



Alexander von Humboldt
Stiftung/Foundation

Anneliese Maier Research Award

**Collaboration Award to Promote the Internationalisation of the
Humanities and Social Sciences in Germany**

- Regulations on the Use of Funds -

(November 2017)

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Regulations on the Use of Funds (as of: November 2017)

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I. The programme and its objective

Every year the Alexander von Humboldt Foundation grants up to eight Anneliese Maier Research Awards funded by the Federal Ministry of Education and Research to outstanding researchers from abroad in all fields of the humanities, social science, cultural science, law and economics to promote research collaboration with specialist colleagues in Germany, contributing towards the further internationalisation of the humanities and social sciences in Germany.

Nominations for the research award can be made for researchers from the fields of the humanities and social sciences whose scientific achievements have been internationally recognised in their research area and from whose research collaboration with specialist colleagues in Germany a sustainable contribution is expected towards the further internationalisation of the humanities and social sciences in Germany.

The award funds total generally EUR 250,000 and are made available for a period of five years to finance research collaboration with specialist colleagues in Germany.

In addition to researchers who already number among the established leaders in their subject, the award is also aimed at researchers who are not yet so advanced in their scientific careers but who are already internationally established researchers from whom a sustainable shaping of the humanities and social sciences in Germany can be expected through the prospects of long-term collaboration. Particular importance is attached to the nomination of qualified female researchers.

II. Recipient of award funds, authority administering award funds

The recipient of award funds is the award winner. The Alexander von Humboldt Foundation expects the home institution of the award winner or a collaborative partner institution in Germany – which has among other things the necessary knowledge of applicable labour, social security and collective bargaining law – to take on fiduciary responsibility for the administration of the award funds in the name of and on behalf of the award winner. For this purpose, an agreement must be concluded between the award winner and the home institution or institution entrusted with the administration of award funds, and submitted to the Alexander von Humboldt Foundation before the first instalment of the award funds is paid (cf. Form, Enclosure 1). The award funds are remitted to the institution entrusted with the administration of award funds at the award winner's request (cf. Form, Enclosure 2). The selection of this institution requires the approval of the Alexander von Humboldt

Foundation. The approval is considered granted with the transfer of the first instalment of award funds.

III. Purpose, use and provision of award funds

As soon as the award has been conferred, the award winner is entitled to the award funds as stated in the Alexander von Humboldt Foundation's letter about the conferment of award (award letter) to carry out research collaborations with specialist colleagues in Germany for a period of five years. As a matter of principle, an extension of the funding period is not intended.

The award funds are intended to finance the self-chosen research collaboration of the award winner with specialist colleagues in Germany and the associated research work of the respective collaborative partners. The award winner may use the award funds to cover all expenses serving this purpose (including the necessary equipment and material, personnel, travel expenses, etc.). Up to 20 % of the award funds may be used for the procurement of scientific equipment. A substantial portion of the award funds should be used to involve students, doctoral candidates and junior researchers from Germany and abroad in the funded research collaborations.

To cover the award winner's living expenses during a research stay in Germany up to 20 % of the award funds (up to EUR 10,000 per month) may be used. If the award winner continues to receive regular income (e.g. from a professorship), then that amount – up to EUR 5,000 – is to be set against the amount allocated for living expenses. In Germany, this salary is subject to income tax under the Income Tax Law; abroad, the legal regulations of the respective country apply. Beyond this, the award funds or portions thereof may not be used for the personal salary of the award winner.

The home institution, where the award winner conducts his or her research, or the institution entrusted with the administration of award funds, may receive a flat-rate payment of up to 15 % from the award funds (administrative flat-rate). It can be used to cover any costs resulting from the use of existing and/or specifically acquired material or specifically created personnel infrastructure (e.g. general institute facilities, laboratories or workrooms, operating and maintenance costs, finance and personnel management and auditing). For this purpose, an agreement must be concluded between the award winner and his or her home institution or institution entrusted with the administration of award funds, and submitted to the Alexander von Humboldt Foundation before the first instalment of award funds is paid (cf. Form, Enclosure 1).

