

## **Grant Guidelines**

### **§ 1 GHS's Grant Activities**

1. Within the framework of its statutory foundation purposes, the GHS operates in the funding areas of neuroscience, European integration, and education for democracy.
2. The GHS is active both operationally and in terms of providing support. The weighting of activities is in accordance with the strategic decisions of the Board on the programmatic orientation of the GHS.
3. The GHS only supports projects whose results are accessible to the public.
4. In accordance with the foundation's purposes, projects with domestic and foreign non-profit institutions and project sponsors can be supported.

### **§ 2 Principles of Funding**

1. The GHS exclusively supports exemplary and innovative projects within the funding areas it has defined. It particularly ensures start-up financing for such projects. A funding period of five years should not be exceeded.
2. The requested funds must not relieve the actual sponsors of the supported institutions, especially not the state. It must be ensured that third-party funders are not induced to cut their contributions accordingly. Projects and measures that have already started can only be funded in exceptional cases.
3. The funds are allocated for a specific purpose, generally in the form of a non-repayable grant. The granting of general, unspecified grants is excluded. As a rule, funding can only be awarded to institutions and establishments, but not to individuals. The institution or establishment should have its headquarters or a branch, at least however a representative, in the European Union.
4. Applicants must indicate whether the respective funding application is simultaneously being considered by another institution. If applicable, it should be stated to which institution the application has already been submitted in this or a similar form.

### **§ 3 Exclusion List**

The following typical concerns are excluded from funding, unless they have a connection to a GHS funding measure:

- Printing subsidies for publications
- Translation work
- Closing budget gaps
- Applications for covering costs for individuals' participation in congresses, conferences, and training measures
- Acquisition, completion, or maintenance of collections of all kinds
- Monument protection and building measures
- Individual scholarships outside of GHS's own scholarship programs

#### **§ 4 Application Process**

1. Applications can only be submitted in writing. The application process is informal, unless special provisions or application forms are provided for individual focal points and programs of the GHS. This particularly applies to scholarship programs and research funding.

2. Each application requires a description of the project (project outline) with the following content:

- Information about the applicant
- Object of the project, project goals, and project contents
- Justification for the particular worthiness of the project for funding
- Information on the model character, innovation, transferability, and sustainability of the project
- Time and milestone planning of the project
- Project costs, separated by types of costs (personnel funds, travel funds, and material resources as defined in § 7 of these guidelines)
- Presentation of the financing (if applicable, follow-up financing)
- If applicable, a brief expert opinion from an independent expert

3. Domestic foundations and corporations must provide evidence of their tax-advantaged status according to §§ 51 ff. AO (valid exemption notice); other applicants must assure that the funds will be used exclusively for the purposes stated in the application.

#### **§ 5 Application Review**

1. The GHS reviews the substantive compatibility of the application with its foundation purposes and the funding areas it has defined. Furthermore, the feasibility of the proposed project is examined, including organizational and financial aspects.

2. The GHS reserves the right to have project and funding applications assessed by external experts. It selects the reviewers for each application from various

disciplines, universities, and institutions, according to the requirements of the individual applications.

3. The GHS is free in its decision-making; there is no entitlement to the granting of funding. The GHS is not subject to the principle of equal treatment. Legal recourse is excluded.

4. The GHS endeavors to decide on the project applications in a reasonable time and to inform the applicants.

## **§ 6 Approval of Funding**

1. The approval of funding is made in the form of a written approval notice. Especially for larger projects, a project contract can replace the approval notice. All other commitments or preliminary notifications of decisions by decision-making bodies remain non-binding. The approval may be subject to conditions.

2. Cooperation with partners in operational projects is governed by contractual agreements.

## **§ 7 Types of Grants**

The following grants can be applied for:

### **1. Personnel Funds**

From the approved personnel funds, the remuneration for employees including ancillary personnel costs (e.g., employer's contributions to statutory social insurance) is to be financed. An employment or service contract must be concluded for each person to be hired. The grant recipient has all rights and obligations arising from the employment or service contracts. Fees are to be paid out of material resources.

### **2. Travel Funds**

Project-related travels are to be financed from the funds approved for this purpose. For domestic and international travel, the daily and overnight rates are to be settled generally according to the federal travel expense law for public service.

