INTRODUCTION

Universität Hamburg awards scholarships for the purpose of facilitating education and professional development, in particular to undergraduates, doctoral candidates, and post-doctoral researchers. Scholarships are granted according to uniform principles, in order to guarantee equal opportunity, transparency, and legal certainty. This guideline outlines the conditions for the awarding of scholarships according to the Directive for the Awarding of Scholarships at Universität Hamburg (excluding UKE) in the version adopted by the Executive University Board on 7 September 2020 (Directive) and includes the requirements for the selection of recipients, the application procedure, the amount of funding rewarded, and the status and obligations of the scholarship holders.
I. SCOPE

1. This guideline is to be applied in the awarding of all scholarships in all disciplines at Universität Hamburg (excluding UKE) within the scope (Section 1) of the Directive.

II. PURPOSE AND PREREQUISITES FOR THE AWARDING OF A SCHOLARSHIP

1. A scholarship serves both to fulfill a specific academic or artistic task, e.g., research or professional training for a doctorate, to cover individual training and further training needs, and to secure the livelihood of the recipient during the funding period.

2. A scholarship may not be awarded if Universität Hamburg offers a position of employment for the same purpose. The awarding of a scholarship immediately subsequent to a period of employment at Universität Hamburg requires special justification (e.g. doctoral studies or Habilitation, or exclusively for further academic qualification). An employment relationship directly preceding the scholarship is to be delimited in such a way that no job-related work be demanded or accepted from the scholarship. A scholarship may not be awarded as a means of extending a terminated employment position. Furthermore, a scholarship will not be awarded if the potential scholarship holder receives funding for the same project from a public or private institution.

3. Scholarships may be awarded from state funds or from external funding. State funds may only be used for scholarships if they are specifically designated for this purpose or not otherwise earmarked. Scholarships may be funded by external funding if the granting of scholarships is provided for in the external-funding grant or if the grant allows Universität Hamburg the use of non-specifically
earmarked external funding. In both cases, sufficient funds must be available for the total planned funding period as a prerequisite.

4. Scholarships may not be awarded as part of commercial projects (contract research/transfer of knowledge and technology (WTT)).

5. A scholarship does not establish an employment relationship and the scholarship holder must not be obliged to provide a specific academic or artistic service in return. Scholarship holders may not be treated as employees, i.e., scholarship holders have:

- no obligation to follow instructions;
- no integration into the organization;
- no vacation entitlement;
- no mandatory attendance
- no social security obligations.

III. APPLICATION/SELECTION PROCESS

1. Scholarships are awarded by means of a selection process according to the criteria established for this purpose at the beginning of the process; e.g. ¹

- high achievement in school, vocational training / profession or university studies
- special achievements, awards, honors, or prizes relevant to the field of study
- community, social, or policy involvement in matters related to university.

2. Scholarship recipients are chosen by individual professors, departments, academic institutions, or by a central selection

¹ Non-exhaustive list of possible award criteria.
committee. The selection of recipients must be documented in a comprehensible manner by the body awarding the scholarship, and a corresponding memorandum is to be forwarded to the responsible scholarship office. It is recommended that the relevant scholarship office provide information on award criteria and support in the selection process.

3. Prerequisite for awarding a scholarship include both the applicant’s qualification and the purpose of the funding (educational and professional development measures, support of research, and/or academic career development and international research cooperation). The minimum requirement is determined by the applicant’s level of education (higher education entrance eligibility, bachelor’s degree, master’s degree, doctorate, Habilitation (postdoctoral qualification)). It is up to the academic institution, the department or individual professors to determine further qualification criteria. The scholarship-awarding bodies (professors, departments, academic institutions) are responsible for reviewing the qualification of the scholarship applicants and documenting same in the selection memorandum.

4. Scholarships are awarded through a private-law agreement (funding agreement) between the scholarship holder and Universität Hamburg. Foreign scholarship recipients may receive a funding agreement in English.

5. The funding Agreement includes, as a rule:

- name, address, date of birth, bank details, relevant tax office, scholarship holder’s tax id number,
- nature and scope of the funding,
- period of funding,
- funding amount,
- obligations of the scholarship holder,
- explanation of the applicable tax, social security, and labor laws,
6. The agreement is executed and signed by the relevant scholarship office. The information and documents required for awarding the scholarship must be submitted in full to the relevant scholarship office by the relevant academic institution or the relevant supervisor or project management.

IV. PERIOD OF FUNDING

The duration of a scholarship is determined by the content and purpose of the educational or professional development program or research project. In accordance with the principles for awarding scholarships in research training groups of the German Research Foundation (DFG), it should, as a rule, be no less than three months and not exceed a period of 36 months. Details about the funding period can be found in the appendix to this document.

V. FUNDING AMOUNT

1. The amount of funding for a scholarship may not exceed the amount necessary to fulfill the research task or to cover living expenses and individual educational needs. Living expenses are determined based on general understanding of same and include the expenses essential for housing, food, clothing, education, health, reasonable leisure activities and other similar necessary expenses. Individual need is oriented to the scholarship holder’s academic qualification. Details about the funding amount can be found in the appendix to this document.

2. The funding amount consists, as a rule, of
a) **Base amount**
When awarding a scholarship, the awarding body may independently determine the base amount of the scholarship within the range listed in the appendix to this guide in Sections II subsection 3 and 4. The individual need is determined by the academic qualification of the scholarship recipient.

b) **Material cost allowance**
The material cost allowance is a lump sum that is included in the monthly basic payment. Qualification scholarships and scholarships for experienced researchers (Sections II subsections 1., 4. and 5. in the appendix to this document) do not include material costs.

c) **Supplementary child benefit**
For children under the age of 18 living in the scholarship holder's own household (Section 2 subsection 1 numbers 1 and 2 of the Federal Child Benefit Act (Bundeskindergeldgesetz, BKGG)), a supplementary child benefit is paid in the form of a monthly lump sum in accordance with the requirements and rates specified in the appendix to this guideline. The supplementary child benefit is offset against benefits received under the federal parental allowance and parental leave act (Gesetz zum Elterngeld und zur Elternzeit, BEEG) and the state child-raising allowance laws.

