



Alexander von Humboldt
Stiftung/Foundation

Guidelines and Information for Research Fellows

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**(Research Fellowship Programme)
(March 2011)**

A. RESEARCH FELLOWSHIP GUIDELINES

The Alexander von Humboldt Foundation grants research fellowships to scientists and scholars from abroad with above-average qualifications to sponsor long-term research stays at research institutions in Germany. The purpose of the research fellowships is to carry out a research project, chosen by the fellows themselves, in cooperation with an academic host who must provide the necessary research facilities at the host institute and act as a mentor for the project.

Research fellowships are granted to **post-doctoral** and **experienced researchers**:

- Research fellowships for **post-doctoral researchers** allow scientists and scholars from abroad with above-average qualifications, at the beginning of their academic careers, who have only **completed their doctorates in the last four years** to stay in Germany for an extended period of research (6-24 months).
- Research fellowships for **experienced researchers** allow scientists and scholars from abroad with above-average qualifications, who **completed their doctorates less than twelve years ago**, to stay in Germany for an extended periods of research (6-18 months, may be divided up into as many as three stays). Researchers are expected to have their own discernable research profile. They should usually be working at least at the level of Assistant Professor or Junior Research Group Leader or have a record of several years of independent academic work.

The following regulations and guidelines apply to all Humboldt research fellows from abroad. Any programme-related deviations ensuing from the programme information will be restated in the award documents (Alexander von Humboldt Foundation award letter and accompanying documents).

A.1. The Research Fellowship

The research fellowship is awarded in order to carry out a research project, which has been chosen by the research fellow and agreed upon with the host, at a host institute in Germany; it is supposed to cover subsistence in Germany. By accepting the research fellowship the research fellow commits him- or herself to the objective of the fellowship during the duration thereof. It is not possible to pursue any other full-time employment in Germany or elsewhere during the period sponsored by the Alexander von Humboldt Foundation (language and research fellowship); *cf. A.1.8., A.1.11. and E. for details.*

A.1.1. Acceptance

The documents confirming that a research fellowship has been awarded (grant documents) include an *acceptance form*. The original of this form should be completed, signed, and returned to the Alexander von Humboldt Foundation as soon as possible, at the latest four weeks after receiving the grant documents. Research fellows granted language fellowships (*cf. A.3.2.*) are requested to return the completed and signed enrolment form for the intensive language course to the Alexander von Humboldt Foundation together with the acceptance form. A passport-size photograph is necessary for the Humboldt identity card (*cf. B.7.*).

A.1.2. Commencement

The date the research stay begins is stated in the award letter and normally corresponds to the date proposed by the research fellow in his/her application. However, the date should be agreed with the academic host in Germany before the declaration of acceptance is returned to the Alexander von Humboldt Foundation.

Please bear in mind that the academic year in Germany is divided into two semesters. The winter semester usually begins in October and ends in March, while the summer semester runs from April to September. Lectures usually take place from mid-October to mid-February and from mid-April to mid-July.

A.1.3. Duration

The research fellowship is approved by the relevant independent Alexander von Humboldt Foundation Selection Committee taking account of the period applied for by the candidate:

- Research Fellowships for Post-doctoral Researchers are granted for a period of 6 to 24 months.
- Research Fellowships for experienced Researchers are granted for a period of 6 to 18 months. The fellowship can be divided up into three blocks lasting at least three months each. On principle, no more than 36 months may elapse between the beginning of the first stay and the end of the last stay in Germany.

A.1.4. Extension

If the envisaged research project cannot be completed within the time available and the period the research fellowship was awarded for is shorter than the maximum sponsorship period, application may be made for an extension of the fellowship, stating the reasons. The maximum sponsorship period is 24 months (for post-doctoral researchers) or 18 months (for

experienced researchers). Extensions must not extend the maximum sponsorship period. Decisions on extensions are taken by the Alexander von Humboldt Foundation on the basis of scientific necessity and the funds at the Foundation's disposal. Extensions can neither be granted for work on a new research project nor for work on a new theme which has developed from the original research project. Applications for extension should be submitted to the Foundation 3 to 4 months prior to the end of the fellowship. Processing takes 6 to 8 weeks. If necessary, applications may be submitted for individual months. Applications for long-term extensions cannot always be granted in full, even if the application is completely justified scientifically, because from our experience, the number of applications for extensions well exceeds the Alexander von Humboldt Foundation's financial possibilities.

The application form is available on the Foundation's website at:
<http://www.humboldt-foundation.de/web/extension.html>

Applications for extensions of the fellowship should include the following documents:

- A report on research work completed to date and research work which the applicant plans to undertake during the extension period. This report should contain an outline of the results of work conducted to date, the reasons for extension and a timetable for completing the work.
- Documentation of the research work conducted so far, e.g. off-prints of already published research results, manuscripts or abstracts of lectures, preprints etc...
- A confidential statement by the academic host in Germany. This should contain an assessment of the research project and state the reasons for the requested extension. It is the responsibility of the research fellow to send the confidential statement by the academic host in a sealed envelope together with the application or have it forwarded to the Humboldt Foundation directly.

A.1.5. Europe Research Stay

During the sponsorship period, research fellows may conduct research *at research institutions in other European countries* (cf. list of countries in the annex; except in fellows' own countries) if this is necessary to carry out the research project successfully. As a rule, the total duration of the Europe Research Stay may not account for more than 25% of the estimated sponsorship period. If the stay is divided up into several blocks (experienced researchers), the duration of any one Europe Research Stay may not account for more than half of the respective sponsorship period.

In the event of a research stay in the fellow's own country, the research fellowship must be temporarily suspended (*cf. A.1.11.*).

The written application (no specific form required) must include the following documents:

- a brief description of the planned research project,
- full details of schedules,
- an invitation from an academic host or academic institution (e.g. library, museum etc.) in a European country other than Germany,
- a recommendation from the academic host in Germany,
- an expense voucher for the research fellow's travel expenses, for example, copies of tickets or a quotation from a travel agency.

Please indicate if these documents and details were already included in the original application for a Humboldt research fellowship.

If the application for a Europe research stay is approved, the research fellow will receive a *Europe allowance* of EUR 550 per month (or EUR 700 if accompanied by his/her marital partner) for the duration of the stay abroad, in addition to the research fellowship. This allowance will not be granted if the Europe research stay falls immediately at the beginning or end of the respective research stay. In addition, the Alexander von Humboldt Foundation will bear the cost of research fellows' travel, according to the travel voucher, although only up to the limit of the lump sum for travel expenses for the target country (*cf. A.3.1.*) valid at the time of application. The list of travel lump sums is available on the Foundation's website at:

<http://www.humboldt-foundation.de/pls/web/docs/F5407/reisepauschale.pdf>

Within the framework of alumni sponsorship, a stay outside Germany is not possible during a renewed research stay (*cf. C.1.2.*).

A.1.6. Value of research fellowship

The amount of the research fellowship is 2,250 EUR per month (post-doctoral researchers) and 2,450 EUR per month (experienced researchers). The research fellowship amount includes a mobility allowance (*cf. A.3.5.*) and a subsidy towards the cost of medical and liability insurance (*cf. A.3.8.*).

A.1.7. Fellowship payments

The *first monthly instalment* of the research fellowship is usually remitted to the cashier's office at the respective German university (addresses, in alphabetical order according to research location, are available on the Foundation's website at:

<http://www.humboldt-foundation.de/pls/web/docs/F28798/AAA.pdf>)

or German host institute on the first day of the month. It must be collected there by research fellows personally by the 15th of the month. It is recommendable to present the Humboldt identity card (*cf. B.7.*) but the Alexander von Humboldt Foundation award letter and a valid passport are equally acceptable.

All further payments will be transferred to a private bank account. Research fellows are, therefore, advised to open a bank account (current account) in the town in which their **host institute** is located as soon as possible after arrival in Germany.

Before opening a bank account, it is advisable to compare the conditions offered by individual banks which often vary (*cf. "Practical hints for your stay in Germany", B.15.3.*).

It is important that research fellows inform the Alexander von Humboldt Foundation immediately of their account number, bank code, and the name and address of their bank (a form is available on the Foundation's website at: <http://www.humboldt-foundation.de/web/bank-account.html>) to ensure punctual remittance of the monthly payments. Transfers can only be made to a bank account if the Alexander von Humboldt Foundation has received the information necessary by the 15th of the preceding month.

On principle, research fellows are not entitled to receive monthly fellowship payments if they are absent from the German host institute for a total of more than 14 days (continuous or accumulative) during the sponsorship period. In such cases, the Alexander von Humboldt Foundation reserves the right to make cuts in fellowship payments. Attendance at conferences and research journeys as well as visits to archives and libraries etc., essential for carrying out the research project, do not count as absences (*cf. also A.1.11.*).

At the beginning of the research stay – i.e. during the first month – research fellows are entitled to their first payments only when arriving by 15th of the month (or the following working day). Fellows who arrive in Germany after this date are not entitled to payments for the current month. In the last month of the research fellowship, research fellows must be present at least until 15th of the month. Fellows who leave Germany before this date are not entitled to payment of the fellowship for the current month.

The following applies if an experienced researcher's stay lasts less than 6 months:

On principle, research fellows are not entitled to receive monthly fellowship payments if they are absent from the German host institute for a total of more than 5 days (continuous or accumulative) during the respective short research visit. In such cases, the Alexander von Humboldt Foundation reserves the right to reduce the amount of the fellowship payments.

Attendance at conferences and research journeys as well as visits to archives and libraries etc., essential for carrying out the research project, do not count as absences (*cf. also A.1.11.*).

At the beginning of the research stay – i.e. during the first month – research fellows are entitled to the first payments only when arriving 5 days after the official beginning of the sponsorship period (or the following working day) at the latest. Fellows who arrive in Germany after this date are not entitled to payment of the fellowship for the current month. In the last month of the respective sponsorship period, research fellows must be present until no less than 5 days prior to the end of the sponsorship period. Fellows who leave Germany before this date are not entitled to payment of the fellowship for the current month.

