



Alexander von
HUMBOLDT
STIFTUNG

MAX PLANCK
GESELLSCHAFT



Max Planck-Humboldt Research Award

Information and Recommendations /
Regulations on the Use of Funds

PREFACE	2
WHO WAS MAX PLANCK?	4
WHO WAS ALEXANDER VON HUMBOLDT?	5
A. THE MAX PLANCK-HUMBOLDT RESEARCH AWARD	7
1. Conferment of award	7
2. Acceptance of award and commencement of research work	
3. Taxation	9
4. German language courses	9
5. Annual Meeting of the Alexander von Humboldt Foundation and Annual Assembly of the Max Planck Society	10
6. Report on the Award Winners' experiences	10
B. GENERAL CONDITIONS AND RECOMMENDATIONS FOR THE STAY IN GERMANY	11
1. Entry requirements, visa	11
2. Registration, residence permit	12
3. Health and liability insurance, legal costs insurance, as well as other insurances	15
4. Accommodation	18
5. Permission to drive in Germany	18
C. ALUMNI SPONSORSHIP AND INTERNATIONAL NETWORKS OF THE ALEXANDER VON HUMBOLDT FOUNDATION AND THE MAX PLANCK SOCIETY	19
1. Invitation to renewed research stay in Germany	19
2. Humboldt Kosmos	20
3. Humboldt Colloquia and Humboldt Kollegs	20
4. Humboldt Alumni Associations	21
5. Humboldt Network Online: Information on the Alexander von Humboldt Foundation's website	21
6. Humboldt Life on the Alumniportal Deutschland: Social network for Humboldtians as well as German Alumni	22
– REGULATIONS ON THE USE OF FUNDS –	23
ENCLOSURE 1 "Agreements between the award winner and the host institution" form	
ENCLOSURE 2 "Fund request" form	
ENCLOSURE 3 "Report on the Use of Funds" form	
ENCLOSURE 4 Rules of good scientific practice, procedures, and penalties in the event of malpractice	

(as of: June 2023)

Preface

The Alexander von Humboldt Foundation links Germany to the knowledge of the world. In global competition for the topmost experts, it offers to this end various programmes to attract scientists and scholars at different stages of their careers. Support involves both funding and personal support in all matters relating to a stay in Germany and to subsequent cooperations. For these cooperations, the Alexander von Humboldt Foundation offers numerous other kinds of sponsorship in the framework of the alumni programmes. In this way, an active international network of more than 30,000 academics has grown up since the Foundation was founded in 1953.

The Max Planck Society is Germany's most successful research organisation. With 29 Nobel Laureates among the ranks of its scientists, it is on an equal footing with the best and most prestigious research institutions worldwide. The scientific attractiveness of the Max Planck Society is based on its understanding of research: Max Planck Institutes are built up solely around the world's leading researchers. They themselves define their research subjects and are given the best working conditions, as well as free reign in selecting their staff. The currently 86 Max Planck Institutes and facilities conduct basic research in the service of the general public in the natural sciences, life sciences, social sciences, and the humanities. Max Planck Institutes focus on research fields that are particularly innovative, or that are especially demanding in terms of funding or time requirements. And their research spectrum is continually evolving: new institutes are established to find answers to seminal, forward-looking scientific questions, while others are closed when, for example, their research field has been widely established at universities. This continuous renewal preserves the scope the Max Planck Society needs to react quickly to pioneering scientific developments.

The Max Planck Society and the Alexander von Humboldt Foundation jointly grant the Max Planck-Humboldt Research Award endowed by the Federal Ministry of Education and Research to exceptional scientists and scholars from outside Germany who are expected to achieve scientific breakthroughs in the future on the basis of their previously highly successful, unconventional, innovative and risk-taking research. The award is intended to enable the award winning researchers to set up a working group in Germany and to implement new creative research formats in cooperation with German colleagues.

Apart from supporting international science, the Max Planck Society and the Alexander von Humboldt Foundation aim to develop a personal relationship between the researchers from all countries and disciplines and Germany itself. This does not only happen in laboratories and libraries but in everyday life: through contacts to the people in the country. In order to intensify these contacts, the

Alexander von Humboldt Foundation and the Max Planck Society sponsor German courses for the award winners and their marital partners. At events organised by the Max Planck Society and the Alexander von Humboldt Foundation, there is an opportunity to get to know other members of each organisation's network and the staff personally.

This brochure is intended as a guide for award winners and representatives of the host institutions, offering practical advice and explaining the rules of the programme. Details as to the use of award funds are regulated in the enclosed "Regulations on the Use of Funds". The Alexander von Humboldt Foundation and the Max Planck Society are grateful for any suggestions which might improve or supplement this brochure.

We wish the award winners successful academic collaborations, as well as all the best personally. We would be pleased to welcome you to one of our events.

Bonn/München, June 2023



Dr. Enno Aufderheide

Secretary General of the
Alexander von Humboldt Foundation

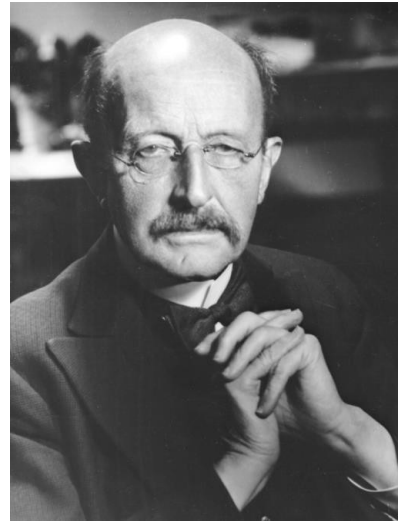


Dr. Simone Schwanitz

Secretary General of the
Max Planck Society

Who was Max Planck?

A resisting revolutionary has created the basis of modern natural sciences: with his quantum theory which postulates that energy can be transferred only in very particular portions, the so-called quanta, Max Planck (1858-1947) not only made the processes on the atomic and sub-atomic level comprehensible but also triggered off the greatest change in physics since Newton.



Max Planck was born on April 23rd, 1858 in Kiel, the son of a professor of law. The family moved to Munich when his father Julius Wilhelm Planck accepted a chair in civil law at the University of Munich in 1867. At the age of barely 16, Max Planck graduated from Munich's Maximilian-Gymnasium in 1874.

In 1874/75, after thorough consideration, he decided to study physics and mathematics at the Ludwig-Maximilians-University of Munich. Three years later, Max Planck moved to the University of Berlin. He later returned to Munich where he obtained his doctoral degree at the age of 21.

