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## **FUNDING GUIDELINES /funding guidelines as per article 44 LHO (State Financial Regulations) Attachment 3**

### **A Objectives and Legal Basis**

Science is an important factor for future development for the State of Berlin. The Einstein Foundation Berlin was established by the State of Berlin in order to support and sponsor Science and Research of international top-level standard in Berlin and thereby strengthen future opportunities of science and research in Berlin. Especially universities and independent research institutes are backed up. This happens in particular through support of

- cross-institutional research-focuses und -projects,
- strategic promotion of young scientists,
- appointments in order to attract excellent scientists
- research-oriented lectures and
- international networking.

Funding will be provided following recommendations of the Scientific Commission and decisions made by the Board of Executives based upon them.

Legal basis are the statutes of the Einstein Foundation Berlin as amended.

### **B Funding objectives, Funding Criteria**

Funding will be provided in principle within the framework of the following Program Outlines:

#### **1. Person-related Funding**

- Einstein Visiting Fellows
- Einstein-Professorships
- Einstein Junior Fellows

#### **2. Project-related Funding**

- Projects

Research-oriented standards on gender equality as stated by the DFG apply to all areas of funding.

The various Program Outlines are published on the Foundation's website ([www.einsteinfoundation.de](http://www.einsteinfoundation.de))

## **C Funding recipients**

Funding recipients are the following eligible institutions:

- Freie Universität Berlin
- Humboldt-Universität zu Berlin
- Technische Universität Berlin
- Universität der Künste Berlin
- Charité Universitätsmedizin Berlin.

Independent (extramural) institutions for research and teaching such as:

- Max-Planck-Gesellschaft
- Helmholtz-Gemeinschaft
- Leibniz-Gemeinschaft
- Fraunhofer-Gesellschaft,

that receive basic public funding , may be funded as cooperation partners of the eligible institutions in Berlin.

The Hebrew University of Jerusalem may be funded as a cooperation partner of one of the eligible institutions.

## **D Type and extent, rates of funding**

### **1. Type of funding**

Funding of projects – the appropriation period for funding of projects is not limited to the current budget year.

### **2. Type of financing, terms of funding, basis for assessment**

- Einstein Visiting Fellows

Deficit funding in the form of a non-refundable grant. Visiting Fellows are sponsored with an up to 150,000 Euros annually for an initial two years, which may be extended after evaluation.

- Einstein Professorship

Deficit funding in the form of a non-refundable grant. A maximum total of 3,000,000 Euros per year are granted for calls.

- Einstein Junior Fellows

Deficit funding in the form of a non-refundable grant. A remuneration corresponding W2 (salary grade for professors) is granted for three years as well as material expenses of no more than 100,000 Euros.

- Projects

Deficit funding in the form of a non-refundable grant. Basis of assessment depends on the respective project.

## **E Funding procedure, funding criteria**

### **1. Application process und Approval process**

- a) The office publishes corresponding application forms for all funding programs on the foundation's website. Applications for projects that have not started are possible at all times. Components and volume of application are stated in the respectable form.
- b) Applications for funding should be pursued jointly by at least two institutions.
- c) The office examines the applications formally. It initiates expertises according to the particular program and prepares submissions for the Scientific Commission or respectively for the final decisions by the Board of Executives.
- d) All scientific research projects within the framework of programs are evaluated through independent scientists (members of the Scientific Commission or external expert advisers, that are announced upon the recommendation of the Scientific Commission). Evaluated applications are then prioritised by the Scientific Commission on the basis of the funding criteria.
- e) Projects that are recommended for funding by the Scientific Commission are presented to the Board of Executive after their meetings or after adoption by means of circulating letter. The Board of Executives finally decides on funding– with significant consideration of the Scientific Commission's vote and the available funds.

### **2. Procedure for proof of use**

Proofs of use and final reports are written, verified, and signed by the responsible eligible institution and send to the office. These proofs of use, together with the office's final vote, are then sent to the Senate Department for Education, Science and Research in the context of the foundation's annual proof of use.

Approval and payment of and accounting for the funds as well as proof and examination of proper use and, if necessary, revocation of the award and the reclaiming of the funds awarded are governed by the implementing regulations pertaining to article 44 of the State Financial Regulations (LHO) and sections 48 to 49a of the Administrative Procedure Act (VwVfG).

The responsible Senate Department as funding body as well as the State Court of Auditors have the right to inspect institutions that are funded by the Einstein Foundation Berlin.

### **3. Funding Criteria**

Funding recommendations made by the Scientific Commission within the framework of programs and funding decisions made by the Board of Executives that follow these recommendations must take the following criteria into consideration:

- excellent scientific quality, proved through expertises by the Scientific Commission
- contribution to circulation of scientific knowledge and discoveries
- consideration of the DFG's standards for gender equality

According to the program the following criteria must be met in principle:

- cooperation of two or more scientific institutions
- contribution for international networking
- strengthening of Berlin's visibility as a science location.

### **F Duration of validity**

The funding guidelines were adopted by the Board of Trustees on 30 November 2010 and came into effect on 1 December 2010. The need for amendments and alterations are evaluated at the end of 2012.