The above also applies to additional benefits within the framework of the research fellowship (*mobility allowance, marital allowance, child allowance, subsidy towards health and liability insurance, subsidy towards research costs for hosts*).

A.1.8. Additional earnings

Research fellows are obliged to inform the Alexander von Humboldt Foundation of any additional earnings (salary or income from employment or self-employment in Germany, German or foreign fellowships).

Any additional earnings exceeding the upper limit for "marginal" part-time employees (the so-called "Verdienstgrenze für geringfügig Beschäftigte", currently EUR 400 per month) will be offset against the instalment of the fellowship. Any type of employment yielding additional earnings which exceed the so-called "Verdienstgrenze für geringfügig Beschäftigte" must be approved in advance by the Alexander von Humboldt Foundation which will examine whether this additional employment endangers the objective of the fellowship (*cf. A.1. and A.1.11.*); in such cases the Alexander von Humboldt Foundation reserves the right to terminate or suspend the fellowship.

Utilisation of other fellowships financed by German public funding is not allowed.

A.1.9. Maternity leave and parenthood

1. Extending the research fellowship

If a baby is born to a fellow during the sponsorship period, the mother may submit a written application (no specific form required) to extend the period granted for sponsorship by up to 3 months, in line with statutory maternity entitlements. It is also possible to extend the sponsorship period if the fellowship comes to an end during statutory maternity leave (usually 6 weeks prior to and 8 weeks after birth).

2. Interrupting the research fellowship

A fellow may submit a written application (no specific form required) to interrupt the research fellowship for up to 18 months if a baby is due to be born or if the fellow (male or female) is responsible for caring for a child under the age of 12 during the sponsorship period. A written statement from the academic host must be submitted confirming that the object of the fellowship is not endangered.

A.1.10. Postponement

Research fellowships may neither be postponed for an indefinite period of time nor without compelling reasons.

If a fellow is unable to begin the research fellowship on the date originally intended, he/she is requested to notify the Alexander von Humboldt Foundation immediately so that a new date can be arranged. It is essential that the new date be agreed in consultation with the academic host and the host institute in Germany; the Alexander von Humboldt Foundation's approval is dependent on the agreement of the academic host and the Foundation's budget situation.

The Alexander von Humboldt Foundation is interested in keeping postponements in research fellowships *as short-term as possible* (12 months at most). If the fellowship is being divided up into three blocks, no more than 36 months may elapse between the beginning of the first stay and the end of the last stay in Germany (*cf. A. 1.3.*).

A decision on long-term postponements is dependent on a new time- and research-schedule coordinated with the academic host, proof of further academic qualifications, the research fellow having reached a certain career stage (date of doctorate) and the Foundation's financial planning. Postponement to take advantage of another fellowship in Germany or a third country is usually **not** possible.

A.1.11. Interruption

The research fellowship is awarded in order to carry out a research project, which has been chosen by the research fellow and agreed upon with the host, at a host institute in Germany; it is supposed to cover subsistence in Germany. By accepting the research fellowship the research fellow commits him- or herself to the objective of the fellowship during the duration thereof. Pursuing any other full-time employment in Germany or elsewhere during the period sponsored by the Alexander von Humboldt Foundation (language and research fellowship) contradicts the objective of the fellowship and leads to the suspension or termination of the fellowship.

The Alexander von Humboldt Foundation requires research fellows to pursue academic work in Germany for the period of the research fellowship and not to be absent from their host institutes for periods exceeding 14 days (continuous or accumulative) in total. The Alexander von Humboldt Foundation must be given immediate written notification of any circumstances demanding a longer period of absence from the host institute (also due to illness). Prolonged periods of absence from the host institute require the approval of both the academic host and the Alexander von Humboldt Foundation.

The research fellowship – and thus payment of the monthly fellowship and allowances – will be discontinued in case of

- prolonged periods of time spent outside Germany (except for stays in other European countries approved by the Alexander von Humboldt Foundation – *cf. A.1.5.*),
- absence from host institutes not approved by the Alexander von Humboldt Foundation,
- prolonged illness.

If it should be necessary to interrupt a research stay for other reasons, written application (no specific form required) must be made to the Alexander von Humboldt Foundation in advance stating the reasons. The application must include written approval from the academic host.

The Alexander von Humboldt Foundation is interested in keeping interruptions in research fellowships *as short-term as possible* (12 months at most). If the fellowship is being divided up into three blocks, no more than 36 months may elapse between the beginning of the first stay and the end of the last stay in Germany (*cf. A.1.3.*). A decision on long-term interruption is dependent on a new time- and research-schedule coordinated with the academic host, proof of further academic qualifications, the research fellow having reached a certain career stage (date of doctorate) and the Alexander von Humboldt Foundation's financial planning. Interruption to take advantage of another fellowship in Germany or a third country is usually **not** possible.

On principle, research fellows are not entitled to receive monthly fellowship payments if they are absent from the German host institute for a total of more than 14 days (continuous or accumulative) during the sponsorship period. In such cases, the Alexander von Humboldt Foundation reserves the right to make cuts in fellowship payments. Attendance at conferences and research journeys as well as visits to archives and libraries etc., essential for carrying out the research project, do not count as absences (*cf. also A.1.7.*).

The following applies if an experienced researcher's stay lasts less than 6 months:

On principle, research fellows are not entitled to receive monthly fellowship payments if they are absent from the German host institute for a total of more than 5 days (continuous or accumulative) during the respective short research visit. In such cases, the Alexander von Humboldt Foundation reserves the right to make cuts in fellowship payments. Attendance at conferences and research journeys as well as visits to archives and libraries etc., essential for carrying out the research project, do not count as absences (*cf. also A.1.7.*).

The above also applies to additional benefits within the framework of the research fellowship (*mobility allowance, marital allowance, child allowance, subsidy towards health and liability insurance, subsidy towards research costs for hosts*).

A.1.12. Change of host institute or university

Transfer from one university or host institute to another is possible if there are important professional or personal reasons for doing so. Detailed applications to the Alexander von Humboldt Foundation for transfer must be approved in writing by both the current and the prospective host institutes. It should, however, be noted that a change of host institute may lead to considerable delay and expense caused by searching for accommodation, moving, re-registering etc.

Should the host not be willing to continue cooperation during the sponsorship period and a new host institute accepted by the Alexander von Humboldt Foundation cannot be found within 4 weeks, the Foundation reserves the right to interrupt sponsorship or partially revoke the award of the fellowship.

A.2. Events arranged by the Alexander von Humboldt Foundation

A.2.1. Network meeting

Each year a number of regional network meetings are held for **research fellows** newly arrived in Germany (**without their families**). These meetings take place in German university towns. The aim is:

- to familiarise foreign research fellows with the Alexander von Humboldt Foundation and the various forms of sponsorship it offers;
- to inform them about university institutes and the system of higher education in Germany, particularly in comparison with foreign higher education systems;

- to create networks amongst the research fellows themselves and with Alexander von Humboldt Foundation staff;
- to give them an insight into conditions in Germany and to promote long-term scientific contacts in discussions within groups organised according to country and discipline.

A.2.2. Annual meeting

The Alexander von Humboldt Foundation's annual meeting takes place in Berlin in the summer (June/July). All **research fellows** and **research award winners** from all disciplines and countries staying in Germany are invited once to attend this meeting **with their families**. The meeting offers an opportunity to exchange views with representatives of foreign missions and to talk with members of the Board of Governors, the Selection Committees, and the staff of the Alexander von Humboldt Foundation. The highlight of the annual meeting is a reception given by the President of the Federal Republic of Germany for all participants.

A.2.3. Study tour

During the second half of August each year, a study tour is arranged for **research fellows**. The tour lasts approximately fourteen days and takes participants to regions of Germany at some distance from host towns, including visits to towns and cities, industrial firms, and places of historical interest. The aim is to enable research fellows to increase their knowledge of Germany beyond the experience they gain in German host towns. During the study tour, a reception is arranged for each group at Alexander von Humboldt Foundation headquarters. The groups (30 to 40 persons per group) are composed of research fellows working in neighbouring host towns. For organisational reasons, the study tour may not be interrupted, nor is participation possible for less than the full period of the tour.

Research fellows' **husbands and wives** are also invited to take part in this tour. As they are conceived as study visits, they are too strenuous for **children** and consequently, **not** suitable. The Alexander von Humboldt Foundation regrets that children may not join the tour.

Research fellows may *only participate once* in the study tour and meetings arranged by the Alexander von Humboldt Foundation, even if their research fellowships are extended or alumni sponsorship for a renewed research stay in Germany has been granted. *Invitations* to these events are sent to research fellows in good time.

A.3. Additional assistance

The Alexander von Humboldt Foundation may grant the following assistance, in addition to the monthly fellowship payments, if the necessary preconditions are fulfilled:

- travel lump sum (*cf. A.3.1.*),
- language fellowships/language courses (*cf. A.3.2. and A.3.3.*),
- initial lump sum (*cf. A.3.4.*),
- mobility allowance (*cf. A.3.5.*),
- marital allowance (*cf. A.3.6.*),
- child allowance (*cf. A.3.7.*),
- subsidy towards the cost of medical and liability insurance (*cf. A.3.8.*),
- subsidy towards research costs for academic hosts (*cf. A.3.9.*).

Usually, this additional assistance can only be granted if the Alexander von Humboldt Foundation has been informed in good time and/or applications have been submitted **in advance**. It should also be noted that subsidies, in particular, are dependent on the Foundation's prevailing budget situation.

A.3.1. Travel lump sum

The Alexander von Humboldt Foundation will grant **research fellows** a single lump sum to cover return travel expenses to Germany. The amount is calculated annually on the basis of current rail (2nd Class and IC or ICE surcharge) or flight (Economy Class) costs for the shortest route. A list of lump sums for travel, organised according to country, is included in the grant documents. The list is also available on the Foundation's website at:

<http://www.humboldt-foundation.de/pls/web/docs/F5462/reisepauschale.pdf>

The country from which the fellow embarks on travel to Germany is decisive. The sum valid at the time the fellowship is awarded will be transferred with the first fellowship payment.

