



Alexander von Humboldt
Stiftung / Foundation

Guidelines and Information for Feodor Lynen Research Fellows

| | |
|---|----------|
| PREFACE | 4 |
| A. FEODOR LYNEN RESEARCH FELLOWSHIP GUIDELINES | 6 |
| A.1 The Feodor Lynen Research Fellowship | 7 |
| A.1.1 Acceptance | 7 |
| A.1.2 Commencement | 8 |
| A.1.3. Duration | 8 |
| A.1.4. Extension | 8 |
| A.1.5 Calculation of monthly fellowship grant | 9 |
| A.1.5.1 Base fellowship | 10 |
| A.1.5.2 Foreign allowance | 10 |
| A.1.5.3 Family allowance for marital partners | 11 |
| A.1.5.4 Family allowance for children | 11 |
| A.1.5.4.1 Child allowance | 11 |
| A.1.5.4.2 Substitutional payment for child benefit according to the German Income Tax Act (<i>Einkommensteuergesetz, EStG</i>) . | 12 |
| A.1.5.5 Allowance for direct research costs | 13 |
| A.1.6 Host contribution | 13 |
| A.1.7 Additional earnings | 14 |
| A.1.8 Change of circumstances | 14 |
| A.1.9 Payment of fellowship amount | 15 |
| A.1.10 Taxes and deductions | 16 |
| A.1.10.1 In Germany | 16 |
| A.1.10.2 In the host country | 16 |
| A.1.11 Postponement | 17 |
| A.1.12 Absence from the host institute, Interruption | 18 |
| A.1.12.1 Absence from the host institute | 18 |
| A.1.12.2 Interruption | 18 |
| A.1.13 Change of host institution | 19 |
| A.1.14 End of fellowship | 20 |

| | |
|--|-----------|
| A.2 Events arranged by the Alexander von Humboldt Foundation: Network meeting | 20 |
| A.3 Additional benefits | 21 |
| A.3.1 Travel expenses | 21 |
| A.3.1.1 Travel to and from the host institution..... | 21 |
| A.3.1.2 Subsidy towards the cost of transporting specialist material..... | 22 |
| A.3.1.3 Relocation subsidy for return to Germany | 23 |
| A.3.2 Support for participation in language courses | 23 |
| A.3.3 Further benefits for families..... | 24 |
| A.3.3.1 Maternity leave: Extension of the research fellowship | 24 |
| A.3.3.2 Parenthood: Parental support..... | 24 |
| A.3.3.2.1 Extension of the research fellowship | 24 |
| A.3.3.2.2 Subsidy towards childcare costs | 25 |
| A.3.3.2.3 Interruption of the research fellowship | 26 |
| A.3.4 Reintegration subsidy..... | 27 |
| A.4 Feodor Lynen Return Fellowships..... | 27 |
| A.5 Exploiting research results – publications, patents and licenses. Use of the Alexander von Humboldt Foundation logo | 30 |
| A.6 Reports | 32 |
| A.7 Certificate | 32 |
| B. GENERAL CONDITIONS AND HINTS FOR THE RESEARCH STAY ABROAD | 33 |
| B.1 Maintaining contact with researchers in Germany..... | 33 |
| B.2 Entry visa | 33 |
| B.3 Insurance | 33 |
| B.3.1 Medical insurance | 34 |
| B.3.2 Nursing care insurance | 34 |
| B.3.3 Pension schemes..... | 34 |
| B.3.4 Liability/accident insurance | 35 |
| B.4 Notification of address at research location | 35 |
| B.5 Arriving at the host institution | 35 |
| C. ALUMNI SPONSORSHIP AND HUMBOLDT NETWORK | 36 |
| C.1 Alumni sponsorship | 36 |

| | |
|---|-----------|
| C.1.1 Research stays abroad for up to 3 months | 37 |
| C.1.2 Invitations to Members of the Humboldt Network to Germany | 37 |
| C.1.3 Printing subsidies for book publishing | 38 |
| C.2 Humboldt Network | 39 |
| C.2.1 Events arranged by the Alexander von Humboldt Foundation | 39 |
| C.2.1.1. Network Meeting | 39 |
| C.2.1.2. Annual meeting | 39 |
| C.2.2. Humboldt Academic Hosts..... | 40 |
| C.2.2.1. In Germany | 40 |
| C.2.2.2. Abroad | 40 |
| C.2.3. Humboldt Colloquia and Humboldt Kollegs | 41 |
| C.2.4. Humboldt alumni associations | 41 |
| C.2.5. Information on the Alexander von Humboldt Foundation's website | 42 |
| C.2.6. Humboldt Life..... | 43 |
| C.2.7. Alumniportal Deutschland: Social network for Germany alumni | 44 |
| C.2.8. Humboldt Kosmos..... | 44 |
| D. RULES OF GOOD SCIENTIFIC PRACTICE, LEGAL REGULATIONS, AND GENERAL OBLIGATIONS | 45 |
| E. GENERAL REGULATIONS | 48 |
| ANNEX: | 50 |
| RULES OF GOOD SCIENTIFIC PRACTICE, PROCEDURES, AND PENALTIES IN THE EVENT OF MALPRACTICE | 50 |

(as of November 2017)

PREFACE

The Alexander von Humboldt Foundation links Germany to the knowledge of the world. In global competition for the topmost experts, it offers 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 subsequent cooperations. For these cooperations, the Alexander von Humboldt Foundation offers numerous other kinds of sponsorship in the framework of the alumni programme. In this way, an active international network of more than 28,000 academics has grown up since the Foundation was founded in 1953.

Feodor Lynen Research Fellowships allow exceptionally highly qualified scientists and scholars from Germany to conduct research projects of their choice abroad. The programme is named after Feodor Lynen, a biochemist and Nobel Prize Laureate from Munich who during his tenure as president of the Alexander von Humboldt Foundation from 1975-1979 worked to make the international Humboldt Network accessible to young German researchers. Since 1979, well over 3,650 research fellowships have been funded through this programme.

The Feodor Lynen Research Fellowship enables cooperation with members of the Humboldt Network abroad. Apart from sponsoring international science, the Alexander von Humboldt Foundation aims to foster the development of lasting personal relationships and networks between researchers from all countries and disciplines, and to encourage its alumni to maintain ties with Germany. Events organised by the Alexander von Humboldt Foundation provide various opportunities to get together and network with other Humboldtians as well as with members of the Foundation's staff.

This brochure is intended as a guide for research fellows and their academic hosts, offering practical advice and explaining the rules of the programme. The Alexander von Humboldt Foundation is grateful for any suggestions which might improve or supplement this brochure.

I wish all research fellows and their hosts a successful academic collaboration and stimulating and pleasant experiences in their host countries. I would be pleased to welcome you to one of our events.

Bonn, November 2017

Dr. Enno Aufderheide
Secretary General of the
Alexander von Humboldt Foundation

A. FEODOR LYNEN RESEARCH FELLOWSHIP GUIDELINES

The Feodor Lynen programme of the Alexander von Humboldt Foundation (AvH) enables highly-qualified scientists and scholars from Germany to conduct research stays in cooperation with members of the Humboldt Network abroad (cf. C.2.2.2). The purpose of Feodor Lynen Research Fellowships is to carry out the proposed research abroad, chosen by the research fellows themselves, in cooperation with an academic host who must provide the necessary research facilities at the host institution abroad and act as a mentor during the research stay. The Alexander von Humboldt Foundation generally expects the host to contribute to financing the research fellowship.

Feodor Lynen Research Fellowships are granted to **postdoctoral** and **experienced researchers**:

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

Funding is available to researchers of all disciplines and for all foreign countries; the Alexander von Humboldt Foundation stipulates no quotas of any kind.

The Alexander von Humboldt Foundation finances the Feodor Lynen Programme from funds provided by the Federal Ministry of Education and Research. The payment of the fellowship amount and other benefits is subject to the availability of funds.

The following guidelines and information apply to all Feodor Lynen research fellows of the Alexander von Humboldt Foundation. They also apply, to the extent they may be applicable, to all research fellows selected by the Alexander von Humboldt Foundation for a research fellowship sponsored by the Japan Society for the Promotion of Science

as well as the Ministry of Science and Technology (MOST) Taiwan, who can take advantage of additional benefits in the Feodor Lynen Research Fellowship Programme (cf. A.1.5.3, A.1.5.4, A.3.1.1, A.3.3.2.2, A.3.4, A.4 and C.).

A.1 The Feodor Lynen Research Fellowship

The research fellowship is awarded in order to carry out the proposed research, which has been chosen by the research fellow and agreed upon with the host, at a host institute abroad; it provides means of subsistence during the research stay abroad. Therefore, residence abroad is required. In addition, research fellows may take on a limited amount of teaching work in order to obtain additional qualification for their academic career. The main focus of the stay must however be to independently carry out the proposed research. By accepting the Feodor Lynen Research Fellowship the research fellow commits him- or herself to the objective of the fellowship during the duration thereof. It is not possible to pursue any other full-time employment in the host country or elsewhere during the period sponsored by the Alexander von Humboldt Foundation (cf. A.1.7, A.1.12 and E.).

