

Guidelines for Awarding Scholarships
to Junior Researchers

Version dated October 2018

**Funding for Junior Researchers Provided by the
Torsten Haferlach Leukemia Diagnostics Foundation („Foundation“)**

1. Prerequisites

1.1 Funding can be granted to the following:

- 1.1.1 Persons who have been admitted to a state or state-recognized university for a doctoral program or to a research-oriented post-graduate course of study. The academic work and examination grades must demonstrate a particular aptitude for research work; the course of study qualifying the candidate for the doctoral program must have been completed expeditiously. An additional prerequisite for doctoral funding is that the scientific proposal can be expected to make a meaningful contribution to research in the field of leukemia diagnostics;
- 1.1.2 Persons who are working towards a habilitation (postdoctoral teaching qualification) or an equivalent academic qualification in order to be eligible for a professorship appointment (post-doc). The prerequisite for this in addition to pedagogical suitability is a particular aptitude for research work, which is generally demonstrated through the particularly outstanding quality of the doctoral degree.

1.2 The procedure for determining the suitability of a candidate to receive funding and for assessing the suitability and performance of the funding recipient during the funding period of the scholarship are determined by the policies laid down by the Foundation, unless specified otherwise in the following.

1.3 In the case of equal qualifications, former scholarship recipients may be given preference for funding.

1.4 The scholarship funds independent scientific work performed individually or within a working group. Funding is provided exclusively for research in the field of leukemia diagnostics. The Foundation will regulate the precise details of the research projects funded and the respective participating universities and/or research institutions as part of calls for tender for specific programs. The prevailing rules for good scientific practices at the respective university or research institution are to be observed.

Torsten Haferlach Leukämiediagnostik Stiftung
Max-Lebsche-Platz 31, 81377 Munich

T: +49 (0)89 99015-0
F: +49 (0)89 99015-108

sekretariat@thlds.de
thlds.de

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- 1.5 A research-oriented postgraduate course of study is eligible for funding if it has been organized by the university and if it directly serves to deepen the specialization of or supplement the existing degree program via more intensive participation in scientific work.
- 1.6 In justified cases, the doctoral degree, the postgraduate course of study and the post-doc phase can also be funded at a foreign university; the justification of which is to be recorded in a verifiable manner in the funding records.
- 1.7 The fulfillment of the prerequisites and the evaluation of the candidates shall be assessed via the independent, standardized expert opinions of at least two expert assessors.
- 1.8 The selection of the candidates is based exclusively on the evaluation of their academic qualifications in the field of leukemia diagnostic and the necessary knowledge and abilities for this purpose. The evaluation of candidates' academic qualifications will also take into account their (research) career to date, their scientific contributions and other commonly accepted international criteria.

Candidates must have good German- or English-language skills. In cases where this is necessary for the successful conduct of the research, the Foundation will subsidize the costs of language classes for the purpose of achieving the necessary level of ability.

The selection will be made by a selection committee appointed by the Foundation consisting of experienced scientists from the field of leukemia diagnostics.

- 1.9 Funding shall not be granted in the following cases:
 - 1.9.1 If the applicant is currently receiving or has received other funding for the same purpose and same time period; in the case of past funding, the duration is to count toward the maximum funding period,
 - 1.9.2 During a training course or professional initiation, unless such training is interrupted exclusively for the purpose and duration of preparation for the doctoral program, the completion of the postgraduate course of study, or the attainment of eligibility for a professorship,
 - 1.9.3 During paid collaboration in research and teaching at a university or non-university research institution for the purposes of performing scientific work
 - 1.9.3.1 amounting to more than one-quarter of the regular weekly working hours as part of the doctoral program or the postgraduate course of study,
 - 1.9.3.2 amounting to more than one-third of the regular weekly working hours during the post-doc phase,
 - 1.9.4 During employment amounting to more than one-eighth of the regular weekly working hours,
 - 1.9.5 During other activities that occupy a majority of the funding recipient's capacity for work.