The home institution or the institution entrusted with the administration of award funds may place unused funds from the administrative flat-rate at the disposal of the award winner to carry out his or her research collaborations.

The award funds must be used economically and prudently.

The award funds are paid in instalments. Funds transferred abroad will be subject to the exchange rate determined by the bank responsible for the transaction. The first instalment is available on request (cf. Form, Enclosure 2) as soon as the recipient of the award has:

- accepted the award by returning the written declaration of acceptance to the Alexander von Humboldt Foundation,
- submitted the signed "Agreements between the award winner and the home institution or institution entrusted with the administration of award funds" (cf. Form, Enclosure 1),
- submitted a project outline and financial plan,
- submitted information on planned research stays in Germany and
- submitted the "Fund Request" (cf. Form, Enclosure 2) to the Alexander von Humboldt Foundation.

Payments of award funds are dependent on the availability of budgetary means.

Any interest accrued during the funding period must be used for the research collaboration.

IV. Human and material resources

The award winner and the home institution or the institution entrusted with the administration of award funds come to a mutual agreement (cf. Form, Enclosure 1) on the procedure for employing staff during the funding period and on the regulations governing the awarding of assignments or conclusion of other contracts. The home institution or the institution entrusted with the administration of award funds acts as employer on behalf of the award winner. This status is based upon the standard legal general conditions governing the use of public funds applicable at the home institution or the institution entrusted with the administration of award funds (especially with respect 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 state and local customary norm. The award winner may earmark part of the award funds which the home institution or the institution entrusted with the administration of award funds may use to grant fellowships, particularly to guest researchers from Germany. The basis for determining the value of the

fellowships abroad should be the local customary fellowship amounts; in Germany – the monthly instalments paid by the German Academic Exchange Service and the Alexander von Humboldt Foundation to graduate and post-doc fellows respectively.

V. Scientific equipment

Scientific equipment financed from the award funds is purchased by the home institution or the institution entrusted with the administration of award funds in the name of and on behalf of the award winner in accordance with his or her requirements. Upon purchase, it immediately becomes the property of the home institution or collaborative partner institution in Germany. Equipment with a procurement or production value exceeding EUR 410 (excluding purchase tax) passes into the inventory of the respective institution and must continue to be used for scientific purposes when the funding period comes to an end.

The respective institution ensures that the necessary technical and financial conditions for installing and operating the equipment exist and that the award winner has the full right of disposition over the equipment during the entire funding period. The equipment remains the property of the home institution or collaborative institution in Germany in the event that the award winner transfers to another institution. The award winner may only remove the equipment to another institution in mutual agreement with the respective institution and with prior written authorisation by the Alexander von Humboldt Foundation.

VI. Taxation, social security and other levies

The award winner bears responsibility for all matters relating to taxation, customs, employment and social security legislation and for observing all other laws and state regulations; administrative responsibility lies with the home institution or the institution entrusted with the administration of award funds. A letter of intent to this effect must be submitted to the Alexander von Humboldt Foundation (cf. Form, Enclosure 1). Particular attention is drawn to special tax regulations in respect of fellowships as well as work and service contracts in Germany and, if applicable, abroad.

VII. Exploiting research results – publications, patents and licences. Use of the Alexander von Humboldt Foundation logo

The Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship be published. In publications and all other (especially public) presentations, appropriate reference should be made to the funding provided by the Alexander von Humboldt Foundation as well as the donor, the Federal Ministry of Education and Research:

- In publications, an appropriate place must be chosen to state that funding has been provided by the Alexander von Humboldt Foundation in the framework of the Anneliese Maier Research Award endowed by the Federal Ministry of Education and Research.
- Publications, stating the title and bibliographical details, must be entered in the data-base "Bibliographia Humboldtiana" of the service portal "My Humboldt" on the Alexander von Humboldt Foundation's website (cf. <https://www.humboldt-foundation.de/web/my-humboldt.html>). They can also be entered via Humboldt Life: <https://www.humboldt-life.de>.

