

1. Eligible to apply: natural persons and corporate entities under public and private law.

2. Type and extent of funding: Fundamentally, the funding takes place in the form of a non-refundable subvention entrusted for a specific purpose. The grant can be made in various amounts, depending on project and applicant.

Funding on a costs basis: As a rule, funding takes place on the basis of the total project costs, in the form of a general expenses premium. The funding recipient has a basic obligation to account for his or her own deductible share of costs. The upper limit of the grant amount is determined by European Union state aid regulatory law.

Funding on an expenditure basis: Institutions of higher learning, and public institutions with governmental basic funding, may be supported on an expenditure basis. In this case, project costs are determined on the basis of project-related expenses not already covered by basic funding. Support can amount to up to 100% of project costs.

Cooperative projects: With cooperative projects, each cooperating partner is dealt with separately regarding type and amount of funding.

3. Project start: Support of projects already begun is, normally, not possible. Early commencement of activities may, in exceptional cases, be permitted upon application. The application must be justified.

4. Project sketch: For the initial assessment of your proposal, a short, informative project sketch should be submitted.

4.1 Length of project sketch: 5 to 8 pages

4.2 Information required:

- ✓ Title of the proposal
- ✓ Details regarding applicant and any cooperating partners (Address, Telephone, E-mail, Project Director/ Contact Person, form of organization)
- ✓ Current issues involved and "state of the art" as regards scientific and technological aspects
- ✓ Applicant's previous works and activities in the field
- ✓ Reasons for, and goals of, the project
 - contribution to environmental relief
 - Model character of the solutional approach envisioned
 - Innovative character of the project
 - Measures toward solution of the environmental problem
 - Scheduled phases for working steps
- ✓ Costs and financing of the project
 - Estimation of total costs
 - Foreseeable amount of applicant's own deductible share
 - Financing of the deductible share
 - Financial help from grant funding programs
- ✓ Duration of the project
- ✓ Continuation of the project

Especially significant in the evaluation of the proposal by the DBU offices is the **innovative character** of the project, and **environmental relief** which goes beyond existing concepts. Further criteria are **model character**, the **feasibility of implementation**, and practicality.

Where compatibility between the proposal and the foundation goals and support capacity of the DBU is identified, the DBU offices will solicit the submission of a complete application.

5. Funding application:

5.1 Application deadline: normally, none.

5.2 Length and form: no more than 20 pages; generally in any form

5.3 Required content:

✓ **Title of the planned activity, total project costs, funding amount requested, project duration.**

✓ Short summary of the entire proposal:

- An introductory summary to the application, in one page or less, should describe the reason for the proposal, the environmental goals, and the intended steps.

✓ **Specifics on applicant/funding recipients:**

- Name, legal form, address, ownership structure, trade- and/or associations register, revenue, number of employees, industrial branch and references where applicable,
- Applicant's credentials/qualifications for project execution,
- Name, telephone- and fax numbers, and e-mail address of the Project Director/ Contact Person.

✓ **Information on cooperating partners:**

- The applicant should consider whether the addition of cooperating partners improves the project's chances for a successful outcome. Implementation-oriented aspects should also receive special consideration, e. g. through the active participation of future users of the project's results.
- The necessary information regarding cooperating partners is the same as that for the applicant. Project contributions of the cooperating partners are coordinated and controlled by the grant recipient.

✓ **Environmental relevance:**

- Short description of the environmental issues which are to be addressed by the project,
- Depiction of the environmentally-relevant project goals (if possible, also quantified),

- Description of the environmental relief which goes beyond current practice or statutory provisions,
- Influence of the project on material- and energy streams and their balance.

✓ **Objectives of the proposed project:**

- Status of applicant's previous works on this subject,
- Fundamental ideas regarding achievement of the project goals,
- Target group for the project's results,
- Description of the solutional concept in direct connection to the work-, time- and cost projections,
- Description of the individual measures and "work packages" in their interactive relationship.

✓ **Innovative character of the project:**

- Innovation in the project as compared to existing regulation, conditions, products, processes and/or approaches.

✓ **Work plan and schedule projection:**

- Representation of a detailed time- and work plan, from which the exact temporal schedule of the implementation of the project's substance is clear (where appropriate, with information on planned person-months, milestones etc.).

✓ **Financial- and costs projection:**

- Representation of the requested type and extent of funding for each cooperating partner (support on costs basis or support on expenditure basis).
- Representation and explanation of all project finances. The financial projection should, in particular, give information regarding how costs not covered by DBU funding (deductible), will be financed (self-financing, financing and/or support by third parties, sponsoring, convention revenue etc.).
- Detailed and comprehensible breakdown of total project costs in separate categories for applicant and cooperating partners according to cost types (see below).

✓ **Technical and economic risk involved:**

- DBU funding is intended to reduce development risks in promising proposals. What is the nature of the risks inherent in the project's development? What economic risks are involved in the proposal?

✓ **Multiple funding sources:**

- The applicant declares in a binding manner, and in writing, whether other funding has been (or is to be) applied for and/or approved from and by other institutions for this, a partly identical, or a similar proposed project.

✓ **Propagation, continuation and perspectives:**

- Measures for dissemination/propagation of the project results,
- Continuation after the end of financial support (with projects conceived as having long-term effects).

6. Costs projection: The costs projection is basically divided into the following **cost types:**

a. Funding on a costs basis:

- Gross earnings (basic salary)
- General costs
- Material costs
- Fremdleistungen
- Travel costs

b. Funding on an expenditure basis:

- Personnel costs
- Material expenditures
- Contracted services
- Travel expenses

Additional project-specific cost types are possible in individual cases. For applicants and co-operating partners, each must compile her/his own respective costs- and financial plans.

7. Decision-making regarding funding: The German Federal Environmental Foundation (Deutsche Bundesstiftung Umwelt, DBU) makes decisions about the granting of funding to projects submitted to it according to project nature and extent, under consideration of the votes of evaluators who serve voluntarily. These individuals base their judgment on information which the applicant provides with the application. It is thus strongly in the interest of the applicant to take advantage of the formulation of the application as a means to create a foundation for a balanced and well-considered evaluation. With a view to an expeditious processing, applications should be characterized by a high degree of incisiveness and thoroughness. Applications should, without the benefit of included reading matter from quoted individuals or enclosed literature, be understandable in and of themselves. The decision regard-

ing the granting of funding is made by the Board of Trustees or the General Secretary of the German Federal Environmental Foundation (Deutsche Bundesstiftung Umwelt, DBU).

8. EU State Aid Law: The funding activity of the German Federal Environmental Foundation (Deutsche Bundesstiftung Umwelt, DBU) is governed by the State Aid Law regulations of the EU. The funding guidelines were therefore formulated in conjunction with the EU Commission. The practical significance of the categorization of the funding as state aid is that the suitability of funding proposals is initially judged based on the standards of European State Aid Law.

9. Further Information: Additional helpful information and working aids can be found and downloaded on the website of the DBU at www.dbu.de. We also direct your attention to the **DBU Funding Guidelines 2012** and the **procedural rules** found therein.