alexander von Humboldt Foundation to continue improving its programmes and making them as effective as possible.



## B. GENERAL CONDITIONS AND INFORMATION 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 the chair holder's own country or country of residence. Addresses and further important information regarding entry requirements are available on the website of the [Federal Foreign Office](#).

Citizens of *EU member states, as well as those from Iceland, Liechtenstein, Norway and Switzerland* 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, the United Kingdom 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 (cf. B.2.). **Please note:** Scientific work 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 and are entitled to carry out scientific work.

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 be issued for the first place in Germany at which the stay is supposed to *begin*. "Scientific work" at the respective research institute is to be indicated as the reason for travel. In case a long-term stay in Germany is planned, the so-called national D-Visa is to be applied for. The chair holder should in no case enter Germany on a Schengen Visa of the category "C". It entitles to enter Germany for short-term stays of up to 90 days only and cannot be extended.

If marital partners and/or children are accompanying the chair holder to Germany, it is recommended to submit the applications for all the members of the family at the same time. The chair holder 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 funded by 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, which needs to be taken into consideration when planning the time schedule.

The national D-visa, issued in the home country of the chair holder, entitles to enter and stay in Germany for the duration of its validity (usually up to 90 days). It is strongly recommended not to apply 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 (see also B.2.) 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 a maximum duration of 90 days (Schengen Visa of the category “C”; not extendable!) is needed, an application form may be filled out [online](#). However, a print-out of the completed form must be submitted personally at the German diplomatic mission together with the necessary application documents. “Scientific work” at the respective research institute is to be indicated as the reason for travel; a Schengen Visa of the category “C” for the purpose of a visit or a touristic stay does **not** entitle the holder to take up scientific work.

## **2. Registration, residence permit**

On arrival in Germany, the chair holder 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 the respective municipal offices directly; or generally on the website of the municipal authorities.

Any change of address during the stay in Germany has to be registered with the appropriate Residents' Registration Office within one week. Prior to leaving Germany, the chair holder and accompanying family members must inform the Residents' Registration Office of their departure.

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 coverage* valid in Germany (*for details see also B.3.*);
- 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, the research chair 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, the *marriage certificate*;
- a recent *passport photograph*;
- a *copy of the Alexander von Humboldt Foundation's award letter*.

Unless the Aliens' Registration Office is presented with all the necessary documents, residence permits cannot be issued or extended. The chair holder who does not yet have a good command of German should ask whether there is anyone at the host institute who knows their way around and might be willing to accompany him/her to the various authorities.

According to the rules of the *Immigration Act*, the chair holder's marital partner is allowed to take up gainful employment in Germany. Members of the family accompanying the chair holder 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) Humboldt research fellows 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)
- a residence permit in Germany and the extension thereof according to § 52, sub-section 5, line 1 no. 2 (AufenthV).

Humboldt research fellows' marital partners and unmarried underage children 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 the chair holder, his/her marital partner and unmarried underage children will also be exempt from paying the respective charges.

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

The chair holder and any members of his/her family accompanying him/her must have adequate health insurance coverage during the entire duration of their research stay in Germany. The responsible Aliens' Registration Offices require proof of adequate health insurance before they will issue a residence permit. Any costs ensuing from illness or accident can neither be borne by the Alexander von Humboldt Foundation nor by host institutes. 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 the chair holder's existing insurance policies or companies at home. In such cases, the health insurance company must confirm **in writing** that its insurance coverage is valid in Germany.

For stays exceeding three months, chair holders from EU Member States and the European Economic Area (Iceland, Liechtenstein, Norway and Switzerland) are subject to the following regulations: if the chair holder is covered by statutory health insurance in his/her own country, his/her health

insurance company at home will, upon request, issue form E106 or S1. This form E106 or S1 allows the chair holder and his/her 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 chair holder'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 chair holder's own country for its expenditures.

For stays under three months, a chair holder from the above-listed countries is eligible for a European Health Insurance Card, provided that he/she is covered by statutory health insurance in his/her own country. In case of illness, the health insurance scheme or company in the respective country will only cover the contractual benefits that are usual in Germany and which are medically necessary and cannot be postponed until the chair holder's return home.

A chair holder who is not covered in this way **must** take out private medical (travel) insurance in Germany for himself/herself and **all accompanying family members**.

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

Enclosed in the grant documents are leaflets from various health insurance companies which offer coverage for the **medical treatment of acute illness not related to previous illness and in case of accident**. These companies also offer liability insurance and, in some cases, additional insurance coverage for the holders of European Health Insurance Cards. The leaflets are also available on the [Alexander von Humboldt Foundation's website](#).

An **accident insurance** which pays only in the event of invalidity as well as a **private liability insurance** may be taken out optionally.

It is recommended to contact an insurance company before entering Germany so that any questions can be clarified in advance. Applications should be sent to the insurance company or agency directly, not to the Alexander von Humboldt Foundation. Insurance coverage 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 has been authorised from a bank account.