If it is planned to use the Alexander von Humboldt Foundation logo, the following needs to be observed:

- The use of the Alexander von Humboldt Foundation logo in any kind of communication is subject to strict rules. The logo and its constituent parts are a trademarked name and may not be reproduced without obtaining the express written authorisation of the Foundation in advance. The logo comprises three parts: the head of Alexander von Humboldt, the script nameplate and the bilingual addition "Stiftung/Foundation". These elements jointly comprise the **inseparable** word/image trademark. The logo and its constituent parts may not be copied, altered or truncated or integrated in other logos.
- Use of the logo is authorised in publications and other, in particular public, presentations (e.g. conference presentations) of research results that were produced in direct connection with sponsorship by the Alexander von Humboldt Foundation. For this purpose, the logo with the label "Unterstützt von/Supported by" may be downloaded from the password-protected section via the log-in mask of the service portal "My Humboldt" in an electronic file format that conforms to the specific requirements for print: <https://www.humboldt-foundation.de/web/my-humboldt.html>.
- Any other use of the logo requires prior written permission from the Alexander von Humboldt Foundation and must be requested in writing, stating the intended use of the logo.

The Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship, not least in Germany itself, be utilised. Commercially-utilisable results should be adequately protected (particularly by patents and utility models) and exploited:

- Research results potentially eligible for commercial exploitation must be presented to the appropriate agencies, such as industry. If it seems recommendable to register a patent or similar legal protection for research results, it is essential, for legal reasons, to start proceedings **before** publishing the relevant results.

The people to contact specialised in registering patents and legally protecting research results are patent agents ("Patentanwälte") and patent broking companies or agencies ("Patentverwertungsstellen/-agenturen"). All related matters (legal questions, whom to contact about publication, registering patents etc.) must be clarified with the home institution or the institution entrusted with the administration of award funds directly.

- If research is conducted abroad, the Alexander von Humboldt Foundation expects that both research results as well as licenses, patents etc. are offered and exploited in Germany, too.
- The legal relationship between the award winner and the home institution or the institution entrusted with the administration of award funds is governed by the locally applying legal regulations. In Germany, the provisions of the German "Employees Invention Act" apply, whereby the award winner should enjoy the same status as a professor in the legal context. A written agreement to this effect between the award winner and the home institution or institution entrusted with the administration of award funds must be submitted to the Alexander von Humboldt Foundation (cf. Form, Enclosure 1).

VIII. Reports on the use of funds and audits

By April 30th of each year, the award winner is required to submit a brief report on work carried out and results achieved in the preceding calendar year as well as a numerical (interim) report on the use of funds (cf. Form, Enclosure 3). A detailed final report on work carried out and results achieved, and a numerical report on the use of (total) funds for the entire funding period must be submitted not later than four months after the funding period has come to an end. The report on work must present the results achieved in detail and provide an accounting of the most important items in the numerical report on the use of funds. Reports on work may be passed on to the Alexander von Humboldt Foundation's peer reviewers. 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 award winner prior to a possible publication.

The award winner must certify that the award funds have been used in accordance with their stated purpose as well as economically and prudently. The department representing the institution entrusted with the administration of award funds in personnel and business matters must certify that the facts and figures in the report on the use of funds are correct. If this institution has its own auditors, they must review and endorse that the award funds have been used in accordance with their stated purpose as well as economically and prudently. If the audit cannot be carried out at this institution, then an external auditor must be commissioned to conduct the audit. The costs for this may be deducted from the administrative flat-rate. After the reports on the use of funds have been submitted, the institution entrusted with the administration of award funds must retain the receipts for the period stated in its own regulations, for at least six years.

Any award funds that remain unused after completion of the final accounts must be returned to the Alexander von Humboldt Foundation.

