

## **University of Tübingen guidelines on the granting of scholarships from third-party funding** (Updated: April 2021)

### **General:**

Scholarships under these guidelines may only be granted to qualified students, doctoral candidates, or researchers for their studies, doctorates, habilitations, or for specified purposes of research, training, or further training.

Scholarships are usually allocated according to § 3 no. 44 EStG and are usually paid out without tax being deducted on condition that

- the scholarship does not exceed the sum required to fulfill the research task or to meet the researcher's basic financial needs and the amount required during training and
- is allocated according to the University of Tübingen's formal policy
- the scholarship holder is not obliged to provide a particular academic or artistic service in return or to carry out particular work as an employee,

The decision on whether tax is payable rests with the granter's tax office. The scholarship holder is responsible for any possible taxation.

The scholarship does not form the basis of any employment relationship and is therefore not remuneration as defined under German law: §14 Sozialgesetzbuch IV, insofar as the abovementioned requirements are met. Scholarships may not be allocated as a way of bypassing an employment relationship nor as a transitional measure between two employment relationships.

The duration of the scholarship is set according to the contents and goals of the training and/or research project. Scholarships are expected to have a minimum duration of 3 months and may not usually exceed a total duration of 3 years.

Scholarships may be extended due to parenting leave.

Status as a scholarship holder does not include any kind of insurance coverage. The scholarship holder is legally required to take out health insurance, and he/she must provide proof that he/she has done so. The scholarship holder is strongly advised to take out accident insurance, third party liability insurance, and term life insurance. In the case of a non-German scholarship holder, any restrictions on employment arising from his/her visa or residence status must be observed.

### **Granting and calculation of the scholarship:**

Scholarships cannot be funded from the budget.

Within the framework of third-party funded projects and Ministry estimates of available funds, a grant is permissible under the following conditions:

- Scholarships are to be brought to the attention of eligible applicants in an appropriate manner and advertised to the academic public (internet or notice board). Applications will be selected and scholarships awarded according to academic criteria.
- By accepting this scholarship, the scholarship holder undertakes to dedicate his/her full labor capacity to the purpose of the scholarship. The scholarship holder must obtain permission from the sponsor before taking on any employment, including part-time work, outside of the University. Any such employment may not comprise more than 40 hours per month. Receiving a scholarship from the University of Tübingen while also having an employment relationship (e.g. as a student assistant) is strictly prohibited. However, DAAD mobility grants and Deutschlandstipendium scholarships may be allocated in parallel with paid employment.
- The code of good academic practice must be observed (see:
  - <https://uni-tuebingen.de/forschung/service/gute-wissenschaftliche-praxis/>. The scholarship holder is obliged to inform the sponsor unasked, without delay and in writing of any relevant change to his/her personal or financial situation, illness, or any other reason which may prevent a continuation of the scholarship or which may affect the way it is calculated. The sponsor must also be informed without delay of any change of the scholarship holder's address.
- Scholarship holders who knowingly or negligently make false misrepresentations in a context relevant to academic work, who infringe the intellectual property rights of others or impair their research work in any way, may face the following sanctions:

- - A written reprimand
  - Exclusion from the right to apply for funding
  - a reversal of the decision to grant the scholarship,
  - An obligation to publicly retract or correct false information.

If appropriate, the approval of the funding may be revoked.

- Scholarship holders are obliged to maintain confidentiality on all matters concerning the project and the institute which have been/are described as or may be recognized as confidential, to observe all current regulations, and to observe the regulations which are in place.
- If necessary, the scholarship holder is given the opportunity to use the university's facilities and must comply with the relevant regulations.
- All discoveries/inventions, advancements, and innovations for which a commercial application (e.g. in the form of a patent) is conceivable, must be communicated in writing to the management of the relevant institute at the earliest opportunity (report an invention). The University will then decide whether it will exercise its claim to the discovery/ invention, advancement, or innovation.

The maximum amount paid is in line with the scholarship rates set by the German Research Foundation (DFG) for research training groups. The maximum amount for research scholarships is based on the rates set out by the Humboldt Foundation.

If third-party funding providers have specified conditions for the granting of scholarships (e.g. DAAD, DFG, Baden-Württemberg Stiftung) and these criteria have been met, the regulations of the respective funding provider take priority. All applicants must complete the personal data sheet (see attachment).

The respective statutes apply to the granting of scholarships under the Landesgraduiertenförderungsgesetz.