**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 coverage. As some latent illnesses (e.g., kidney and gall stones) may become acute as a result of a change of climate or eating habits etc. the chair holder is urged to have a complete medical examination prior to departure from home and, if necessary, undergo treatment.
- The cost of prenatal examinations and delivery is usually not covered by any insurance company when pregnancy has begun before arrival in Germany. If necessary, before signing a contract, the chair holder should discuss under what conditions the insurance company would be prepared to cover 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.
- Especially if it is necessary to spend time in hospital, the requisite formalities and the costs which will be refunded should be discussed with the insurance company in detail. If the chair holder or his/her accompanying family members should have to be admitted to hospital, then they should immediately present their insurance certificate and request that the hospital contact their insurance company to confirm that the costs will be covered. It should be made clear to the doctor or hospital providing the treatment that the chair holder is **not** so-called **private patient** because the health insurance options enclosed in the grant documents do not cover costs for special services such as single or double rooms or treatment by consultants or privately-affiliated doctors, so-called "Belegärzte".
- If the chair holder plans to travel abroad during the stay in Germany, he/she should inquire with his/her health insurance company well in advance whether additional insurance for travel abroad is necessary.
- The chair holder is strongly urged not to change his/her health insurance during the stay in Germany because this can have unforeseen consequences.
- Residence permits are only issued (for all the 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.

The chair holder is requested to read the health insurance company leaflets very carefully and to ensure that the health insurance coverage for himself and

his/her accompanying family members is valid from the very beginning of the stay in Germany.

The chair holder may, of course, take out whichever health insurance he/she chooses, providing it offers adequate coverage for the entire duration of the stay in Germany.

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 cost 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 coverage for driving one's own vehicles but also provides coverage as a passenger, pedestrian or cyclist.

### **Further insurance options:**

In Germany there are other areas of life and purposes for which individual insurance coverage 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 coverage), 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 differ greatly. Before signing a contract it is advisable 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, keeping in mind the limited time in Germany. Consideration should be given to 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 university and to inform the host in Germany of these activities. Guesthouses ("Gästehäuser") for non-German scholars are operated at a number of universities. If accommodation at a guesthouse is desired, reservations should be made well in advance, because waiting lists can be lengthy. Adresses are available on the page "[Living and doing research in Germany](#)" on the Foundation's website.

## **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.

Those with valid (international) driving licences issued in *another country* are allowed to drive a vehicle for a period of up to 6 months during their stay in Germany. If the licence holder does not have an international driving licence it is usually necessary for him/her to carry a German translation.

When the six months have elapsed, however, it is necessary to have 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 contact with the chair holder by providing information on the Foundation's activities, inviting him/her to attend network conferences in Germany and abroad and by offering sponsorship possibilities for renewed research stays in Germany.

The chair holder is kindly requested to inform the Alexander von Humboldt Foundation of changes of the address and position, preferably via the service portal (see also C.6.), as well as about honours and awards received and other relevant events.

Prerequisite for alumni to be sponsored within the framework of the Alumni Programme is the continuation of superior achievements and academic activity. The Alumni Programme is not subject to a career stage or an age limit.

[Further information, leaflets, and application forms](#) referring to the types of sponsorship offered within the framework of the Alumni Programme are available on the Foundation's website.

### **1. Renewed research stays in Germany**

The Alexander von Humboldt Foundation would like to see the chair holder continue his/her scientific cooperations with specialist colleagues in Germany in the long term. The sponsorship of renewed research stays in Germany is possible.

Renewed research stays serve the aim of continuing cooperations initiated during the funding period of the research chair or to complete a joint research project. Short-term visits solely intended to gather information and material or to attend academic conferences in Germany can be supported by granting daily allowances. Research stays of up to 3 months can be used either to continue or complete work which was started during the funding period of the research chair or to initiate new joint research outlines with specialist colleagues in Germany. Alumni are free to choose the academic host; competence should be the determining factor.

Decisions on additional research stays in Germany are taken by the Alexander von Humboldt Foundation on the basis of scientific necessity and the funds at the Foundation's disposal.

## **2. Invitation of researchers from Germany: The Feodor Lynen Research Fellowship Programme**

Humboldtians abroad can also act as hosts for researchers from Germany. Through the Feodor Lynen Research Fellowships for post-doctoral researchers and experienced researchers, the Foundation enables scholars from Germany with above-average qualifications to spend extended periods of research abroad in cooperation with alumni and other members of the Alexander von Humboldt Foundation Network. The selection criteria are comparable to those for research fellowships for foreign guest researchers.

Detailed information on [sponsorship conditions](#) can be downloaded from the Foundation's website.

## **3. 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.

## **4. Humboldt Colloquia and Humboldt Kollegs**

The Alexander von Humboldt Foundation regularly organises colloquia abroad and invites Humboldtians from the country or region concerned to attend. The Foundation also invites 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 and scientists to the sponsorship opportunities offered by the 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 organizing 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 homepage.

## 5. 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 Humboldt 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 scholars in foreign countries. In general, they gladly advise newly selected Humboldtians before they depart for Germany. The Alexander von Humboldt Foundation is pleased when the chair holder participates in the activities of Humboldt Alumni Associations. [Addresses](#) may be downloaded from the Alexander von Humboldt Foundation's website.

## 6. Information on the Alexander von Humboldt Foundation's websites

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

The [Explore](#) section of the Foundation's homepage contains a range of information that can be used to build cross-border and cross-disciplinary contacts in the Humboldt Network.