A.1.1 Acceptance

When the Alexander von Humboldt Foundation has granted the research fellowship, Feodor Lynen research fellows will receive a letter from the Foundation notifying them that the research fellowship has been awarded (grant letter). The grant documents include an acceptance form. The original of this form should be completed, signed, and returned to the Alexander von Humboldt Foundation as soon as possible, at the latest four weeks after receiving the grant documents. Applications for family benefits should be made in writing as soon as possible (after the password for the service portal has been received (see C.2.5). The application form can be found at <https://www.humboldt-foundation.de/web/lynen-familienleistungen.html>. Certified copies of marriage and birth certificates must be submitted to the Alexander von Humboldt Foundation (cf. A.1.5).

Please note that Feodor Lynen Research Fellowships are awarded subject to the condition that the fellow is neither in receipt of any other fellowship financed through German public funds at the time the award is granted nor takes up any such fellowship between then and the start of the funding period. Fellowships that were taken up in the past and have

already come to an end do not affect the Feodor Lynen Research Fellowship.

A.1.2 Commencement

The date the research stay begins is stated in the award letter and normally corresponds to the date proposed by the research fellow in his or her application. This date **must** be agreed with the academic host abroad before the declaration of acceptance is returned to the Alexander von Humboldt Foundation.

A.1.3. Duration

The Feodor Lynen Research Fellowship is approved by the relevant Alexander von Humboldt Foundation Selection Committee taking account of the period applied for by the candidate:

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

A.1.4. Extension

If the envisaged research proposal cannot be completed within the time available and the period the research fellowship was awarded for is shorter than the maximum sponsorship period, application may be made for an extension of the fellowship, stating the reasons. The maximum sponsorship period is 24 months (for post-doctoral researchers) or 18 months (for experienced researchers). Extensions may only be granted up to the maximum sponsorship period. Decisions on extensions are taken by the Alexander von Humboldt Foundation on the basis of scientific necessity and the funds at the Foundation's disposal. Extensions can neither be granted for work on a new research proposal nor for work on a new theme which has developed from the original research proposal. Applications for extension should be submitted to the Foundation 3 to 4 months prior to the end of the fellowship. Processing takes 6 to 8 weeks. If necessary, applications may be submitted for

individual months. Applications for long-term extensions cannot always be granted in full, even if the application is completely justified scientifically, because from our experience, the number of applications for extensions exceeds the Alexander von Humboldt Foundation's financial possibilities.

The application form is available on the website of the Alexander von Humboldt Foundation at:

<https://www.humboldt-foundation.de/web/lynen-verlaengerung.html>.

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

- A report on the research completed to date and research which the applicant plans to undertake during the extension period. This report should contain an outline of the results of the research conducted to date as well as the reasons for an extension;
- Documentation of the research conducted so far, e.g. off-prints of already published research results, manuscripts or abstracts of lectures, preprints etc.;
- A confidential statement by the academic host abroad. This should include confirmation of the host institution's financial contribution in the host country's national currency (the Alexander von Humboldt Foundation generally expects an increased host contribution during the extension period), an assessment of the conducted research and the reasons for the requested extension. It is the responsibility of the research fellow to request this statement, which should be sent by the academic host directly and confidentially to the Alexander von Humboldt Foundation.

Under certain circumstances, an extension of the research fellowship may also be applied for in the context of further benefits for families (cf. A.3.3).

A.1.5 Calculation of monthly fellowship grant

The monthly fellowship grant is calculated from a base fellowship, a foreign allowance, an allowance for direct project costs and, if applicable, a family allowance for the fellow's marital partner and children.

A.1.5.1 Base fellowship

The monthly base fellowship amounts to 1,750 EUR.

A.1.5.2 Foreign allowance

The research fellowship payments serve to cover the cost of living abroad. The monthly base fellowship is therefore supplemented by a foreign allowance, for which the regulations of the Federal Pay Act (*Bundesbesoldungsgesetz, BBesG*) in the applicable version is the basis. The foreign allowance (including purchasing power adjustments) can only be paid when the place of residence is abroad (§52 *BBesG*). In addition, the foreign allowance is calculated based on § 53 and § 55 *BBesG*). Retrospective changes are possible. Significant fluctuations in exchange rates and purchasing power may result in a reduction of the foreign allowance during the fellowship funding period. Any payments made in advance are therefore conditional. The foreign allowance is determined by the country and region in which the Feodor Lynen Research fellow is researching (pertinent, for example, in the case of longer research trips or multiple host institutions).

If research fellows are accompanied abroad by their marital partners and children for a period of at least three months (uninterrupted), the foreign allowance increases upon written application depending on the number of accompanying family members. The application form is available on the website of the Alexander von Humboldt Foundation at: <https://www.humboldt-foundation.de/web/lynen-familienleistungen.html>.

Research fellows whose marital partners remain in Germany during the fellowship period and have income exceeding the upper limit for “marginal” part-time employees (the so-called “Verdienstgrenze für geringfügig Beschäftigte”, currently 450 EUR gross per month) or are also the recipient of a German-funded research fellowship abroad receive the foreign allowance for single persons.

A cost-of-living supplement may be added to the foreign allowance in order to compensate for extreme fluctuations in foreign exchange rates, which lead to a significant loss in purchasing power. Whether and at what level a cost-of-living supplement is provided depends on the corresponding federal regulations. The amount is determined in a list published by the Federal Foreign Office at irregular intervals. If a cost-of-living supplement is granted, it is not listed separately in the calculation of the fellowship amount, but rather included in the foreign allowance sum.

Examples of the foreign allowance (including cost-of-living supplement, where applicable) for a stay in the USA, according to the applicable rates at the time of publication of these Guidelines:

- Single research fellow: 1,351 EUR
- Married research fellow accompanied abroad by marital partner: 1,855 EUR
- Married research fellow accompanied abroad by marital partner and one child: 2,091 EUR.

A.1.5.3 Family allowance for marital partners

Research fellows whose marital partners have no income or an income below the upper limit for “marginal” part-time employees (the so-called “Verdienstgrenze für geringfügig Beschäftigte”, currently 450 EUR gross per month) during the fellowship period are eligible for a monthly family allowance for marital partners of 205 EUR. An application for this allowance must be made in writing. This allowance is granted regardless of whether the marital partner accompanies the research fellow abroad. If the marital partner is the recipient of a parental allowance according to the Federal Parental Allowances and Parental Leave Act (*Bundeselterngeld- und Elternzeitgesetz, BEEG*), no family allowance for marital partners can be granted. JSPS (Japan) and MOST (Taiwan) research fellows are also eligible for application. The application form is available on the website of the Alexander von Humboldt Foundation at: <https://www.humboldt-foundation.de/web/lynen-familienleistungen.html>.

A.1.5.4 Family allowance for children

The family allowance for children comprises a child allowance and a substitutional payment equal to child benefit according to the German Income Tax Act (*Einkommensteuergesetz, EStG*) should the family not be entitled to receive it. The family allowance for children can also be granted for JSPS (Japan) and MOST (Taiwan) research fellows.

A.1.5.4.1 Child allowance

For children (section 2 par.1 clauses 1 and 2 of the German Child Benefit Act – *Bundeskindergeldgesetz, BKGG*) under the age of 18 an application may be made in writing for a flat-rate monthly child allowance amounting to 400 EUR a month for the first child and 100 EUR a month

for each additional child. For children born during the fellowship period, the full sum is paid for the month of the child's birth. Changes that result

in a recalculation of the child allowance take effect in the month in which the event occurs. The application form is available on the website of the Alexander von Humboldt Foundation at:

<https://www.humboldt-foundation.de/web/lynen-familienleistungen.html>.

Children of a fellow's life partner can only be taken into account if it can be credibly demonstrated that they already lived in the fellow's household prior to the commencement of the fellowship (e.g. documentation from the German residents' registration office).

A.1.5.4.2 Substitutional payment for child benefit according to the German Income Tax Act (*Einkommensteuergesetz, EStG*)

Application may be made in writing to the Alexander von Humboldt Foundation for a substitutional payment equal to child benefit according to the German Income Tax Law (*Einkommensteuergesetz, EStG*) if neither the fellow nor the other parent is eligible for child benefit according to the German Income Tax Law. The application form is available on the website of the Alexander von Humboldt Foundation at: <https://www.humboldt-foundation.de/web/lynen-familienleistungen.html>.

Feodor Lynen Research, JSPS (Japan) and MOST (Taiwan) Fellows who

- conduct research within the European Union (EU) and the European Economic Area (EEA) – Austria, Belgium, Bulgaria, Cyprus (Greek part), the Czech Republic, Denmark, Estonia, Finland, France, Great Britain, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, the Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, – and Switzerland,
- retain residency in Germany
- are not eligible for child benefit or similar benefits in their host country

must apply for statutory child benefit from the appropriate family benefits office (*Familienkasse*) in Germany. If this application is rejected, written application may be made to the Alexander von Humboldt Foundation for substitutional payment for the child benefit according to the German Income Tax Law. A copy of the rejection letter from the family benefits office must be submitted to the Alexander von Humboldt Foundation.