### **3. Material Resources**

In addition to consumables, material resources include the purchase of necessary devices and movable items. The purchase of a device or several functionally related devices worth more than € 5,000 must be listed separately in the application or must be approved subsequently, but before acquisition. The procurement must generally be based on at least two offers. The devices and

movable items acquired with the approved funds generally become the property of the grant recipient. The proper storage and maintenance of the devices must be ensured. The ongoing costs of the devices (operating costs) such as maintenance, repair, spare parts, etc., are covered by the GHS only within the framework of the approved budget. Fees, allowances, and scholarships are also to be financed from material resources.

## **§ 8 Drawdown Plan**

1. For the request of the approved funding, the applicant must submit a drawdown plan according to the ongoing need and progress of the project, which is intended to ensure the continuous execution of the project for the approval period. Personnel funds should be requested on a quarterly basis. For the drawdown of funds, the grant recipient must use the "Drawdown Plan" form provided by the GHS, which is sent with the approval notice.
2. After reviewing the drawdown plan, the GHS will transfer the funds to the account specified by the grant recipient on the dates indicated. The GHS may require that the grant recipient set up a separate account at their banking institution exclusively for the handling of GHS funding.
3. Approved funds that are not requested within three months of the project's end will be forfeited.

## **§ 9 Use of Funds**

### 1. Economy

The funds approved by the GHS must be used economically and efficiently.

### 2. Purpose Binding

The approved funds are generally purpose-bound according to the defined cost types. Major deviations and all substantive reallocations require approval by the GHS. The grant recipient is responsible for the purpose-oriented use of the funds. Claims arising from the approval are neither assignable nor attachable.

### 3. Approval Period

The funds approved by the GHS are not tied to fiscal years. On request, the approval period indicated in the approval notice can be extended. The GHS will decide on additional funds required in the context of the expansion or continuation of a project after submission of a continuation application.

### 4. Deadlines

The approved funds must be used promptly, at the latest within six months of the call-off (§ 8).

#### 5. Funds Not Used Promptly

The GHS must be immediately informed about funds that have been called off but not used promptly. Unused funds must generally be returned immediately, at the latest with the submission of the proof of use to the GHS.

### **§ 10 Reporting, Proof of Use, Project Completion**

#### 1. Reporting

After the end of the approval period, the grant recipient must submit a comprehensive final report to the GHS within three months or on the date communicated with the approval, about the project and the achievement of the project goals. The format of the final report must be coordinated with the GHS. For multi-year projects, the grant recipient must prepare interim reports in accordance with the conditions of the approval. Furthermore, the GHS may initiate a special evaluation tailored to the project. In addition, the grant recipient is obliged to provide information about the status of the project at any time upon request from the Foundation. The grant recipient must also report on events that significantly change the implementation schedule without being asked.

#### 2. Proof of Use

Proof of the use of funds must be provided using the "Cost Breakdown" and "Proof of Use" forms provided by the GHS. The proof of use of the funds must be provided promptly, but no later than three months after the completion of the project. The accounted funds must be documented with auditable records. The receipts and other documents must be carefully stored according to the legal retention periods (currently 10 years).

The GHS is entitled and reserves the right to inspect the proof of use or the use of funds at any time by examining books, records, and other documents or having them examined by a representative (audit of fund use). The grant recipient is obliged to provide information. For multi-year projects, the grant recipient must prepare interim proofs of use at the request of the GHS, usually at the end of the year or after one year of funding.

If the interim proof of use reveals that the grant recipient has an excess of funds not used promptly, the GHS may postpone further payments according to the drawdown plan.

Funds not required or not legitimately used for the project must be repaid immediately.

In the case of co-financing with third-party funders, the GHS has the right to inspect all documents.

### **§ 11 Public Relations**

The GHS emphasizes the importance of the grant recipient communicating the project funded by the GHS through active press and public relations work. All public activities related to the project must include a reference to the funding by the GHS, usually considering the GHS logo. These activities should be coordinated with the PR department of the GHS already in the draft phase. The GHS reserves the right to make the project of the grant recipient and its own funding decision the subject of a public announcement. For this purpose, the grant recipient must provide the GHS with meaningful text and image material upon request.

### **§ 12 Right of Revocation**

The GHS reserves the right to revoke the approval and demand the repayment of the disbursed amounts if the conditions of approval are not sufficiently observed, especially if the funds are not used for the intended purpose or if proof of fund use is not provided. The right to revoke the approval also applies if the funding measure is not commenced within one year of receiving the approval notice.

### **§ 13 Acknowledgement of the Guidelines**

By submitting the signed drawdown plan, the grant recipient acknowledges the provisions of these guidelines and all other approval conditions expressed up to the time of sending the approval notice.

Date: March 10, 2009