2. Benefits

- 2.1 Scholarship recipients will receive up to €2,500 per month for a doctoral program or postgraduate course of study. In the post-doc phase, scholarship recipients will receive up to €2,500 per month. This includes a fixed mobility allowance of €250 for the use of public transportation and/or private travel costs.
- 2.2 Income earned by scholarship recipients from approved secondary employment pursuant to section 1.9 shall not count toward the scholarship; other forms of income shall count toward the scholarship in cases where the annual income as defined by income tax law exceeds €3,070 after deducting the applicable income tax, church tax and fiscally recognized provident expenses (Vorsorgeaufwendungen). This amount increases up to €1,025 for each child supported. The 13th portion of the corresponding earnings in the current calendar year shall be decisive for the calculation of the monthly scholarship amount.
- 2.3 In addition to the scholarship, a family allowance of up to €100 per month can be granted if custody is held for at least one child living in the household; "children" are such persons defined in section 1(1) of the Federal Child Benefits Act (BKGG). If the spouse or civil partner of the scholarship recipient has been awarded a scholarship according to these provisions or benefits according to other regulations whose purpose corresponds to that of a state grant for education or these provisions, the family allowance can only be granted once.
- 2.4 Upon submission of an application, scholarship recipients with children and foster children as defined in section 32(1) of the German Income Tax Act (EStG) shall be awarded a child allowance in the form of a fixed monthly sum until the day of a (foster) child's 18th birthday upon submission of an application, provided the other parent is not receiving a child allowance. This fixed sum shall amount up to €400 for the first child and increase by up to €100 for each additional aforementioned child. Children of the civil partner of the scholarship recipient can be taken into account if they live in the same household as the recipient.
- 2.5 Instead of an extension of the funding period due to childcare obligations (see section 3.1), monetary payments up to the amount of the expected scholarship benefits (including allowances) can be made to the funding recipient upon application in order to cover special care requirements. This option can also be exercised for a percentage of the period of extension resulting from the care requirements. Proof is to be provided that the funds were used for family-related purposes.
- 2.6 As part of the funding of a doctoral program and the funding of a postgraduate course of study, a fixed material expenses allowance of up to € 250 per month is usually paid out to cover expenses resulting from scientific work and the purpose of the funding. If, at a particular point during the funding, one-time expenses should be incurred and are indispensable for the project funded, they can be paid out in the form of one-off payments. They may count towards the fixed material expenses allowance in the future.
- 2.7 As part of post-doc funding, a fixed material expenses allowance of up to €250 per month is usually paid out to cover expenses resulting from scientific work and the purpose of the funding.
- 2.8 The basic scholarship amount pursuant to section 2.1 can, in individual cases with sufficient justification and cause, be increased on a case-by-case basis (e.g. proof of living costs due to income from previous employment).

3. Duration of Funding

3.1 The duration of funding for a doctoral program generally lasts for up to two years (standard funding period). It can be extended by

- 3.1.1 one year if the recipient cares for one child aged up to 12 years in his/her household for whom custody is held; children of civil partners of the scholarship recipients can be taken into account if they live in the same household as the recipient (see section 2.4),
- 3.1.2 six months up to a maximum of twice for an important reason, provided this is necessary to ensure the success of the project funded or the quality of the scientific work,
- 3.1.3 a maximum of one year if the scholarship recipient is impeded from making progress in his/her work due to a disability or illness.

Funding shall be provided for a maximum of four years (maximum funding period). For the birth of children for whom maternity leave could be claimed during the funding period, female scholarship recipients have the option of extending the duration of the funding by an additional three months in each case. The maximum funding period shall be extended accordingly.

The funding period for a postgraduate course of study is based on the total duration envisaged for that course of study: it is not to exceed two years. Past funding shall count towards the maximum funding period.

The duration of post-doc funding shall be determined on a case-by-case basis; it is generally three years. Depending on the results of an interim evaluation, the post-doc funding duration can be extended to a total of five years in justified cases.

Sentences 2 and 3 shall apply accordingly. Post-doc funding is granted for a maximum of seven years plus the extension period arising from the application of sentence 3 (maximum funding period).

3.2 Change in the funding period

- 3.2.1 Funding can, in particular due to family- or health-related reasons, which are to be individually explained in detail, be interrupted for a maximum of one year with the Foundation's consent.
- 3.2.2 Alternatively, a part-time scholarship for half the scholarship amount as specified in section 2.1 may be awarded. In this case, the unused standard funding period shall be doubled, but not beyond the maximum funding period.
- 3.2.3 In the case of a favorable decision, the scholarship cannot be claimed earlier than two months after the selection decision if arriving from overseas.

3.3 Funding shall end

- 3.3.1 upon expiry of the funding period pursuant to section 3.1 or the maximum funding period,
- 3.3.2 within these periods at the end of the month - for example, after the oral doctoral examination, after the completion of the postgraduate course of study, or upon attainment of eligibility for a professorship.

3.3.3 when the Foundation declines to continue funding.

4. General Provisions

- 4.1 A scholarship recipient as defined for the purposes of these provisions is a person who has been granted funding by the Foundation based on a selection procedure carried out according to these provisions. The Foundation shall review the fulfillment of the grant conditions before funding begins and at suitable intervals. The findings are to be documented.
- 4.2 There is no legal entitlement to funding from the Foundation.
- 4.3 The specific situation of disabled persons is to be given special consideration in accordance with section 1 of the Act on Equal Opportunities for Persons with Disabilities with the goal of avoiding discrimination in the provision of funding.
- 4.4 All benefits according to these provisions are grants.
- 4.5 Benefits shall be provided for a maximum of 12 months. Wherever possible, this funding period should commence at the beginning of a calendar quarter and be defined using full quarters.
- 4.6 Funding measurement amounts, family allowances, and fixed material costs allowances are maximum amounts, and the Foundation is at liberty to reduce them at its discretion; with regard to reasonable personal contributions from the scholarship recipient and/or the maintenance debtor, this is in particular to be verified particularly when determining overseas rates.
- 4.7 In particularly justified emergencies, the occurrence of which is not the fault of the scholarship recipient, the Foundation may grant additional one-off benefits after establishing strict criteria. This one-off allowance is not to exceed a total of €1,530; it is only to be granted if the funding goal would otherwise not be reached. The justification is to be recorded in a verifiable manner in the funding records.
- 4.8 If a significant circumstance for the calculation of the scholarship amount changes, section 53 of the Federal Training Assistance Act (BAföG) shall serve accordingly as a guideline.
- 4.9 The income of the funding recipient, his/her spouse or civil partner and/or parents can be fully or partially ignored in special exceptions:
 - 4.9.1 if and provided that taking these sums into account would result in unreasonable hardship, in particular when the income has been acquired as compensation for damages that are not material damages, or in the case of extraordinary expenses pursuant to sections 33 to 33 (c) of the German Income Tax Act (EStG);
 - 4.9.2 if the whereabouts of the parents or spouse or civil partner are not known, or they are legally or factually impeded from providing support within the scope of these provisions.
 - 4.9.3 The justification is to be recorded in a verifiable manner in the funding records.