Feodor Lynen Research Fellows who

- conduct research in a host country outside the EU/EEA for a period of more than six months and
- do not retain residency in Germany

may submit a written application to the Alexander von Humboldt Foundation for a substitutional payment for the child benefit according to the German Income Tax Law. If the fellow was previously in receipt of child benefit, a copy of the letter from the family benefits office notifying the family that child benefit will no longer be paid must be included. For children born abroad during the fellowship, a certified copy of the birth certificate must be included with any application for compensation for child benefit according to the German Income Tax Law.

Applications for child benefit for civil servants and employees in the public sector who take leave for the duration of the funding period must be made to the department responsible for their remuneration. Should a research fellow be denied child benefit despite being eligible, an application for a substitute payment for the child benefit according to the German Income Tax Law may be made to the Alexander von Humboldt Foundation, including a copy of the rejection letter.

A.1.5.5 Allowance for direct research costs

Feodor Lynen research fellows receive a monthly allowance for direct research costs of 250 EUR. This allowance represents a contribution to expenses in relation to necessary consumables, research equipment and publications as well as travel to conferences and for research.

A detailed account of the use of these funds is not required. No further allowances are available for the aforementioned purposes.

A.1.6 Host contribution

The Alexander von Humboldt Foundation requests that the host abroad contributes to funding the monthly fellowship amount. The host contribution should cover approximately one third of the fellowship amount over the entire sponsorship period. The host contribution is waived for host institutions in developing and transition countries and in other selected countries (see list of countries at <https://www.humboldt-foundation.de/pls/web/docs/F29480/laenderliste.pdf>). An individual solution can be discussed with the Alexander von Humboldt Foundation

for hosts from other countries who have demonstrable difficulties in providing the host contribution.

The host's payments are made in the host's national currency and deducted from the monthly fellowship amount. The exchange rate at which the host contribution is deducted is the calculated average of the official exchange rate over the three months prior to the first payment from the Alexander von Humboldt Foundation, and remains applicable over the entire sponsorship period. If the fellowship is extended or if it is interrupted for more than three months, then the exchange rate is recalculated according to the same procedure.

A.1.7 Additional earnings

Feodor Lynen research fellows are obliged to inform the Alexander von Humboldt Foundation of any additional earnings (salary or income from employment or self-employment in Germany or abroad, German or foreign fellowships). Any additional earnings exceeding 600 EUR gross income a month will be deducted from the monthly fellowship grant. Any type of employment yielding additional earnings requires the prior approval of the Alexander von Humboldt Foundation. The Foundation will review whether the secondary employment endangers the objective of the fellowship (cf. A.1 and A.1.12); the Alexander von Humboldt Foundation reserves the right to terminate or suspend the fellowship if this is found to be the case.

Income resulting from a previous or ongoing public or private employment contract will not be deducted from the monthly fellowship grant if the contiguous funded stays abroad do not exceed a period of six months in each case.

Feodor Lynen research fellows may not accept additional fellowships financed through German public funds.

A.1.8 Change of circumstances

Feodor Lynen research fellows are required to inform the Alexander von Humboldt Foundation immediately in writing of any changes to their circumstances that may be relevant to the calculation of their monthly fellowship amount. These include e.g. marriages, birth of children, divorces, deaths, changes to periods of stays, additional earnings, or changes to the agreed host contribution. These also include planned research stays of more than 14 days at institutions other than the host

institution, for which the academic host's approval and the authorization by the Alexander von Humboldt Foundation is required (cf. A.1.12 and E.).

A.1.9 Payment of fellowship amount

The fellowship payments from the Alexander von Humboldt Foundation are made as advance payments in EUR into the German bank account of the Feodor Lynen research fellow, minus the host contribution, which is paid directly in the host country in the host country's national currency. The first fellowship payment is made at the beginning of the sponsorship period and covers the fellowship amount for the first two months. The following payments are made monthly on the first of the month.

On principle, Feodor Lynen fellows are not entitled to receive monthly fellowship payments if they are absent from their host institution for a total of more than 14 days (continuous or accumulative) during the sponsorship period. In such cases, the Alexander von Humboldt Foundation reserves the right to reduce the fellowship payments. Attendance at conferences and research trips as well as visits to archives and libraries etc. that are essential for carrying out the proposed research and have been coordinated with the academic host, as well as journeys in the context of a reintegration allowance are excluded (cf. A.1.12.1).

At the beginning of the Feodor Lynen Research Fellowship – i.e. in the first month – fellows are only entitled to the first fellowship payment if they arrive by the 15th (or the next working day) of the month. Fellows who arrive after this date are not entitled to the fellowship amount for that month. In the final month of the research fellowship, fellows must be present until at least the 15th of the month. Fellows who depart before this date are not entitled to the fellowship amount for that month.

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

On principle, Feodor Lynen research fellows are not entitled to the monthly fellowship payments if they are absent from the host institution for a total of more than 5 days (continuous or accumulative) during the respective short research visit. In such cases, the Alexander von Humboldt Foundation reserves the right to reduce the amount of the fellowship payments. Attendance at conferences and research trips as well as visits to archives and libraries etc., essential for carrying out the research project and coordinated with the academic host are excluded (cf. A.1.12.1).

At the beginning of their respective research stay – i.e. in the first month – fellows are entitled to the first fellowship payment only when arriving five days after the beginning of the sponsorship period (or the next working day) at the latest. Fellows who arrive after this date are not entitled to the fellowship amount for that month. In the final month of the respective sponsorship period, fellows must be present until no less than five days before the end of the sponsorship period. Fellows who depart before this date are not entitled to payment of the fellowship for that month.

The above also applies to any additional benefits granted within the framework of the Feodor Lynen Research Fellowships (*foreign allowance, allowance for direct project costs, family allowances for marital partners and children*).

A.1.10 Taxes and deductions

Feodor Lynen research fellows are personally responsible for all matters relating to their taxation; they are required to ascertain and meet any tax liabilities that may arise.

A.1.10.1 In Germany

As per section 3 (44) of the German Income Tax Act (§3 Nr. 44 des *Einkommensteuergesetz, EStG*), Feodor Lynen Research Fellowships are tax-free in Germany. They are not subject to German social security contributions.

A.1.10.2 In the host country

Feodor Lynen research fellows are required to ensure as far as possible that they meet the requirements for tax exemption or a tax refund in their host country. If they are unable to secure a tax exemption or tax refund for their grant, they must inform the Alexander von Humboldt Foundation immediately. A frequent requirement for tax exemption in the host country is that the fellow proves that he or she remains a legal resident in Germany during the sponsorship period.

Research fellows whose host country is the USA must conduct their research stays on a J1 visa in order to qualify for tax-exempt status or a tax refund. If a fellow intends to apply for a different visa, the issue of a

tax refund must be clarified in advance with the Alexander von Humboldt Foundation. Otherwise, any tax on the host contribution must be paid by the research fellow him- or herself.

In the USA, only holders of a J1 visa belong to the group of exchange scientists who can be exempted from federal tax for a period of up to two years. If this two-year period is exceeded because the Feodor Lynen research fellow spends time in the USA before the commencement of the sponsorship period or remains in the USA after completing the Feodor Lynen Research Fellowship, the Alexander von Humboldt Foundation is unable to cover any tax demands that arise retrospectively, even for the funding period.

A.1.11 Postponement

Feodor Lynen Research Fellowships may neither be postponed for an indefinite period of time nor without compelling reason.

If a fellow is unable to begin the Feodor Lynen Research Fellowship on the date originally intended, then he or she is requested to notify the Alexander von Humboldt Foundation immediately so that a new date can be arranged. It is essential that the new date be agreed in consultation with the academic host and the host institute abroad; the Alexander von Humboldt Foundation's approval is dependent on the agreement of the academic host and the Foundation's budget situation. The research fellow must also in consultation with the academic host ensure that the realization of the research proposal submitted with the application is not endangered by the postponement.

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

In exceptional cases, *long-term* postponements (usually no more than 24 months) may be possible. A decision on long-term postponements is dependent on a new research outline coordinated with the academic host, proof of further academic qualifications, the research fellow having reached a certain career stage (date of doctorate) and the Foundation's financial planning.

It is generally **not** possible to postpone a Feodor Lynen Research Fellowship in order to take advantage of another fellowship.

A.1.12 Absence from the host institute, Interruption

A.1.12.1 Absence from the host institute

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

The Alexander von Humboldt Foundation expects fellows to pursue their academic research in the host country for the duration of the Feodor Lynen Research Fellowship and not spend more than 14 days (consecutively or in total) away from the host institution. The Alexander von Humboldt Foundation must be informed immediately in writing of any circumstances (including illness) that require a longer absence from the host institution. Prolonged periods of absence from the host institution require the approval of both the academic host and the Alexander von Humboldt Foundation.

A.1.12.2 Interruption

The Feodor Lynen Research Fellowship – and thus payment of the monthly fellowship amount – will be discontinued in case of

- prolonged periods of time spent outside the host country (more than 14 days or in the case of an experienced researcher's stay of less than 6 months – more than 5 days),
- absence from the host institution not approved by the Alexander von Humboldt Foundation and
- prolonged illness.