Only one year later, in 1880, he qualified as a university lecturer and became an associate professor at the University of Munich. In 1885, he accepted a chair at the University of Kiel. After the death of his teacher Gustav Kirchhoff, Max Planck, only 31 years old, was invited to become his successor as professor of theoretical physics at the University of Berlin in 1889. It was here that he began his exclusively theoretical research on thermal radiation in 1894.

On December 14th, 1900 – the date that is considered to be the date of birth of the quantum theory – Max Planck achieved the height of his scholarly work: he presented his law on radiation, later named after him, to the German Physical Society in Berlin. For this achievement, Max Planck was awarded with the Nobel Prize for Physics in 1918.

In 1913, Max Planck was elected Rector of the University of Berlin. He used his influential position and managed, in the same year, to recruit Albert Einstein from Switzerland to Berlin.

After the death of Adolf von Harnack, the first President of the Kaiser Wilhelm Society (founded in 1911), Max Planck – already 72 years old – was elected his successor in 1930. In 1937, he was forced to relinquish this position by the National Socialist regime. Once again, in 1945, after the end of the war, he devoted himself to the service of the Society as its President and agreed

that the successor organisation should bear his name in future. When the "Max Planck Society" was first founded, under the presidency of Otto Hahn, in Bad Driburg in the British Zone of Occupation on September 11th, Max Planck was 88 years old. He closed his eyes forever on October 4th, 1947 in Göttingen.

Who was Alexander von Humboldt?

Alexander von Humboldt (1769–1859) was a natural scientist and travelling researcher, universal genius and cosmopolitan, scholar and patron. He is considered the founder of natural science disciplines such as physical geography, climatology, ecology or oceanography. But Alexander von Humboldt was also a political thinker with deeply humanist beliefs who embodied the idea of progress like few others.



Photo: Archive of the BBAW project
"Alexander von Humboldt on Travel.
Science on the Move"

Alexander von Humboldt grew up in Berlin. The brothers Alexander and Wilhelm, sons of a Prussian officer, are educated by private teachers. Alexander's fascination with plants, insects and types of rock, and his talents for painting and drawing emerge early. From 1787 to 1792 he studies in Frankfurt an der Oder, Göttingen, Hamburg and Freiberg. During his university years Humboldt has formative encounters with, among others, mathematician and physicist Johann Friedrich Blumenbach and especially natural scientist Georg Forster.

After graduating, Humboldt initially enters the civil service and begins to work as an inspector of mines cum voto. Soon after, he is promoted to chief mines inspector in Franken and then to advisor for geology. When Humboldt requests to be released from the civil service in 1796 to embark on a research expedition, he has not only modernised mining in Oberfranken, but also significantly improved the working conditions of the miners and founded a mining school, which is today considered the first specialised vocational school. All while also studying underground flora and establishing the discipline of speleobotany.

In 1799, Alexander von Humboldt and French botanist Aimé Bonpland embark on a major expedition to South America that is celebrated as the second, the scientific discovery of South America. They journey through Central and South America, through modern-day Colombia, Ecuador, Peru, Lima, Mexico and Cuba, travel the Orinoco and the Rio Negro. Driven by a deep desire to understand and explain interrelationships, Humboldt records countless data and collects botanical and geological samples.

Back in Europe, Humboldt moves to Paris in 1807, only returning to Berlin 20 years later. His second great expedition in 1829 takes him to Siberia, the Baltic, to Moscow and into the Ural Mountains, all the way to the Chinese border. Between 1805 and 1834 he publishes a 34-volume travel journal.

Alexander von Humboldt is said to have corresponded with 2,500 individuals and written 50,000 letters, and is described as a gifted networker. He selflessly supported other young researchers and artists, including Justus von Liebig and Felix Mendelssohn-Bartholdy. According to Humboldt's biographer Douglas Botting, there were few major scientists in Europe in the mid-19th century who had not been supported by Humboldt in the early stages of their careers.

In its comprehensive approach, Humboldt's late work, the five-volume "Cosmos. A Sketch of the Physical Description of the Universe" remains unique to this day. The fifth and final volume was unfinished when Humboldt died in 1859, and was published posthumously.

A. The Max Planck-Humboldt Research Award

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

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

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

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

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

1. Conferment of award

The Max Planck-Humboldt Research Award is jointly conferred by the Max Planck Society and the Alexander von Humboldt Foundation under the auspices of the Federal Ministry of Education and Research.

The award honours the entire academic record to date and is endowed with an award money totalling EUR 80,000. In addition, a sum of EUR 1,500,000 (funding amount) is made available for a period of five years for the purpose of establishing and managing a working group in Germany as well as for other suitable innovative research formats for cooperation with specialist colleagues in Germany. The host institution in Germany receives a lump sum

amounting to 20% as markup to the funding amount (administrative flat-rate). In the “Regulations on the Use of Funds” the use of the funding amount and the administrative flat-rate are regulated in a binding way.

The German-language text of the Alexander von Humboldt Foundation’s and the Max Planck Society’s letter of conferment of the award (award letter) and the present brochure “Max Planck-Humboldt Research Award. Information and Recommendations for the Max Planck-Humboldt Research Award / Regulations on the Use of Funds”, is authoritative; the English-language text merely serves as a useful translation.

2. Acceptance of award and commencement of research work

By returning the declaration of acceptance, which accompanies the award letter, and the further award documents, the recipients of the award confirm that they accept the award and are in agreement with the conditions pertaining to the regulations governing the use of funds. The funding amount is available to the award winners for a period of five years immediately following the conferment of award. As a matter of principle, an extension of the funding period is not intended.

The research work planned by the award winners commences as soon as possible, as a rule in the course of the calendar year the award has been conferred, at the latest 12 months after the award conferment. The Alexander von Humboldt Foundation requests a notification of the intended schedule well in advance so that the necessary preparations can be made in a timely fashion.

The Alexander von Humboldt Foundation and the Max Planck Society have an interest in publicising the conferment of the Max Planck-Humboldt Research Award both nationally and internationally. Thus, award winners are requested to submit the names and addresses of the Presidents of their own universities or institutions who should be informed about the honour the award confers. Detailed information on the Max Planck-Humboldt Research Award Winners can be found on the websites of [Humboldt Foundation](#) and [Max Planck Society](#).

3. Taxation

Award winners are responsible for all matters pertaining to their taxation.

However, the Alexander von Humboldt Foundation would like to point out that according to German tax law, awards are not usually liable to income tax in Germany in the following cases: if they are primarily granted in recognition of the award winner's life's work, or entire academic work, personality, convictions held, or function as a role-model. This is precisely the Foundation's intention in granting research awards, the purpose of which is to honour the entire academic work of award winners in their capacity as internationally outstanding research individuals.