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. Information on all scientists and scholars who have been or are being sponsored by the Alexander von Humboldt Foundation can be found and searched here. This access to current data is intended to facilitate contacts and cooperation with and within the Humboldt network across

countries and disciplines. Part of this information is publicly accessible in the [Explore the Humboldt Network](#) section of the Foundation's website.

The service portal [My Humboldt](#) also allows users to upload and update their lists of publications. The database "Publications" contains 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 requests all Humboldtians to enter their publications there. The data are publicly accessible.

## **7. Alumniportal Deutschland: Social network for Germany alumni**

On the [Alumniportal Deutschland](#) fellows and alumni of the Alexander von Humboldt Foundation are given the opportunity to network with researchers and other Germany alumni throughout the world. The Alumniportal Deutschland is a free internet platform for people who have been affiliated to an institution in Germany or a German institution abroad for purposes of study, research, employment, training/continuing education or language learning. In addition to a world-spanning online community, the Alumniportal Deutschland also provides information on science and research, sustainability, German language and culture.

After registration the Alexander von Humboldt Foundation's [own group](#) of alumni on the Alumniportal can be accessed.

GEFÖRDERT VOM



Bundesministerium  
für Bildung  
und Forschung



**Alexander von Humboldt**  
Stiftung/Foundation

**German Research Chair  
in “Mathematics and its Applications”  
at the African Institute for Mathematical  
Sciences (AIMS) in South Africa**

**– Regulations on the Use of Funds –**

**(October 2020)**

## **Contents**

### **Regulations on the Use of Funds (as of: October 2020)**

- I. The programme and its objective**
- II. Recipient of funds, authority administering the funding amount**
- III. Purpose, use and provision of funding amount**
- IV. Human and material resources**
- V. Scientific equipment**
- VI. Taxation, social security and other levies**
- VII. Exploiting research results – publications, patents and licenses. Use of the Alexander von Humboldt Foundation logo**
- VIII. Reports on the use of funds and audits**
- IX. Rules of good scientific practice, legal regulations and general obligations**
- X. General regulations**

**Enclosure 1** “Agreements between the chair holder and AIMS South Africa”

**Enclosure 2** “Fund request” form

**Enclosure 3** “Report on the use of funds” form

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

## **I. The programme and its objective**

The Alexander von Humboldt Foundation is announcing a research chair, under the programme financed by the Federal Ministry of Education and Research (BMBF) entitled “German Research Chairs”, at the African Institute for Mathematical Sciences in South Africa. [AIMS South Africa](#) is part of the [AIMS-Next Einstein Initiative](#) (AIMS-NEI). This initiative seeks to establish a coordinated network of 15 supra-regional centres of excellence in Africa during the next ten years to help meet the need for scientists trained in mathematics.

The internationally advertised research chair is designed to help strengthen university education in mathematics and research in Africa, promote networking between AIMS South Africa and German universities, and support networking amongst the various AIMS centres in Africa.

## **II. Recipient of funds, authority administering the funding amount**

The recipient of the funding amount is the holder of the research chair (chair holder). The Alexander von Humboldt Foundation expects AIMS South Africa to take on fiduciary responsibility for the administration of the funding amount in the name of and on behalf of the chair holder. For this purpose, an agreement must be concluded between the chair holder and AIMS South Africa, and submitted to the Alexander von Humboldt Foundation before the first instalment of the funding amount is paid (cf. Form, Enclosure 1). The funding amount is remitted to AIMS South Africa at the chair holder’s request (cf. Form, Enclosure 2).

## **III. Purpose, use and provision of funding amount**

The funding for the research chair is initially limited to a period of up to six years and will total up to 835,000 EUR. The funding amount and the funding period are stated in the award letter from the Alexander von Humboldt Foundation.

The chair holder must use the funding amount to conduct teaching and research at AIMS South Africa in cooperation with specialist colleagues at partner universities and research institutions both in South Africa and abroad, in particular in Germany. The chair holder may use the funding amount to cover all expenses serving this purpose (including the necessary equipment and materials, personnel, travel expenses, etc.).

The chair holder may draw a monthly sum from the funding amount (totalling 1/12 of the yearly salary) for his/her personal income. The amount of the yearly salary from the funding amount is among other things subject to the career stage and is determined by AIMS South Africa; it can amount to up to 85,000 EUR p.a. in the case of a full professor (employer’s gross amount). Other income, including

additional salary payments by AIMS South Africa or from third parties, will not be set against this.

The chair holder is otherwise free to determine contractual details concerning his/her personal income from the funding amount within the valid legal regulations as well as regulations with regard to collective bargaining and salary law in agreement with AIMS South Africa. The amount of the yearly salary from the funding amount determined by AIMS South Africa (up to 85,000 EUR p.a.) must not be exceeded.

The funds to promote the chair holder may additionally be used for the following purposes (“expense types”):

- Moving expenses of the chair holder (up to 10,000 EUR);
- Research stays conducted by the chair holder to carry out self-selected research projects at institutions of the cooperation partners in Germany (up to 10,000 EUR p.a.). Up to 3,000 EUR/month may be used to cover the chair holder’s living expenses during a research stay in Germany; the “Guidelines for Research Fellows” of the Alexander von Humboldt Foundation – as amended – apply.
- Participation in conferences inside and outside the country (up to 7,500 EUR p.a.);
- Workshops and conferences at AIMS South Africa (up to 15,000 EUR p.a.);
- Academic literature, equipment and consumables at AIMS South Africa (up to 20,000 EUR p.a.).