The Alexander von Humboldt Foundation or its authorised representative is entitled to request the submission of books, receipts and other business records and to verify the use of the award funds in local surveys at any time. The award winner and the institution entrusted with the administration of award funds must give written approval for this procedure and submit it to the Alexander von Humboldt Foundation (cf. Form, Enclosure 1).

IX. Rules of good scientific practice, legal regulations and general obligations

The award recognises the entire academic record to date and the personality of outstanding scientists and scholars. When carrying out the research work funded, award winners are obligated to comply with the rules of good scientific practice and the relevant laws that apply at the respective research location, and to the Alexander von Humboldt Foundation. Besides personal integrity it is further assumed that award winners have observed the applicable regulations and laws also in the previous research they have conducted.

By accepting the award, the award winners obligate themselves:

1. to notify the Alexander von Humboldt Foundation immediately if the intended use of funds is altered or no longer relevant. This also applies to anything more than just minor changes to the research project (cf. III., "project outline");
2. when carrying out the research work funded, to comply in particular with
 - the rules of good scientific practice (cf. Enclosure 4);
 - when planning and carrying out experiments on human subjects
 - a. the World Medical Association Declaration of Helsinki – Ethical Principles for Medical Research Involving Human Subjects in the revised version of October 2013:
<https://www.wma.net/policies-post/wma-declaration-of-helsinki-ethical-principles-for-medical-research-involving-human-subjects/>
 - b. the German Embryo Protection Act (Gesetz zum Schutz von Embryonen, ESchG), as amended:
<https://www.gesetze-im-internet.de/eschg/>
 - c. the German Act Ensuring Protection of Embryos in Connection with the Importation and Use of Human Embryonic Stem Cells (Gesetz zur Sicherstellung des Embryonenschutzes im Zusammenhang mit Einfuhr und Verwendung menschlicher embryonaler Stammzellen, StZG), as amended: *<https://www.gesetze-im-internet.de/stzg/>*
 - when planning and carrying out experiments on animals, the regulations of the German Animal Welfare Act (Tierschutzgesetz, TierSchG) and the relevant implementing rules, as amended:
<https://www.gesetze-im-internet.de/tierschg/BJNR012770972.html>;
 - when planning and carrying out genetic engineering experiments, the regulations of the German Genetic Engineering Act (Gesetz zur Regelung der Gentechnik, GenTG) and the relevant implementing rules, as amended: *<https://www.gesetze-im-internet.de/gentg/>*;
 - when planning and carrying out experiments relating to matters of biological diversity as covered by the Nagoya Protocol (*<https://www.cbd.int/abs/doc/protocol/nagoya-protocol-en.pdf>*):
 - a. Regulation (EU) No 511/2014 on Compliance Measures for Users from the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization in the Union:

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

- 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:

<http://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:32015R1866&from=en;>

- c. the German Act Implementing the Obligations under the Nagoya Protocol, Implementing Regulation (EU) No. 511/2014 and Amending the Patent Act and the Environmental Audit Act (Gesetz zur Umsetzung der Verpflichtungen nach dem Nagoya-Protokoll, zur Durchführung der Verordnung (EU) Nr. 511/2014 und zur Änderung des Patentgesetzes sowie zur Änderung des Umweltauditgesetzes), as amended:

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

- when transferring knowledge abroad, which could be of importance to the military or the armaments industry of the transfer countries, the respective valid version of the relevant regulations in the Federal Republic of Germany's foreign trade law and foreign trade decrees as well as further relevant implementation rules:

https://www.gesetze-im-internet.de/awg_2013/index.html and [https://www.gesetze-im-internet.de/awv_2013/index.html/;](https://www.gesetze-im-internet.de/awv_2013/index.html/)

3. to inform the Alexander von Humboldt Foundation immediately of applications for or any further funding granted for the same purpose.
4. to abide by the rules on the use of the Alexander von Humboldt Foundation logo (cf. VII).

X. General Regulations

The Regulations on the Use of Funds are integral to the award.

The German-language text of the Regulations on the Use of Funds is authoritative; the English-language text merely serves as a useful translation.