As an exception, research fellows who are unable to advance travel expenses to Germany themselves (e.g. because of national foreign currency regulations outside Europe) will, on application, receive an Economy Class flight ticket from the Alexander von Humboldt Foundation for the shortest route. An application form is available on the Foundation's website at:

<http://www.humboldt-foundation.de/pls/web/docs/F14765/flugschein.rtf>

If the Alexander von Humboldt Foundation has provided a flight ticket for travel to Germany a lump sum for travel will be granted at half the standard rate in the final month of the fellowship.

The lump sum for travel expenses will only be granted to research fellows who have not resided in Germany for more than 3 months prior to the

commencement of the Alexander von Humboldt Foundation sponsorship. If that criterion has not been met, a lump sum for travel will be granted at half the standard rate in the final month of the fellowship.

The Foundation can only grant the lump sum for travel expenses to and/or from Germany if they are not borne by another institution.

Travel expenses can only be borne once. If the research fellowship is interrupted (*cf. A.1.11.*), the Alexander von Humboldt Foundation cannot grant a second lump sum for travel.

If a research fellowship has been approved for a stay divided up into as many as three blocks (experienced researchers), a travel lump sum will be granted for each block. Otherwise, the aforementioned conditions apply.

Travel expenses will **not** be paid in the context of alumni sponsorship for renewed research stays in Germany (*cf. C.1.*).

Further information:

- There are special arrangements for the payment of travel expenses by third parties for research fellows travelling from *Japan, the Republic of Korea or from institutes of the Chinese Academy of Sciences*. Research fellows will be informed of these arrangements with the grant documents.
- The Alexander von Humboldt Foundation will only pay travel expenses for family members in exceptional cases.

A.3.2. Language fellowships

The success of the research stay in Germany depends to a large extent on command of German. If indicated in the application forms, research fellows whose knowledge of German is insufficient for a stay in Germany will be granted a language fellowship by the selection committee responsible, in addition to their research fellowship. This will enable them to attend an intensive language course at a Goethe Institute or other recognised language school in Germany. Irrespective of the research fellow's application, language fellowships may also be granted if the selection committee is convinced that improving proficiency in German is essential for the success of the research project.

Research fellows will receive confirmation of language fellowships together with the award letter. If participation in an intensive language course in Germany is not possible for compelling reasons, prior approval of exemption must be given by the Alexander von Humboldt Foundation and the academic host. Alternatively, informal application may be made to the Foundation for sponsorship to attend a German course in the applicant's own country.

Intensive language courses usually last 2 to 4 months. The language fellowship falls immediately **prior** to the actual research fellowship - if the stay is divided up into several blocks (experienced researchers) immediately prior to one of those blocks - and can neither be interrupted nor taken up during the research fellowship. Intensive language courses after the beginning of the research fellowship, which would interrupt research work, cannot be granted by the Alexander von Humboldt Foundation. Neither is it admissible to interrupt stays in Germany after completion of intensive language tuition if this leads to a delay in starting the fellowship.

To ensure successful participation, it is essential for research fellows to arrive in Germany on the first day of the intensive language course. The Alexander von Humboldt Foundation requires research fellows to attend German language courses on a regular basis. Interruption of intensive language courses (e.g. to attend conferences) is not possible. In the event of absence from lessons, research fellows may be required to refund course fees (course and accommodation fees, breakfast money, pocket money).

On arrival at the language institute, research fellows have to register there. They will be notified about business hours by the language institute when they receive confirmation that they are enrolled for an intensive language course. Research fellows may only take up residence in the accommodation reserved by the language institute from the first day of the course. The Alexander von Humboldt Foundation will not bear costs resulting from premature or late arrival (e.g. hotel accommodation, private tuition).

As part of the language fellowship programme, the Alexander von Humboldt Foundation pays the course fees plus the cost of bed and breakfast. On principle, the Foundation provides fellows with breakfast money. To cover other meals and expenses the Alexander von Humboldt Foundation grants research fellows pocket money totalling EUR 610 per month. Both breakfast money and pocket money are paid out by the language institute. On arrival at some institutes it is possible to book breakfasts on course days.

If **marital partners** wish to participate in an intensive language course with the research fellow **simultaneously**, language fellowships for marital partners may also be granted on **written application** for a course under the same conditions lasting up to 4 months, providing the Alexander von Humboldt Foundation's financial situation allows. The enrolment form for the language course should be filled-in and signed by the marital partner and submitted together with the application form. One of the preconditions for approval is that marital partners stay in Germany for a further period of at least 3 months (without interruption) after termination of the intensive language course and that children do not arrive in Germany before the end of the language course (*cf. application form included in the grant documents*).

Unfortunately, exceptions are not possible. Travel expenses incurred by marital partners cannot be refunded. Accommodation in double rooms is provided for couples.

Research fellows wishing to bring their families to Germany have the following options:

- they initially attend an **intensive language course** alone, only bringing their families to Germany when the research fellowship begins;
- they initially attend an **intensive language course** with their marital partners, only bringing their children to Germany when the research fellowship begins;
- they do not attend an **intensive language course**, but begin an evening course in the vicinity of their host institute during the research fellowship (*cf. A.3.3.*).

On application (no specific form required) the Alexander von Humboldt Foundation may cover the examination fees at the end of the language course.

Within the framework of alumni sponsorship, a language fellowship is not possible during a renewed research stay (*cf. C.1.2.*).

A.3.3. German courses during the research fellowship

Most universities only offer foreign nationals German language courses to a limited extent. We therefore recommend you to obtain additional information on courses offered by "Volkshochschulen" (adult education centres) and private language schools in your host town or city and the various conditions to be fulfilled. The Foreign Students' Advisory Offices International Offices or Welcome Centres at universities or your academic hosts will be pleased to advise you accordingly.

Depending on the budget situation, the Alexander von Humboldt Foundation will award a subsidy towards the cost of these courses for research fellows and marital partners (provided they stay in Germany for more than 3 months) if the applications are well-founded. Usually, this is only possible if they have not taken advantage of a 4-month grant for intensive language tuition. Kindly inform the language institute that the course is being attended during a Humboldt research fellowship.

The application form is available on the Foundation's website at:
<http://www.humboldt-foundation.de/web/language-course.html>

Applications must be submitted to the Alexander von Humboldt Foundation **prior** to commencement of the German language course. Processing usually takes up to 14 days.

On principle, the costs for German courses can only be refunded if the course takes place in the first half of the stay in Germany. German language courses at the end of research fellowships or German language courses for children cannot be financed by the Alexander von Humboldt Foundation. Intensive language courses taking place **after** the research fellowship has begun, which would interrupt research work, cannot be financed by the Foundation.

The Alexander von Humboldt Foundation requires research fellows and marital partners to attend German language courses on a regular basis. Interruption of language courses (e.g. to attend conferences) is not possible. In the event of absence from lessons, research fellows may be required to refund course fees.

The Alexander von Humboldt Foundation **cannot** provide subsidies for courses in other foreign languages.

Within the framework of alumni sponsorship, a subsidy towards the cost of German courses is not possible during a renewed research stay (*cf. C.1.2.*).

A.3.4. Initial lump sum

A non-recurring initial lump sum of EUR 430 is paid to research fellows with the first instalment of the fellowship or with the first payment at the language institute. This is intended to meet part of the expenses incurred at the beginning of a stay in Germany (charges for excess luggage on the way to and from Germany; travel expenses between the point of arrival and the place where the language course or research stay is taking place; the cost of the medical examination required for the residence permit (*cf. B.3.*); bridging finance for the period after the language course and prior to commencement of the research fellowship; the cost of finding accommodation etc.). The initial lump sum is only paid if the research fellow has not been in Germany for more than 3 months when the fellowship starts.

The initial lump sum should also make it possible to buy a *BahnCard 25* (2nd class rail card, see <http://www.bahn.de>). If no initial lump sum is granted the Alexander von Humboldt Foundation will bear the cost of a single *BahnCard 25* (2nd class).

Holders of this rail card receive a discount of 25% on standard fares within Germany as well as to some neighbouring countries. The purchase of rail cards is strongly recommended because research fellows will only receive

75% of rail fares within Germany, including IC and ICE surcharges, when travel refunds for attending Alexander von Humboldt Foundation events (*cf. A.2.*) are calculated.

Research fellows bringing their families to Germany should consider whether it is more advantageous to buy a family rail card or to make use of discounts for families and accompanying travellers. Additionally, it may be possible to reduce costs by taking advantage of discounts for early-booking or Internet special offers for rail journeys which can be planned well in advance.

The initial lump sum or BahnCard are **not** granted in the event of alumni sponsorship for renewed research stays in Germany (*cf. C.1.2.*).

A.3.5. Mobility allowance

During the research fellowship (not during the language course) research fellows receive a mobility allowance of EUR 100 per month with each fellowship payment. The mobility allowance constitutes a supplement for expenses in connection with necessary conference attendance and/or research travel, archive and library visits, etc. in Germany and abroad. Additional travel and/or conference allowances cannot be granted. Please coordinate all of your travel plans with your academic host. In addition, keep in mind that the upper limit for non project-related absence from the host institute is 14 days (continuous or accumulative) in total. Circumstances, which require a longer absence from the host institute, must be reported immediately in writing to the Alexander von Humboldt Foundation (*cf. A.1.11.*).

The above regulations also apply in the event of alumni sponsorship for renewed research stays in Germany (*cf. C.1.2.*).

A.3.6. Marital allowance

If research fellows' marital partners accompany them to Germany for a period of at least 3 months (without interruption), an application may be submitted for a marital allowance during the sponsorship period amounting to EUR 276 per month. If marital partners are not required to have a visa for Germany a certified copy of the marriage certificate must be sent to the Alexander von Humboldt Foundation together with the application. The application form and further information are available on the Foundation's website at: <http://www.humboldt-foundation.de/web/family-allowances.html>

Marital partners' earnings (salary or income from employment or self-employment in Germany, German or foreign fellowships) exceeding the upper limit for "marginal" part-time employees (the so-called "Verdienstgrenze für

geringfügig Beschäftigte", currently EUR 400 per month) will be offset against the marital allowance.