The financial plan submitted to the selection committee – with the exception of the amount of the personal income which is determined by AIMS South Africa – is binding. However, the sums budgeted for any given expense type – with the exception of the salary for the research chair (up to 85,000 EUR p.a.) – may be exceeded by up to 20% without consulting the Alexander von Humboldt Foundation provided that savings of the same amount are made on another expense type. In this context, statements made in the award letter are binding; in particular, cuts in funding made to specific parts of the application must be respected. It is possible to make other alterations if they become necessary but only on previous written agreement by the Alexander von Humboldt Foundation. The relevant application should include an explanatory statement and a revised version of the financial plan.

The funding amount must be used economically and prudently.



The funding amount is paid in instalments. Funds transferred abroad will be subject to the exchange rate determined by the bank responsible for the transaction. Funds will be transferred to an AIMS South Africa sub-account which has been set up for the German Research Chair. The first instalment is available on request (cf. Form, Enclosure 2) as soon as the selected researcher has:

- accepted the funding by returning the written declaration of acceptance to the Alexander von Humboldt Foundation,
- successfully concluded appointment negotiations with AIMS South Africa, and
- submitted the signed "Agreements between the chair holder and AIMS South Africa" (cf. Form, Enclosure 1),
- information on planned research stays at institutions of the cooperation partners in Germany and
- the "Fund request" (cf. Form, Enclosure 2) to the Alexander von Humboldt Foundation.

Cash balances as of 31 December of each year must not exceed max. 20% of the total funding amount paid during that year. Exceptions must be justified in writing at the latest when submitting the numerical (interim) report on the use of funds (see VIII.) and require approval from the Alexander von Humboldt Foundation. If approval is not granted, the cash balances must be paid back. The cash balance from the previous year must be spent before new funds from the following year are used.

Payments of the funding amount are dependent on the availability of budgetary means.

#### **IV. Human and material resources**

The chair holder and AIMS South Africa 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. AIMS South Africa acts as employer on behalf of the chair holder. This status is based upon the standard legal general conditions governing the use of public funds applicable at AIMS South Africa (relating in particular to labour, social security and collective bargaining law). The same applies to the use of material resources, particularly expenditure on travel and the awarding of assignments to third parties. Salaries may not exceed the nationally or locally customary level; the same applies to the use of funds for material expenditures.

## **V. Scientific equipment**

Scientific equipment financed from the funding amount is purchased by AIMS South Africa in the name of and on behalf of the chair holder in accordance with his/her requirements. Upon purchase, it immediately becomes the property of AIMS South Africa. Equipment with a procurement or production value exceeding 800 EUR (excluding purchase tax) passes into the inventory of AIMS South Africa and must continue to be used for scientific purposes when the funding period comes to an end.

AIMS South Africa ensures that the necessary technical and financial conditions for installing and operating the equipment exist and that the chair holder has the full right of disposition over the equipment during the entire funding period. The equipment remains the property of AIMS South Africa in the event that the chair holder transfers to another institution. The chair holder may only remove the equipment to another institution by mutual agreement with AIMS South Africa and with prior written authorisation by the Alexander von Humboldt Foundation.

## **VI. Taxation, social security and other levies**

The chair holder 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 AIMS South Africa. 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, also 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, under the programme financed by the BMBF entitled “German Research Chairs”.

- Publications, stating the title and bibliographical details, must be uploaded via BibTex file on the service portal “[My Humboldt](#)” on the Alexander von Humboldt Foundation's website.

If the chair holder is interested in publishing research results in the fields of chemistry, physics, mathematics or informatics through the German

[National Library of Science and Technology \(TIB\)](#) – Leibniz Information Centre for Science and Technology and University Library, they can contact the TIB directly: [Contact information and contact persons](#)

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, truncated or integrated into other logos.
- Use of the logo with the label “Unterstützt von / Supported by” is authorised in publications and all 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.
- 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 logo of the Federal Ministry of Education and Research (BMBF) must be displayed prominently preceded by the phrase “Sponsored by” along with the logo of the Alexander von Humboldt Foundation on all publications and in all related public relations activities, such as trade fairs, websites and presentations etc. The logo and related information concerning the use of the logo and the corporate design of the BMBF as funding provider can be downloaded [here](#) after entering the user name “zuwendungs-info” and the password “bmbf2006”. As an alternative to using the logo, the following text may be used to refer to the funding from the BMBF: “The project on which this publication is based has been carried out with funding from the German Federal Ministry of Education and Research under project reference number (*to be provided*). The author of this publication has sole responsibility for its content.”

The Alexander von Humboldt Foundation considers it very important that research results achieved in the framework of sponsorship are 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”) or patent broking companies or agencies (“Patentverwertungsstellen/ - agenturen”). All related matters (legal questions, whom to contact about publication, registering patents etc.) must be clarified by the chair holder with AIMS South Africa directly (cf. Enclosure 1).