Should the Regulations on the Use of Funds fail to be respected, the Alexander von Humboldt Foundation reserves the right to revoke the decision on conferring the award in part or in full and to demand repayment of the award funds or parts thereof. This also applies if the award winner makes false statements during the funding period or if other serious facts emerge which would have militated against the conferment of the award had they been known to the selection committee at the time. The procedures and penalties in the event of violations of the Regulations on the Use of Funds and especially in case of scientific or other malpractice are regulated in detail in the document "Rules of good scientific practice, procedures, and penalties in the event of malpractice" (cf. Enclosure 4).

The Alexander von Humboldt Foundation reserves the right to amend the Regulations on the Use of Funds at any time, provided that the amendments, while taking due account of the interests of the Alexander von Humboldt Foundation, are reasonable vis-à-vis the award winner. Amendments will be announced to the award winner in writing well in advance. The amendments are considered to have been approved if the award winner has not lodged an objection in writing within four weeks. In the event of an objection, the Alexander von Humboldt Foundation reserves the right to cease funding within a reasonable period of time.

The sole legal venue is Bonn/Germany. German law applies exclusively without conflicting rules.

(as of: November 2017)

Anneliese Maier Research Award

Agreements between the award winner and the home institution or institution entrusted with the administration of award funds

Award winner:

Home institution or institution entrusted with the administration of award funds:

The above-mentioned institution and the award winner have reached the following agreements:

a) Purpose and administration of award funds:

The award funds are intended to finance self-chosen research collaboration of the award winner with specialist colleagues in Germany and the associated research work of the respective collaborative partners. The institution entrusted with the administration of award funds has taken note of the Regulations on the Use of Funds enclosed in the award documents and will support the award winner to the best of its ability while observing these regulations. Furthermore, the following agreements have been concluded:

b) Agreement on the administrative flat rate (cf. Regulations on the Use of Funds, III.):

The home institution, where the award winner conducts his or her research, or the institution entrusted with the administration of award funds, may receive a flat-rate payment of up to 15 %) from the award funds (administrative flat-rate). It can be used to cover any costs resulting from the use of existing and/or specifically acquired material or specifically created personnel infrastructure (e.g. general institute facilities, laboratories or workrooms, operating and maintenance costs, finance and personnel management and auditing).

Accordingly, the institution entrusted with the administration of award funds will receive an administrative flat-rate amounting to ____% (in words: ____ percent) from the award funds and will use it in accordance with its stated purpose as well as economically and prudently.

c) Agreement on the administration of award funds as well as taxation, customs, employment and social security matters; furthermore, on compliance with other laws and state regulations (letter of intent; cf. Regulations on the Use of Funds II., IV., VI., VIII., IX.):

The award winner bears responsibility for all matters relating to taxation, customs, employment and social security legislation and for observing all other laws and state regulations; administrative responsibility lies with the home institution or institution entrusted with the administration of award funds. The latter acts as employer on behalf of the award winner, takes on responsibility for the administration of award funds and retains the receipts for the period stated in its own regulations, for at least six years.

d) Agreement on patents and licenses (cf. Regulations on the Use of Funds, VII.):

The legal relationship between the award winner and the home institution or the institution entrusted with the administration of award funds is governed by the locally applying legal regulations – in Germany by the provisions of the German "Employees Invention Act", whereby the award winner should enjoy the same status as a professor in the legal context.

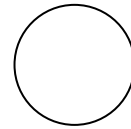
e) Agreement on the right to audit (cf. Regulations on the Use of Funds, VIII.):

The Alexander von Humboldt Foundation or its authorised representative is entitled to request the submission of books, receipts and other business records and to verify the use of award funds in local surveys at any time.

f) Alterations and additions to these agreements require the authorisation of the Alexander von Humboldt Foundation

Place and date

Award winner's personal signature



Designation and official stamp of the department authorised to represent the institution entrusted with the administration of award funds in personnel and business matters

