



Alexander von Humboldt
Stiftung/Foundation

The Philipp Schwartz Initiative

Programme Guidelines

(Last revised: December 2020)

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A. Terms and conditions for grants

As part of the Philipp Schwartz Initiative, the Alexander von Humboldt Foundation offers universities and certain other research institutions in Germany the financial means to host and sponsor threatened researchers through a research fellowship or contractual employment for which it provides fixed-sum financing.

The regulations governing grants provided through the Philipp Schwartz Initiative comprise (in the respective latest version):

- these Programme Guidelines;
- the Programme Information;
- the *Allgemeine Nebenbestimmungen des Auswärtigen Amts für die Projektförderung* (ANBest-P; Appendix 1);
- the *Besondere Nebenbestimmungen des Auswärtigen Amts für die Gewährung von Zuwendungen* (BNBest-AA; Appendix 2);
- for the Research Fellowship programme line: *Richtlinien des Auswärtigen Amts über die Förderung, Betreuung und Nachbetreuung von ausländischen Studierenden, Praktikanten, Graduierten und Wissenschaftlern* [Fellowship Guidelines of the Federal Foreign Office] (Appendix 3).

The German-language versions of the above-mentioned documents are binding. The English translations are convenience translations that are provided for information purposes only.

The approval and disbursement of funding is subject to the availability of budgetary funds.

B. Application by the host institution

The host institution is responsible for submitting a complete application that includes the following elements (please see the appendices to the Programme Information):

- cover sheet;
- the host institution's concept for creating a sustainable support infrastructure for threatened researchers; this requirement does not apply to institutions that were successful in a previous call for applications;
- application(s) for funding for a research fellowship or contractual employment, including proof that the researcher is threatened;
- in the Research Fellowship programme line: preliminary calculation of fellowship benefits;
- financing plan.

When applying, please indicate whether funding is to be provided through the Research Fellowship programme line or the Employment Contract programme line. The application must be signed by the head of the submitting institution (such as president, rector or – for non-university research institutions – director) and then sent electronically by the project manager to schwartz-initiative@avh.de. Electronic signatures will not be accepted. However, application forms that have been personally signed may be scanned and then transmitted electronically. In view of how vulnerable electronic communication can be, institutions are requested to protect applications with passwords. Passwords should be transmitted to the Alexander von

Humboldt Foundation by telephone or fax, but not via the same channel as the application itself.

C. Selection procedure

The decision on the approval of applications to be funded will be made by the Alexander von Humboldt Foundation's independent selection committee for the Philipp Schwartz Initiative, based on the application documents specified in section B.

D. Grant agreement

The grant will be provided in the form of fixed-sum financing in accordance with the *Allgemeine Nebenbestimmungen für Zuwendungen zur Projektförderung (ANBest-P)* [General Ancillary Conditions for project funding grants] in the latest version. When an application has been approved, a grant letter will be issued, together with an acceptance form which must be signed by the head of the host institution or an authorised representative and returned to the Alexander von Humboldt Foundation. The signed acceptance form is deemed to be the grant agreement.

E. Request for funds, disbursement and repayment

Once the Alexander von Humboldt Foundation is in receipt of the signed grant agreement, funds may be requested using the procedure and form (payment plan, see appendix of the Programme Information) designated for this purpose. When possible, arrangements are to be made to disburse the funds retroactively at the end of the respective quarter. If necessary, the disbursement of funds may be requested for the specific date on which they are scheduled to be spent. Holding funds beyond a period of six weeks after disbursement by the Alexander von Humboldt Foundation is not permitted (please see 1.4 and 8.5, ANBest-P).

The funds may be used only within the authorised period. Research fellowships or employment contracts that were approved during the first half of the year must commence on 1 July. For those research fellowships or employment contracts that were approved during the second half of the year, this date is 1 January of the following year. This is also the start of the approved funding period. Where there are valid reasons (especially when the individual is temporarily unable to leave their country of origin for reasons beyond their control), it may be possible, upon application, to postpone commencement for a limited period generally not to exceed 12 months.

Funds that have been received but are no longer required must be transferred back without undue delay to the Humboldt Foundation account specified in the grant agreement (regardless of the deadline set for the submission of the report on the use of funds). The financing plan must then be amended accordingly.

The flat-rate auxiliary funds available for host institutions in the amount of EUR 20,000 per hosted Philipp Schwartz Fellow will be disbursed upon request according to need as indicated on the payment plan. The recipient of these funds is obliged to use them in accordance with the provisions set forth in the Programme Guidelines,

and their precise use must be accounted for in accordance with the relevant regulations.

F. Report on the use of funds / Documentation

The report on the use of funds is to be prepared in accordance with the *Allgemeine Nebenbestimmungen für Zuwendungen zur Projektförderung* (ANBest-P) in its current version (Appendix 1). The following diverging or supplementary requirements additionally apply:

- The interim report (No. 6.1, second sentence, ANBest-P) must be submitted to the Alexander von Humboldt Foundation by 15 February of the following year at the latest.
- The final report on the use of (all) funds must be submitted to the Alexander von Humboldt Foundation three months after the end of the funding period at the latest.
- The following forms are to be used for this (please see the appendices to the Programme Information):
 - report;
 - numerical report including appropriate lists of receipts;
 - itemised list for each fellowship recipient.

The required documents containing all necessary signatures must be submitted in original by post (They may however be additionally sent by email to schwartz-initiative@avh.de if necessary in order to meet the deadline.). All relevant documentation related to sponsorship through the Philipp Schwartz Initiative must be retained by the funded institution for a period of six years after the end of the year in which the report on the use of funds is submitted for audit purposes.

G. Public relations activities

The institution must observe the following in its communication and PR activities:

- In dealings with fellowship recipients: "The funding shall constitute "Philipp Schwartz fellowships of the host institution X". This is unrelated to the Humboldt Research Fellowship programme, and inclusion within the Humboldt Network is not possible. The use of the Humboldt Foundation logo in correspondence with fellowship recipients is not foreseen either.
- The fellowship may be announced publicly only with the consent of the person or persons being sponsored.
- In dealings with the general public: "Within the framework of the Philipp Schwartz Initiative of the Alexander von Humboldt Foundation, funded by the Federal Foreign Office and private foundations, University X has been given the opportunity to award Philipp Schwartz fellowships to threatened individuals..."

H. Rules governing the award of fellowships

Application requirements, funding options and fellowship benefits are detailed in the Programme Information and in the regulations listed in section A.

The host institution will function as the fellowship-granting agency or employer for their Philipp Schwartz Fellows. It will also assume the entire administrative work in accordance with the procedures and regulations in place where the fellowship is

conducted. This also applies to all documents (e.g. fellowship confirmation letter, acceptance form, fellowship agreement or employment contract) and the handling of administrative matters (e.g. residence permit, health insurance, accommodation). The points specified under the section "Public relations activities" must be observed. In addition, the host institution is required to ensure that all communication with and about the fellowship recipients is secure in order to avoid endangering them.

I. Termination of the fellowship and obligation to return funds

Philipp Schwartz Fellows are to be obliged in writing by their host institutions to inform the respective institution immediately of any changes in the circumstances of relevance to the award or the amount of the fellowship. If important grounds arise, the agreement/contract with the fellow is to be terminated, the host institution is to discontinue disbursement of funding and benefits and recover any payments or benefits that have been wrongfully received and return them to the Alexander von Humboldt Foundation. The fellowship confirmation letter must contain a proviso to this effect. Please contact the Alexander von Humboldt Foundation immediately in the event that the sponsorship is interrupted, discontinued or not accepted or in the event that other circumstances of relevance to the grant have changed.