If it should be necessary to interrupt a research stay for other reasons (cf. A.3.3.2.3), a written application (no specific form required) must be made to the Alexander von Humboldt Foundation in advance stating the reasons. The application must include written approval from the academic host.

The Alexander von Humboldt Foundation is interested in keeping interruptions in research fellowships *as short-term as possible* (max. 12 months). If the fellowship is split into several partial stays, no more than 36 months may elapse between the beginning of the first stay and the end of the last stay abroad (cf. A.1.3). A decision on a long-term interruption is dependent on a new research outline coordinated with the academic host, proof of further academic qualifications, the research fellow having reached a certain career stage (date of doctorate) and the financial planning of the Alexander von Humboldt Foundation. An interruption of the fellowship in order to take advantage of another fellowship is usually **not** possible.

Feodor Lynen fellows are not entitled to the monthly fellowship amount if they are absent from the host institution abroad for more than 14 days (consecutively or accumulative) during the sponsorship period. The Alexander von Humboldt Foundation reserves the right to reduce the fellowship payments in such cases.

Attendance at conferences, research trips, visits to archives and libraries etc. that are essential for carrying out the proposed research and are coordinated with the academic host as well as journeys as part of a reintegration allowance, do not count as absences (cf. A.1.9).

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

Feodor Lynen fellows are not entitled to the monthly fellowship amount if they are absent from the host institution abroad for more than 5 days (consecutively or accumulative) during the sponsorship period. The Alexander von Humboldt Foundation reserves the right to reduce the fellowship payments in such cases. Attendance at conferences and research trips as well as visits to archives and libraries etc. that are essential for carrying out the proposed research, do not count as absences (cf. A.1.9).

The above also applies to additional benefits within the framework of the Feodor Lynen Research Fellowships (e.g. *foreign allowance, allowance for direct project costs, family allowances for marital partners and children*).

A.1.13 Change of host institution

Transfer from one university or host institute to another is only possible in exceptional cases if there are important professional or personal

reasons for doing so. Detailed applications to the Alexander von Humboldt Foundation for transfer must include the written approval of the current host, confirmation that research facilities will be made available by the future academic host, and a statement from the future academic host on the research proposal. It should, however, be noted that a change of host institute may lead to considerable delay and expense caused by searching for accommodation, moving, re-registering etc.

The Alexander von Humboldt Foundation expects in the case of a transfer to a new host institute that the new academic host will contribute the originally agreed to amount to the monthly fellowship.

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

A.1.14 End of fellowship

The research fellowship ends with the end of the sponsorship period as defined in the award letter, unless it is extended in a timely fashion or terminated early by the fellow or the Alexander von Humboldt Foundation (cf. E.).

A.2 Events arranged by the Alexander von Humboldt Foundation: Network meeting

The Alexander von Humboldt Foundation invites Feodor Lynen, JSPS and MOST (Taiwan) research fellows to two network meetings in Germany – one before the commencement of their sponsorship period and one after their return to Germany. The network meetings focus on enabling departing and returning research fellows and staff of the Alexander von Humboldt Foundation to exchange experiences. Details relating to the period abroad can be discussed in working groups. The network meeting generally also offers the opportunity to meet foreign research fellows of the Alexander von Humboldt Foundation who are conducting research in Germany. Groups for specific disciplines allow fellows to gain insight into the research of other research fellows and make further academic contacts.

A.3 Additional benefits

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

- Travel expenses (see A.3.1)
- Support for participation in language courses (see A.3.2)
- Additional family support (see A.3.3)
- Reintegration allowance (see A.3.4).

Usually, these additional benefits can only be granted if the Alexander von Humboldt Foundation has been informed in good time and/or applications have been submitted **in advance**. The granting of additional benefits is subject to the availability of budgetary funds.

A.3.1 Travel expenses

A.3.1.1 Travel to and from the host institution

The Alexander von Humboldt Foundation will grant Feodor Lynen research fellows a single lump sum to cover return travel expenses to their host country. A list of lump sums for travel, organised according to host countries and sponsorship periods, is included in the grant documents. The list is also available on the website of the Alexander von Humboldt Foundation at:

<https://www.humboldt-foundation.de/web/support-abroad.html> .

The sum valid at the time the research fellowship is awarded will be transferred with the first fellowship payment. Research fellows who travel to their host country from a third country may apply to the Alexander von Humboldt Foundation in writing for an adequate travel allowance (no specific form required).

The lump sum for travel expenses will only be granted to research fellows who have not resided in the host country for more than 3 months prior to the commencement of the sponsorship period. If that criterion has not been met, a lump sum for travel will be granted at half the standard rate in the final month of the fellowship, if the fellow returns to Germany within six months of the end of the sponsorship period. The Alexander von Humboldt Foundation can only grant the lump sum for travel expenses to and from the host country if they are not borne by another institution. If the research fellowship is interrupted (cf. A.1.12),

the Alexander von Humboldt Foundation cannot grant a second lump sum for travel.

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

Written application for travel expenses may be made for marital partners and children if they accompany the research fellow to the host country for an uninterrupted period of at least six months. For marital partners, the Alexander von Humboldt Foundation grants a one-time lump sum for travel expenses according to the list applicable for research fellows. For children (under 18 years of age) the Alexander von Humboldt Foundation provides up to 10% of the applicable lump sum for travel expenses up to the age of one, 50% up to the age of twelve and 80% of the applicable lump sum for ages 13 and over. Even in the case of research fellowships approved for stays divided up into as many as three blocks (experienced researchers), travel expenses for accompanying marital partners and children can only be covered once. JSPS and MOST (Taiwan) research fellows may also apply. The application form is available on the website of the Alexander von Humboldt Foundation at: <https://www.humboldt-foundation.de/web/lynen-familienleistungen.html>.

Travel expenses will not be paid in the context of alumni programmes (cf. C.1.1).

A.3.1.2 Subsidy towards the cost of transporting specialist material

The Alexander von Humboldt Foundation may grant a subsidy for transporting specialist material that is required to carry out the proposed research abroad. A written application (no specific form required) including the original proof of costs should be made to the Alexander von Humboldt Foundation at the commencement and/or end of the fellowship. The Foundation may reimburse up to 85% of the invoiced costs, up to a sum of 500 EUR. A subsidy for return transport can only be granted if the fellow returns to Germany within six months of the end of the sponsorship period. An application must be made within 3 months of the beginning of the fellowship and/or six months of the end of the fellowship period. Fellows who are in receipt of a relocation subsidy cannot apply for this subsidy (see A.3.1.3).

A.3.1.3 Relocation subsidy for return to Germany

The Alexander von Humboldt Foundation may grant a lump sum relocation subsidy when the fellow returns to Germany if the duration of the sponsorship period was 24 months without interruption. A written application may be made if the research fellow returns to Germany within three months of the end of the fellowship or returns to Germany after a stay funded by the host which immediately follows the fellowship and lasts no more than six months. The required application form is available from the Alexander von Humboldt Foundation on request. Relocation subsidies can only be requested for relocation from the host country to Germany. A subsidy is only provided by the Alexander von Humboldt Foundation if the relocation costs are not covered by another institution. An application must be made within 6 months of the end of the fellowship period. The lump-sum subsidy amounts to 1,000 EUR when returning from a non-European country, or 500 EUR when returning from a European country.

A country list for Europe can be found at https://www.humboldt-foundation.de/pls/web/docs/F25701/europa_laenderliste.pdf.

For marital partners who accompany the research fellow abroad for more than six months, the relocation lump sum increases by 500 EUR when returning from a non-European country and by 250 EUR when returning from a European country. The lump sum increases by 250 EUR per child who has accompanied the fellow abroad for more than six months.

A.3.2 Support for participation in language courses

The Alexander von Humboldt Foundation may grant upon written application (no specific form required) an allowance to fund participation in language courses to enhance fellows' skills in rare or difficult languages required for their stay abroad. These language courses can be taken in Germany or in the host country. Applications must be submitted to the Alexander von Humboldt Foundation prior to commencement of the language course (stating the duration, number of lessons and cost of the course). The Alexander von Humboldt Foundation expects fellows to attend these language courses on a regular basis. In the event of absence from lessons, research fellows may be required to refund course fees. Language courses for accompanying family members cannot be funded.

A.3.3 Further benefits for families

A.3.3.1 Maternity leave: Extension of the research fellowship

If a baby is born to a research fellow during the sponsorship period, the mother may submit a written application to extend the period granted for sponsorship by up to 3 months, in line with statutory maternity rights. It is also possible to extend the sponsorship period if the research fellowship comes to an end during statutory maternity leave (usually 6 weeks prior to and 8 weeks after birth). A medical certificate confirming the pregnancy and stating the expected date of birth as well as the written approval of the academic host are required to process this application. A certified copy of the birth certificate must be submitted after the child is born. The application form is available on the Alexander von Humboldt Foundation's website at: <https://www.humboldt-foundation.de/web/lynen-familienleistungen.html>.

An extension in line with the statutory maternity rights must be taken immediately following the current sponsorship period.