For fellows accompanied by children under 15 months the following applies:

For children of Nationals of the European Union (EU) and the European Economic Area (EEA) – Austria, Belgium, Bulgaria, Cyprus (Greek part), The Czech Republic, Denmark, Estonia, Finland, France, Germany, Great Britain, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Liechtenstein, Lithuania, Luxemburg, Malta, The Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden – and Switzerland a **parental allowance ("Elterngeld")** according to German law (Federal Parental Allowance Act, "BEEG") can be applied for from the day of the child's birth until the end of the 14th month. This also applies to research fellows' marital partners from other countries who spend more than 6 months (without interruption) with their children in Germany. **Further important information is available on our above-mentioned website.** In all these cases, the Alexander von Humboldt Foundation cannot grant a marital allowance. Should the application for a parental allowance be turned down, please get in touch with the Foundation enclosing a copy of the refusal notice and of your residence permit. On principle, the Alexander von Humboldt Foundation can only grant a marital allowance if it can be confirmed that, during the period applied for, a parental allowance according to German law is not being or has not been paid.

Payment of the allowance is discontinued when the marital partner leaves Germany. Wherever possible, the Alexander von Humboldt Foundation should be notified of the marital partner's departure 4 weeks in advance. The Foundation should also be informed immediately of any change in the circumstances upon which the decision to grant the allowance was based.

The above regulations also apply in the event of alumni sponsorship for renewed research stays in Germany (*cf. C.1.2.*).

A.3.7. Child benefit according to German law or Alexander von Humboldt Foundation child allowance

For minors (below the age of 18) accompanying research fellows to Germany for a period of at least 3 months (without interruption), an application may be submitted for a child allowance during the sponsorship period amounting to EUR 184 per month. If the children do not require a visa for Germany a certified copy of the birth certificate(s) must be sent to the Alexander von Humboldt Foundation together with the application. The application form and further information are available on the Foundation's website at:

<http://www.humboldt-foundation.de/web/family-allowances.html>

Please note the following:

Nationals of the European Union (EU) and the European Economic Area (EEA) – Austria, Belgium, Bulgaria, Cyprus (Greek part), The Czech Republic, Denmark, Estonia, Finland, France, Germany, Great Britain, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Liechtenstein, Lithuania, Luxemburg, Malta, The Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden – and Switzerland are eligible for **child benefit ("Kindergeld")** according to German law (Income Tax Act, "EStG" or Federal Child Benefit Act, "BKGG"). This also applies to research fellows from other countries whose children spend more than 6 months (without interruption) in Germany. In these cases, the Alexander von Humboldt Foundation cannot grant a child allowance.

Information on applying for child benefit can be found on the internet at:
<http://www.humboldt-foundation.de/web/family-allowances.html>

Should the application for child benefit be turned down, please get in touch with the Alexander von Humboldt Foundation enclosing a copy of the refusal notice and of your residence permit. On principle, the Alexander von Humboldt Foundation can only grant a child allowance if it can be confirmed that, during the period applied for, child benefit according to German law is not being or has not been paid.

Payment of the allowance is discontinued when the children leave Germany. Wherever possible, the Alexander von Humboldt Foundation should be notified of their departure 4 weeks in advance. The Foundation should also be informed immediately of any change in the circumstances upon which the decision to grant the allowance was based.

The above regulations also apply in the event of alumni sponsorship for renewed research stays in Germany (*cf. C.1.2.*).

A.3.8. Subsidy towards the cost of medical and liability insurance

The Alexander von Humboldt Foundation can pay research fellows, marital partners, and minors (below the age of 18) accompanying them to Germany for a period of at least 3 months (without interruption) a subsidy of EUR 50 per month towards the cost of medical and liability insurance during the sponsorship period (*cf. B.10.*) in Germany. The subsidy is automatically paid to research fellows together with the monthly fellowship payments. Subsidies for family members accompanying research fellows are granted individually on application. If the marital partner and/or children do not require a visa for Germany a certified copy of the marriage certificate and/or children's birth certificate(s) must be sent to the Alexander von Humboldt Foundation

together with the application. The application forms are available on the Foundation's website at:

<http://www.humboldt-foundation.de/web/family-allowances.html>

Marital partners' earnings (salary or income from employment or self-employment in Germany, German or foreign fellowships) exceeding the upper limit for "marginal" part-time employees (the so-called "Verdienstgrenze für geringfügig Beschäftigte", currently EUR 400 per month) will be offset against their subsidy towards the cost of medical and liability insurance.

Payment of the subsidy to marital partners and/or children is discontinued when they leave Germany. Wherever possible, the Alexander von Humboldt Foundation should be notified of their departure 4 weeks in advance. The Foundation should also be informed immediately of any change in the circumstances upon which the decision to grant the subsidy was based.

The above regulations also apply in the event of alumni sponsorship for renewed research stays in Germany (*cf. C.1.2.*).

A.3.9. Subsidy towards research costs for hosts

Budget allowing, the Alexander von Humboldt Foundation is able to grant a subsidy towards research costs to hosts of foreign research fellows in Germany. The subsidy is intended as a contribution to covering project-related costs, including administrative costs directly ensuing from the research project. During the sponsorship period, the subsidy amounts to 500 EUR (for research projects in the humanities and social sciences) or 800 EUR monthly (for research projects in natural sciences and engineering). Before the sponsorship period begins, academic hosts will receive a form for the purpose of informing the Alexander von Humboldt Foundation of the host institute's relevant bank account.

A.4. Exploitation of 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 under the auspices of the Humboldt Research Fellowship 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:

- In publications, an appropriate place must be chosen to state that funding has been provided by the Alexander von Humboldt Foundation.

- Publications, stating the title and bibliographical details, must be entered in the database "Bibliographia Humboldtiana" of the Network Online *on the Alexander von Humboldt Foundation's website*:
<http://www.humboldt-foundation.de/web/service-portal.html>
- If research fellows are interested in publishing research results in the fields of chemistry, physics, mathematics or informatics through the *German National Library of Science and Technology – German Research Reports (TIB)*, they can contact the TIB directly:

Postal address

for letters:

for parcels:

Technische Informationsbibliothek
Deutsche Forschungsberichte
Postfach 6080
30060 Hannover

Technische Informationsbibliothek
Deutsche Forschungsberichte
Welfengarten 1B
30167 Hannover

E-mail: dtf-edok@tib.uni-hannover.de

Any further questions may be directed to Dr. Elzbieta Gabrys-Deutscher –
Elzbieta.Gabrys@tib.uni-hannover.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, 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 Online Network (*cf. C.3.4*) in an electronic file format that conforms to the specific requirements for print:

<http://www.humboldt-foundation.de/web/service-portal.html>

- Any other uses of the logo require prior written permission from the Alexander von Humboldt Foundation and must be requested in writing, stating the intended use of the logo.

In addition, the Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship should be utilised. Commercially-utilisable results, in particular, should be adequately protected (especially 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 host institution directly.

- With regard to the exploitation of patents etc., the Alexander von Humboldt Foundation does not enter into binding legal agreements with its fellows or their host institutes. On principle, the relationship is governed by the customary legal regulations pertaining at the place where the institution, at which the research results have been achieved, is located: usually, these regulations envisage a division of revenue between the institution and the scientist.
- Should you achieve economically successful results in the framework of Alexander von Humboldt Foundation sponsorship we should, of course, be very grateful for a voluntary share in the ensuing revenue in the form of a donation to the Alexander von Humboldt Foundation.

A.5. Reports

Research fellows are not required to produce a special report on the research project they have carried out. Rather, the Alexander von Humboldt Foundation expects results to be presented in academic publications, even if they only appear much later. Please enter these publications in our database "Bibliographia Humboldtiana" even after your research fellowship has come to an end (*cf. A.4. and C.3.4.*).

However, before the research fellowship does come to an end, the Alexander von Humboldt Foundation requests research fellows to write a *brief report* on their experiences and observations during academic cooperation and in their day-to-day life in Germany. For this purpose, research fellows will receive a password-secured web link to an Alexander von Humboldt Foundation online questionnaire via e-mail well before the end of the research fellowship. The report should include a comparison with conditions in their countries. Similarly, the academic hosts will also be requested to submit a brief report on how they have experienced cooperation.

These reports are important and of interest to the Alexander von Humboldt Foundation because foreign guests often observe more closely and, due to a greater distance to events, more objectively. The reports are carefully evaluated on a confidential basis and assist the Alexander von Humboldt Foundation to continue improving their programmes and make it as effective as possible.

A.6. Certificate

Before they leave Germany all research fellows will be sent a certificate, signed by the President of the Alexander von Humboldt Foundation, that they have been the recipient of a research fellowship.

B. GENERAL CONDITIONS AND HINTS FOR THE STAY IN GERMANY

B.1. Passport

Research fellows require a valid passport or equivalent identity document when entering Germany. **This passport must be valid at least until the end of the stay in Germany and – if the research fellowship is extended – include this period as well.** Citizens of certain countries are required to have a passport valid for at least 3 months longer than the period of the research fellowship. Please do not vary the spelling of your name.

B.2. Birth, marriage, income and vaccination certificates

When applying for a residence permit (*cf. B.3.*) for you and family members accompanying you, you are frequently required to submit the *originals* of birth certificates and, if applicable, marriage certificates.

When applying for parental allowance (*cf. A.3.6.*), applicants are required by the authorities to submit proof of income for the last 2 years.

Therefore, please bring these documents with you to Germany. If you have vaccination certificates, bring them with you, too. This may be important in case of illness.

B.3. Entry visa, residence permit

In order to stay in Germany citizens of non-EU/EEA 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 research fellows' own countries or countries of residence. Addresses and further important information regarding entry requirements can be found on the website of the Federal Foreign Office at: <http://www.auswaertiges-amt.de>.

Normally, research fellows are required to obtain an **entry visa** from the appropriate German diplomatic mission in their own countries or current countries of residence before entering Germany. The visa must be issued for the place in Germany at which research fellows stay **initially** – i.e. the place where the language institute is located if the research stay begins with a language course (*cf. A.3.2.*).