Place and date

Name of signatory

Personal signature

**Anneliese Maier-Forschungspreis / Anneliese Maier Research Award
Preisgeldabruf / Fund Request**

Preisträger/in / Award winner:

**Mit der Verwaltung des Preisgeldes betraute Institution/
Institution entrusted with the administration of award funds:**

Benötigtes Preisgeld / Award funds required:

Jahr/Year (insgesamt nicht mehr als 60 Monate/ not exceeding 60 months altogether)	2018	2019	2020	2021	2022	2023	gesamt/ total
1. Personalmittel (Hinweis: Mittel zur Deckung des Lebensunterhaltes des/r Preisträgers/in in Deutschland – bis zu 10.000 EUR pro Monat, bis zu 20 % des Preisgeldes / Human resources (Please note: funds to cover award winner's living expenses in Germany – up to EUR 10,000 per month, up to 20 % of award funds)	EUR	EUR	EUR	EUR	EUR	EUR	EUR
2. Sachmittel (Hinweis: Geräte bis zu 20 % des Preisgeldes) / Material resources (Please note: equipment up to 20 % of award funds)	EUR	EUR	EUR	EUR	EUR	EUR	EUR
3. Verwaltungspauschale (bis zu 15 % des Preisgeldes) / Administrative flat-rate (up to 15 % of the award funds)	EUR	EUR	EUR	EUR	EUR	EUR	EUR
Summe/Total	EUR	EUR	EUR	EUR	EUR	EUR	EUR

Die Auszahlung erfolgt in Teilbeträgen – je nach Verfügbarkeit der Haushaltsmittel – sobald wie möglich./
Payments are made in instalments and are effected – depending on the availability of budgetary means – as soon as possible.

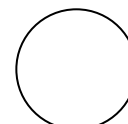
Kontoverbindung der mit der Verwaltung des Preisgeldes betrauten Institution:/
Bank account of the institution entrusted with the administration of award funds:

Kontoinhaber/in/Account holder	
Name der Bank/Name of the bank	
BIC	
IBAN / Kontonummer/Account number	
Evtl. Verwendungszweck/Intended use if applicable	

Ort und Datum / Place and date

Eigenhändige Unterschrift des/r Preisträgers/in /
Award winner's personal signature

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



Bezeichnung und Dienststempel der Stelle, die zuständig ist, die mit der Verwaltung des Preisgeldes betraute Institution im Bereich der Personal- und Wirtschaftsverwaltung zu vertreten / Designation and official stamp of the department authorised to represent the institution entrusted with the administration of award funds in personnel and business matters

Ort und Datum / Place and date

Name der/s Unterzeichnenden
Name of signatory

Eigenhändige Unterschrift/Personal signature

Anneliese Maier Research Award

Report on the use of funds

for the period from to
 Interim report / Report on the use of funds – *please delete as applicable*

Award winner: _____

Home institution or institution entrusted with the administration of award funds: _____

Total amount of award funds: _____ EUR

Total funding period: _____

Report recorded in: Euro
 other currency: _____ (please indicate).¹

A. Report on the work carried out and results achieved (please attach as separate enclosure)

B. Numerical report for the report period fromto

Cash balance at the beginning of the report period:

Award funds accrued during the report period:

Interest accrued during the report period:

Total of disposable award funds during the report period _____

Expenses paid from award funds:

1. Human resources:

of these: award winner's living expenses during research stay in Germany:

2. Material resources:

2.1 Scientific equipment

Items with a procurement or production value of more than EUR 410 (excluding purchase tax) are included in the home institution's or cooperating partner institution's inventory. They are available to be used for scientific purposes as of the end of the funding period.

2.2 Travel expenses:

2.3 Consumables/other:

3. Administrative flat-rate:

Total expenditure during the report period: _____

Cash balance at the end of the report period: _____

p.t.o.

¹ The Report on the Use of Funds is to be submitted in the currency in which the award funds were credited to the account of the institution entrusted with the administration of the award funds.