A.3.3.2 Parenthood: Parental support

Feodor Lynen research fellows who are accompanied abroad by at least one child under the age of 12 can receive parental support on written application. This support is available either in the form of an extension of the research fellowship or in the form of reimbursement for childcare costs. It is possible to combine both forms of parental support. The application form is available on the website Alexander von Humboldt Foundation's website at: <https://www.humboldt-foundation.de/web/lynen-familienleistungen.html>.

A.3.3.2.1 Extension of the research fellowship

Written application may be made to extend the Feodor Lynen Research Fellowship by up to 12 months if at least one child under the age of twelve when the fellowship begins (for research stays that are divided up into blocks: when the block begins) accompanies the research fellow abroad during the sponsorship period. This also applies if the first child is born during the sponsorship period. In the event of a pregnancy during the sponsorship period, the research fellow is entitled to an extension if an entitlement to maternity protection according to the German Maternity

Protection Act as amended on 20 June 2002 would begin during the sponsorship period. The application form is available on the website of the Alexander von Humboldt Foundation at: <https://www.humboldt-foundation.de/web/lynen-familienleistungen.html>.

For further children for whose birth the research fellow would be entitled to maternity protection during the sponsorship period, research fellows have the option of extending the sponsorship period by a further three months (corresponding to statutory maternity protection) (cf. A.3.3.1).

If the research fellowship was granted for a sponsorship period of less than 12 months, the extension period may generally not exceed the granted sponsorship period.

The academic host's confirmation of research facilities is required for an extension of the research fellowship to be granted.

A.3.3.2.2 Subsidy towards childcare costs

Alternatively to requesting an extension of a Feodor Lynen Research Fellowship, written application may be made for a subsidy towards childcare costs. This subsidy may amount to at most the corresponding monthly base fellowship grant for each month that an extension is not requested. Exchanging extension months for a subsidy towards childcare costs can be handled flexibly. It is possible, for example, for an extension of the fellowship by five months and a supplement for childcare costs amounting to the base fellowship grant for seven months to be granted.

JSPS and MOST (Taiwan) research fellows, who are accompanied abroad by at least one child under the age of 12 when the fellowship begins (for research stays divided into blocks: when the block begins), are also eligible for application. The subsidy towards childcare costs can be granted up to at most the applicable monthly base fellowship (cf. A.1.5.1) for twelve months.

For stays in countries where the cost of professional childcare is above average (for example in the USA), higher costs than the above-mentioned base fellowship rate may be granted in exceptional and well-founded individual cases. However, the research fellow must in these cases contribute 50 percent of the costs that exceed the base fellowship grant.

Childcare costs must be demonstrated by submitting original invoices and copies of proofs of payment. Reimbursable costs include:

- Costs for kindergarten, day care centre, day nursery or costs of child minders;
- Fees for international schools at the fellowship location;
- the employment of childcare workers, nursery nurses and paediatric nurses as well as for household help insofar as they care for a child;
- Babysitters and au pairs;
- Homework supervision for the child.

Not reimbursable are:

- Costs for teaching materials and tutoring;
- Costs for teaching of special skills (e.g. music lessons, computer courses) or for
- Sports, other leisure pursuits or memberships in clubs;
- Allowance for food.

Expenses for family members (e.g. grandparents, siblings) cannot be reimbursed.

After the first application has been made using the “Family Allowances” application form at <https://www.humboldt-foundation.de/web/lynen-familienleistungen.html>, applications for further reimbursement of childcare costs may be made at any time and – insofar as the maximum subsidy is not exceeded – as frequently as necessary during the sponsorship period using the form “*Kinderbetreuungskostenzuschuss*”. Originals of the invoices and copies of proofs of payment must be submitted to the Alexander von Humboldt Foundation together with the form.

If individual invoices or proofs of payment can only be submitted after the end of the sponsorship period, the application for a childcare subsidy must be made before the end of the sponsorship period and the documents submitted as soon as possible thereafter.

A.3.3.2.3 Interruption of the research fellowship

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

A.3.4 Reintegration subsidy

The Alexander von Humboldt Foundation aims to help Feodor Lynen, JSPS and MOST (Taiwan) research fellows reintegrate in Germany after their return from abroad. In the second half of their fellowship period, research fellows who have not divided their stay abroad into several blocks may apply for a reintegration allowance in the form of a subsidy towards the travel expenses for invitations to job interviews or introductory lectures to potential employers in Germany. Their travel plans must be coordinated with their academic hosts, who are required to send their statements directly to the Alexander von Humboldt Foundation. The duration of the journey should not exceed 14 days. Travel expenses within Germany cannot be reimbursed.

Applications for reintegration subsidies should include the following documents:

- Reasons for the application,
- Letter of invitation from the potential employer,
- A summary of the expected road, rail or air travel costs with an explanation of measures taken to ensure that the selected travel option is the most economical (e.g. list of prices of other possible travel options),
- Statement from the academic host.

The application must be made **before the start of the trip**. Processing generally takes four weeks. If the application is granted, the actual road, rail or air travel costs must be proven through suitable documentation after the trip. In general, a copy of the booking confirmation (if the costs are not apparent from the travel documents) and a copy of the travel documents (ticket, boarding pass) must be submitted.

The subsidy will usually amount to 85% of the accepted and documented road, rail or air travel costs.

A.4 Feodor Lynen Return Fellowships

In order to enable the continuing cooperation between the members of the Humboldt Network and Feodor Lynen as well as JSPS and MOST (Taiwan) research fellows after their return from abroad the Alexander von Humboldt Foundation can award Feodor Lynen Return Fellowships if corresponding funds are available. These fellowships primarily allow fellows to continue cooperation with their hosts abroad in association

with a research institution in Germany. The Alexander von Humboldt Foundation expects the research fellows to invite the former host to visit the institute with which they are affiliated in Germany within the framework of the Humboldt Network Sponsorship (cf. C.1.2). In addition, they should be willing to act as Campus Advisors and hosts for the foreign guest researchers sponsored by the Alexander von Humboldt Foundation at the institute with which they are affiliated in Germany.

Eligible to apply are Feodor Lynen, JSPS and MOST (Taiwan) research fellows who have spent a sponsorship period of more than six months (uninterrupted) abroad. Applications for return fellowships must be made no later than six months after completing the initial stay abroad sponsored by the Alexander von Humboldt Foundation and the return fellowship must commence no later than twelve months after completing the initial research stay. The application form and further information is available on the website of the Alexander von Humboldt Foundation at: <https://www.humboldt-foundation.de/web/lynen-rueckkehrstipendium.html>.

Return fellowships are granted for a duration of up to twelve months. The sponsorship period ends as soon as the research fellow finds a position or alternative source of funding (including payments from the *Bundesagentur für Arbeit*) in Germany or abroad, of which the Alexander von Humboldt Foundation must immediately be informed.

The monthly fellowship amount is 3,000 EUR. The Alexander von Humboldt Foundation can pay research fellows, their marital partners, and minors (below the age of 18) a subsidy of EUR 50 per person per month towards the cost of medical and liability insurance during the sponsorship period. The subsidy is automatically paid to research fellows together with the monthly fellowship payments. Subsidies for family members are granted on written application. Written application may further be made for a family allowance for marital partners of 276 EUR monthly and a child payment of 400 EUR a month for the first child and 100 EUR a month for each additional child. The application form is available on the website of the Alexander von Humboldt Foundation at: <https://www.humboldt-foundation.de/web/lynen-rueckkehr-familienleistungen.html>.

Marital partners' earnings that exceed the upper limit for "marginal" part-time employment (the so-called "Verdienstgrenze für geringfügig Beschäftigte", currently 450 EUR gross per month) are deducted from the family allowance for marital partners.

During the return fellowship, research fellows receive a mobility allowance of EUR 100 per month with each fellowship payment. The

mobility allowance constitutes a supplement for expenses in connection with necessary conference attendance and/or research travel, archive and library visits, etc. in Germany and abroad. Additional travel and/or conference allowances cannot be granted. All travel plans should always be coordinated with the receiving institution.

Research fellows are not entitled to the monthly fellowship amount if they are absent from the receiving institution in Germany for more than 14 days (consecutively or accumulative) during the sponsorship period. The Alexander von Humboldt Foundation reserves the right to reduce the fellowship payments in such cases. Attendance at conferences and research trips as well as visits to archives and libraries etc. that are essential for carrying out the proposed research and are coordinated with the academic host as well as journeys in the context of a reintegration allowance are excluded (see A.1.12.1).

At the beginning of the return fellowship – i.e. in the first month – research fellows are only entitled to the first fellowship payment only when arriving by the 15th of the month (or the next working day). Research fellows who arrive later are not entitled to the fellowship amount for that month. In the final month of the return fellowship, research fellows must be present until at least the 15th of the month. Research fellows who depart earlier are not entitled to the fellowship amount for that month.

Budget allowing, the Alexander von Humboldt Foundation is able to grant a subsidy towards research costs on request from a representative of the receiving institution in Germany during the return fellowship. The subsidy is intended as a contribution to cover research-related costs, including administrative costs directly connected to from the research being carried out. The subsidy amounts to 800 EUR monthly (for research in the natural and engineering sciences) or 500 EUR monthly (for research in the humanities and social sciences). Before the sponsorship period begins, representatives of the receiving institution will receive a form for the purpose of informing the Alexander von Humboldt Foundation of the receiving institution's relevant bank account.