If marital partners and/or children are accompanying you during the research stay, you are recommended to submit the applications for all the members of the family at the same time. Research fellows 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 (*cf. information included in the grant documents*).

German foreign missions (embassies and consulates) issue visas on their own responsibility both to researchers whose academic work has been arranged through the Alexander von Humboldt Foundation and who are in receipt of a fellowship from the Foundation for this purpose, as well as to marital partners and unmarried underage children accompanying them (§ 34 of the Decree on Residence, "AufenthV"). Processing may take several weeks. Please take this into consideration when planning your time schedule.

The so-called D-visa, issued in research fellows' own countries, entitles you to enter and stay in Germany for the duration of its validity (usually up to 90 days). Please do not apply for any other kind of visa as extensions might be excluded. The "final" residence permit, which entitles you to enter and leave the country repeatedly, will only be issued by the Aliens' Registration Office at your place of residence in Germany.

Should you need a visa for a maximum duration of 90 days (Schengen Visa), you may fill out an application form online at:

<https://service.diplo.de/einreicher/start.do>. However, a print-out of the completed form must be submitted personally at the German diplomatic mission together with the necessary application documents. There is no online application form for a long-term stay in Germany.

Do not under any circumstances enter Germany on a "visitor's (tourist) visa". It is valid for a maximum period of 3 months only and cannot be extended. You would have to return to your own country at your own expense to apply for the appropriate visa

Exceptions:

- Citizens of **EU member states**, as well as those from **Iceland, Liechtenstein, Norway and Switzerland** generally do not require an entry visa. Following their registration at the Residents' Registration Office they are automatically issued with a document confirming their right of residence ("Freizügigkeitsbescheinigung") or, in the case of Switzerland, a residence permit for citizens of the Swiss Confederation. Please enquire with the Residents' Registration Office whether this certificate/residence permit is issued by them or the Aliens' Registration Office.
- Citizens of **Australia, Brazil, Canada, Israel, Japan, New Zealand, the Republic of Korea and the USA** may enter Germany on a valid passport within the framework of the research fellowship. They must apply for a residence permit no later than 3 months after arrival in Germany. However, you are strongly recommended to submit applications as soon as possible.

Further information:

- Research fellows from the *People's Republic of China* and the *Administrative District of the German Embassy in Moscow, Russian*

Federation, are subject to special procedures for applying for an entry visa. The research fellows will receive this information together with the grant documents.

Research fellows planning to take part in conferences in European countries other than Germany, for which they need an entry visa, should note that processing by the appropriate diplomatic missions may also take several weeks.

The residence permit issued by the responsible Aliens' Registration Office in Germany 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 6 months) in the following countries: Austria, Belgium, Czech Republic, Denmark, Estonia, Finland, France, Greece, Hungary, Iceland, Italy, Latvia, Lithuania, Luxembourg, Malta, The Netherlands, Norway, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden and Switzerland.

If you are intending to travel to one of the above mentioned signatory countries of the Convention Implementing the Schengen Agreement during the first 90 days of your stay, please indicate this in the visa application. The German foreign mission will then examine whether you can be issued with a so-called "hybrid visa" entitling you to do so.

Please inform the Alexander von Humboldt Foundation, your academic host and, if applicable, your language institute immediately of any delays in issuing the entry visa preventing you from arriving in Germany on the agreed date.

Immediately on arrival in Germany, research fellows are required to register with the local Residents' Registration Office (which is usually located in the Town Hall or Municipal Offices; the requisite forms can be obtained from stationery shops or from the Residents' Registration Office directly; in some cases they can also be downloaded from the local authority websites, *cf. B.5.*) at their new place of residence. If the research stay is preceded by a language fellowship (*cf. A.3.2.*), research fellows must register at the place where their language institute is located and, after moving to their institution of higher education or host institute, register at their new place of residence once again (*cf. B.5.*).

Well before the visa expires, you must apply to the local Aliens' Registration Office for a residence permit. As the necessary processing often takes several weeks, you are recommended to make this application as early as possible. The following documents usually have to be submitted:

- *the registration document from the Residents' Registration Office* where you are registered in Germany;
- proof of *health insurance coverage* valid in Germany (*cf. B.10.*);
- 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, research fellows 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 3 months old;
- a valid *passport* (*cf. B.1.*);
- in certain cases, the originals of birth certificate(s) and, if applicable, marriage certificates;
- a recent *passport photograph*;
- the Humboldt identity card (*cf. B.7.*) or a copy of the Alexander von Humboldt Foundation's award letter;
- a *certificate* issued by the Alexander von Humboldt Foundation *stating the period and value of the research fellowship*. This certificate is sent to all research fellows at their host institutes or language institutes after arrival in Germany;
- complete application forms for a *residence permit*; forms are obtainable from the Aliens' Registration Office.

Unless the Aliens' Registration Office is presented with all the necessary documents, residence permits cannot be issued or extended.

During your stay in Germany the Foreign Students' Advisory Office at your university will be pleased to assist you in answering questions or solving problems related to the residence permit. If you do not yet have a good command of German you should ask whether there is anyone at your host institute who knows their way around and might be willing to accompany you to the various authorities.

Following the introduction of the *Immigration Act*, it is easier than it used to be for research fellows' husbands and wives to take up gainful employment in Germany: members of the family accompanying fellows now enjoy the same legal status as the foreigner they are accompanying with regard to taking up gainful employment. As a rule, this means: marital partners are allowed to pursue 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.

B.4. Exemption from fees

According to the Decree on Residence (AufenthV) Humboldt research fellows are exempt from paying fees for the issue of

- a national visa (category D or D+C) according to § 52, sub-section 5, line 1, no. 1 (AufenthV)
- a Schengen visa (categories A, B and C) according to § 52, sub-section 8 (AufenthV) if they are travelling within the European Community for the purpose of carrying out research (c.f. Recommendation of the European Parliament and of the Council of 28.09.2005 (2005/761 EC))
- 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 underage children are exempt from paying fees for the issue of

- a national visa (category D or D+C) according to § 52, sub-section 5, line 2, (AufenthV) provided that they are included in the sponsorship awarded by the Alexander von Humboldt Foundation.

B.5. Registration and de-registration of German address

Research fellows must register with the Residents' Registration Office within one week of finding accommodation (*cf. B.3.*). This also applies to accompanying family members. 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, research fellows and accompanying family members must inform the Residents' Registration Office of their departure.

Registration forms can be obtained at stationers' shops or at the respective offices directly; some municipal authorities have included them on their websites.

B.6. Passport photographs

The Alexander von Humboldt Foundation would like to point out that the German authorities demand biometric passport photographs which must comply with legal requirements. Photographers in Germany dispose of the official specimen boards.

B.7. Humboldt identity card

After their arrival in Germany, research fellows who submitted a passport-size photograph (*cf. A.1.1.*) will receive a Humboldt identity card. This is to assist them in their contact to public authorities and universities. However, the Humboldt identity cards are not a substitute for official identity documents.

B.8. Status of research fellows as guest researchers

During the research stay, research fellows carry out their projects in cooperation with academic hosts they have chosen themselves. They are neither employees of the Alexander von Humboldt Foundation nor of their host institute. However, since they make regular use of the facilities made available by their academic hosts and host institutes, they must comply with the rules and regulations generally applicable at the respective institutes. In Germany, too, university institutes often have staffing and financial problems. To avoid misunderstandings, we urge you to clarify with your academic host the practical aspects of your cooperation with the research and support staff of the institute as well as the possibility of using scientific equipment, PC, telephone, fax, etc. at the earliest opportunity. Host institutions are obliged to ensure the same levels of safety and occupational health for research fellows as they do for other academics working at the institute.

B.9. Permission to practice medicine

Physicians who wish to practice their profession during the research stay are required to obtain permission under Article 10 of the Federal Medical Code ("*Bundesärzteordnung*"). Applications must be submitted in writing to the president ("Regierungspräsident") of the administrative district in which research fellows plan to carry out their projects *at the earliest opportunity*. Where possible, applications should be submitted with the support of academic hosts prior to arrival in Germany. A special fact sheet forwarded to all physicians with the grant documents contains information about requirements to be met and documents to be submitted with the application.

B.10. Medical and liability insurance, legal costs insurance, as well as other insurances

From the very first day, research fellows and family members accompanying them **must** be covered by medical insurance providing adequate coverage in Germany **for the entire duration of their** stay in Germany. The responsible Aliens' Registration Offices require proof of adequate health insurance before they will issue a residence permit. Costs incurred through illness or accident cannot be borne by the Alexander von Humboldt Foundation or host institutes. Please keep in mind that both out-patient and in-patient medical facilities are extremely expensive in Germany. The Alexander von Humboldt Foundation pays a monthly subsidy of EUR 50 (*cf. A.3.8.*).

Insurance coverage may be provided by research fellows' medical insurance companies in their country of origin for stays of up to three months. In such cases, the insurance company must confirm **in writing** that it will also cover risks during the research fellow's stay in Germany.

For stays exceeding three months, research fellows from EU Member States and the European Economic Area (Iceland, Liechtenstein, Norway and Switzerland) are subject to the following regulations: if a fellow is covered by statutory health insurance in his or her own country, his or her health insurance company at home will, upon request, issue form E106. This form allows research fellows and their family members to register with a German health insurance company. Form E106 must be completed prior to the stay in Germany and sent to the chosen statutory health insurance company stating the fellow'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 fellow's country of origin for its expenditures.

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

Research fellows who are not covered in this way **must** take out private medical (travel) insurance in Germany for themselves and **all accompanying family members**.

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

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 Foundation's website at:

<http://www.humboldt-foundation.de/web/insurance.html>

The Alexander von Humboldt Foundation recommends research fellows to establish contact with an insurance company **before** arrival in Germany to ensure that all questions can be clarified in good time. Applications should be sent to the insurance company or agency directly, not to the Alexander von Humboldt Foundation. Insurance coverage only takes effect if you pay the first premium into the account of the insurance company as soon as you arrive in Germany or authorise the insurance company to debit directly from your bank account.