After submitting the report on the use of funds, receipts will be retained by the institution entrusted with the administration of funds for the period stated in its regulations.

The report on work carried out and results achieved is enclosed.

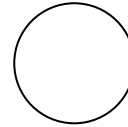
The Regulations on the Use of Funds have been observed.

The award funds have been used economically and prudently.

Place and Date

Award winner's personal signature

It is herewith certified that the above-cited facts and figures are correct:



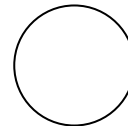
Designation and official stamp of the department authorised to represent the institution entrusted with the administration of funds in personnel and business matters

Place and date

Name of signatory

Personal signature

It is herewith certified that the award funds have been used in accordance with their stated purpose as well as economically and prudently and, furthermore, that the transactions and receipts correspond with the data:



Designation and, if applicable, official stamp of the auditing body

Please indicate:

- Department of the institution entrusted with the administration of funds authorised to conduct internal audits.
- External auditor

Place and date

Name of signatory

Personal signature

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

1. Rules of good scientific practice

- 1.1. Those sponsored by the Alexander von Humboldt Foundation are obligated to inform themselves about and comply with the rules of good scientific practice that are in effect at their host institution.
- 1.2. Moreover, those sponsored are to pledge themselves, and the staff they employ in the framework of Alexander von Humboldt Foundation funding, to observe the rules of good scientific practice below. Violations of these rules or scientific or other malpractice (see paragraphs 2 and 3) may result in the penalties described in paragraph 4.
- 1.3. The following principles constitute the rules of good scientific practice, both in general and specified to the individual disciplines as necessary:
 - *General principles of scientific work*
 - to work in accordance with the accepted standards of the discipline;
 - to observe the rules specific to the respective discipline with regard to the attaining, selecting, using, documenting, and long-term securing of data and other findings;
 - to challenge consistently all one's own findings;
 - to maintain strict honesty with regard to the contributions of partners, competitors, and predecessors.
 - *Cooperation and supervisory responsibility in working groups*
 - to assure cooperation and supervisory responsibility in working groups; in particular, to take organisational measures to ensure that the tasks of leadership, supervision, conflict management, and quality assurance are clearly assigned and actually fulfilled;
 - not to compromise research activities of others.
 - *Supervision of junior researchers*
 - to ensure appropriate supervision for graduates, doctoral candidates, and students, in particular by providing each of them with a primary mentor in the working group. Responsibility for promoting junior researchers is a top-level management priority.
 - *Scientific publications:*
 - to produce and disseminate scientific publications in accordance with the accepted rules and standards of the discipline; and, in particular when new findings are to be published, to describe these findings and the applied methods completely and comprehensibly as well as account for one's own and others' preliminary work exhaustively and correctly.

- If several participants are involved in a scientific project and its subsequent publication, only those can be named as co-authors who significantly contributed to the conceptual design, formulation, analysis and interpretation of the data or findings, and the drafting of the manuscript, and have consented to its publication; so-called 'honorary authorship' is not permissible; third-party support is to be listed under acknowledgements.

2. Scientific or other malpractice

2.1. Scientific malpractice is the misrepresentation of facts in a scientific context, either consciously or due to gross negligence, infringement of intellectual property of others, or any other encroachment upon others' research activities. Decisions will be made on a case-by-case basis. The following, in particular, can be considered scientific malpractice:

2.1.1. *Misrepresentation of facts* such as

- 2.1.1.1. forging or distorting data, for example by selecting and rejecting undesirable results without declaring them, or by manipulating illustrations or images;
- 2.1.1.2. false information in an application or a funding proposal, including false information about the publication organ and publications in print.

2.1.2. *Infringement of intellectual property* concerning copyrighted work by others or significant scientific findings, hypotheses, teachings, or research approaches by others such as

- 2.1.2.1. unauthorized 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. unauthorized publication and unauthorized granting of access to third parties prior to the publication of the work, the findings, the hypothesis, the teaching, or the research approach;
- 2.1.2.5. claiming authorship or co-authorship of others without their consent.

