



Alexander von Humboldt
Stiftung/Foundation

Max Planck-Humboldt Research Award

– Regulations on the Use of Funds –

(April 2020)

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Regulations on the Use of Funds (as of: April 2020)

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I. The programme and its objective

The Alexander von Humboldt Foundation and the Max Planck Society jointly grant the Max Planck-Humboldt Research Award endowed by the German Federal Ministry of Education and Research to exceptional scientists and scholars from outside Germany. The award is granted in recognition of the outstanding academic contributions these promising individuals have made to date. Presented to researchers up to 15 years post doctorate, the award is aimed at those who are expected to achieve scientific breakthroughs in the future based on their previously highly successful, unconventional, innovative and risk-taking research.

In addition to recognising the entire academic record to date the award is intended to enable the award winning researchers to set up a working group in Germany, preferably at a university. Other creative and promising research formats, which correspond to the research interests and working methods of the award winners in a particular way, can also be funded – with the aim of shaping cooperation with specialist colleagues in Germany as permanently as possible.

Virtually unaffected by administrative constraints, the award winners will enjoy a high degree of freedom in creating their own working conditions.

One award is announced annually on an alternate basis in the fields of chemistry, physics and technology, biology and medicine or humanities and social sciences.

A sum of EUR 1,500,000 (funding amount) is made available for a period of five years for the purpose of establishing and managing a working group in Germany as well as for other suitable innovative research formats for cooperation with specialist colleagues in Germany. The host institution in Germany receives a lump sum amounting to 20% as markup to the funding amount (administrative flat-rate) to compensate for the resulting material and staff expenses.

The Max Planck Society and the Alexander von Humboldt Foundation run the programme jointly. All financial transactions are managed by the Alexander von Humboldt Foundation. Award winners are integrated into the Alexander von Humboldt Foundation's support measures and alumni activities as well as the corresponding measures of the Max Planck Society.

II. Recipient of funding amount and administrative flat-rate, authority administering the funds

The recipient of the funding amount and the administrative flat-rate (in the following named “funds”) is the award winner. The Alexander von Humboldt Foundation expects the host institution in Germany stated in the Alexander von Humboldt Foundation’s and the Max Planck Society’s letter of conferment of the award (award letter), at which the award winner intends to conduct his/her research, to take on fiduciary responsibility for the administration of the 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 host institution, and submitted to the Alexander von Humboldt Foundation before the first instalment of the funds is paid (see also Form, Enclosure 1). The funds are remitted to the host institution at the award winner's request (see also. Form, Enclosure 2).

Switching to a different host institution is only possible in substantiated exceptional cases and in agreement with the Alexander von Humboldt Foundation.

III. Purpose, use and provision of funding amount and administrative flat-rate

The funding amount stated in the award letter is available to the award winner immediately following the conferment of award and for a period of five years for the purpose of establishing and managing a working group in Germany as well as for other suitable innovative research formats for cooperation with specialist colleagues in Germany. As a matter of principle, an extension of the funding period is not intended.

The award winner must use the funding amount to conduct his/her research at the host institution in Germany. The funding amount may be used to cover all expenses which serve this purpose (including the necessary equipment and material resources, personnel, travel expenses etc.). The award winner may withdraw a sum of up to EUR 10,000 per month (1/30 of the monthly amount per day) as personal income to cover his/her living expenses during the research stay in Germany. Other income, including additional salary payments by the host institution or from third parties, will not be set against this.

The award winner is otherwise free to determine the 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 the host institution. The level of remuneration taken from the funding amount (up to EUR 10,000 per month) must, however, not be exceeded.

The host institution in Germany receives a lump sum amounting to 20% as markup to the funding amount (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). The administrative flat-rate is requested together with the funding amount by the award winner with the assistance of the host institution (see also Form, Enclosure 2).

The host institution may place unused funds from the administrative flat-rate at the disposal of the award winner to carry out his or her research work.

The funding amount and the administrative flat-rate must be used economically and prudently.

The funds are paid in instalments by the Alexander von Humboldt Foundation. 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 host institution" (see also Form, Enclosure 1),
- submitted a project outline and financial plan,
- submitted the "Fund request" (see also Form, Enclosure 2) to the Alexander von Humboldt Foundation.

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

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

IV. Human and material resources

The award winner and the host institution 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 host institution acts as employer on behalf of the award winner. This status is based upon the local, standard legal

general conditions governing the use of public funds applicable at the host institution (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. The award winner may earmark part of the funding amount which the host institution may use to grant fellowships, particularly to guest researchers from abroad. The basis for determining the value of the fellowships should be 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 funding amount is purchased by the host institution in the name of and on behalf of the award winner in accordance with his/her requirements. Upon purchase, it immediately becomes the property of the host institution. Equipment with a procurement or production value of more than EUR 800 (excluding purchase tax) passes into the inventory of the host institution and must continue to be used for scientific purposes when the funding period comes to an end.