Advice on private health insurance:

- Illness and its consequences suffered **prior to** the commencement of the insurance (not only chronic diseases) are excluded from coverage. Since many latent diseases may become acute as a result of change of climate, different food etc. (e.g. kidney and gall stones), it is strongly recommended that research fellows undergo a thorough examination and, if necessary, treatment in good time prior to their departure for Germany.
- The cost of prenatal examinations and delivery is usually not covered by any insurance company when pregnancy has begun before arrival in Germany. Before taking out insurance, research fellows should, where necessary, clarify with the insurance company the conditions for covering costs in the event of pregnancy in Germany.
- Please also find out which other forms of treatment will not be reimbursed by the insurance company (e.g. cost of routine and prophylactic medical check-ups, vaccinations).
- The cost of treatment after an accident during a stay in Germany is covered by medical insurance.
- Research fellows should obtain detailed advice from their insurance companies, particularly prior to a stay in hospital, on the necessary formalities and costs refundable to them.
Research fellows admitted to hospital should immediately present their insurance certificate and request the hospital to contact their insurance company to confirm that costs will be covered. Please state clearly that you are **not a private patient**, since the insurance will not refund costs for special services such as accommodation in single or two-bed rooms or treatment by senior consultants or practitioners with private beds ("Belegärzte").
- If you plan to travel abroad, you are requested to enquire with your health insurance company well in advance whether an additional travel insurance is necessary.
- The Alexander von Humboldt Foundation strongly advises research fellows against changing medical insurance during their stay in Germany as this may have unforeseeable consequences.
- Residence permits are only issued (for the research fellow, as well as all family members coming to Germany) on proof of medical insurance coverage taking effect immediately after arrival.
- Research fellows are not entitled to special medical insurance rates for students.

Please read the enclosed documents very carefully and make sure that the medical insurance coverage for you and your family is adequate and takes effect from the beginning of your stay in Germany.

Of course, research fellows may take out a medical insurance policy with any company they like, 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 cost 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 expenses policy not only provides cover for driving one's own vehicles, but also provides cover as a passenger, pedestrian or cyclist.

Further insurance options:

In Germany there are other areas of life and purposes for which individual insurance cover can be arranged besides statutory health insurance, liability insurance and legal cost insurance. For example: accident insurance (some health insurance providers include this in their standard cover), household contents insurance, travel insurance, life assurance to provide for the future and pension schemes for old age provision, incapacity or income protection insurance.

However, the conditions and contents of insurance policies differ greatly, so please look into the matter thoroughly before signing a contract. Please make absolutely certain that obtaining insurance cover is a cost effective solution for you, taking into consideration your limited time in Germany. In particular, consider how long you may be required to make contributions and under what circumstances the insurance company will actually agree to pay out benefits.

B.11. Taxes, social security

Since research fellows are not employees (*cf. B.8.*), carrying out the research project is not classified as gainful employment under the terms of German Income Tax Law. Consequently, the monthly fellowship payments are not considered as earned income and are not subject to social insurance deductions. Humboldt research fellows are exempt from taxation *under Article 3, No. 44 of the German Income Tax Law.*

The laws in the research fellows' own countries may include special regulations on taxing research fellowships. If in doubt, you should consult a tax accountant in your own country.

B.12. Date of arrival and notification of address in Germany

The expected date of arrival in Germany should be stated in the *declaration of acceptance*. If this date is changed subsequently, the following institutions must be notified of the exact time of arrival as soon as possible, not later than 3 weeks prior to arrival (e.g. by fax or e-mail):

- the Alexander von Humboldt Foundation,
- the language institute if you have been enrolled for an intensive language course,
- the academic host or the host institute providing the research facilities,
- the Foreign Students' Advisory Office, the International Office or the Welcome Centre at the respective university (addresses, in alphabetical order according to research location, are available on the Foundation's website at:
<http://www.humboldt-foundation.de/pls/web/docs/F28798/AAA.pdf>),
- your landlord in Germany if you have signed a tenancy agreement.

Please bear in mind that any change of date costs the Alexander von Humboldt Foundation considerable additional time and money.

Moreover, research fellows are requested to inform the Alexander von Humboldt Foundation and the Foreign Students' Advisory Office at their institute as soon as possible of a valid correspondence address in Germany, including telephone number and e-mail. It is important to notify the above offices of any change of address in Germany as this is the only way to ensure that mail from the Alexander von Humboldt Foundation will always reach research fellows punctually.

Furthermore, the Alexander von Humboldt Foundation strongly recommends research fellows to inform the central mail distribution office and telephone operator at the university and/or host institute as soon as possible, preferably in person, that they are embarking upon research work at the host institutes. This is to ensure that mail also reaches recipients via the university and/or institute address.

B.13. Contacts

B.13.1. Alexander von Humboldt Foundation headquarters

The Alexander von Humboldt Foundation regards it as one of its most important tasks to offer foreign guest-researchers personal assistance and advice and to help them overcome any difficulties encountered during their stay in Germany. This assistance is only given upon request to ensure that research fellows feel as free as possible to plan their research stay.

Research fellows who experience major difficulties when entering Germany or during their research stay are requested to inform the Alexander von Humboldt Foundation without delay to enable it to provide immediate assistance if possible.

B.13.2. German host institutes

Academic hosts and their assistants will advise research fellows on all matters connected with their projects. The Alexander von Humboldt Foundation attaches great importance to arranging suitable facilities for research fellows at German host institutes and therefore maintains contact with academic hosts.

Host institutes selected by research fellows provide suitable research facilities and assist in carrying out agreed research projects. Research fellows thus temporarily become members of research groups at institutes. The success of cooperation essentially depends on coordination and acceptance of the rights and obligations by both parties concerned (*cf. B.8.*).

B.13.3. Foreign Students' Advisory Offices – International Offices – Welcome Centres

The members of the Foreign Students' Advisory Offices, International Offices and Welcome Centres at the universities also do their best to assist research fellows in answering questions or solving any problems they may have (addresses, in alphabetical order according to research location, are available on the Foundation's website at:

<http://www.humboldt-foundation.de/pls/web/docs/F28798/AAA.pdf>).

An overview of the Welcome Centres sponsored by the Alexander von Humboldt Foundation can be found on the Foundation's website at:

<http://www.humboldt-foundation.de/web/welcome-centres-winners.html>.

Some Foreign Students' Advisory Offices, International Offices or Welcome Centres at research institutions issue *Studienführer or information brochures for guest scientists* providing foreign guests with information about the

institutions and their facilities. This information may be requested in writing from the respective Foreign Students' Advisory Offices prior to the commencement of the research fellowship.

Some Foreign Students' Advisory Offices, International Offices and Welcome Centres also offer a varied programme of events for foreign guests during the semester, such as local excursions, film evenings, concerts etc. Addresses of university associations of various nationalities may be obtained on request.

B.14. The first days in Germany

Unfortunately, the Alexander von Humboldt Foundation is unable to arrange for members of its staff to meet research fellows on their arrival in Germany. However, it recommends research fellows to inform their language institutes and/or academic hosts of their exact time of arrival well in advance.

B.14.1. First visit to the host and Foreign Students' Advisory Office

On arrival in Germany, you should immediately contact your academic host and the Foreign Students' Advisory Office. The Foreign Students' Advisory Office may possibly help research fellows to find a hotel room for the first few days if they have not yet found accommodation. Furthermore, these offices will give them information on other matters (e.g. finding accommodation, registration etc.).

You should, however, bear in mind that the Foreign Students' Advisory Offices are only open on weekdays and often only in the morning (especially at the beginning of the semester they are very busy, too). The same applies to travel agencies, which will also be pleased to assist research fellows in finding hotel accommodation. *Research fellows are therefore strongly advised not to arrive in Germany without prior notification and not to choose the weekend.*

B.14.2. Finding accommodation

Finding accommodation in Germany is often difficult and time-consuming. The housing situation varies considerably according to region and the availability of accommodation is very limited in some areas. Thus the Alexander von Humboldt Foundation strongly recommends research fellows to address the question of accommodation, preferably in writing, with host institutes in Germany and the Foreign Students' Advisory Offices, International Offices or Welcome Centres directly, **well before arrival**. The appropriate form is available on the Foundation's website at:

<http://www.humboldt-foundation.de/pls/web/docs/F23788/housing.doc>

Research fellows must state clearly how many family members will accompany them to Germany and during which period of time. Research fellows should take into account that up to 40% of the monthly fellowship goes toward renting accommodation in Germany (*cf. also http://www.humboldt-foundation.de/pls/web/docs/F15600/practical_hints.pdf*).

To make it easier for research fellows to find accommodation, particularly during the initial period of the research stay, the Alexander von Humboldt Foundation **strongly** recommends that research fellows who wish to come to Germany with their families should first travel **alone** and only send for their families when they have found adequate accommodation.

B.14.3. Practical hints for your stay in Germany on the Internet

Further "Practical Hints for Your Stay in Germany", covering the most diverse areas, are also available on the Foundation's website at:

http://www.humboldt-foundation.de/pls/web/docs/F15600/practical_hints.pdf

Other useful hints and recommendations can be found on the Internet on the website of EURAXESS Germany, the advice point for internationally mobile researchers at the Alexander von Humboldt Foundation (*<http://www.euraxess.de>*), and *<http://www.campus-germany.de>* as well as on the website of the German Academic German Exchange Service *<http://www.daad.de>*.

C. ALUMNI SPONSORSHIP AND HUMBOLDT NETWORK

It is the Alexander von Humboldt Foundation's aim to sponsor their alumni on a long-term and individual basis. Contact should be maintained after the end of the initial research stay in Germany in order to strengthen the relationships to specialist colleagues in Germany and permanently consolidate academic collaboration. Finally, alumni sponsorship should make it possible for the academic work embarked upon to be continued successfully abroad.

The Alexander von Humboldt Foundation keeps its alumni informed of existing sponsorship opportunities. Alumni who are of particular importance to German science, economy, and politics, either due to their outstanding academic work or to their important function in the academic or foreign cultural fields, are invited for renewed stays in Germany.

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 at:

<http://www.humboldt-foundation.de/web/alumni-sponsorship-abroad.html>

C.1. Additional research visits to Germany

Alumni, who have completed their first research stay in Germany and returned abroad, are eligible to apply for support for a renewed stay in Germany.