2.1.3. *Sabotage of research activity*, including damaging, destroying, or manipulating experimental arrangements, equipment, documents, hardware, chemicals, or other materials needed by others to conduct scientific work (including malicious displacement or abstraction of books and other documents).

2.1.4. *Deletion of primary data* if it infringes legal provisions or accepted principles of scientific work in the discipline.

- 2.2. Scientific misconduct also comprises behaviour that entails a *shared responsibility* for the misconduct of others, in particular by active participation, joint knowledge of misrepresentations, co-authorship of falsified publications, or gross negligence of supervisory responsibilities.
- 2.3. For the purpose of the present rules, other misconduct is applicable if grave circumstances are discovered that challenge the personal aptitude of the individual sponsored to be a member (multiplier) of the global Alexander von Humboldt Foundation network.

3. Penalties

In the event of grave violation of the above rules of good scientific practice, in particular scientific or other malpractice, the Alexander von Humboldt Foundation can impose one or several of the following penalties, depending on the nature and gravity of the established misconduct

- 3.1. Written reprimand of the person concerned;
- 3.2. Request that the person concerned retract the discredited publication or correct the falsified data (in particular by publishing an erratum), or appropriately indicate the recall of Alexander von Humboldt Foundation sponsorship, for example in the erratum.
- 3.3. Temporary suspension of funding decisions pending the resolution of the issue;
- 3.4. Forfeiture of eligibility for Alexander von Humboldt Foundation sponsorship, permanent or temporary, depending on the gravity of the scientific malpractice;
- 3.5. Revocation of funding decisions (complete or partial cancellation of the grant, recall of funds granted, reclaim of funds spent), including the denial of the status of "Humboldtian";
- 3.6. Exclusion from review and committee work for Alexander von Humboldt Foundation.

4. Procedures

If a violation of the rules of good scientific practice (paragraph 1) or scientific or other malpractice (paragraph 2) is suspected, the following basic procedures take effect:

- 4.1. If probable cause is brought to the attention of the Alexander von Humboldt Foundation, the suspected person must be notified of the incriminating facts and be given the opportunity to respond in writing within four weeks. Simultaneously, the implementation of a funding decision can be suspended temporarily until the issue is resolved (see paragraph 3.3.). Without their

consent, the identity of the informant and the allegedly injured party will not be disclosed to the party concerned in this phase (whistleblower-protection).

- 4.2. In order to clarify the issue, the Alexander von Humboldt Foundation office is authorized to request oral or written statements by the concerned as well as third parties at any time.
- 4.3. If no response is received or if a response is examined and the suspicion persists, the Alexander von Humboldt Foundation will notify the party concerned, explicitly indicating the Alexander von Humboldt Foundation's penalty options as well as the right of the concerned party to remonstrate within four weeks.
- 4.4. If use is not made of the right to remonstrate, the Alexander von Humboldt Foundation may impose one of the measures listed above in paragraph 3.
- 4.5. If the remonstration submitted by the party concerned fails to convince the Alexander von Humboldt Foundation, and in particular, fails to refute the probable cause plausibly, the Alexander von Humboldt Foundation may impose one of the above-mentioned penalties. Prior to making the decision, the Alexander von Humboldt Foundation may request an expert opinion on the existence of malpractice from the Ombudsman of the DFG or a comparable body affiliated with the host institution.

5. Scope of application, coming into effect, and temporary provisions

The above regulations apply to academics who receive sponsorship from the Alexander von Humboldt Foundation as well as applicants for funding, host institutions, alumni, members of selection committees and peer reviewers of the Alexander von Humboldt Foundation.

The regulations take effect on 01.08.2007. Individual Alexander von Humboldt Foundation -sponsored projects that have been concluded by this date will not be affected by these regulations, but are subject to the general rule that the Alexander von Humboldt Foundation can alter or revoke its funding decisions if circumstances are brought to its attention after the fact that would have led to a different decision on the part of the Alexander von Humboldt Foundation.