The host 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 host institution in the event that the award winner transfers to another institution. The award winner may only remove the equipment to another institution in Germany in mutual agreement with the host 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 host institution. A declaration of commitment to this effect must be submitted to the Alexander von Humboldt Foundation (see also 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 licenses. Use of the Alexander von Humboldt Foundation's and the Max Planck Society's logos

The Max Planck Society and the Alexander von Humboldt Foundation consider 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 and the Max Planck Society 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 Max Planck Society and the Alexander von Humboldt Foundation in the framework of the Max Planck-Humboldt 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: www.humboldt-foundation.de/web/my-humboldt.html. They can also be entered via Humboldt Life: www.humboldt-life.de/.
- If award winners are 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* (www.tib.eu/en/), they can contact the TIB directly:

Postal address

for letters:

German National Library of Science
and Technology (TIB)
Postfach 6080
30060 Hannover

for parcels:

German National Library of
Science and Technology (TIB)
Welfengarten 1B
30167 Hannover

E-Mail: information@tib.eu

Any further questions may be directed to Dr.-Ing. Elzbieta Gabrys-Deutscher – elzbieta.gabrys@tib.eu

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

- The use of both logos in any kind of communication is subject to strict rules. The logos and their constituent parts are a trademarked name and may not be reproduced without obtaining the express written authorisation of the respective organisation in advance.
- The logo of the Alexander von Humboldt Foundation 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 in other logos.
- The logo of the Max Planck Society comprises the head of the Minerva as well as the corresponding subtitle. The logo and its constituent parts may neither be copied nor altered. The logo is to be used exclusively in white, black, green and 50% black.
- Use of the logo in the case of the Alexander von Humboldt Foundation 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: www.humboldt-foundation.de/web/my-humboldt.html
- Use of the logo in the case of the Max Planck Society can be 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 Max Planck-Humboldt Research Award. For this purpose, the use of the logo can be requested via email (address: bildredaktion@gv.mpg.de). It will then be provided in an electronic file format that conforms to the specific requirements for print, supplemented with the label "Unterstützt von/Supported by".
- Any other uses of the logos require prior written permission from the Alexander von Humboldt Foundation and the Max Planck Society and must be requested in writing, stating the intended use of the logos.

The Alexander von Humboldt Foundation and the Max Planck Society consider it 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") and patent broking companies ("Patentverwertungsstellen/ -agenturen"). All related matters (legal questions, whom to contact about publication, registering patents etc.) must be clarified with the host institution directly.

The legal relationship between the award winner and the host institution is governed 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. A written agreement to this effect between the award winner and the host institution must be submitted to the Alexander von Humboldt Foundation (see also 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 (see also 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 4 months after the funding period has come to an end. The report on work must present the results achieved in detail and go into 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 and the Max Planck Society's peer reviewers. The Max Planck Society and the Alexander von Humboldt Foundation reserve 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 Max Planck Society and 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 funds have been used in accordance with their stated purpose as well as economically and prudently. The department authorised to represent the host institution in personnel and business matters must certify that the facts and figures in the report on the

use of funds are correct. If the host institution has its own auditors, they must review and endorse that the 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 host institution must retain the receipts for the period stated in its regulations, for at least six years.

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

The Alexander von Humboldt Foundation, the Federal Ministry of Education and Research, as well as the Federal Audit Office or auditors authorised by them are entitled to request the submission of books, receipts and other business records and to verify the use of funds in local surveys at any time. The award winner and the host institution must give written approval for this procedure and submit it to the Alexander von Humboldt Foundation (see also 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 as well as to the Max Planck Society. 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 approved research project (see also III. "project outline");
2. when carrying out the research work in Germany to comply *in particular* with:

- the rules of good scientific practice (see also 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: 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: 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: 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: 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: www.gesetze-im-internet.de/gentg/;
- when planning and carrying out experiments relating to matters of biological diversity as covered by the Nagoya Protocol (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: 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: 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:

http://www.bgbl.de/xaver/bgbl/start.xav?startbk=Bundesanzeiger_BGBl&jumpTo=bgbl115s2092.pdf;

- 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:

www.gesetze-im-internet.de/awg_2013/index.html and

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 logos of the Alexander von Humboldt Foundation and the Max Planck Society (see also 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 Max Planck Society and the Alexander von Humboldt Foundation reserve the right to revoke the decision on conferring the award in part or in full and to demand repayment of the funds granted 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 detailed in the document "Rules of good scientific practice, procedures, and penalties in the event of malpractice" (see also. Enclosure 4).