The following target rates are possible (please note that lower rates may be awarded):

<b>DFG rates (as of: April 2017)</b>	<b>Base amount</b>	<b>Non-personnel costs allowance</b>	<b>Child allowance</b>
Doctoral scholarships	€1,000 to 1,365	€103	€400 for 1 child €500 for 2 children €600 for 3 children
Qualification scholarships	€800	---	[see above]
Postdoc scholarships	to max. €1,750	€103	[see above]
Postdoctoral scholarship for the promotion of research/ international cooperation (Target rate of Alexander v. Humboldt Foundation.- as of 2020) International researchers Mercator-Fellow (DFG)	max. €2.670/3.170 (Postdoc/experienced researchers)		

Furthermore, the recipient's personal circumstances for the duration of the scholarship are key in the calculation of the rate to be paid. Other income is to be offset against the base amount. Income from academic activities outside the University of Tübingen is not taken into account if it does not exceed a gross amount of 6,000 euros per year.

### **Processing:**

To facilitate administration and to be able to make payments quickly, the form "Agreement for the granting of scholarships" is to be used. You will find this agreement as well as guidelines for scholarship holders in the download area of the Finance Division, under "Drittmittel". Payment is usually at the start of the month. Payment is not possible without a scholarship agreement and a personnel data sheet including the recipient's tax identification number.

Under the provisions for reporting to the tax authorities by other authorities, the university must report payments of scholarship funds to the tax office responsible for the recipient if the total annual amount of all payments is at least €1,500 per scholarship holder. The scholarship holder must be informed of this.

# Agreement on the granting of a scholarship at the University of Tübingen

between

\_\_\_\_\_

Name of person receiving the scholarship (StN)

\_\_\_\_\_

Name of scholarship grantor (StG), institute

## 1 General

1.1 The University of Tübingen grants you a scholarship within the framework specified by the donor.

This is done in accordance with the University guidelines on the granting of scholarships (updated: April 2021).

### 1.2 Obligations of the person receiving the scholarship (StN)

The fine details of the scholarship are to be agreed with the grantor.

By accepting this scholarship, the recipient (StN) undertakes to:

- dedicate his/her full labor capacity to the purpose of the scholarship,
- provide the grantor with a brief status report 4 weeks after the end of the funding period or in connection with an interim report or application for extension of the scholarship,
- obtain permission from the grantor for employment, including part-time work, not connected with the purpose of the scholarship. Any such employment may not comprise more than 40 hours per month. Receiving a scholarship from the University of Tübingen while also having an employment relationship with the University of Tübingen (e.g. as a student assistant) is strictly prohibited.
- abide by the code of good scientific practice (available at: <https://uni-tuebingen.de/forschung/service/gute-wissenschaftliche-praxis/>) to inform the grantor unasked, without delay and in writing of any relevant change to his/her personal or financial situation, illness or any other reason standing in the way of a continuation of the scholarship activity. We must be notified of any change of address without delay.
- Scholarship holders who knowingly or negligently make false misrepresentations in a context relevant to academic work, who infringe the intellectual property rights of others or impair their research work in any way, may face the following sanctions:
  - o a written reprimand,
  - o exclusion from the right to apply for funding,
  - o a reversal of the decision to grant the scholarship,
  - o an obligation to publicly retract or correct false information.
- All discoveries/inventions, advancements, and innovations for which a commercial application (e.g. in the form of a patent) is conceivable, must be communicated in writing to the management of the relevant institute at the earliest opportunity (report an invention). The University will then declare whether it will exercise its claim to the discovery/ invention, advancement, or innovation.

## 2 Granting, calculation, payment and discontinuation of the scholarship

### 2.1 Granting and calculation of the scholarship

The recipient's personal circumstances are the defining element in the calculation of the scholarship. The scholarship amount is in accordance with the rates designated within DFG research training groups, unless the relevant third-party funding provider explicitly approves other rates. The maximum amount for research scholarships is based on the rates set by the Humboldt Foundation. (cf. notice of June 2017)

Other income is to be offset against the base amount, where applicable. This does not apply to income from academic work (up to €6,000) outside the University, nor to income from assets.

The scholarship is composed as follows:

Base amount: \_\_\_\_\_

Child benefit/ allowance for non-personnel costs: \_\_\_\_\_

Monthly amount: \_\_\_\_\_

The scholarship will be paid for project work in the group \_\_\_\_\_ PSP no.

\_\_\_\_\_ for a duration of \_\_\_\_\_ months starting on \_\_\_\_\_ up to and including \_\_\_\_\_ .