- The legal relationship between the chair holder and AIMS South Africa is governed by the locally applying legal regulations. In Germany, the provisions of the German “Employees Invention Act” apply, whereby the chair holder should enjoy the same status as a professor in the legal context. A letter of intent between the chair holder and AIMS South Africa to this effect must be submitted to the Alexander von Humboldt Foundation (cf. Form, Enclosure 1).

### **VIII. Reports on the use of funds and audits**

By 28 February of each year, the chair holder 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 three 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. The Alexander von Humboldt Foundation reserves the right to evaluate and publish these reports. 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 chair holder prior to a possible publication.

The chair holder must certify that the funding amount has been used in accordance with their stated purpose as well as economically and prudently. The department representing AIMS South Africa in personnel and business matters

must certify that the facts and figures in the report on the use of funds are correct. If AIMS South Africa has its own auditors, they must review and endorse that the funding amount has 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. After the (final) report on the use of funds has been submitted, AIMS South Africa must retain the receipts for the period applicable to this institution, for at least six years.

Any funds that remain unused after completion of the final accounts must be returned to the Alexander von Humboldt Foundation immediately, independently of the deadline for submission of the report on the use of funds.

The Alexander von Humboldt Foundation, the Federal Ministry of Education and Research and the Bundesrechnungshof, or their authorised representatives (in particular the International Bureau), are entitled to request the submission of books, receipts and other business records and to verify the use of the funding amount in local surveys at any time. The chair holder and AIMS South Africa 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 grant recognises previous outstanding international research conducted by, and the personality of, the chair holder. While carrying out the research work funded, the chair holder is obliged to comply with the rules of good scientific practice and the relevant laws that apply at the respective research location as well as to the Alexander von Humboldt Foundation. Besides personal integrity it is further assumed that the chair holder has observed the applicable regulations and laws also in his/her previous research he/she has conducted.

By accepting the grant, the chair holder obligates himself/herself:

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 minor changes to the outlined teaching and research profile of the chair as submitted with the application or to the intended cooperations (including the financial plan);
2. when carrying out the research work 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;
  - b. the [German Embryo Protection Act](#) (Gesetz zum Schutz von Embryonen, ESchG), as amended;
  - 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;
- 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;
  - by 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;
  - when planning and carrying out experiments relating to matters of biological diversity as covered by the [Nagoya Protocol](#):
    - 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. [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;
    - 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;
  - 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](#) and of the respective implementing rules.

3. to focus his or her work on research at AIMS South Africa in agreement with AIMS South Africa and be present regularly and permanently at AIMS South Africa according to customary practice in the respective discipline; secondary employment may be acceptable in exceptional cases subject to non-impairment of the purpose of the funding and prior written consent by the Alexander von Humboldt Foundation. If the chair holder takes up full-time employment abroad, entitlement to funding ceases; the sponsorship period ends early.
4. to inform the Alexander von Humboldt Foundation immediately of applications for or any further funding granted for the same purpose; and
5. to abide by the rules on the use of the Alexander von Humboldt Foundation logo (cf. VII.).

AIMS South Africa obligates itself to ensure that the chair holder will be working as a leading academic and will be able to conduct his/her teaching and research with a high degree of independence. This includes total integration into AIMS South Africa and membership in the faculty of the cooperating university, including budgetary allocation decisions etc. Should the chair holder already be a faculty member of another leading research university in South Africa, an appointment to the cooperating university is not mandafour

tory. The chair holder should enjoy all rights associated with a professorship. A letter of intent between the chair holder and AIMS South Africa to this effect 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 grant.

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 grant in part or in full and to demand repayment of the funding amount or parts thereof. This also applies if the chair holder makes false statements during the funding period or is found to have made such statements during the application procedure, or if other serious facts emerge which would have militated against the conferment of the grant 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 chair holder. Amendments will be announced to the chair holder in writing well in advance. The amendments are considered to have been approved if the chair holder 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 2020)



**German Research Chair in “Mathematics and its Applications”  
at the African Institute for Mathematical Sciences (AIMS) in South Africa  
Agreements between the chair holder and AIMS South Africa**

**Chair holder:**

**Institution entrusted**

**with the administration of the funding amount:     AIMS South Africa**

**AIMS South Africa and the chair holder have reached the following agreements:**

**a) Purpose and administration of funding amount:**

The funding amount is to be used to fund the chair holder’s teaching and research at AIMS South Africa in cooperation with specialist colleagues at partner universities and research institutions both abroad and in particular in Germany. AIMS South Africa has taken note of the Regulations on the Use of Funds enclosed in the grant documents and will support the chair holder to the best of its ability while observing these regulations. Furthermore, the following agreements have been concluded:

**b) Agreement on the administration of the funding amount 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 chair holder 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 AIMS South Africa. AIMS South Africa acts as employer on behalf of the chair holder, takes on responsibility for the administration of the funding amount and retains the receipts for the period stated in the regulations for AIMS South Africa, for at least six years.

**c) Agreement on the status and rights of the chair holder, patents and licenses (cf. Regulations on the Use of Funds, VII., IX.):**

AIMS South Africa obligates itself to ensure that the chair holder will be working as a leading academic and will be able to conduct his/her teaching and research with a high degree of independence. This includes total integration into AIMS South Africa and membership in the faculty of the cooperating university, including budgetary allocation decisions etc. The chair holder shall enjoy all rights associated with a professorship.