C.1.1. Short visit of up to 30 days

Short visits of up to 30 days can be used for taking an active part (lecture, posters, leading a working group) in international congresses in Germany, for lecture tours or informative visits, for making and nurturing academic contacts, or for short working visits to research institutes in Germany. A combination of these individual activities would be welcomed. Applications should include the following documents:

- completed application form, which is available on the Foundation's website at:
- *<http://www.humboldt-foundation.de/web/renewed-research-stay.html>*
- curriculum vitae
- list of publications during the last 5 years,

- short description of activities planned,
- invitations from academic colleagues from the institutes to be visited,
- details of financial contributions from third parties, if applicable.

If participation in a congress is planned, a programme of the congress announcing the applicant's own contribution (lecture/posters etc.) should also be included as well as information on conference fees.

Short visits are sponsored by providing a daily allowance and, in cases of active participation, reimbursement of conference fees. Travel expenses cannot be paid. Once all the relevant documents have been received, processing takes about a month. Retrospective approval is not possible.

C.1.2. Research stay of up to 3 months

A research stay of up to 3 months can be used either to continue or complete work which was started during the first research stay in Germany or to initiate new joint research projects with specialist colleagues in Germany. Fellows are free to choose the academic host; competence should be the determining factor. Applications for a renewed research stay should include the following documents:

- completed application form, which is available on the Foundation's website at:
- <http://www.humboldt-foundation.de/web/renewed-research-stay.html>
- curriculum vitae
- list of publications during the last 5 years,
- research project,
- details of financial contributions from third parties, if applicable.

A statement from the academic host chosen will be sought by the Alexander von Humboldt Foundation directly.

Once all the relevant documents have been received, the Alexander von Humboldt Foundation will decide on the application, usually within 3 months. The decision on the application will be made on the basis of an assessment of the applicant's academic qualifications and activities, the academic quality and relevance of the research project planned, as well as the significance of a further stay both academically and in foreign policy terms. The scale of sponsorship already granted, as well as the period of time elapsed since the last Alexander von Humboldt Foundation sponsorship, will be taken into account.

A monthly research fellowship sum will be granted. *Sections A.3.5., A.3.6., A.3.7., A.3.8., A.3.9.* contain information on additional benefits as well as the

application procedures. Initial lump sums or BahnCards, language fellowships, language courses and a Europe Research Stay will not be sponsored. Travel expenses for the journey to and from abroad are not usually reimbursed.

On principle, research fellows are not entitled to receive monthly fellowship payments if they are absent from the German host institute for more than 5 days in total (continuous or accumulative). In such cases, the Alexander von Humboldt Foundation reserves the right to reduce the amount of the fellowship payments. Attendance at conferences and research journeys as well as visits to archives and libraries etc., essential for carrying out the research project, do not count as absences (*cf. also A.1.7., A.1.11.*).

At the beginning of the research stay – i.e. during the first month – research fellows are entitled to the first payments only when arriving 5 days after the official beginning of the sponsorship period (or the following working day) at the latest. Fellows who arrive in Germany after this date are not entitled to payment of the monthly fellowship. In the last month of the respective sponsorship period, research fellows must be present until no less than 5 days prior to the end of the sponsorship period. Fellows who leave Germany before this date are not entitled to payment of the monthly fellowship.

The above also applies to additional benefits within the framework of alumni sponsorship for renewed research stays in Germany (*mobility allowance, marital allowance, child allowance, subsidy towards health and liability insurance, subsidy towards research costs for hosts*).

C.2. Sponsorship abroad

C.2.1. Return fellowships

After successfully completing the initial research stay in Germany sponsored by the Alexander von Humboldt Foundation, it is possible to apply for a return fellowship to sponsor reintegration into a research institute abroad. The return fellowship includes a sponsorship of EUR 500 per month over a period of a year which should be used to build up and develop the fellow's own working groups. Additionally, EUR 500 are available for the purchase of specialist literature.

Application for a return fellowship must be made no later than 6 months after completing the initial research stay in Germany sponsored by the Alexander von Humboldt Foundation, and the return fellowship be taken up no later than 12 months after completing the initial research stay. Experienced researchers are only eligible to apply if the duration of the last sponsorship period was at least 6 months.

Application forms and further information are available on the Foundation's website at:

<http://www.humboldt-foundation.de/web/return-fellowship.html>

Return fellowships can be awarded for a return to research institutions in Central and Eastern Europe, including all CIS-states, and to developing or threshold countries. The current lists of potential countries are available on the Foundation's website at:

[http://www.humboldt-](http://www.humboldt-foundation.de/pls/web/docs/F7284/laenderliste_rks_entwicklungslaender_e.pdf)

[foundation.de/pls/web/docs/F7284/laenderliste_rks_entwicklungslaender_e.pdf](http://www.humboldt-foundation.de/pls/web/docs/F7284/laenderliste_rks_entwicklungslaender_e.pdf)

[http://www.humboldt-](http://www.humboldt-foundation.de/pls/web/docs/F10067/laenderliste_rks_moe.pdf)

[foundation.de/pls/web/docs/F10067/laenderliste_rks_moe.pdf](http://www.humboldt-foundation.de/pls/web/docs/F10067/laenderliste_rks_moe.pdf)

C.2.2. Donations of books and equipment grants

Research fellows living abroad – preferably in countries with limited foreign currency reserves – are eligible to apply to the Alexander von Humboldt Foundation for donations of academic literature. Individual applications should not usually exceed **EUR 1000**. Only books by German authors or published by German publishers can be donated. Subscription costs for journals **cannot** be borne by the Alexander von Humboldt Foundation. The books donated will be given to the research fellow's institute and are designated first and foremost for the fellow's research work. A completed application form, which is available on the Foundation's website at:

<http://www.humboldt-foundation.de/web/book-donations.html>

and a curriculum vitae should be submitted.

The acquisition of scientific equipment should make it possible for research fellows in countries with limited foreign currency reserves to successfully continue the research project started in Germany at their institute abroad after the initial research stay in Germany has come to an end. In this way, collaboration with academic hosts or other specialist colleagues in Germany should be sponsored well beyond the initial research stay.

The research fellow has to purchase the equipment in his own responsibility in his own country or abroad. The necessary funding for purchasing the equipment can be provided by the Alexander von Humboldt Foundation in the form of a subsidy. The equipment will be given to the research fellow's institute and is designated first and foremost for the fellow's research work.

Applications for equipment subsidies should include the following documents:
- completed application form, which is available on the Foundation's website at:

<http://www.humboldt-foundation.de/web/equipment-subsidies.html>

- curriculum vitae,
- precise description and technical specifications of the equipment requested,
- 3 comparative offers from different local distributors or from abroad in Euros or US Dollars,
- a research project indicating the use of the equipment requested,
- a list of publications covering the last 5 years,
- a statement by the head of the receiving institute confirming agreement to assume both ownership and responsibility for any costs ensuing from ownership; details of any investment by the institute itself, if applicable,
- a confirmation of possible co-financing by a third party.

If larger equipment is being requested, either joint application should be made by several research fellows or there should be confirmation of part financing from other sources.

C.2.3. Printing subsidies for book publishing

On application the Alexander von Humboldt Foundation may grant printing subsidies for books publishing research results directly linked to grants provided by the Alexander von Humboldt Foundation, especially those ensuing from a research stay in Germany. If the publication is written jointly with other authors, the printing subsidy may be reduced accordingly.

The preconditions for sponsorship are that

- the publication is published by a German publisher or in the German language,
- the print run does not exceed 1,000 copies, and
- the number of complimentary copies does not exceed 25 % of the print run.

The application for a printing subsidy has to include the following documents:

- completed application form, available at:
- <http://www.humboldt-foundation.de/web/printing-subsidies.html>
- curriculum vitae,
- detailed estimate of cost from the publisher (cf. website),
- information on financial contributions from third parties,
- written explanation justifying the choice of the publisher, and
- written statement from the academic host in Germany.

Instead of book publishing the Alexander von Humboldt Foundation also supports the open access publication of research results. Applications, including the aforementioned documents, may be submitted for the reimbursement of the necessary costs in the context of a printing subsidy.

C.2.4. Inviting academics from Germany

Research fellows and their academic hosts or collaborative partners in Germany can apply for a subsidy to sponsor guest visits by academics from Germany to the research fellow's institute abroad. The guest visit should be used for lectures and academic contacts at the research fellow's institute and possibly at other institutes in the country. Priority will be given to journeys undertaken by academic hosts or collaborative partners from Germany to countries with limited foreign currency reserves.

Applications for subsidies should include the following documents:

- informal application by the research fellow or the academic from Germany giving details of the schedule, contents, and objective of the journey,
- estimate of expected travel expenses,
- invitation from the research fellow abroad.

The subsidy is intended to cover or partially cover the travel expenses incurred by the academic from Germany. The Alexander von Humboldt Foundation expects the institute visited to bear the costs of the stay locally.

C.2.5. Post-doctoral and experienced researchers from Germany, the Feodor Lynen, JSPS, and NSC Programmes

On the strength of Feodor Lynen Research Fellowships for Post-Doctoral and Experienced Researchers, the Alexander von Humboldt Foundation gives highly-qualified German scholars and scientists an opportunity to spend extended periods working on research at Humboldtians' institutes abroad. Selection criteria are comparable to those for research fellowships for foreign scholars. Financing is provided jointly by the foreign host institutes and the Alexander von Humboldt Foundation.

Detailed information on sponsorship conditions can be downloaded from the Foundation's website.

Furthermore, the Alexander von Humboldt Foundation coordinates the assessment procedure for the granting of research fellowships by the Japan Society for the Promotion of Science (JSPS) and the National Science Council (NSC) in Taiwan and mentors research fellows during their stay in Japan or Taiwan.

The Alexander von Humboldt Foundation can also help German fellows, who have completed their research stay abroad and returned to Germany, to maintain contacts with Humboldtians in all countries by financing short reciprocal visits within the framework of alumni sponsorship.