## 2.2. Payment of the scholarship

The University of Tübingen will transfer the monthly scholarship at the start of the relevant month to an account specified by the recipient (StN) in the personal data sheet provided. Should payment be delayed, no default interest will be paid.

## 2.3. Discontinuation or reimbursement of the scholarship

Approval for the scholarship expires at the end of the day on which the scholarship holder commences a professional position.

Approval can be revoked before the end of the planned scholarship duration and the University may claim a refund if:

- the recipient (StN) does not make the necessary and reasonable effort to realize the aim of the scholarship,
- the recipient (StN) has obtained approval wrongfully by giving false or incomplete information,
- the sponsor does not provide the grantor with the necessary funds.

The scholarship may be revoked at least 6 weeks before the end of a calendar month. The right to revoke the scholarship at immediately at any time given an important reason remains unaffected by this.

The scholarship will be revoked if the entitlement is attached, pledged or transferred.

If the conditions leading to reimbursement of the scholarship are the fault of the recipient (StN), the amount to be reimbursed shall be subject to interest of 5% in addition to the base rate.

# 3 Tax and insurance matters relating to the scholarship

## 3.1. Tax assessment (§ 3 Nr. 44 EKStG)

Scholarships supporting advanced academic training are not subject to taxation, if

- the recipient is not obliged to provide a particular academic service in return or to carry out work as an employee, and the scholarship was granted according to the University of Tübingen guidelines.

The University is obliged to notify the tax office in the scholarship holder's place of residence of scholarship payments of more than 1,500 euros annually. The decision on whether tax is payable rests with the grantor's tax office. The scholarship holder is responsible for any possible taxation.

## 3.2. Insurance status

Approval of the scholarship does not form the basis of an employment relationship. The scholarship does not constitute remuneration for the purposes of social insurance; it is granted to ensure the recipient's livelihood and not as consideration for academic work.

The recipient (StN) must provide documentation that he/she has taken out health insurance at his/her own expense. The scholarship holder is strongly advised to take out accident insurance, third party liability insurance, and term life insurance.

# 4 Declaration of acceptance

I accept the scholarship in accordance with the provisions and hereby confirm that the information given on the personal data sheet is correct.

I have taken out a health insurance policy valid in Germany. I have taken note of the recommendation to take out accident, third party liability, and term life insurance.

Date, signature:

Scholarship receiver's given name(s), family name:

Supervisor (name, institute, e-mail):

## PERSONALBOGEN für Stipendiaten

Name, Vorname <i>Name, First Name</i>	<i>muss angegeben werden must be specified</i>		
Titel <i>Title</i>		Akademischer Grad <i>Degree</i>	
Familienstand <i>Marital Status</i>		Anzahl der Kinder <i>Number of children</i>	
Geburtsdatum <i>Date of Birth</i>		Geburtsort <i>Place of Birth</i>	
Staatsangehörigkeit <i>Nationality</i>			
Steuer-Identifikationsnummer <i>Tax identification number</i>		Zuständiges Finanzamt <i>Local tax office</i>	
<i>Wenn keine Heimatadresse im Ausland angegeben wird, muss zwingend eine Steuer-Identifikationsnummer angegeben werden If no home address is stated, it is mandatory that the German tax identification number is provided</i>			
Heimatadresse (Ausland) <i>Home Address</i>			
Aktuelle Adresse (Inland) <i>Current Address</i>	<i>muss angegeben werden must be specified</i>		
E-Mail Adresse <i>Email Address</i>			
Name der Bank, IBAN + BIC <i>Accounting Information</i>			<input type="checkbox"/> Barzahlung <i>Payment in cash</i>
Art des Hochschulabschlusses (Zeugnis beifügen) <i>University Degree (att. certificate)</i>			
Datum, Stadt und Land des letzten Abschlusses (Master, Promotion) <i>Date, City and Country of last degree (e.g. Master, PhD)</i>			
Letzte ausgeübte hauptberufliche Tätigkeit, Ort <i>Last Employment, University Name</i>			
Zeitraum <i>Duration of employment (from...to...)</i>	von	bis	
Weitere aktuelle Beschäftigungsverhältnisse, weitere Stipendien <i>Any other current employment, scholarships</i>			
Zuständige Fakultät, Name der Kontaktperson <i>Host Faculty in Tübingen, Name of contact Person</i>			
Förderzeitraum <i>Start and Enddate of Funding</i>			
Titel des Projektes im Förderzeitraum <i>Project title of Research performed in Tübingen</i>			

Ort, Datum <i>City, Date</i>	Unterschrift <i>Signature</i> _____
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