The Max Planck Society and the Alexander von Humboldt Foundation assume that any funds provided in addition to the award amount (funding amount and administrative flat-rate) will be classified as a grant towards a research project in Germany and, as such, be free of tax. Whether the proportion of the grant earmarked for covering living expenses is taxable should be examined individually. In this case, any existing double taxation agreements may be relevant.

The laws in the award winners' own countries or countries of residence may include special regulations on taxing awards. If in doubt, a tax accountant in the award winner's own country should be consulted.

Note: After registration with the Residents' Registration Office, the Federal Central Tax Office sends out a letter notifying the Tax Identification Number (cf. B.2). This number is allocated to every person recorded in a register of residents in Germany, regardless of whether that person is required to pay tax in Germany.

4. German language courses

If award winners or their marital partners wish to attend German language courses, the Alexander von Humboldt Foundation is prepared, as far as possible, to bear the costs for the course. Application should be made in writing to the Alexander von Humboldt Foundation before the course begins (stating the duration, number of lessons and course fee). The Alexander von Humboldt Foundation expects a regular attendance. In the event of absence from lessons, the refund of course fees may be required.

5. Annual Meeting of the Alexander von Humboldt Foundation and Annual Assembly of the Max Planck Society

The award winners and their families are invited to attend the annual meeting of the Alexander von Humboldt Foundation and the Max Planck Society.

The annual meeting of the Alexander von Humboldt Foundation, held in Berlin in June or July, is the main gathering of Humboldt guest researchers and their families staying in Germany. The highlight of the annual meeting is a reception given by the President of the Federal Republic of Germany.

The annual assembly of the Max Planck Society is held each year in a different German federal state in June. It is the annual assembly of all members of the Society and of those who are connected to one of the Max Planck Society's committees through their activities. The highlight and the festive conclusion of the annual assembly is the celebration gathering.

6. Report on award winners' experiences

Apart from reports on work carried out and results achieved (see also Regulations on the Use of Funds, VIII.), towards the end of the funding period, the Max Planck Society and the Alexander von Humboldt Foundation ask the award winners to submit a short, informal report including information on the scientific cooperation with the host institution, contacts to other research institutions as well as the personal impressions of their stay in Germany. Comparisons with the situation in their own country are particularly interesting. Any suggestions about further development of the Max Planck- Humboldt Research Award and other sponsorship programmes are welcome.

The Alexander von Humboldt Foundation and the Max Planck Society also ask the host institutions in Germany to report on their experiences in cooperating with the award winners.

For the Max Planck Society and the Alexander von Humboldt Foundation, the reports are both important and revealing; they will be evaluated carefully and confidentially. They can help the Alexander von Humboldt Foundation and the Max Planck Society to continue improving their programmes and making them as effective as possible.

B. General conditions and recommendations for the stay in Germany

1. Entry requirements, visa

In order to stay in Germany citizens of non-EU (European Union)/EEA (European Economic Area) countries must have a valid residence title. Detailed information on this can be obtained from the cultural sections of the Federal Republic of Germany's diplomatic or consular missions in award winners' 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.

Citizens of *EU member states, as well as those from Iceland, Liechtenstein, Norway and Switzerland* generally neither require an entry visa nor a permit for stays of longer duration. If they are planning to spend a longer period of time in Germany (more than 3 months), they are usually only required to register with the local Residents' Registration Office.

Citizens of *Australia, Brazil, Canada, Israel, Japan, New Zealand, the Republic of Korea, the USA and the United Kingdom* may enter Germany on a valid passport without a visa. They must apply for a residence permit at the Aliens' Registration Office immediately after arrival in Germany. **Please note:** Scientific work as a research award winner may only start when the residence permit has been issued. Since the process for issuing a residence permit can take several weeks, the Alexander von Humboldt Foundation strongly recommends applying for a **visa** for the research stay at the visa section of the relevant German diplomatic mission before entering the country. For short stays up to a maximum of 90 days within a period of 12 months citizens of the above mentioned countries do not need a visa and are entitled to carry out scientific work.

Citizens of *other countries* usually have to apply for an **entry visa** from the appropriate German diplomatic mission in their own country or country of residence before entering Germany. It is essential that the visa should be issued for the first place in Germany at which the stay is supposed to *begin*. "Scientific work" at the respective research institute is to be indicated as the reason to travel. In case a long-term stay in Germany is planned, the so-called national D-Visa is to be applied for. Award winners should **in no case** enter Germany on a Schengen Visa of the category "C". It entitles to enter Germany for short-term stays of up to 90 days **only** and **cannot** be extended.

If marital partners and/or children are accompanying the award winners to Germany, it is recommended to submit the applications for all the members of the family at the same time. Award winners should bear in mind that many visa offices only accept applications after making an appointment. This should be done well in advance as it may take several weeks to arrange a date.

German foreign missions (embassies and consulates) issue visas on their own responsibility both to researchers who have been granted research awards of the Alexander von Humboldt Foundation as well as to marital partners and unmarried underage children accompanying them (§ 34 of the Decree on Residence ("*AufenthV*"). Processing may take several weeks.

The national D-visa, issued in award winners' own countries, entitles to enter and stay in Germany for the duration of its validity (usually up to 90 days). Application may not be made for any other type of visa as extensions might be excluded.

The **residence permit issued in Germany** by the responsible Aliens' Registration Office in Germany entitles holders to multiple entry into the country and – under the provisions of the Convention Implementing the Schengen Agreement – to spend short periods (up to 90 days in six months) in the following countries: Austria, Belgium, Czech Republic, Denmark, Estonia, Finland, France, Greece, Hungary, Iceland, Italy, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, The Netherlands, Norway, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden and Switzerland.

In case a visa for merely a maximum duration of 90 days (Schengen Visa of the category "C"; **not** extendable!) is needed, an application form may be filled out online under videx.diplo.de/. However, a print-out of the completed form must be submitted personally at the German diplomatic mission together with the necessary application documents. "Scientific work" at the respective research institute is to be indicated as the reason to travel; a Schengen Visa of the category "C" for the purpose of a visit or a touristic stay does **not** entitle to take up scientific work.

2. Registration, residence permit

On arrival in Germany, award winners must register within one week with the local **Residents' Registration Office** (which is usually located in the Town Hall or Municipal Offices) at the new place of residence. This also applies to accompanying family members. Registration forms can be obtained at stationers' shops or at the respective offices directly; some municipal

authorities have included them on their websites. Any change of address in Germany has to be registered with the appropriate Residents' Registration Office within one week.

Note: After registration with the Residents' Registration Office, the Federal Central Tax Office sends out a letter notifying the Tax Identification Number. This number is allocated to every person recorded in a register of residents in Germany. When filing an application for child benefit to the family benefits office, the Tax Identification Number of both the applicant and the child in question must be specified.