No additional allowances can be granted.

An extension of the Feodor Lynen Return Fellowship is not possible.

Additional earnings exceeding the upper limit for “marginal” part-time employees (the so-called “Verdienstgrenze für geringfügige Beschäftigte”, currently EUR 450 gross per month) will be offset against the instalment of the fellowship. They require the prior approval of the Alexander von Humboldt Foundation.

A.5 Exploiting research results – publications, patents and licenses. Use of the Alexander von Humboldt Foundation logo

The Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship be published. In publications and all other, in particular all public presentations, appropriate reference should be made to the funding provided by the Alexander von Humboldt Foundation:

- In publications, an appropriate place must be chosen to state that funding has been provided by the Alexander von Humboldt Foundation.
- Publications, stating the title and bibliographical details, must be entered in the database “Bibliographia Humboldtiana” of the service portal “My Humboldt” on the Alexander von Humboldt Foundation’s website:
<https://www.humboldt-foundation.de/web/my-humboldt.html>. They can also be entered via Humboldt Life: <https://www.humboldt-life.de> (cf. C.2.6).
- If research fellows are interested in publishing research results in the fields of chemistry, physics, mathematics or informatics through the German National Library of Science and Technology – German Research Reports (TIB), he or she can contact the TIB directly:

Postal address

for letters:

Technische
Informationsbibliothek
Deutsche Forschungsberichte
Postfach 6080
30060 Hannover

for parcels:

Technische
Informationsbibliothek
Deutsche Forschungsberichte
Welfengarten 1B
30167 Hannover

Email: dtf-edok@tib.uni-hannover.de

Any further questions may be directed to Dr. Elzbieta Gabrys-Deutscher – Elzbieta.Gabrys@tib.uni-hannover.de.

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

- The use of the Alexander von Humboldt Foundation logo in any kind of communication is subject to strict rules. The logo and its constituent parts are a trademarked name and may not be reproduced without obtaining the express written authorisation of the

Foundation in advance. The logo comprises three parts: the head of Alexander von Humboldt, the script nameplate and the bilingual addition “Stiftung/Foundation”. These elements jointly comprise the **inseparable** word/image trademark. The logo and its constituent parts may not be copied, altered, truncated or integrated into other logos.

- Use of the logo is authorised in publications and other, in particular public, presentations (e.g. conference presentations) of research results that were produced in direct connection with sponsorship by the Alexander von Humboldt Foundation. For this purpose, the logo with the label “Unterstützt von/Supported by” may be downloaded from the password-protected section of the service portal (cf. C.2.5) in an electronic file format that conforms to the specific requirements for print:
<https://www.humboldt-foundation.de/web/my-humboldt.html>.
- Any other uses of the logo require prior written permission from the Alexander von Humboldt Foundation and must be requested in writing, stating the intended use of the logo.

The Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship be utilised. Commercially utilisable results, in particular, should be adequately protected (especially by patents and utility models) and exploited:

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

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

- With regard to the exploitation of patents etc., the Alexander von Humboldt Foundation does not enter into binding legal agreements with its research fellows or their host institutes. On principle, the relationship is governed by the customary legal regulations pertaining at the place where the institution, at which the research results have been achieved, is located; usually, these regulations envisage a division of revenue between the institution and the scientist.

- Should research fellows achieve economically successful results in the framework of Alexander von Humboldt Foundation sponsorship the Foundation would, of course, be very grateful for a voluntary share in the ensuing revenue in the form of a donation to the Alexander von Humboldt Foundation.

A.6 Reports

Research fellows are not required to produce a special report on the research they have carried out. Rather, the Alexander von Humboldt Foundation expects results to be presented in academic publications, even if they only appear much later. Please enter these publications in the Alexander von Humboldt Foundation's database "Bibliographia Humboldtiana" even after the research fellowship has come to an end (cf. A.5).

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

These reports are important and of interest to the Alexander von Humboldt Foundation. They are carefully evaluated on a confidential basis and assist the Alexander von Humboldt Foundation to continue improving their programmes and make them as effective as possible.

A.7 Certificate

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

B. GENERAL CONDITIONS AND HINTS FOR THE RESEARCH STAY ABROAD

B.1 Maintaining contact with researchers in Germany

The Alexander von Humboldt Foundation strongly recommends that all Feodor Lynen research fellows actively maintain contact with researchers in Germany during their stay abroad. Post-doctoral researchers in particular should choose personal mentors in Germany in advance of their departure who can advise them on academic and career issues. Regular contact is recommended in order to inform the mentor of the progress of the research. Mentors may be able to provide valuable information and support in connection with planning the further career path upon returning to Germany.

B.2 Entry visa

As host countries have varying, frequently changing visa and customs regulations, research fellows should contact the diplomatic representation of their future host country (embassy or consulate) well in advance of their stay in order to ascertain the details of the necessary entry formalities.

The Alexander von Humboldt Foundation does not cover entry or visa fees.

It is recommended that upon arrival in the host country research fellows contact the scientific or cultural attaché of the German representation there. As a precaution all research fellows should register with the Federal Foreign Office (*Krisenvorsorgeliste*) through the Online registration

(<https://www.konsularinfo.diplo.de/Vertretung/konsularinfo/de/01/ELEFAND.html>). The Federal Foreign Office advises German citizens to take advantage of this possibility, so that the embassy or consulate can contact them quickly, if necessary, in the case of a crisis or other exceptional situation.

B.3 Insurance

The Alexander von Humboldt Foundation does not cover contributions to medical, nursing care, pension, liability or accident insurance as part of

the Feodor Lynen Research Fellowship. For some types of insurance (particularly medical and liability insurance), uninterrupted insurance periods are of particular importance. Periods without insurance should not arise before, during or after the sponsorship period. The Alexander von Humboldt Foundation recommends clarifying any insurance related questions as soon as possible.

Further information can be found under:

<https://www.euraxess.de/germany/information-assistance/social-security-0>

B.3.1 Medical insurance

From the very first day, Feodor Lynen research fellows and family members accompanying them **must** be covered by medical insurance providing adequate coverage in their host country **for the entire duration of their stay abroad**.

The grant documents include an offer from the group insurance of the DAAD for information purposes; other offers should be requested where applicable. Research fellows must be insured not only abroad, but also during any interim stays in Germany.

The Alexander von Humboldt Foundation urges research fellows to review the terms and conditions of health insurance in Germany after returning from abroad. In this context the possibility of returning on a Feodor Lynen Return Fellowship should be taken into consideration, if applicable.

B.3.2 Nursing care insurance

It is highly recommended that existing insurance not be cancelled due to a temporary stay abroad, as additional waiting times and higher costs may result on re-entry.

B.3.3 Pension schemes

Experience has shown that it is possible to remain voluntarily insured with pension schemes in Germany at a low premium during the sponsorship period. This may be of interest in particular for mobile researchers in order to ensure that the minimum entitlement for a pension is reached. It is, therefore, advisable to contact the current

employer's personnel department and the German statutory pension insurance scheme "*Deutsche Rentenversicherung Bund*" or the appropriate pension provider before the research stay abroad. For more information, please visit:

<https://www.euraxess.de/germany/information-assistance/social-security-0/pension-scheme>.

B.3.4 Liability/accident insurance

The Alexander von Humboldt Foundation urgently recommends that research fellows take out private liability and accident insurance.

B.4 Notification of address at research location

Notification of a new address can be made via the service portal at <https://www.humboldt-foundation.de/web/my-humboldt.html>. Research fellows must inform the Alexander von Humboldt Foundation as quickly as possible of the precise address of their host institution, including telephone number and e-mail address. The Alexander von Humboldt Foundation should also be informed immediately of any later change of address during the research stay abroad.

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

B.5 Arriving at the host institution

It is advisable that research fellows introduce themselves to the administration of the host university (e.g. the office of the dean, provost, president). Research fellows can also use the opportunity to explain the aims of the Alexander von Humboldt Foundation.

To assist research fellows in providing information on the Alexander von Humboldt Foundation, information materials and a presentation on the programmes of the Alexander von Humboldt Foundation are available at <https://www.humboldt-foundation.de/web/publikationen.html>. On occasion the presentation should be given to qualified post-docs at the host institution. Research fellows should be aware of the namesake of the programme, biochemist Professor Feodor Lynen (1911-1979), who

was one of Germany's most important academic ambassadors abroad. From 1975 to 1979 he served as president of the Alexander von Humboldt Foundation. In 1964 he received the Nobel Prize for Medicine. Feodor Lynen was founding director of the Max Planck Institute of Biochemistry in Martinsried.

C. ALUMNI SPONSORSHIP AND HUMBOLDT NETWORK

It is the Alexander von Humboldt Foundation's aim to sponsor the alumni of its programmes on a long-term and individual basis. The Foundation keeps its alumni informed of its current activities and existing sponsorship opportunities. It also invites alumni to meetings for members of the Humboldt Network in Germany and abroad.

Alumni are requested to keep the Alexander von Humboldt Foundation informed of their current address and position, preferably through the service portal of the Humboldt Network or Humboldt Life (cf. C.2.5 and C.2.6).

