Framework Guidelines on Grant Awards at Paderborn University

dated 24 May 2018

On 14 March 2018 the Executive Board of Paderborn University concluded the following Framework Guidelines on Grant Awards at Paderborn University.

General Information

Pursuant to § 3 (1) Higher Education Act NRW the promotion of junior scientists and academics is part of the original responsibilities of the universities in North Rhine-Westphalia. As a rule, junior scientists and academics are regularly employed at Paderborn University. Furthermore, with the present Framework Guidelines Paderborn University sets standards for grant awards at the university, which govern the award of grants for junior scientists and academics and for qualified students (master degree candidates) in all university faculties.

Article 1 Scope

(1) These guidelines apply to grant awards from the budget funds of Paderborn University, which have been centrally provided for this purpose (e.g. research reserve, Executive Board's matching fund). Furthermore, it is possible to award grants from the faculties’ budget and other special funds.

(2) These guidelines also apply to the award and processing of grants from external funding, provided that the external funding provider awards the funds expressly for this purpose. The award of grants from what is known as "free external funding" is also possible.

(3) The selection and grant award procedure to substantiate these guidelines shall be stipulated in separate award guidelines. If award guidelines already exist (e.g. stipulated by the respective external funding body) the content of these provisions on grant award and processing take precedence. The present guidelines apply in those areas, in which no specific guidelines have been drawn up.
Article 2 Object of funding and duties of the grant holders

(1) Paderborn University awards grants for the promotion of research, scientific education and for international exchange usually to qualified students (master degree candidates) and junior scientists and academics. Grants may be awarded only to enable or conclude educational, further qualification and research goals (short-term study grants are an exception).

(2) The grant is awarded for unilateral educational support without any further obligation on the part of the grant holder, and enables the grant holder to work towards a goal or purpose as listed under (1). Grants do not represent any employment or service relationship between Paderborn University and the grant holder. The payments are not remuneration within the meaning of § 14 Social Security Code IV and therefore are not subject to the payment of social insurance contributions. Consequently, the award of a grant is also not linked to the payment of contributions for health and accident insurance. The same applies to private third-party liability insurance. The grant holder is responsible for concluding the appropriate insurance policies. The funding terms for grants generate no effect under employment law with respect to later employment in civil service (e.g. salary group stages). During the term of the grant, the grant holder must not be bound to perform work within the meaning of § 611 of the German Civil Code.

(3) The award of a grant directly subsequent to an employment relationship with Paderborn University requires a formal explanation. The purpose of the grant must be clearly distinguished from any former, existing or planned employment relationship whereby no work performance of any kind may be sought or received. This must be documented using the Annex to these framework guidelines. The award of grants as an extension of an employment contract, which could otherwise not be continued, is not permissible.

(4) The grant holder is obliged:

- to actively pursue the purpose of the grant;
- to fulfil the obligations and requirements connected with the award of the grant;
- to comply with the rules of good scientific practice;
- in accordance with agreement to submit regular written reports on the status of the education and further education and/or the research project. For doctoral candidates additional reporting duties may arise from the respective PhD/doctoral examination regulations and supervision agreements.
- to comply with the regulations existing at Paderborn University and the applicable statutory safety provisions.

(5) Furthermore, the grant holder undertakes to inform Paderborn University promptly, if

- the research project is interrupted, amended, concluded prematurely or cancelled;
he or she is remunerated through contributions from third parties for his or her scientific activity or economic profit accrues to him or her or with his or her approval to a third party arising from the funded research project;
- he or she receives a grant from another source;
- other changes occur in his or her personal circumstances, which are relevant to the grant conditions.

**Article 3 Type and duration of the grant**

The following types of grants are awarded at Paderborn University:

1. **Short-term grants, for a maximum of 6 months**
   Short-term grants serve the international scientific exchange of qualified students, doctoral students and other scientists with scientists from Paderborn University. Short-term grants are awarded for a maximum of 6 months.
   **Examples:** PROMOS scholarships, Matching Funds

2. **Doctoral grants, for 6 - 36 months**
   Doctoral grants are awarded to doctoral students, who are seeking to conclude their doctorate at Paderborn University. The term of the grant must be awarded so that the qualification target can be achieved. A particular form of doctoral grant is the degree completion grant, which can be awarded solely to allow the student to complete his or her doctoral dissertation. Enrolment on a course of doctoral studies at Paderborn University and the submission of a confirmation of supervision (e.g. in the form of a supervision agreement) from the scientific supervisor are obligatory.
   **Examples:** Basic and degree completion grants from the Committee for Research and Junior Academics

3. **Research grants, for 3 - 24 months**
   Research grants may be awarded solely to junior scientists and academics, who have already obtained their doctorate. The purpose of the research grant is directly linked to the grant holder's qualification aim (e.g. postdoc phase, Habilitation). For the award of a research grant the accepting faculty must issue a declaration confirming the allocation of the necessary research infrastructure.
   **Example:** Postdoc grants from the Committee for Research and Junior Academics

4. **Start-up grants, for 12 - 18 months**
   Start-up grants can be awarded to junior scientists and academics and students, who are preparing a business start-up based on scientific achievements. Start-up grants are awarded preferentially within the scope of relevant externally-funded programmes to potential founders of start-ups.
Examples: Exist Start-up Grants

(5) Study grants

Study grants may be awarded to particularly qualified students (master degree candidates) with outstanding academic performance, who are seeking to complete their master's degree at Paderborn University.

As a matter of principle, a grant can be extended only on request and on submission of good cause. Good cause covers family reasons (e.g. maternity leave, parental leave, caring for close relatives) and the delay of the project due to circumstances, which were not foreseen at the time the grant was approved and which cannot be attributed to the grant holder. The committee empowered to award the grant pursuant to Article 4 (3) decides on applications for extensions.