Well before the visa expires, a **residence permit** must be applied for at the local **Aliens' Registration Office**. As the necessary processing often takes several weeks, it is recommended to make this application as early as possible. Please also note that an appointment to make the application frequently requires prior (online) registration. The following documents usually have to be submitted:

- completed application forms for a *residence permit*; forms are obtainable from the Aliens' Registration Office;
- *the registration document* from the Residents' Registration Office of the place of residence in Germany;
- proof of *health insurance cover* valid in Germany
- 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, award winners should make enquiries at the Aliens' Registration Office first. In general, foreign health certificates are not accepted; X-rays only if they are less than three months old;
- a valid *passport*;
- in certain cases, the originals of *birth certificate(s)* and, if applicable, *marriage certificate*;
- a recent *passport photograph*;
- a *copy of the award letter* of the Alexander von Humboldt Foundation and the Max Planck Society.

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

According to the rules of the *Immigration Act*, award winners' marital partners are allowed to take up gainful employment in Germany. Members of the family accompanying award winners enjoy, with regard to taking up gainful employment, the same legal status as the foreigner they are accompanying. As a rule, this means: marital partners are allowed to carry out occupations which do not require the agreement of the Federal Employment Agency ("Bundesagentur für Arbeit"), according to §§ 2-15 of the *Employment Regulations* ("*BeschV*"). Other occupations may only be carried out with the agreement of the Federal Employment Agency.

According to the *Decree on Residence*, (*AufenthV*), research fellows of the Alexander von Humboldt Foundation and the Max Planck Society are exempt from paying fees for the issue of

- a national visa (category D, research stays of more than 3 months) according to § 52, sub-section 5, line 1, no. 1 (*AufenthV*)
- a Schengen visa (research stays of up to 3 months) according to § 52, sub-section 8 (*AufenthV*) if they are travelling within the European Community for the purpose of carrying out research (cf. 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*).

Marital partners and unmarried underage children accompanying research fellows are exempt from paying fees for the issue of

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

As a rule, it can be assumed that award winners as well as their marital partners and unmarried underage children will also be exempt from paying these charges.

The Alexander von Humboldt Foundation sends all award winners a *Humboldt identity card* once they have arrived in Germany. It should contribute to facilitating contacts with the authorities and institutions of higher education. But it is not a substitute for official identity documents.

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

Award winners and any members of their families accompanying them must have adequate health insurance coverage during the entire duration of their research stay in Germany. The responsible Aliens' Registration Offices require proof of adequate health insurance before they will issue a residence permit. Any costs ensuing from illness or accident can neither be borne by the Alexander von Humboldt Foundation nor by the Max Planck Society nor by host institutes. It should be kept in mind that both out-patient and in-patient medical care are very expensive in Germany.

Health insurance coverage for a period of up to three months in Germany may be offered by award winners' existing insurance policies or companies at home. The insurance company must confirm this coverage in Germany **in writing**.

For stays exceeding three months, award winners from EU Member States and the European Economic Area (Iceland, Liechtenstein, Norway and Switzerland) are subject to the following regulations: if award winners are covered by statutory health insurance in their own country, their health insurance company at home will, upon request, issue form E106 or S1. Form E106 or S1 allows award winners to register themselves and their family members with a health insurance provider in Germany; the respective form should be filled in before entering the country and sent to the selected statutory health insurance provider along with the award winner's future address in Germany. The German health insurance company will then provide all necessary medical services and subsequently invoice the health insurance company in the award winner's own country for its expenditures.

For stays under three months, award winners 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 award winner's return home.

Award winners who are not covered in this way **must** take out medical insurance in Germany for themselves and **all accompanying family members**. The personnel administration at the host institution can be contacted for further information and advice.

If award winners are employed or being offered a chair by the host institution, they are usually free to choose whether to be insured under the compulsory health insurance scheme or by a so-called "Ersatzkasse" (substitutional health insurance fund). Both insurance schemes provide full health insurance cover for the award winners and – if the requirements for family health insurance cover are met – for any family members accompanying them, as well. It is strongly recommended to study the small print very carefully prior to taking out private health insurance in order to avoid unwelcome surprises.

If family members are only coming on short visits to Germany and are not eligible for family insurance cover under the award winners' health insurance scheme, it is worth taking out a private travel health insurance. The private travel health insurance provides insurance cover for **necessary medical treatment in the case of acute illness not related to preexisting illness and after an accident. An accident insurance which only pays for disability after an accident can optionally be taken out.** [Information](#) on conditions and tariffs of various health insurance companies are available on the Foundation's website. It is recommended to contact the insurance company before entering Germany so that any questions can be clarified in advance. Applications should be sent to the insurance company or agency directly, not to the Alexander von Humboldt Foundation. Insurance coverage only takes effect when the first premium has been transferred to the insurance company's account immediately after entering the country or if direct debit has been authorised from a bank account.

Important information on private travel health insurance:

- Illness and any consequences thereof which have been incurred **before** the insurance policy was taken out (not only chronic diseases) are excluded from insurance coverage. As some latent illnesses become acute as a result of a change of climate or eating habits (e.g., kidney and gall stones) award winners are urged to have a complete medical examination prior to departure from home and, if necessary, undergo treatment.
- No insurance schemes are prepared to take on the costs of pre-natal examinations and births if the mother has become pregnant before entering Germany. If necessary, before signing a contract, award winners should discuss under what conditions the insurance company would be prepared to take on the costs if pregnancy should occur during the time spent in Germany.

- Furthermore, it is necessary to make careful enquiries as to which other kinds of treatment are not covered by the insurance company (e.g., costs for routine and prophylactic medical examinations; vaccinations).
- The cost of treatment after an accident during a stay in Germany is covered by medical insurance.
- Prior to hospitalisation, the requisite formalities and the costs which will be refunded should be discussed with the insurance company in detail. To be on the safe side, award winners or their accompanying family members should present their insurance certificate to the hospital immediately and request the hospital to contact their insurance company straight away to confirm that the costs will be covered. It should be made clear to the doctor or hospital providing the treatment that award winners or their accompanying family members are **not** so-called **private patients** because the health insurance options enclosed in the award letter do not cover costs for special services such as single or double rooms or treatment by consultants or privately-affiliated doctors, so-called "Belegärzte*Belegärztinnen".
- If award winners plan to travel abroad during the stay in Germany, they should inquire with their health insurance companies well in advance whether additional insurance for travel abroad is necessary.
- Award winners are strongly urged not to change their health insurance during the stay in Germany because this can have unforeseen consequences.
- Residence permits are only issued (for all the members of the family coming to Germany) if proof can be provided of health insurance coverage which must be valid from the moment of entering Germany.

Award winners are requested to read the information on conditions and tariffs of health insurance schemes very carefully and to ensure that the health insurance coverage for themselves and accompanying family members is valid from the very beginning of the stay in Germany.