The child benefit is not included in the funding amount; it must be applied for at the scholarship holder's employment office (Familienkasse).

**VI. TAX INFORMATION**

1. Scholarships are, as a rule, tax-exempt in accordance with Section 3 number 44 of the German Income Tax Act (Einkommensteuergesetz,
EStG), provided they do not exceed the maximum funding amounts as specified in the guideline and the scholarship holder has no other income. The tax office responsible for assessing the scholarship provider for corporate income tax, or which would be responsible if the scholarship provider were liable for corporate tax, is responsible for checking whether the conditions for tax exemption of a scholarship under Section 3 number 44 of the German Income Tax Act (EStG) are met. At the request of the scholarship holder or the scholarship holder’s relevant tax office, this scholarship provider’s tax office must issue a certificate of tax exemption in accordance with the requirements of Section 3 number 44 sentence 3 letters a and b EStG.

2. In the funding agreement with the scholarship holder, Universität Hamburg expressly points out the scholarship holder’s tax-related record-keeping recording and declaration obligations. Universität Hamburg cannot and may not provide a consulting service for this purpose. Universität Hamburg is obligated to report all scholarship payments to the scholarship recipient’s relevant tax office (in the case of foreign scholarship recipients, to the Hamburg-Nord tax office).

3. Scholarship funding does not constitute remuneration pursuant to Section 14 of the German Social Security Code IV (SGB IV) and is therefore not subject to social security contributions. No contributions are paid into pension or unemployment insurance and thus no vested rights are acquired. No further benefits (e.g. contributions to health insurance, allowance in cases of illness, child benefit, etc.) will be paid over and above the approved funding.
VII. STATUS AND OBLIGATIONS OF SCHOLARSHIP RECIPIENTS

1. No insurance coverage is associated with the status of “scholarship holder”. As adequate health insurance coverage is however required by law, scholarship recipients are obligated to take out their own insurance (statutory or private). If the scholarship holder is a student (according to Section 8 subsection 1 HmbHG) and under 30 years of age, they are eligible for a student health insurance policy. Foreign scholarship holders have the option of taking out health insurance through the DAAD. Furthermore, it is recommended that the scholarship holder take out accident and (professional) liability insurance policies, and that they pay unemployment and/or pension contributions. Existing accident and (professional) liability insurance policies should be reviewed to determine whether they cover any hazardous activity on the part of the scholarship holder.

2. Scholarship holders may not be deployed in the supervision of students or in teaching, as these are usually instruction-dependent activities and carry a reciprocal obligation. Teaching assignments are only compatible with the scholarship in the context of a part-time job.

3. As a rule, a scholarship allows the scholarship holder to use Universität Hamburg facilities, material and, if applicable, staff as regulated by the managing director of the institution awarding the scholarship. The scholarship holder is obligated to use the facilities and material conscientiously and without excess. The legal and administrative regulations in force at the respective institution must be observed by the scholarship holder. Scholarship holders are encouraged to participate in the academic life of their research area and/or college. The scholarship recipient may be requested to submit a report after the completion of the scholarship. References to the scholarship are permitted in publications as well as the production of reprints and books, scholarship reports, and publications whose creation is wholly or partly due to the scholarship, as are references in
4. The character of the relationship between the scholarship holder and the scholarship provider is one of a partnership of trust. As such, scholarship holders are to refrain from any activities that might jeopardize the fulfillment of the scholarship purpose. Furthermore, it is the duty of the scholarship holder to inform Universität Hamburg of any circumstances that could jeopardize the purpose of the scholarship (e.g. acceptance of additional contracts or secondary income, etc.). Universität Hamburg may impose certain notification and information obligations on the scholarship holder.

5. Illnesses lasting less than six weeks have no effect on receipt of the scholarship payments. If the purpose of the scholarship is jeopardized due to illness, the scholarship may be interrupted. The purpose of the scholarship is generally considered to be jeopardized if an illness lasts longer than six weeks. In individual cases a scholarship extension may also be granted, upon presentation of a doctor’s certificate, with written consent of the supervisor or project management of Universität Hamburg responsible for awarding the scholarship (see. Section 4 subsection 2 of the guideline).

VIII. ADDITIONAL GAINFUL WORK / OTHER INCOME

The directive stipulates that a combination of the scholarship with other additional income is permissible, provided that the income (salary or income from freelance and non-freelance work) does not exceed the earnings limit for low-income employees (currently €450 before taxes per month) during the funding period.
If scholarship holders have or take on additional gainful work, they are obligated to report it.

**IX. FINANCIAL AND ADMINISTRATIVE REGULATIONS**

1. As a rule, the scholarships are paid into the scholarship holder’s German bank account, which must be specified in the funding agreement.

2. Payment of scholarships by cashier’s check is only possible in exceptional cases (e.g. if it is not possible for the scholarship holder to open a German bank account) and requires an informal written justification.

3. Scholarships are, as a rule, paid in monthly installments, beginning on the first of the month. One-time payments or payments of several combined months at the beginning of the scholarship are only possible in exceptional cases and require an informal written justification.

**Appendix:**
Overview of scholarships at Universität Hamburg – funding amounts, allowances, and funding periods