Article 4 Call for applications and award

(1) As a matter of principle grants must be advertised publicly throughout the university; exceptions to this are the short-term grants listed in Article 3 (1).

(2) The type, amount and duration of the grant must be published in the respective call for applications. The same applies to the application documents to be submitted.

(3) Grants are awarded on the basis of a selection procedure, which is led by an independent awards committee at the faculty level (e.g. Faculty Board, selection committee of a research training group, etc.) or at university level (e.g. Committee for Research and Junior Academics). When grants are awarded in the context of externally-funded programmes the respective regulations of the external funding bodies must be complied with.

(4) Prior to publication the respective award committee draws up a list of criteria to be applied in the selection procedure.

(5) The selection procedure and award decision must be recorded in writing.

(6) The grant is approved by the Executive Board on the recommendation of the award committee in consultation with the respective Dean's Office. If there are no requirements from external funding bodies, Paderborn University's templates (award notice, declaration of acceptance, etc.) must be used.

Article 5 Amount of grant
Grants are generally awarded to cover living expenses. They must not exceed the amount required for this purpose. Furthermore, depending on the purpose of the grant and the personal circumstances of the grant holder, a material costs allowance and/or a child allowance may be awarded.

The amount of the grant is determined in the respective award guidelines and or in accordance with the guidelines from the respective external funding body. In determining the amount, grant programmes within the university refer to the relevant rates for grants from generally recognised funding bodies (e.g. bodies providing grants for outstanding students, the German Research Foundation (DFG), etc.).

**Article 6 Taxation**
Pursuant to § 3 (44) German Income Tax Act grants are usually exempt from income tax, but the definitive assessment of this is the responsibility of the relevant Tax Office. Paderborn University is obliged to submit a report to the relevant tax authority.

**Article 7 Notes on right of residence**
(1) When a grant is awarded to a non-EU citizen the status of the potential grant holder with respect to rights of residence must be checked by the competent awarding committee.

**Article 8 Retraction, withdrawal, reimbursement**
(1) Paderborn University may withdraw or revoke approval for a grant in accordance with §§ 48 et seq. Administrative Procedure Act NRW, as amended.

(2) Paderborn University may revoke approval for a grant with effect for the future. This applies in particular, if circumstances become evident, which seem to exclude a successful termination of the study programme, doctoral or research project.

(3) Paderborn University may revoke or withdraw approval for a grant with retrospective effect with good cause. Such cause exists, if
   - the approval has been obtained by means of improper and incomplete information,
   - the grant has not been used for the intended purpose,
   - the grant holder has not complied with regulations or obligations.

(4) If the funding is revoked or withdrawn with retrospective effect, the grant must be paid back in accordance with the scope of the revocation or withdrawal by Paderborn University.
The Executive Board decides on the withdrawal of the grant in consultation with the respective Dean’s Office on the recommendation of the competent awards committee. Prior to withdrawal of the grant the grant holder is given the opportunity to make a written response.

**Article 9 Data protection**

(1) The regulations for the processing of personal data are complied with and the legality of the processing guaranteed. The grant holders are informed in an appropriate manner about the processing (purpose, duration, scope, transfers, etc.), in order to guarantee fair and transparent processing.

(2) In the context of the awarding and processing of grants the personal data necessary for this are processed. The regulations of the respective grant programme regulate this in more detail; otherwise the scope of data processing is specified, for example, in the respective award guidelines in consultation with the Data Protection Officer.

(3) Paderborn University transfers grant holders’ personal data to other bodies only on the basis of a declaration of consent or as part of contractual provisions and/or duties of reporting and disclosure. If personal data must be transferred in the context of externally-funded grants, this is indicated in the call for applications or in the grant award notice. Data on payments to grant holders are transferred to the competent tax authorities in accordance with the German Transaction Reporting Regulations.

(4) Furthermore, the applicable data protection laws and provisions must be complied with, in particular the General Data Protection Regulation 2016/679 (Regulation of the European Parliament and of the Council on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC, as amended).

**Article 10 Entry into force**

(1) The Framework Guidelines come into force upon publication in the Official Publications of Paderborn University and apply to all new award notices and extensions of awards notices, which are enacted with effect from the entry into force, unless more specific regulations (e.g. from external funding bodies) take precedence.

(2) Award decisions taken prior to the entry into force of these guidelines remain applicable. Selection committees, which have already been constituted for ongoing funding programmes, shall continue
their work in accordance with these guidelines. In this case existing specific regulations take precedence over these guidelines.

Paderborn, 18-04-2018
President of
Paderborn University

Professor Dr. Birgitt Riegraf
Annex 1

Assessment of status under social insurance law in accordance with the German Social Security Code - Book IV - General Regulations for Social Insurance

1. The grant holder has no personal obligation to perform activities for Paderborn University (e.g. in teaching).

2. The grant holder is not integrated into the employment organisation of Paderborn University.

3. The grant holder is independent of work instructions and is not bound to working hours regulations and holiday claims.

4. The grant holder is autonomous in the performance and organisation of his/her activity; the grant awarding body has no right to control or exert influence.

5. The grant holder alone bears the risk of business hazards.

6. The grant holder is not obliged to perform services in research and teaching, which go beyond his or her own research objectives.

I confirm the accuracy of the information. I acknowledge the content of this fact sheet.

Paderborn, dated __________________________

Signature of supervisor
Annex 2

Example procedure for the selection and award of internal university grants

Central University Administration contact for grant approval purposes:
Division 2.2
European and National Research Funding and Planning,
Legal Aspects of Research

Ms. Katharina Patz
Room B.2. 336
Tel.: 05251 60-5216
Email: katharina.patz@zv.upb.de