Award winners may, of course, take out whichever health insurance they choose, providing it offers adequate coverage for the entire duration of the stay in Germany.

The Max Planck Society and the Alexander von Humboldt Foundation explicitly wish to emphasise that in Germany there is a 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) liability insurance** against any claims ensuing from accidental damage caused to others.

It should be noted that it is also possible to take out a **legal costs insurance** in Germany (e.g. for drivers). This kind of insurance covers the costs of a lawyer in the event of a dispute arising from an accident, for example. A driver's legal costs insurance policy not only provides 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 coverage can be arranged besides statutory health insurance, liability insurance and legal costs insurance. For example: accident insurance (some health insurance providers include this in their standard coverage), household contents insurance, travel insurance, life assurance to provide for the future and pension schemes for old age provision, incapacity or income protection insurance.

The conditions and contents of insurance policies of each insurance company differ greatly. Before signing a contract it is advisable to obtain detailed information and to compare several policy quotes being considered. It is strongly recommended that it be determined whether the insurance coverage is a cost effective solution for the respective individual situation, keeping in mind the limited time in Germany. Consideration should be given to how long contributions may be required and under what circumstances the insurance company will actually agree to pay out benefits.

4. Accommodation

It is often very difficult to find suitable accommodation. The Foundation recommends to contact as soon as possible the housing department of the Foreign Students' Advisory Office ("Akademisches Auslandsamt"), the International Office or the [Welcome Centre](#) of the hosting institution and to inform the cooperating partner in Germany of these activities. Guesthouses ("Gästehäuser") for scholars from abroad are operated at a number of universities ([addresses](#) can be found on the Alexander von Humboldt Foundation's website).

If accommodation at a guesthouse is desired, reservations should be made well in advance, because waiting lists can be lengthy.

5. Permission to drive in Germany

Driving licences issued by Member States of the *European Union* as well as *Iceland, Liechtenstein* and *Norway* are also valid in Germany.

Holders of a valid (international) driving licence issued in *other countries* are allowed to drive a vehicle for a period of up to 6 months during their stay in Germany. If award winners do not have an international driving licence it is usually necessary for them to carry a German translation with them.

When the six months have elapsed, however, it is necessary to hold a German driving licence. The requirements for issuing a German driving licence depend on which state issued the original licence. In order to find out how to obtain a German licence and what requirements have to be fulfilled, the responsible licensing authority at the place of residence in Germany should be contacted well in advance. In exceptional cases and on application, licensing departments may extend the validity of foreign driving licences for up to 6 months if it is possible to prove that the licence-holder will not be resident in Germany for more than 12 months.

C. Alumni sponsorship and international networks of the Alexander von Humboldt Foundation and the Max Planck Society

The Alexander von Humboldt Foundation and the Max Planck Society undertake to maintain contacts with all award winners by providing information on the activities of the Foundation and the Society, inviting them to attend network conferences in Germany and abroad and by offering funding possibilities for renewed research stays to Germany.

Award winners are kindly requested to inform the Alexander von Humboldt Foundation of changes of the address and position, preferably via the service portal [My Humboldt](#), as well as about honours and awards received and other relevant events.

1. Invitation to renewed research stays in Germany

The Max Planck Society and the Alexander von Humboldt Foundation would like to see award winners abroad continue academic cooperation with specialist colleagues in Germany on a long-term basis. The invitation programme offers an opportunity to invite research award winners to conduct research in Germany once again.

The conferment of a research award is a unique, one-time distinction. Invitations to renewed research stays may be extended to award winners after completion of their initial stays in Germany. Invitations serve the purpose of allowing award winners and their colleagues in Germany to continue the collaborative work initiated during previous stays, to complete a joint research project or to pursue new joint research. Decisions on applications by the Alexander von Humboldt Foundation take into consideration the scientific or scholarly justification of the invitation and the availability of funds. Shorter visits that aim exclusively at collecting information and material or

participating in conferences in Germany may be supported by daily allowances.

Only scholars and scientists in Germany are entitled to make recommendations for invitations. They need not necessarily be the award winners' original hosts.

[Further details](#) are available on the Foundation's website.

2. 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.

3. 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 staff members. By visiting institutes of Humboldtians, members of the Humboldt delegation gain insight into the research situation in the countries in question. Information talks draw the attention of young scholars and scientists to the sponsorship opportunities offered by the 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 organising 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](#) is available on the Foundation's website.

4. 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. The Alexander von Humboldt Foundation welcomes research award winners' participation in the activities of Alumni Associations. There is a Humboldt Alumni Association in Germany, as well. [Addresses](#) may be downloaded from the Foundation's website.

5. Humboldt Network Online: Information on the Alexander von Humboldt Foundation's Website

The Alexander von Humboldt Foundation furnishes up-to-date information about its activities and programmes under the Internet address www.humboldt-foundation.de.

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

The service portal [My Humboldt](#) is a password-protected area that gives all Humboldtians direct access to the Alexander von Humboldt Foundation's database, thus enabling them to update their personal data (such as address changes), apply for funding and obtain current information about specialised fields and key research areas as well as contact data for Humboldtians throughout the world. Information on all scientists and scholars who have been or are being sponsored by the Alexander von Humboldt Foundation can be found and searched here. This access to current data is intended to facilitate contacts and cooperation with and within the Humboldt network across countries and disciplines. Part of this information is publicly accessible in the [Explore the Humboldt Network](#) section of the Foundation's website.

The service portal [My Humboldt](#) also allows users to upload and update their lists of publications. The database "Publications" contains bibliographical data of academic publications by Humboldtians resulting from sponsorship by the Alexander von Humboldt Foundation (from the year 2000 onwards). It also includes details of translations of German publications. The Alexander von Humboldt Foundation requests all Humboldtians to enter their publications there. The data are publicly accessible.

If you wish to connect with Humboldtians in the **USA**, you may also contact the offices of the American partner organisation of the Alexander von Humboldt Foundation in Washington, [American Friends of the Alexander von Humboldt Foundation](#).

6. Humboldt Life on the Alumniportal Deutschland: Social network for Humboldtians as well as German Alumni

On the **Alumniportal Deutschland** fellows and alumni of the Alexander von Humboldt Foundation are given the opportunity to network with each other and other Germany alumni throughout the world. The Alumniportal Deutschland is a free digital platform for people who have been affiliated with an institution in Germany or a German institution abroad for purposes of study, research, employment, training/continuing education, or language learning. Representatives of German universities, companies and organisations are also active on the Alumniportal Deutschland. In addition to current information on in the areas of science and research, career and German language and culture, the Alumniportal Deutschland offers an interactive community with virtual events, a job fair, digital learning opportunities and a mentoring option.