The Alexander von Humboldt Foundation and the Max Planck Society reserve the right to amend the Regulations on the Use of Funds at any time,

provided that the amendments, while taking the interests of the Max Planck Society and the Alexander von Humboldt Foundation into account, 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 and the Max Planck Society reserve 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: April 2020)

Max Planck-Humboldt Research Award

Agreements between the award winner and the host institution

Award winner:

Institution

**entrusted with the administration of funds
(funding amount and administrative flat-rate):**

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

a) Purpose and administration of funds:

The funding amount is intended for carrying out the award winner's research at the host institution in Germany. The administrative flat-rate is intended for compensating the host institution for the resulting material and staff expenses. The host institution entrusted with the administration of 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. In addition, the following agreements have been concluded:

b) Agreement on the administration of funds as well as taxation, customs, employment and social security matters; furthermore, on compliance with other laws and state regulations (declaration of commitment; 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 institution entrusted with the administration of funds. The latter acts as employer on behalf of the award winner, takes on responsibility for the administration of funds and retains the receipts for the period stated in its own regulations, for at least six years.

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

The legal relationship between the award winner and the institution entrusted with the administration of funds is governed 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.

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

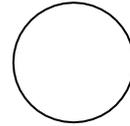
The Alexander von Humboldt Foundation, the Federal Ministry of Education and Research, as well as the Federal Audit Office or auditors authorised by them are entitled to request the submission of books, receipts and other business records and to verify the use of funds in local surveys at any time.

p.t.o.

e) 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 office authorised to represent the institution entrusted with the administration of funds in personnel and business matters

Place and date

Name of signatory

Personal signature

**Max-Planck-Humboldt-Forschungspreis / Max Planck-Humboldt Research Award
Mittelabruf / Fund Request**

Preisträger/in / Award winner:

Mit der Verwaltung der Mittel (Förderbetrag und Verwaltungspauschale) betraute Institution /
Institution entrusted with the administration of funds (funding amount and administrative flat-rate):

Benötigte Mittel/ Funds required:

Jahr/Year	2021	2022	2023	2024	2025	2026	Gesamt/ Total
1. Personalmittel (Hinweis: Mittel zur Deckung des Lebensunterhaltes des/r Preisträgers/in in Deutschland – max. 10.000,- EUR pro Monat oder 1/30 des Betrages pro Tag) <i>Human resources (please note: funds to cover award winner's living expenses in Germany – max. of 10.000,- EUR per month or 1/30 of the amount per day)</i>	EUR						
2. Sachmittel / <i>Material Resources</i>	EUR						
3. Verwaltungspauschale (bis zu 20 % als Aufschlag auf den Förderbetrag) / <i>Administrative flat-rate (up to 20 % as markup to the funding amount)</i>	EUR						
Summe/Total	EUR						

Die Auszahlung erfolgt in Teilbeträgen – je nach Bedarf und 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 demand and 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.

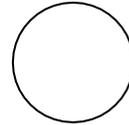
Kontoverbindung der mit der Verwaltung der Mittel betrauten Institution: /
Bank account of the institution entrusted with the administration of the funds:

Kontoinhaber/in / <i>Account holder</i>	
Name der Bank / <i>Name of the bank</i>	
BIC / SWIFT Code / <i>Bank code</i>	
IBAN / <i>Account number</i>	
Evtl. Verwendungszweck / <i>Intended use if applicable</i>	

Ort und Datum / *Place and date*

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

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



Bezeichnung und Dienststempel der Stelle, die zuständig ist, die mit der Verwaltung der Mittel 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 funds in
personnel and business matters.*

Ort und Datum / *Place and date*

Name der/s Unterzeichnenden
Name of signatory

Eigenhändige Unterschrift
Personal signature

Max Planck-Humboldt 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: _____

Institution entrusted with the administration of funds:

Funding amount (total): _____

Administrative flat-rate (total): _____

Funding period (total): _____

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

B. Numerical report for the report period from to

Cash balance at the beginning of the report period
Funding amount accrued during the report period
Administrative flat-rate accrued during the report period
Interest accrued during the report period

Total of disposable funding amount during the report period _____

Expenses paid from the funding amount:

1. Human resources:

of which for the personal income of the award winner:

2. Material resources:

2.1 Scientific equipment:

Items with a procurement or production value of more than 800 EUR (excluding purchase tax) are included in the host 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

Total of disposable administrative flat-rate during the report period _____

Expenses paid from the administrative flat-rate:

3. Administrative flat-rate:

Total expenditure during the report period _____

Cash balance at the end of the report period

PTO

After submitting the Report on the Use of Funds, the receipts will be retained by the institution entrusted with the administration of funds for the period stated in its regulations, for at least six years.

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

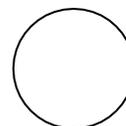
The Regulations on the Use of Funds have been observed.

The 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:



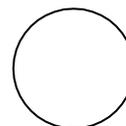
Designation and, if applicable, official stamp of the department authorised to represent the institution entrusted with the administration of funds in personnel and business matters

Place and date

Name of signatory

Personal signature

It is herewith certified that the 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 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. 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 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 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 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 remonstrations 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.