C.2.6. Research Group Linkage Programme

The Alexander von Humboldt Foundation sponsors long-term research collaborations between academics in Germany and abroad. The funding of research group linkage is one of the alumni support tools designed to build a sustainable basis for long-term international academic collaboration. Another of its aims is to integrate (doctoral and post-doctoral) junior researchers as potential candidates for a Humboldt research fellowship into these collaborations.

Prerequisites for application:

- One of the applicants is working at a research institute in one of the countries on the current list (excepting, in particular, institutes in Australia, Canada, Japan, New Zealand, Western Europe and the USA), and is an alumnus of a Humboldt fellowship or award programme ("Humboldtian").
- One of the applicants is working at a research institute in Germany.

Applications for sponsoring institutional partnerships should include the following documents:

- the completed application form, which is available on the Foundation's website at:
<http://www.humboldt-foundation.de/web/research-group-linkage-programme.html>
- a time and expense schedule, broken down by years, indicating the intended use of funds (form),
- a budget plan, explaining the time and expenses schedule,
- if applicable, estimates for equipment items requested, preferably in the form of a concrete quotation,
- a detailed research plan,
- curriculum vitae and list of publications for the last five years for all academics involved,
- statements from the directors of the institutes involved.

The current list of countries eligible as well as the precise sponsorship conditions and the application form can be downloaded from the Foundation's website at:

<http://www.humboldt-foundation.de/web/research-group-linkage-programme.html>

C.3. Humboldt Network

C.3.1. 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.

C.3.2. 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 scientists and 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 to the sponsorship opportunities offered by the Alexander von Humboldt 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 Foundation's website:

<http://www.humboldt-foundation.de/web/humboldt-kollegs-en.html>

C.3.3. 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 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 scientists and scholars in foreign countries. In general, they gladly advise newly selected Humboldtians before they depart for Germany. There is a Humboldt Alumni Association in Germany, as well. Addresses may be downloaded from the Foundation's website:

<http://www.humboldt-foundation.de/web/alumni-associations.html>

C.3.4. Humboldt Network Online: Information on the Alexander von Humboldt Foundation's website

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

The **Humboldt network** section of the Internet homepage (<http://www.humboldt-foundation.de/web/humboldt-network.html>) contains information which may be used to enhance the networking of Humboldtians above and beyond national frontiers and disciplines.

The **Network Online** is a section secured by password, giving Humboldtians direct access to the Alexander von Humboldt Foundation's database and thus enabling them to update their personal data (such as address changes) and to obtain current information about specialised fields and key research areas as well as addresses of Humboldtians throughout the world. All scientists and scholars sponsored by the Alexander von Humboldt Foundation are included into the database and their entries can be researched. Additionally, some of these data are publicly accessible. This access to current data is intended to facilitate contacts and cooperation with and within the Humboldt network across countries and disciplines.

The website also gives access to the „**Bibliographia Humboldtiana**” (<http://www.humboldt-foundation.de/web/bibliographia-humboldtiana-en.html>).

This is a special database containing 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 asks all Humboldtians to enter the bibliographic data of those publications in the Bibliographia Humboldtiana. Entries can be made within the password secured section of the Network Online. The data are publicly accessible.

D. RULES OF GOOD SCIENTIFIC PRACTICE, LEGAL REGULATIONS AND GENERAL OBLIGATIONS

While carrying out the research project sponsored, research fellows are obligated to comply with the rules of good scientific practice and the relevant laws which apply to the place where research is being conducted as well as to the Alexander von Humboldt Foundation. Besides personal integrity it is further assumed that research fellows have observed the applicable regulations and laws also in their previous research work.

When accepting the research fellowship, fellows commit themselves to observe in Germany *in particular*:

- the rules of good scientific practice (cf. annex);
- when planning and carrying out experiments on human subjects, the Helsinki Declaration of the World Medical Association on the Ethical Principles for Medical Research Involving Human Subjects in the revised version of October 2008:
- <http://www.wma.net/en/30publications/10policies/b3/index.html> ;
- when carrying out experiments on animals, the regulations of the respective valid law on animal protection and the relevant implementation rules:
- <http://bundesrecht.juris.de/tierschg/BJNR012770972.html> ;
- in the case of genetic experiments, the respective valid law regulating issues of genetic engineering and the relevant implementation rules:
<http://bundesrecht.juris.de/gentg/>;
- the ethical rules according to Article 6 of Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community:
<http://eurlex.europa.eu/JOHtml.do?uri=OJ%3AL%3A2006%3A412%3ASOM%3AEN%3AHTML>; and

- 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 implementation rules:
*<http://bundesrecht.juris.de/awg/> and
http://bundesrecht.juris.de/awv_1986/.*

The research fellow is, furthermore, obliged to abide by the rules on the use of the Alexander von Humboldt Foundation logo (cf. A.4.).

E. GENERAL REGULATIONS

The "Guidelines and Information for Research Fellows" are a constituent part of the fellowship award.

The German-language text of the "Guidelines and Information for Research Fellows" ("Richtlinien und Hinweise für Forschungsstipendiaten") is binding; the English-language text is merely a translation.

Should the above-stated guidelines and obligations fail to be respected, the Alexander von Humboldt Foundation reserves the right to revoke the granting of the fellowship in part or full, cease paying further fellowship benefits, or demand the repayment of the fellowship, including collateral allowances and benefits. This also applies if the research fellow has made or makes false claims in his or her application or during the period of sponsorship, or when other serious facts emerge which would have militated against the granting of the fellowship had they been known to the selection committee at the time. Procedures and penalties in the event of violations of the guidelines and obligations and especially in the 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. Annex).

The Alexander von Humboldt Foundation reserves the right to amend the "Guidelines and Information for Research Fellows" at any time, provided that the amendments, while taking due account of the interests of the Alexander von Humboldt Foundation, are reasonable with vis-à-vis the research fellow. Amendments will be announced to the research fellow in writing well in advance. Amendments are considered to have been approved if the research fellow has not lodged an objection in writing within four weeks. In event of an objection, the Alexander von Humboldt Foundation reserves the right to cease sponsorship within a reasonable period of time.

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

ANNEX

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, 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.
 - *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 4 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.
- 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 4 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 suspicions 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, peer reviewers, and special 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.

List of countries for Europe research stays

Europe research stays are possible in the following countries:

Albania	Latvia
Andorra	Liechtenstein
Armenia	Lithuania
Austria	Luxembourg
Azerbaijan	Macedonia
Belarus	Malta
Belgium	Moldavia
Bosnia-Herzegovina	Monaco
Bulgaria	Montenegro
Croatia	The Netherlands
Cyprus	Norway
Czech Republic	Poland
Denmark	Portugal
Estonia	Romania
Finland	Russian Federation
France	San Marino
Georgia	Serbia
Great Britain	Slovakia
Greece	Slovenia
Hungary	Spain
Iceland	Sweden
Ireland	Switzerland
Israel	Turkey
Italy	Ukraine
Kosovo	Vatican City

Checklist for Humboldt Research Fellows

Please notify the Alexander von Humboldt Foundation *immediately* of any **changes** (postponement, change of residence, visa problems etc)! For all **applications to the Alexander von Humboldt Foundation**: *the earlier the better*.

On receiving notification of fellowship grant	<ul style="list-style-type: none"> - acceptance form to Alexander von Humboldt Foundation (A.1.1.)* - registration for language course to Alexander von Humboldt Foundation (A.1.1.) - application for issue/extension of passport (B.1.) - visa application in research fellow's own country – also for accompanying marital partner and children (B.3.)** - application for postponement of fellowship (A.1.10.) - arrange accommodation with the academic host and/or Foreign Students' Advisory Office (B.15.) - take out medical insurance/liability insurance cover effective from day of arrival (B.11.) - for physicians: application for permission to practice medicine (B.10.) - in case of change of date of arrival: notification to the Alexander von Humboldt Foundation, language institute, academic host, Foreign Students' Advisory Office (B.13.)
Commencement of language course/fellowship	<ul style="list-style-type: none"> - 1st week: registration with the Residents' Registration Office (B.3.) - immediately thereafter: application for a residence permit with the Aliens' Registration Office (B.3.) - application for child benefit and/or parent allowance with the appropriate authorities (A.3.6., A.3.7.)**** - notification of current address to the Alexander von Humboldt Foundation and Foreign Students' Advisory Office (B.12.)
After receipt of residence permit ****	<ul style="list-style-type: none"> - application for child benefit and/or parent allowance with the appropriate authorities (A.3.6., A.3.7.)
After moving into rented accommodation / after removal	<ul style="list-style-type: none"> - 1st week: registration with the Residents' Registration Office (B.3., B.5.)
At the beginning / during fellowship	<ul style="list-style-type: none"> - notification of private bank account in Germany to the Alexander von Humboldt Foundation: by the 15th day of the month (A.1.7.) - application for subsidy towards the cost of medical insurance, if applicable, for marital allowance, child allowance (A.3.6., A.3.7., A.3.8.) - application for German course allowance: at least 2 weeks prior to commencement of course (A.3.3.) - notification of interruption of stay: 1 month in advance (A.1.11.) - notification of departure of marital partner and/or children: 1 month in advance (A.3.6., A.3.7., A.3.8.) - any changes affecting payments by the Alexander von Humboldt Foundation: 1 month before taking effect
If necessary for professional reasons: 3-4 months before end of fellowship	<ul style="list-style-type: none"> - application to the Alexander von Humboldt Foundation for extension of fellowship (A.1.4.)
Immediately before departure	<ul style="list-style-type: none"> - de-registration at Residents' Registration Office (B.5.) - de-registration at Aliens' Registration Office (B.5.)***

* Chapters in brackets refer to the brochure "Guidelines and Information for Research Fellows"

** Not applicable to fellows from the EU, Iceland, Liechtenstein, Norway, Switzerland, Australia, Brazil, Canada, Israel, Japan, New Zealand, Republic of Korea, U.S.A.

*** Not applicable to fellows from the EU, Iceland, Liechtenstein, Norway, Switzerland

**** Fellows from the EU, Iceland, Liechtenstein, Norway, Switzerland only need proof of registration in Germany.