The sponsorship provisions described in the following are also open to research fellows selected by the Alexander von Humboldt Foundation for a research fellowship sponsored by the Japan Society for the Promotion of Science (JSPS) or the Ministry of Science and Technology (MOST Taiwan) after completion of the research fellowship.

C.1 Alumni sponsorship

After the end of the fellowship, the Alexander von Humboldt Foundation can continue to support Feodor Lynen, JSPS and MOST (Taiwan) research fellows who have returned to Germany. The aim of this sponsorship is to maintain and strengthen international contacts to the members of the Humboldt Network abroad.

Prerequisite for alumni to be sponsored within the framework of the alumni programme for alumni, who live permanently in Germany, is the continuation of superior achievements and academic activity. The alumni programme is **not subject to a career stage or an age limit**.

Further programme information and application forms referring to the types of sponsorship offered within the framework of the alumni programme are available on the Foundation's website at <https://www.humboldt-foundation.de/web/further-research-stays-abroad.html>.

C.1.1 Research stays abroad for up to 3 months

The Alexander von Humboldt Foundation may provide funding for renewed research stays with members of the Humboldt Network abroad for a period of up to three months in order to carry out joint research proposals and fact-finding trips or attend conferences. A daily allowance of 100 EUR is paid; travel expenses are not covered. Fellows are free to choose the host country and academic host within the Humboldt Network; whereby the determining factor should be the research aims. On the website of the Alexander von Humboldt Foundation it is possible to search under <http://www.humboldt-foundation.de/lynen-gastgebersuche> within the Humboldt Network for a potential host. The databank includes all members of the Humboldt Network. This sponsorship supports cooperation with members of the Humboldt Network worldwide.

Applications for a renewed research stay should include the following documents:

- completed application form available at: <https://www.humboldt-foundation.de/web/further-research-stays-abroad.html>,
- research proposal,
- list of publications during the last five years,
- curriculum vitae,
- details of financial contributions from third parties, if applicable,
- conference documents, if applicable,
- invitation letter from the member of the Humboldt Network abroad including confirmation that research facilities will be made available (this letter should be sent by the person extending the invitation directly to the Foundation).

Once all of the relevant documents have been received, the Alexander von Humboldt Foundation will decide on the application, usually within 3 months.

C.1.2 Invitations to Members of the Humboldt Network to Germany

The Alexander von Humboldt Foundation may fund short visits of up to two weeks to the institutes of Feodor Lynen, JSPS and MOST (Taiwan) research fellows in Germany for members of the Humboldt Network working abroad. On application, daily allowances will be made available to the inviting research fellows to be forwarded to the members of the Humboldt Network. Travel expenses are not covered. These visits by the members of the Humboldt Network should be used for lectures and

academic contacts at the institute of the Feodor Lynen, JSPS or MOST (Taiwan) research fellows and possibly at other institutes in Germany.

Applications for short visits of a member of the Humboldt Network abroad should include the following documents:

- completed application form available at: <https://www.humboldt-foundation.de/web/further-research-stays-abroad.html>,
- programme for the visit,
- acceptance letter from the invited person.

Once all the relevant documents have been received, processing takes about a month.

C.1.3 Printing subsidies for book publishing

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

The preconditions for sponsorship are that

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

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

- completed application form available at: <https://www.humboldt-foundation.de/web/printing-subsidies.html>,
- curriculum vitae,
- detailed estimate of cost from the publisher (cf. website),
- information on financial contributions from third parties,
- written explanation justifying the choice of the publisher,
- peer review by a specialist colleague.

Alternatively to book publishing the Alexander von Humboldt Foundation also supports the open access publication of research results.

Applications, including the aforementioned documents, may be submitted for the reimbursement of the necessary costs in the context of a printing subsidy.

C.2 Humboldt Network

C.2.1 Events arranged by the Alexander von Humboldt Foundation

C.2.1.1. Network Meeting

The Alexander von Humboldt Foundation invites Feodor Lynen, JSPS and MOST (Taiwan) research fellows to the network meeting before the commencement of their sponsorship period and after their return to Germany. Network meetings focus on enabling departing and returning Feodor Lynen, JSPS and MOST (Taiwan) research fellows and staff of the Alexander von Humboldt Foundation to exchange experiences. Details relating to the period abroad can be discussed in working groups. These meetings also offer the opportunity to meet foreign research fellows of the Alexander von Humboldt Foundation who are conducting research in Germany. Groups for specific disciplines offer opportunities to gain insight into the research of other research fellows and make further academic contacts (cf. A.2).

C.2.1.2. Annual meeting

The Alexander von Humboldt Foundation's annual meeting, which takes place in Berlin in the summer (June/July), is the largest meeting of all Humboldt guest researchers and their families currently staying in Germany. The meeting offers an opportunity to exchange views with representatives of foreign missions and to talk with members of the Board of Trustees, the Selection Committees, and the staff of the Alexander von Humboldt Foundation. The highlight of the annual meeting is a reception given by the President of the Federal Republic of Germany. Feodor Lynen, JSPS and MOST (Taiwan) research fellows will usually be invited once to an annual meeting after their return to Germany.

C.2.2. Humboldt Academic Hosts

C.2.2.1. In Germany

Alumni as well as every active researcher at a research institution in Germany (university, research institute, etc.) can act as academic hosts for researchers in one of the research fellowship or award programmes of the Alexander von Humboldt Foundation.

Further information can be found on the Foundation's website under: <https://www.humboldt-foundation.de/web/humboldt-fellowship-host.html> and <https://www.humboldt-foundation.de/web/humboldt-award-nominator.html>.

C.2.2.2. Abroad

All members of the Humboldt Network abroad may act as academic hosts for the Feodor Lynen Research Fellowship Programme. These include:

- Any scientists or scholars who have been sponsored by the Alexander von Humboldt Foundation,
- Any hosts who have already supervised scientists or scholars who were sponsored by the Alexander von Humboldt Foundation,
- Any (former) members of a Alexander von Humboldt Foundation selection committee,
- Any participants in the Frontiers of Research Symposia organised by the Alexander von Humboldt Foundation.

In addition, scientists and scholars abroad who have been awarded one of the following outstanding international research prizes may act as host: Nobel Prize, Fields Medal, King Faisal International Prize, Kyoto Prize, Shaw Prize, Wolf Prize, Lasker Award, Holberg International Memorial Prize, Turing Award, L'Oréal-Unesco Award for Women in Science, Johan Skytte Prize in Political Science, as well as Princess of Asturias Award. The Alexander von Humboldt Foundation can provide assistance with finding a host.

Further information can be found on the Foundation's website under: <https://www.humboldt-foundation.de/web/humboldt-fellowship-host.html> and

<https://www.humboldt-foundation.de/web/humboldt-award-nominator.html>.

C.2.3. Humboldt Colloquia and Humboldt Kollegs

The Alexander von Humboldt Foundation regularly organises colloquia abroad and invites members of the Humboldt network from the country or region concerned to attend. The Foundation also invites scientists and scholars from Germany. Among them 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. In addition, these meetings serve to maintain regional contacts within the Humboldt network, and provide the opportunity to speak with Foundation staff in person. By visiting institutes of alumni, members of the Humboldt delegation gain insight into the research situation in the countries in question. Information talks draw the attention of young researchers to the sponsorship opportunities offered by the Alexander von Humboldt Foundation.

Suggestions and invitations by alumni for holding of such colloquia are welcome. The Alexander von Humboldt Foundation gladly relies on the experience and assistance of members from the Humboldt Network especially of Humboldt Alumni Associations in organizing these meetings.

Initiatives of Humboldt Alumni Associations and individual alumni to organise regional and interdisciplinary conferences can be supported financially. The aim is to strengthen regional and interdisciplinary networking of Humboldtians. The organisers are responsible for the content of the so-called Humboldt Kollegs. Detailed information can be downloaded from the Foundation's website: <https://www.humboldt-foundation.de/web/humboldt-kollegs-en.html>.

C.2.4. Humboldt alumni associations

In many countries, alumni 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. Humboldt alumni associations also very often assist in attending to the needs of German scientists and scholars in foreign countries; they are thus important points of contact for Feodor Lynen, JSPS and MOST (Taiwan) research fellows.

An alumni association has also been founded in Germany. The *Deutsche Gesellschaft der Humboldtianer e.V.* aims to intensify connections between fellows of the Alexander von Humboldt Foundation in Germany. It offers assistance in integrating foreign and reintegrating German fellows of the Foundation and promotes dialogue with the Alexander von Humboldt Foundation and other Humboldt alumni associations around the world.

The Alexander von Humboldt Foundation recommends that fellows contact alumni associations abroad (<https://www.humboldt-foundation.de/web/alumni-associations.html>) and the *Deutsche Gesellschaft der Humboldtianer e.V.* (<https://humboldt-club.de>).

C.2.5. Information on the Alexander von Humboldt Foundation's website

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

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

The **service portal "My Humboldt"** (<https://www.humboldt-foundation.de/web/my-humboldt.html>) 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. The **Humboldt Network search** covers all scientists and scholars sponsored by the Alexander von Humboldt Foundation. A subset of these data is also publicly accessible in the Humboldt Network section of the website. This access to current data is intended to facilitate contacts and cooperation with and within the Humboldt Network across countries and disciplines.