To register for the community, please visit
<https://community.alumniportal-deutschland.org/>

To the website: www.alumniportal-deutschland.org.

After registration the Alexander von Humboldt Foundation's exclusive group for Humboldtians – "Humboldt Life" – on the Alumniportal can be accessed by using the following link:

<https://community.alumniportal-deutschland.org/groups/67/feed>

Selected events of the Alexander von Humboldt Foundation will be also accompanied by content on the Alumniportal.

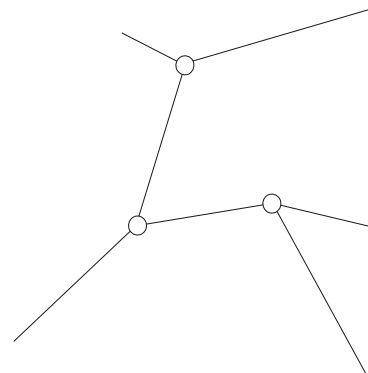


Alexander von
HUMBOLDT
STIFTUNG

Max Planck-Humboldt Research Award

- Regulations on the Use of Funds –

June 2023



Contents

Regulations on the Use of Funds (as of: June 2023)

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

Enclosure 1 “Agreements between the award winner and the host institution” form

Enclosure 2 “Fund request” form

Enclosure 3 “Report on the Use of Funds” form

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

I. The programme and its objective

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

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

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

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

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

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

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

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

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

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

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

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

The award winner is otherwise free to determine the contractual details concerning his/her personal income from the funding amount within the valid legal regulations as well as regulations with regard to collective bargaining

and salary law in agreement with the host institution. The level of remuneration taken from the funding amount (up to EUR 10,000 per month) must, however, not be exceeded.

The host institution in Germany receives a lump sum amounting to 20% as markup to the funding amount (administrative flat-rate). It can be used to cover any costs resulting from the use of existing and/or specifically acquired material or specifically created personnel infrastructure (e.g., general institute facilities, laboratories or workrooms, operating and maintenance costs, finance and personnel management and auditing). The administrative flat-rate is requested together with the funding amount by the award winner with the assistance of the host institution (see also Form, Enclosure 2).

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

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

The funds are paid in instalments by the Alexander von Humboldt Foundation. The first instalment is available on request (cf. Form, Enclosure 2) as soon as the recipient of the award has

- accepted the award by returning the written declaration of acceptance to the Alexander von Humboldt Foundation,
- submitted the signed "Agreements between the award winner and the host institution" (see also Form, Enclosure 1),
- submitted a project outline and financial plan,
- submitted the "Fund request" (see also Form, Enclosure 2) to the Alexander von Humboldt Foundation.

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

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

IV. Human and material resources

The award winner and the host institution come to a mutual agreement (cf. Form, Enclosure 1) on the procedure for employing staff during the funding period and on the regulations governing the awarding of assignments or conclusion of other contracts. The host institution acts as employer on behalf of the award winner. This status is based upon the local, standard legal

general conditions governing the use of public funds applicable at the host institution (especially with respect to labour, social security and collective bargaining law). The same applies to the use of material resources, particularly expenditure on travel and the awarding of assignments to third parties. The award winner may earmark part of the funding amount which the host institution may use to grant fellowships, particularly to guest researchers from abroad. The basis for determining the value of the fellowships should be the monthly instalments paid by the German Academic Exchange Service and the Alexander von Humboldt Foundation to graduate and post-doc fellows respectively.

V. Scientific equipment

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

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

VI. Taxation, social security and other levies

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

VII. Exploiting research results – publications, patents and licenses. Use of the Alexander von Humboldt Foundation's and the Max Planck Society's logos as well as the logo of the Max Planck-Humboldt Research Award

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

- In publications, an appropriate place must be chosen to state that funding has been provided by the Max Planck Society and the Alexander von Humboldt Foundation in the framework of the Max Planck-Humboldt Research Award endowed by the Federal Ministry of Education and Research.

Publications, stating the title and bibliographical details, must be entered in the publication list of the service portal [My Humboldt](#) on the Alexander von Humboldt Foundation's website.

- If award winners are interested in publishing research results in the fields of chemistry, physics, mathematics or informatics through the [German National Library of Science and Technology \(TIB\)](#) – Leibniz Information Centre for Science and Technology and University Library (www.tib.eu/en/), they can contact the TIB directly ([contact information and contact persons](#)). Any further questions may be directed to Dr.-Ing. Elzbieta Gabrys- Deutscher – elzbieta.gabrys@tib.eu

If it is planned to use the logos of the Alexander von Humboldt Foundation, the Max Planck Society and the Max Planck-Humboldt Research Award, the following needs to be observed:

- The use of all three logos in any kind of communication is subject to strict rules. The logos of the Alexander von Humboldt-Foundation and the Max Planck Society and their constituent parts are a trademarked name. The logo of the Max Planck-Humboldt Research Award is protected by copyright law. They may not be reproduced without obtaining the express written authorisation of the respective organisation in advance.
- The logo comprises two parts: the head of Alexander von Humboldt and the script nameplate. These elements jointly comprise the **inseparable** word/image trademark. The logo and its constituent parts may not be copied, altered or truncated or integrated in other logos. The logo of the Max Planck Society comprises the head of the Minerva as well as the

corresponding subtitle. The logo and its constituent parts may neither be copied nor altered. The logo is preferably used in green (MPG_Green). In addition, the following colors are to be used exclusively: grey (MPG_grey_dark), white and black. The use of other colors is not allowed.

- The logo of the Max Planck-Humboldt Research Award consists of the graphic element made up of dots and the associated title. The logo and its components may not be copied, modified, truncated or integrated into other logos.
- Use of the logo in the case of the Alexander von Humboldt Foundation is authorised in publications and other, in particular public, presentations (e.g., conference presentations) of research results that were produced in direct connection with sponsorship by the Alexander von Humboldt Foundation. For this purpose, the logo with the label “Unterstützt von/Supported by“ may be downloaded from the password-protected section via the log-in mask of the service portal [My Humboldt](#) in an electronic file format that conforms to the specific requirements for print.
- Use of the logo in the case of the Max Planck Society can be authorised in publications and other, in particular public, presentations (e.g. conference presentations) of research results that were produced in direct connection with sponsorship by the Max Planck-Humboldt Research Award. For this purpose, the use of the logo can be requested via email (address: bildredaktion@gv.mpg.de). It will then be provided in an electronic file format that conforms to the specific requirements for print, supplemented with the label “Unterstützt von/Supported by“.
- In the case of the Max Planck-Humboldt Research Award, permission to use the logo is deemed to have been granted if publications and all other public presentations (e.g., conference presentations) report on research results that have been generated in direct connection with funding by the Max Planck-Humboldt Research Award. For this purpose, the use of the logo must be requested by e-mail (address: mphf@gv.mpg.de). It will then be provided in an electronic file that meets the specific printing requirements.
- Any other uses of the logos require prior written permission from the Alexander von Humboldt Foundation and the Max Planck Society and must be requested in writing, stating the intended use of the logos.