- 4.10 Monthly scholarship amounts that do not result in sums in full euros are to be rounded down for residual amounts of up to €0.49 and rounded up for residual amount of €0.50 or more. Scholarships for less than €10 are not awarded.

5. Application Process and Grant Agreement

- 5.1 The Foundation only awards scholarship recipients benefits upon application. In the application, the necessary data and information as specified in sections 1. to 4. are to be specified.

Applications are to be submitted online or in writing. The notes and information on the application procedure with the key dates for the application procedure will be published by the Foundation on the website www.torsten-haferlach-leukaemiediagnostik-stiftung.de.

- 5.2 The following are to accompany the application:

- 5.2.1 A binding declaration on which applications for funding have been or will be submitted to other entities and what funding has already been awarded.
- 5.2.2 A binding declaration from the applicant, his/her spouse or civil partner and/or parents on their marital status, financial situation, income and/or assets as well as documentation of the necessary information for determining neediness; if the necessary documents cannot be produced or produced in time, the income situation is to be made plausible: this also applies if the income during the period of awarding funding is expected to be significantly lower than during the period that will be considered for the decision.
- 5.2.3 A declaration of consent that enquiries may be made to other funding institutions in order to prevent double funding;
- 5.2.4 the necessary information on academic qualifications, scientific proposals and the supervision by a university professor, supplemented (where applicable) by a statement from the head of the current working group on the performance of the applicant to date and the retroactive, current, and future context of the proposed project with regard to current research findings.

- 5.3 In the case of a favorable decision regarding the application, the Foundation shall award the benefits based on a private-law agreement, which is to be made in writing. In the agreement, which the Foundation shall be responsible for drafting, the following in particular are to be stipulated:

- 5.3.1 Nature, amount, and duration of the individual benefits to be awarded by the Foundation based on the application documents;
- 5.3.2 Terms of payment;
- 5.3.3 Recognition of the reasons for a termination of the agreement (section 5.4) and repayment obligations (section 5.5) on the part of the applicant;
- 5.3.4 Obligation of the applicant to notify of changes pursuant to section 4.7 without delay;

- 5.3.5 Obligation of the applicant to produce documents which appear necessary to verify the funding prerequisites upon request;
- 5.3.6 In the case of the awarding of benefits according to section 2., the obligation to submit a working report together with an expert statement from the supervising professor/project head at the end of each funding year and before each extension: this allows a performance assessment as stipulated by the Foundation.
- 5.3.7 The obligation to submit a final report on the entire funding period upon conclusion of the funding as stipulated by the Foundation. If a doctoral program was funded and completed, a notification of the completion and the results shall suffice; notifications and/or final reports should be supplemented with a statement from the supervising professor/project head;
- 5.3.8 In cases covered under section 5.2.2, the benefits shall be awarded conditionally until definitive proof is provided.
- 5.4 The Foundation is obliged to terminate the agreement in whole or in part where cause exists. In particular, cause is given when
 - 5.4.1 prerequisites for the signing of the agreement are subsequently no longer met;
 - 5.4.2 the scholarship recipient provided false information regarding significant facts or failed to disclose such facts;
 - 5.4.3 the scholarship recipient is in grave violation of the rules of good scientific practice, and this has been determined by the Foundation or the collaborating research institution in proceedings that have run their course;
 - 5.4.4 the scholarship recipient does not fulfill the obligations specified in sections 5.3.3 to 5.3.7;
 - 5.4.5 the scholarship recipient discontinues the course of study or the scientific project;
 - 5.4.6 it becomes apparent that the scholarship recipient is not making a necessary and reasonable effort to achieve the purpose of the funding.
- 5.5 In the case of termination, the payment of benefits shall be discontinued to the relevant extent. In the cases of section 5.4.2 and 5.4.3, the benefits are to be repaid from the very beginning, and interest amounting to 5 percent above the respective base interest rate pursuant to section 247 of the German Civil Code (BGB) for the year is to be paid on the repayment amount. In the case of section 5.4.3, the repayment obligation shall continue to persist even after the end of the funding period. In other cases of termination, the benefits shall be repaid starting from the occurrence of the reason for termination and in cases where the funding recipient does not immediately comply with his/her obligations as per the agreement, interest is also to be paid accordingly. If the funding recipient is not at fault for the reason for termination, he/she may retain the benefits.