The legal relationship between the chair holder and AIMS South Africa is furthermore governed by the locally applicable laws – in Germany, the

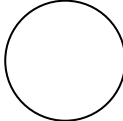
provisions of the German “Employees Invention Act”, whereby the chair holder should enjoy the same status as a professor in the legal context.

**d) Agreement on the right to audit (cf. Regulations on the Use of Funds, VIII.):**

The Alexander von Humboldt Foundation, the Federal Ministry of Education and Research and the Bundesrechnungshof, or their authorised representatives (in particular the International Bureau), are entitled to request the submission of books, receipts and other business records and to verify the use of the funding amount in local surveys at any time.

**e) Alterations and additions to these agreements require the authorisation of the Alexander von Humboldt Foundation.**

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Place/Date	Personal signature of chair holder
	

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Title and official stamp of department representing AIMS South Africa in personnel and business matters

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Place/Date	Name of signatory	Personal signature
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**Deutscher Forschungslehrstuhl "Mathematik und ihre Anwendungen" am  
African Institute for Mathematical Sciences (AIMS) in Südafrika / German  
Research Chair "Mathematics and its Applications" at the African Institute for  
Mathematical Sciences (AIMS) in South Africa:**

**Abruf des Förderbetrages / Fund Request**

Lehrstuhlinhaber/in / *Chair holder*:  
Mit der Verwaltung des Förderbetrages  
betrante Institution  
/ *Institution entrusted with the administration of  
funds*:

AIMS Südafrika / <i>South Africa</i>

**Benötigter Förderbetrag / Funds required:**

Jahr / Year	2021	2022	2023	2024	2025	2026
<b>1. Personalmittel / Human resources</b>						
<b>1.1 Persönliches Einkommen des/r Lehrstuhlinhabers/in / Personal income of the Chair Holder</b> (Die Höhe des Betrages für das persönliche Einkommen des/r Lehrstuhlinhabers/in aus dem Förderbetrag wird von AIMS Südafrika festgelegt (bis zu 85.000 EUR p. a.) und ist in monatlichen Teilbeträgen (1/12 des Betrages p. a.) auszuzahlen/ <i>The amount of the chair holder's personal income from the funding amount is determined by AIMS South Africa (up to 85,000 EUR p. a.) and has to be paid on a monthly basis (1/12 of the amount p. a.);</i>	- €	- €	- €	- €	- €	- €
<b>1.2 Umzugskosten des/r Lehrstuhlinhaber/in</b> (bis zu 10.000 EUR) / <i>moving expenses of the chair holder</i> (up to 10,000 EUR)	- €	- €	- €	- €	- €	- €
<b>2. Sachmittel / Material resources</b>						
<b>2.1. Forschungsaufenthalte Lehrstuhlinhabers/in in Deutschland</b> (bis zu 10.000 EUR p. a., bis zu 3.000 EUR monatlich) / <i>Research stays of the chair holder in Germany</i> (up to 10,000 EUR p. a.; up to 3,000 EUR monthly)	- €	- €	- €	- €	- €	- €
<b>2.2. Teilnahme an Konferenzen</b> (bis zu 7.500 EUR p. a.) / <i>Conference participation</i> (up to 7,500 EUR p.a.)	- €	- €	- €	- €	- €	- €
<b>2.3. Workshops, Tagungen am AIMS Südafrika</b> (bis zu 15.000 EUR p. a.) / <i>Workshops, conferences at AIMS South</i>	- €	- €	- €	- €	- €	- €

<b>2.4. Fachliteratur / scientific literature; Verbrauchsmittel, Kleingeräte bis 800 EUR, Sonstiges / Consumables, equipment up to 800 EUR, sundries (2.4 - 2.5: bis zu 20.000 EUR p.a. / 2.4-2.6: up to 20,000 EUR p. a.)</b>	- €	- €	- €	- €	- €	- €
<b>2.5. Geräte / equipment exceeding 800 EUR;</b>	- €	- €	- €	- €	- €	- €
<b>Summe / Total</b>	- €	- €	- €	- €	- €	- €

Die Auszahlung erfolgt in Tranchen – je nach Verfügbarkeit der Haushaltsmittel – sobald wie möglich. Der Kassenbestand zum 31.12. eines jeden Jahres darf 20% des in dem betreffenden Jahr ausgezahlten Gesamtbetrages nicht überschreiten; in begründeten Ausnahmefällen ist eine Überschreitung möglich. / *Payments are made in instalments and are effected – depending on the availability of budgetary means – as soon as possible The cash balance as per Dec. 31st of each year must not exceed 20% of the total instalment paid that year; in exceptional cases this amount can be exceeded.*

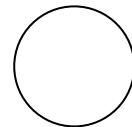
**Kontoverbindung von AIMS Südafrika: / Bank account of AIMS South Africa:**

Kontoinhaber/in / <i>Account holder</i>	
Name der Bank / <i>Name of the bank</i>	
Bankleitzahl (BLZ) / <i>Bank code number</i> / <i>BIC</i>	
Kontonummer / <i>Account number</i> / <i>IBAN</i>	
Verwendungszweck / <i>Intended use</i>	