The Alexander von Humboldt Foundation and the Max Planck Society consider it important that research results achieved in the framework of sponsorship are utilised. Commercially-utilisable results should be adequately protected (particularly by patents and utility models) and exploited:

- Research results potentially eligible for commercial exploitation must be

presented to the appropriate agencies, such as industry. If it seems recommendable to register a patent or similar legal protection for research results, it is essential, for legal reasons, to start proceedings **before** publishing the relevant results. The people to contact specialised in registering patents and legally protecting research results are patent agents ("Patentanwälte*Patentanwältinnen") and patent broking companies ("Patentverwertungsstellen/ -agenturen"). All related matters (legal questions, whom to contact about publication, registering patents etc.) must be clarified with the host institution directly.

The legal relationship between the award winner and the host institution is governed by the provisions of the German "Employees Invention Act", whereby the award winner should enjoy the same status as a professor in the legal context. A written agreement to this effect between the award winner and the host institution must be submitted to the Alexander von Humboldt Foundation (see also Form, Enclosure 1).

VIII. Reports on the use of funds and audits

By April 30th of each year, the award winner is required to submit a brief report on work carried out and results achieved in the preceding calendar year as well as a digital copy of the numerical (interim) report on the use of funds to the Alexander von Humboldt Foundation (see also Form, Enclosure 3). A detailed final report on work carried out and results achieved, and a digital copy of the numerical report on the use of (total) funds for the entire funding period must be submitted not later than four months after the funding period has come to an end. The receiving institution must retain the originals of the reports on the use of funds as well as the receipts for the period stated in its own regulations, for at least six years.

The report on work must present the results achieved in detail and go into the most important items in the numerical report on the use of funds. Reports on work may be passed on to the Alexander von Humboldt Foundation's and the Max Planck Society's peer reviewers. The Max Planck Society and the Alexander von Humboldt Foundation reserve the right to evaluate and publish these reports. As far as these reports contain information deserving special protection, e.g. relevant to patent law, this must be particularly indicated. In this respect, the Max Planck Society and the Alexander von Humboldt Foundation would come to an agreement with the award winner prior to a possible publication.

The award winner must certify that the funds have been used in accordance with their stated purpose as well as economically and prudently. The department authorised to represent the host institution in personnel and business matters must certify that the facts and figures in the report on the use of funds are correct. If the host institution has its own auditors, they must review and endorse that the

funds have been used in accordance with their stated purpose as well as economically and prudently. If the audit cannot be carried out at this institution, then an external auditor must be commissioned to conduct the audit. The costs for this may be deducted from the administrative flat-rate.

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

The Alexander von Humboldt Foundation, the Federal Ministry of Education and Research, as well as the Federal Audit Office or auditors authorised by them are entitled to request the submission of books, receipts and other business records and to verify the use of funds in local surveys at any time. The award winner and the host institution must give written approval for this procedure and submit it to the Alexander von Humboldt Foundation (see also Form, Enclosure 1).

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

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

By accepting the award, the award winners obligate themselves:

1. to notify the Alexander von Humboldt Foundation immediately if the intended use of funds is altered or no longer relevant. This also applies to anything more than just minor changes to the approved research project (see also III. "project outline");
2. when carrying out the research work in Germany to comply *in particular* with:
 - the rules of good scientific practice (see also Enclosure 4)
 - when planning and carrying out experiments on human subjects
 - a. the [World Medical Association Declaration of Helsinki](#) – Ethical Principles for Medical Research Involving Human Subjects in the revised version of October 2013;

- b. the [German Embryo Protection Act](#) (Gesetz zum Schutz von Embryonen, ESchG), as amended;
 - c. the [German Act Ensuring Protection of Embryos in Connection with the Importation and Use of Human Embryonic Stem Cells](#) (Gesetz zur Sicherstellung des Embryonenschutzes im Zusammenhang mit Einfuhr und Verwendung menschlicher embryonaler Stammzellen, StZG), as amended;
- when planning and carrying out experiments on animals, the regulations of the [German Animal Welfare Act](#) (Tierschutzgesetz, TierSchG) and the relevant implementing rules, as amended;
 - when planning and carrying out genetic engineering experiments, the regulations of the [German Genetic Engineering Act](#) (Gesetz zur Regelung der Gentechnik, GenTG) and the relevant implementing rules, as amended;
 - when planning and carrying out experiments relating to matters of biological diversity as covered by the [Nagoya Protocol](#):
 - a. [Regulation \(EU\) No 511/2014](#) on Compliance Measures for Users from the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization in the Union;
 - b. [Implementing Regulation \(EU\) 2015/1866](#) laying down detailed rules for the implementation of Regulation (EU) No 511/2014 as regards the register of collections, monitoring user compliance and best practices;

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

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

3. to inform the Alexander von Humboldt Foundation immediately of applications for or any further funding granted for the same purpose;

4. to abide by the rules on the use of the logos of the Alexander von Humboldt Foundation and the Max Planck Society (see also VII).

X. General regulations

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

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

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

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

provided that the amendments, while taking the interests of the Max Planck Society and the Alexander von Humboldt Foundation into account, are reasonable vis-à-vis the award winner. Amendments will be announced to the award winner in writing well in advance. The amendments are considered to have been approved if the award winner has not lodged an objection in writing within four weeks. In the event of an objection, the Alexander von Humboldt Foundation and the Max Planck Society reserve the right to cease funding within a reasonable period of time. The sole legal venue is Bonn/Germany. German law applies exclusively without conflicting rules.

(as of: June 2023)

MAX PLANCK
GESELLSCHAFT



Alexander von
HUMBOLDT
STIFTUNG

TRANSLATION (For completion please use the German version)

Max Planck-Humboldt-Research Award

Agreements between the award winner and the host institution

Award winner:

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

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

a) Purpose and administration of funds:

The funding amount is intended for carrying out the award winner's research at the host institution in Germany. The administrative flat-rate is intended for compensating the host institution for the resulting material and staff expenses. The host institution entrusted with the administration of funds has taken note of the Regulations on the Use of Funds enclosed in the award documents and will support the award winner to the best of its ability while observing these regulations. In addition, the following agreements have been concluded:

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

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

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

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

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

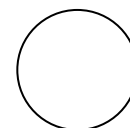
The Alexander von Humboldt Foundation, the Federal Ministry of Education and Research, as well as the Federal Audit Office or auditors authorised by them are entitled to request the submission of books, receipts and other business records and to verify the use of funds in local surveys at any time.