In preparation of a stay abroad it is advisable to research the following persons by means of the options provided by the Humboldt Network:

- Humboldt guest researchers from the same field of research in Germany and abroad;

- Humboldt guest researchers who are currently working at the same institution. It may be possible to identify Humboldt guest researchers from the future host country. Fellows in Germany are in a similar situation to that in which Feodor Lynen, JSPS and MOST (Taiwan) research fellows will shortly find themselves.
- Humboldt alumni in the future host country. It is recommended that the stay abroad be used to become acquainted with other institutions or universities.

The service portal “My Humboldt” also allows users to add entries to the “Bibliographia Humboldtiana” (<https://www.humboldt-foundation.de/network-publications>). This is a special database containing bibliographical data of academic publications by Humboldtians resulting from sponsorship by the Alexander von Humboldt Foundation (from the year 2000 on). It also includes details of translations of German publications. The Alexander von Humboldt Foundation asks all Humboldtians to enter the bibliographic data of those publications in the Bibliographia Humboldtiana. The data are publicly accessible. Entries can also be made via Humboldt Life.

Current information material and a presentation on the funding programmes of the Alexander von Humboldt Foundation are available for download in the section “Publications and Information Material” (<https://www.humboldt-foundation.de/web/publikationen.html>). An online form can be used to order information material for information events.

The office of the American partner organisation of the Alexander von Humboldt Foundation in Washington also provides assistance in making contact with other Humboldtians in the United States:

American Friends of the Alexander von Humboldt Foundation
 1101 17th Street NW • Suite 603 • Washington, DC 20036 • USA
 Telephone: (202) 783-1907
 Email: info@americanfriends-of-avh.org
 Website: <https://www.americanfriends-of-avh.org>

C.2.6. Humboldt Life

Humboldt Life (<https://www.humboldt-life.de>) is the online social network of the Alexander von Humboldt Foundation. It offers registered users a number of tools enabling them to comprehensively present themselves and their research areas and to network with other members of the Humboldt family. Users can also update their personal data and add publications here. Publications resulting from the sponsorship by the

Alexander von Humboldt Foundation can be accordingly identified and will appear in the publicly accessible Bibliographia Humboldtiana on the website of the Alexander von Humboldt Foundation.

C.2.7. Alumniportal Deutschland: Social network for Germany alumni

On the **Alumniportal Deutschland** fellows and alumni of the Alexander von Humboldt Foundation are given the opportunity to network with researchers and other Germany alumni throughout the world. The Alumniportal Deutschland is a free internet platform for people who have been affiliated to an institution in Germany or a German institution abroad for purposes of study, research, employment, training/continuing education or language learning. In addition to a world-spanning online community, the Alumniportal Deutschland also provides information on science and research, German language, society and culture.

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

After registration the Alexander von Humboldt Foundation's own group of alumni on the Alumniportal can be accessed by using the following link:
<https://www.alumniportal-deutschland.de/gruppe-humboldt-alumni>.

C.2.8. 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.

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

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

By accepting the research fellowship, fellows obligate themselves to comply in Germany *in particular* with:

- the rules of good scientific practice (cf. annex);
- 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:
[http://www.wma.net/en/30publications/10policies/b3/index.html.pdf?print-media-type&footer-right=\[page\]/\[toPage\]](http://www.wma.net/en/30publications/10policies/b3/index.html.pdf?print-media-type&footer-right=[page]/[toPage]);
 - b. the German Embryo Protection Act (Gesetz zum Schutz von Embryonen, ESchG), as amended:
<https://www.gesetze-im-internet.de/eschg/>;
 - c. the German Act Ensuring Protection of Embryos in Connection with the Importation and Use of Human Embryonic Stem Cells (Gesetz zur Sicherstellung des Embryonenschutzes im Zusammenhang mit Einfuhr und Verwendung menschlicher embryonaler Stammzellen, StZG), as amended:
<http://www.gesetze-im-internet.de/stzg/>;
- when planning and carrying out experiments on animals, the regulations of the German Animal Welfare Act (Tierschutzgesetz, TierSchG) and the relevant implementing rules, as amended:

<https://www.gesetze-im-internet.de/tierschg/BJNR012770972.html>;

- when planning and carrying out genetic engineering experiments, the regulations of the German Genetic Engineering Act (Gesetz zur Regelung der Gentechnik, GenTG) and the relevant implementing rules, as amended:

<http://www.gesetze-im-internet.de/gentg/>;

- when planning and carrying out experiments relating to matters of biological diversity as covered by the Nagoya Protocol (<https://www.cbd.int/abs/doc/protocol/nagoya-protocol-en.pdf>):

- a. Regulation (EU) No 511/2014 on Compliance Measures for Users from the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization in the Union:

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

- 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:

<https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32015R1866&from=DE> ;

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

[https://www.bgbl.de/xaver/bgbl/start.xav#_bgbl_%2F%2F*\[%40attr_id%3D%27bgbl115s2092.pdf%27\]_1458660897684](https://www.bgbl.de/xaver/bgbl/start.xav#_bgbl_%2F%2F*[%40attr_id%3D%27bgbl115s2092.pdf%27]_1458660897684);

- when transferring knowledge abroad, which could be of importance to the military or the armaments industry of the transfer countries,

the respective valid version of the relevant regulations in the Federal Republic of Germany's foreign trade law and foreign trade decrees and of the respective implementing rules:

https://www.gesetze-im-internet.de/awg_2013/index.html and
https://www.gesetze-im-internet.de/awv_2013/index.html

The research fellows are, furthermore, obligated to abide by the rules on the use of the Alexander von Humboldt Foundation logo (cf. A.5.).

E. GENERAL REGULATIONS

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

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

Should the above-stated guidelines and obligations fail to be respected, the Alexander von Humboldt Foundation reserves the right to revoke the granting of the Feodor Lynen Research Fellowship in part or full, cease paying further fellowship benefits, or demand the repayment of the research fellowship, including collateral allowances and benefits. This also applies if the Feodor Lynen research fellow has made or makes false claims in his or her application or during the period of sponsorship, or when other serious facts emerge which would have militated against the granting of the research fellowship had they been known to the selection committee at the time. The procedures and penalties in the event of violations of the guidelines and obligations and especially in case of scientific or other malpractice are regulated in detail in the document "Rules of good scientific practice, procedures, and penalties in the event of malpractice" (cf. Annex).

If the Alexander von Humboldt Foundation terminates the research fellowship, payment of the fellowship grant is discontinued. If incorrect information has been provided regarding significant facts or if such facts have been concealed, the received amounts must be repaid from the beginning and according to the stipulations of §49a Paragraph 3 of the Administrative Procedure Act (*Verwaltungsverfahrensgesetz, VwVfG*) at an interest rate of five percentage points above the base interest rate according to §247 of the German Civil Law Code (*Bürgerliches Gesetzbuch, BGB*) per annum. In other cases where the research fellowship is terminated by the Alexander von Humboldt Foundation, the received amounts must be repaid from the time at which the reason for termination occurred, and corresponding interest paid. If the reason for termination does not lie with the research fellow, he or she may retain any funds paid by the Alexander von Humboldt Foundation up to the point of termination of the fellowship.

The Alexander von Humboldt Foundation reserves the right to amend the "Guidelines and Information for Feodor Lynen Research Fellows" at any time, provided that the amendments, while taking due account of the interests of the Alexander von Humboldt Foundation, are reasonable vis-à-vis the Feodor Lynen research fellows. Amendments will be

announced to the Feodor Lynen research fellow in writing well in advance. Amendments are considered to have been approved if the Feodor Lynen research fellow has not lodged an objection in writing within four weeks. In the event of an objection, the Alexander von Humboldt Foundation reserves the right to cease fellowship payments within a reasonable period of time.

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

ANNEX:

Rules of Good Scientific Practice, Procedures, and Penalties in the Event of Malpractice

1. Rules of good scientific practice

- 1.1. Those sponsored by the Alexander von Humboldt Foundation are obligated to inform themselves about and comply with the rules of good scientific practice that are in effect at their host institution.
- 1.2. Moreover, those sponsored are to pledge themselves, and the staff they employ in the framework of Alexander von Humboldt 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:
 - o *General principles of scientific work:*
 - o to work in accordance with the accepted standards of the discipline;
 - o 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;
 - o to challenge consistently all one's own findings;
 - o to maintain strict honesty with regard to the contributions of partners, competitors, and predecessors.
 - o *Cooperation and supervisory responsibility in working groups:*
 - o 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;
 - o not to compromise research activities of others.
 - o *Supervision of junior researchers:*
 - o 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.

o *Scientific publications:*

- o 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.
- o 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 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 the 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's 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 remonstration submitted by the party concerned fails to convince the Alexander von Humboldt Foundation, and in particular, fails to refute the suspicions plausibly, the Alexander von Humboldt

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

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

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

The regulations take effect on 01.08.2007. Individual projects sponsored by the Alexander von Humboldt Foundation 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.