Ort und Datum / *Place and date*

Eigenhändige Unterschrift des/r Lehrstuhlinhabers/in  
*Chair holder's personal signature*

Wir haben bei der Erstellung dieses Förderbetragabrufes mitgewirkt /  
*We have assisted in the preparation of this Fund Request:*



Bezeichnung und ggf. Dienststempel der Stelle, die zuständig ist, AIMS Südafrika im Bereich der Personal- und Wirtschaftsverwaltung zu vertreten. / *Designation and, if applicable, official stamp of the department authorised to represent AIMS South Africa in personnel and business matters.*

Ort und Datum / *Place and date*

Name des/r Unterzeichnenden  
*Name of signatory*

Eigenhändige Unterschrift  
*Personal signature*

**Deutscher Forschungslehrstuhl "Mathematik und ihre Anwendungen"  
am African Institute for Mathematical Sciences (AIMS) in Südafrika**

**German Research Chair "Mathematics and its Applications"  
at the African Institute for Mathematical Sciences (AIMS) in South Africa**

**Zwischennachweis / Verwendungsnachweis  
– nicht Zutreffendes bitte streichen**

**Interim Report / Report on the Use of Funds  
– delete as applicable**

Nachweiszeitraum von – bis / <i>Report period from – to</i>		
Lehrstuhlinhaber/in / <i>Chair holder:</i>		
Mit der Verwaltung des Förderbetrages betraute Institution / <i>Institution entrusted with the administration of funds:</i>	AIMS Südafrika / <i>AIMS South Africa</i>	
Förderbetrag (gesamt) / <i>Funding amount (total):</i>		
Förderzeitraum (gesamt) von bis / <i>Funding period (total) from to:</i>		

**A. Sachbericht** (bitte als separate Anlage) / **Report on Work Carried Out and Results Achieved** (please attach a separate enclosure)

**B. zahlenmäßiger Nachweis / Numerical report**

	Fremdwährung [1] / Foreign currency [1]	Euro
Kassenbestand zu Beginn des Nachweiszeitraumes / <i>Cash balance at the beginning of the report period</i>		
Im Nachweiszeitraum zugeflossener Förderbetrag / <i>Funds accrued during the report period</i>		
<b>Summe verfügbarer Förderbetrag im Nachweiszeitraum / <i>Total disposable funding amount during the report period</i></b>	\$ -	- €

**Daraus geleistete Ausgaben[2] / Expenses paid [2]:**

<b>1. Personalmittel / <i>Human resources:</i></b>	\$ -	- €
1.1 Persönliches Einkommen des/r Lehrstuhlinhabers/in (0812) / <i>Personal income of chair holder</i>		
1.2 Umzug des/r Lehrstuhlinhabers/in / <i>Moving expenses of chair holder</i>	\$ -	- €
1.2.1 Flugkosten im Rahmen des Umzugs (0845) / <i>Flight costs as part of move (0845)</i>		
1.2.2 Umzugskosten (0835) / <i>Moving expenses (0835)</i>		
<b>2. Sachmittel / <i>Material resources:</i></b>	\$ -	- €

2.1 Forschungsaufenthalte des/r Lehrstuhlinhabers/in in Deutschland (inklusive Reisekosten) (0844) / <i>Research stays of chair holder in Germany (incl. travel costs) (0844)</i>		
2.2 Teilnahme an Konferenzen im In- und Ausland / <i>Participation in conferences at home and abroad</i>	\$ -	- €
Reisekosten (0845) / <i>Travel expenses (0845)</i>		
Konferenzgebühren (0842) / <i>Conference fees (0842)</i>		
2.3 Workshops, Tagungen am AIMS Südafrika (0835) / <i>Workshops, conferences at AIMS South Africa (0835)</i>		
2.4 Fachliteratur (0842) / <i>Scientific literature (0842), Verbrauchsmittel, Sonstiges / Wiss. Kleingeräte bis 800 € (0842) / <i>Consumables, other/sci. equipment up to 800 EUR (0842)</i></i>		
2.5 Wissenschaftliche Geräte über 800 € (0850) / <i>Scientific equipment exceeding 800 EUR (0850)</i>		
Gegenstände, deren Anschaffungs- oder Herstellungswert 800 EUR (ohne Umsatzsteuer) übersteigt, sind am AIMS Südafrika inventarisiert. Sie stehen nach Ablauf des Förderzeitraumes weiterhin wissenschaftlichen Zwecken zur Verfügung / <i>Items with a procurement or production value of more than 800 EUR (excluding purchase tax) are included in the inventory of AIMS South Africa. These are available for further scientific use at the end of the funding period</i>		
Summe aus 2.4 – 2.5 / <i>Total of 2.4–2.5</i>	\$ -	- €
<b>Summe Ausgaben im Nachweiszeitraum / <i>Total expenditure in report period</i></b>	<b>\$ -</b>	<b>- €</b>

<b>Kassenbestand zum Ende des Nachweiszeitraumes / <i>Cash balance at end of report period</i></b>	<b>\$ -</b>	<b>- €</b>
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[1] Der Verwendungsnachweis ist in jener Währung zu führen, in der der Förderbetrag AIMS Südafrika zugeflossen ist. / *The Report on the Use of Funds must be provided in the currency in which the funding amount was transferred to AIMS South Africa.*