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

Place and date

Award winner's personal signature

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



Place and date

Name of signatory

Personal signature



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

Preisträger*in / Award winner:

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

Benötigte Mittel/ Funds required:

Jahr/Year	2023	2024	2025	2026	2027	2028	Gesamt/ Total
1. Personalmittel (Hinweis: Mittel zur Deckung des Lebensunterhaltes der Preisträgerin*des Preisträgers in Deutschland – max. 10.000,- EUR pro Monat oder 1/30 des Betrages pro Tag) / Human resources (Please note: funds to cover the award winner's living expenses in Germany – max. of 10,000 EUR per month or 1/30 of the amount per day)	EUR	EUR	EUR	EUR	EUR	EUR	EUR
2. Sachmittel / Material resources	EUR	EUR	EUR	EUR	EUR	EUR	EUR
3. Verwaltungspauschale (bis zu 20 % als Aufschlag auf den Förderbetrag) / Administrative flat-rate (up to 20 % as markup to the funding amount)	EUR	EUR	EUR	EUR	EUR	EUR	EUR
Summe/Total	EUR	EUR	EUR	EUR	EUR	EUR	EUR

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

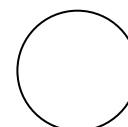
Kontoverbindung der mit der Verwaltung der Mittel betrauten Institution: / **Bank account of the institution entrusted with the administration of funds:**

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

Ort und Datum / Place and date

Eigenhändige Unterschrift der Preisträgerin*des Preisträgers
 Award winner's personal signature

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



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

Ort und Datum / Place and date

Name der*des Unterzeichnenden /
 Name of signatory

Eigenhändige Unterschrift / Personal signature

Max Planck-Humboldt Research Award**Report on the Use of Funds**

for the period from _____ to _____

Interim Report _____ Report on the Use of Funds – *Please indicate***Award winner:****Institution entrusted with the administration of funds:****Funding amount (total):****Administrative flat-rate (total):****Funding period (total):** _____ to _____**A. Report on work carried out and results achieved** (please attach as separate enclosure)**B. Numerical report for the report period from** _____ **to** _____ :

Cash balance at the beginning of the report period

*of these: funding amount**of these: administrative flat-rate*

Funding amount accrued during the report period

Administrative flat-rate accrued during the report period

Interest accrued during the report period

Total disposable funds during the report period

*of these: funding amount**of these: administrative flat-rate*

Expenses paid from the funds:

1. Human Resources

of these: personal income of the award winner

2. Material resources

2.1. Scientific equipment

Items with a procurement or production value of more than 800 EUR (excluding purchase tax) are included in the host institution's inventory. They are available to be used for scientific purposes as of the end of the funding period.

2.2. Travel expenses

2.3. Consumables/Other

3. Administrative flat-rateTotal expenditure during the report period

Cash balance at the end of the report period

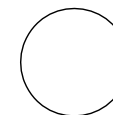
*of these: funding amount**of these: administrative flat-rate*

After submitting a digital copy of the report on the use of funds to the Alexander von Humboldt Foundation, the receipts as well as the original of the report on the use of funds will be retained by the institution entrusted with the administration of funds for the period stated in its regulations, for at least six years.

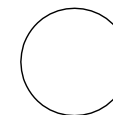
The report on work carried out and results achieved is enclosed. The regulations on the use of funds have been observed. The funds have been used economically and prudently.

Place and date_____
Award winner's signature

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

Designation and, if applicable, official stamp of the department authorised to represent the institution entrusted with the administration of funds in personnel and business matters_____
Place and date_____
Name of signatory_____
Personal signature

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

Designation and, if applicable, official stamp of the auditing body**Please indicate:**

Department of the institution entrusted with the administration of funds authorised to conduct internal audits

External auditor

Place and date_____
Name of signatory_____
Personal signature

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

1. Rules of good scientific practice

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

contributed to the conceptual design, formulation, analysis and interpretation of the data or findings, and the drafting of the manuscript, and have consented to its publication; so-called 'honorary authorship' is not permissible; third-party support is to be listed under acknowledgements.

2. Scientific or other malpractice

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

2.1.1. *Misrepresentation of facts* such as

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

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

- 2.1.2.1. unauthorised utilisation by presumption of authorship (plagiarism), exploitation of research approaches and ideas, in particular as a peer reviewer (theft of ideas);
- 2.1.2.2. presumption or unsubstantiated appropriation of scientific authorship or co-authorship;
- 2.1.2.3. misrepresentation of contents;
- 2.1.2.4. unauthorised publication and unauthorised granting of access to third parties prior to the publication of the work, the findings, the hypothesis, the teaching, or the research approach;
- 2.1.2.5. claiming authorship or co-authorship of others without their consent.

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

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

2.2. Scientific misconduct also comprises behaviour that entails a *shared responsibility* for the misconduct of others, in particular by active participation, joint knowledge of misrepresentations, co-authorship of falsified publications, or gross negligence of supervisory responsibilities.

2.3. For the purpose of the present rules, other misconduct is applicable if grave circumstances are discovered that challenge the personal aptitude of the individual sponsored to be a member (multiplier) of the global Alexander von Humboldt Foundation network.

3. Penalties

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

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

4. Procedures

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

- 4.1. If probable cause is brought to the attention of the Alexander von Humboldt Foundation, the suspected person must be notified of the incriminating facts and be given the opportunity to respond in writing within four weeks. Simultaneously, the implementation of a funding decision can be suspended temporarily until the issue is resolved (see paragraph 3.3.). Without their consent, the identity of the informant and the allegedly injured party will not be disclosed to the party concerned in this phase (whistleblower-protection).
- 4.2. In order to clarify the issue, the Alexander von Humboldt Foundation office is authorised to request oral or written statements by the concerned as well as third parties at any time.
- 4.3. If no response is received or if a response is examined and the suspicion persists, the Alexander von Humboldt Foundation will notify the party concerned, explicitly indicating the Alexander von Humboldt Foundation's penalty options as well as the right of the concerned party to remonstrate within four weeks.
- 4.4. If use is not made of the right to remonstrate, the Alexander von Humboldt Foundation may impose one of the measures listed above in paragraph 3.
- 4.5. If the remonstrations submitted by the party concerned fails to convince the Alexander von Humboldt Foundation, and, in particular, fails to refute the probable cause

plausibly, the Alexander von Humboldt Foundation may impose one of the above-mentioned penalties. Prior to making the decision, the Alexander von Humboldt Foundation may request an expert opinion on the existence of malpractice from the Research Ombudsman of the DFG or a comparable body affiliated with the host institution.

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

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

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