[2] Im Finanzierungsplan enthaltene weitere Ausgabenarten sind im Verwendungsnachweis derjenigen Position zuzuordnen, aus der sie entnommen wurden. / *Other expenses types included in the financial plan are to be allocated in the Report on the Use of Funds to the position from which they were taken.*

Dem Verwendungsnachweis ist eine tabellarische Belegliste beigelegt, in der die Ausgaben nach Art und in zeitlicher Reihenfolge getrennt aufgeführt sind. / *The Report on the Use of Funds must be accompanied by a tabular list of receipts, in which the expenditures are listed chronologically and separately according to type*

Die Ausgabenbelege werden nach Vorlage des Verwendungsnachweises bei AIMS Südafrika entsprechend den für AIMS Südafrika geltenden Aufbewahrungsfristen aufbewahrt, mindestens sechs Jahre. / *After submission of the Report on the Use of Funds, the receipts must be retained by AIMS South Africa in accordance with the applicable retention period, and at least six years.* Der Sachbericht ist als Anlage beigelegt. / *The Report on Work Carried Out and Results Achieved is included as an enclosure.*

Die Verwendungsbestimmungen sind beachtet worden. / *The Regulations on the Use of Funds*

*have been observed.*

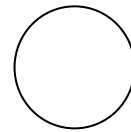
Der Förderbetrag ist wirtschaftlich und sparsam verwendet worden. / *The Funding amount has been used economically and prudently.*

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Ort und Datum / *Place and date*

Eigenhändige Unterschrift des/r Lehrstuhlinhabers/in  
/ *Chair holder's personal signature*

Die sachliche und rechnerische Richtigkeit der Angaben wird hiermit bestätigt /  
It is herewith certified that the above-cited facts and figures are correct:



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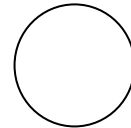
Bezeichnung und ggf. Dienststempel der Stelle, die zuständig ist,  
AIMS Südafrika im Bereich der Personal- und Wirtschaftsverwaltung zu vertreten /  
*Designation and, if applicable, official stamp of the department authorised to represent AIMS  
South Africa in personnel and business matters.*

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Ort und Datum / *Place and date*

Name des/r Unterzeichnenden / *Name of signatory*  
Eigenhändige Unterschrift / *Personal signature*

Die zweckentsprechende sowie wirtschaftliche und sparsame Verwendung des Förderbetrages  
und Übereinstimmung mit Buchungen und Belegen werden hiermit bestätigt / *It is herewith  
certified that the funding amount has been used in accordance with the stated purpose as well as  
economically and prudently, and that the transactions and receipts correspond with the data:*



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Bezeichnung und ggf. Stempel der Prüfungseinrichtung / *Designation and, if applicable, stamp of  
the auditing body*

**Bitte ankreuzen / *Please tick:***

Es handelt sich hierbei um eine zur internen Prüfung befugte Einrichtung am AIMS Südafrika /  
*Department of AIMS South Africa authorised to conduct internal audits.*

Es handelt sich hierbei um eine externe Prüfungseinrichtung / *External auditor.*

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Ort und Datum / *Place and date*

Name des/r Unterzeichnenden / *Name of signatory*  
Eigenhändige Unterschrift / *Personal signature*

**Belegliste als Anlage zum Verwendungsnachweis vom [Datum] /**  
**List of Receipts as Annex to the Report on the Use of Funds as of [date]**

Die Belegliste wird als elektronische Datei zur Verfügung gestellt und ist für alle Ausgabenpositionen entsprechend auszufüllen. Im Folgenden ist die Struktur der Belegliste beispielhaft anhand der Ausgabenposition 0812 dargestellt. /

*The list of receipts is provided as an electronic file and must be filled in for all expenditure items accordingly. In the following, the structure of the list of receipts is exemplified on the basis of expenditure item 0812.*

Lfd. Nr. Beleg / No. of Receipt	Datum der Zahlung / Date of Payment	Empfänger / Recipient	Zahlungsgrund / Reason for payment	Zahlbetrag / (Lokale Währung / EUR) Amount (Local Currency / EUR) <sup>1</sup>	Summe Persönliches Einkommen / Sum Personal Income of Chair Holder Pos. 0812 (EUR)

<sup>1</sup> Die Zahlbeträge sind sowohl in der lokalen Währung als auch in EUR anzugeben. Auf jedem Beleg ist der taggenaue EUR-Wechselkurs der lokalen Währung anzugeben. / The amounts have to be specified in the local currency as well as in EUR. On each receipt the exact EUR exchange rate of the local currency applying at the day of payment has to be indicated.



**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 funding by the Alexander von Humboldt Foundation, 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. Leadership includes responsibility for promoting young scientists.
  - *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 another person 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 network of the Alexander von Humboldt Foundation.

### **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 funding by the Alexander von Humboldt Foundation, for example in the erratum.

3.3. Temporary suspension of funding decisions pending the resolution of the issue;

3.4. Forfeiture of eligibility for sponsorship by the Alexander von Humboldt Foundation, 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 the 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 person will not be disclosed to the person 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 person concerned, explicitly indicating the penalty options available to the Alexander von Humboldt Foundation as well as the right of the person concerned 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 person 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 AvH-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 AvH 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.