



Frequently Asked Questions (FAQ)

Request for Proposals (RfP) for Colombia, Mexico, and the Philippines

Processes

Question 1: What comprises the first and second stage of the IKI selection procedure?

IKI selection is based on a two-stage procedure.

In the **first stage**, coherent programme outlines need to be submitted based on the corresponding funding information. If programme outlines are promising, BMU will ask for the submission of a formal programme proposal (start of second stage).

In the **second stage**, the joint programme coordinator will receive a written invitation to submit a formal request for funding for an appraisal mission (start of second stage). Joint programme coordinators then have up to six months to complete the appraisal mission and on that basis have to submit a thoroughly prepared programme proposal. After an in-depth evaluation and a positive decision on the proposal by BMU the programme can begin.

Question 2: When can a programme outline be submitted?

In 2018, IKI will publish several RfP for submitting programme outlines. Please refer to the IKI website ([link](#)) for the deadline for submission of programme outlines for the current IKI selection procedure.

Question 3: In which form is the programme outline to be submitted?

The programme outline needs to be submitted exclusively via the electronic online form provided ([link](#)). Hard copies and programme outlines submitted in a different format (excel, jpeg, word, pdf) will not be considered in the selection process.

Question 4: Does a programme outline need to be signed?

Since the programme outline is submitted electronically, it does not require a signature.

Question 5: Can the programme outline be evaluated by BMU before submission?

For reasons of equal treatment and fair competition, an evaluation of the programme outline before submission is not allowed. Inquiries about the status of the assessment of programme outlines will also not be answered while selection is in progress.

Question 6: What is an appraisal mission?

The appraisal mission is mandatory and serves as a preliminary audit to supply valid data and information, providing the foundation for a detailed programme planning process and substantiated programme structure and content.



Question 7: Should the expenditures for the appraisal mission be included in the programme outline?

Details (scope, activities, roles of the partners, expenditures, etc.) of an appraisal mission may be indicated in the online form under 7.1. 'Need for pre-appraisal mission' and the relevant budget field. The expenditures needed for an appraisal mission are not to be included in the overall programme budget.

Applicants

Question 8: Who can submit a programme outline?

IKI supports activities by implementing agencies, NGOs, consultancies, universities, research institutions, based in Germany and abroad, by international and multilateral organisations and institutions, e.g. development banks and United Nations bodies and programmes. Individuals and their programmes are not supported by the IKI. IKI in particular encourages implementing institutions as described above from the partner countries itself.

The programme should be implemented in a consortium of more than two organisations (minimum), including significant participation of national implementing institutions in the framework of a cooperation agreement (see fact sheet Consortium Agreement on the IKI website ([link](#)) with one organisation acting as **joint programme coordinator**. This joint programme coordinator is the sole recipient of the approval notification and the sole contract partner of BMU receiving direct payments through BMU; no grants funds are paid directly to other partners in the joint programme. The joint programme coordinator is responsible for forwarding the grant to the partners as agreed within the consortia of the programme.

The joint programme coordinator and the partners in the joint programme need to have comprehensive relevant expertise and experience of the target region. The joint programme coordinator must display this expertise and, as a rule, demonstrate that it has continuously implemented international cooperation programmes in the relevant thematic area jointly with partners in the region for at least five years. The partners must demonstrate their expertise in accordance with their role in the programme.

The joint programme coordinator must be able to undertake qualified planning and a cost-effective implementation of programmes and to monitor and render account for them, if necessary in collaboration with the partners or subcontractors directly involved. This includes ensuring compliance with relevant environmental and social safeguards in accordance with IKI's safeguard policy. Specific monitoring of the programmes is expected. Programme planning and monitoring should be based on the results framework developed by the Organisation for Economic Co-operation and Development (OECD).

The joint programme coordinator and the consortia partners must provide competent staff for the technical and administrative programme implementation. Average annual BMU funding volume should not exceed the grant recipient's average annual turnover over the last three business years. When the grant is forwarded, the joint programme coordinator is responsible for ensuring that the programme partners (forwarding recipients) also comply with this requirement in respect of their funding share. The average annual funding volume derives from the planned total BMU funding volume and the planned duration of the programme as stated in the outline.

Activities by organisations/institutions based in Germany and abroad are supported via grants. Activities conducted by German federal implementing agencies are commissioned pursuant to the terms and conditions applicable to these agencies. With regard to funding for institutions based abroad, the sections of this funding information apply correspondingly.

Question 9: The average annual grant from BMU should not exceed the average annual turnover of the joint programme coordinator over the last three years. Does this apply solely to the joint programme coordinator's share, or does it apply to the overall grant?

The joint programme coordinator is the grantee and receives as the initial recipient the overall grant. The requirement (cf. Question 23) therefore applies to the overall grant.

Question 10: Is it possible to display the required five years of experience in the country through the overall consortium (all programme partners, or one of them) instead of through the joint programme coordinator exclusively?

No, the joint programme coordinator must provide evidence of this expertise and, as a rule, demonstrate that it has continuously implemented international cooperation programmes in the thematic area jointly with partners in the country for at least five years.

Joint Programmes

Question 11: What is a joint programme?

In general, a joint programme involves several organisations that work as fully-fledged partners for the purpose to ensure successful and efficient implementation of a joint IKI programme. The principles of cooperation will be laid out in a cooperation agreement signed by all the implementing partners and the joint programme coordinator. The cooperation agreement should not be submitted until the second stage of the application procedure (cf. Section 6.1 'Selection procedure' of the funding information). Please refer to the 'Consortium Agreement' fact sheet on the IKI website for more information ([link](#)). The joint programme must ensure significant participation of national implementing agencies (cf. Question 8 and 27).

Question 12: What is a cooperation agreement? When is the cooperation agreement to be submitted?

The successful implementation of a programme demands trustful collaboration and respectful interaction between cooperation partners. The partners shall therefore conclude an internal agreement. The cooperation agreement sets the framework for the cooperation and should regulate the rights and obligations of the partners. Moreover, the partners appoint a joint programme coordinator who carries out the internal organisation and external representation of the joint programme.

The cooperation agreement shall be negotiated and finalised before the decision on funding programmes is made. Please refer to the 'Consortium Agreement' fact sheet on the IKI website for more information ([link](#)).

Question 13: What is the relationship between the joint programme coordinator and the implementing organisations towards BMU?

The joint programme coordinator is the **sole recipient** of the approval notification or the sole contract partner of BMU. As the sole recipient, the joint programme coordinator receives direct payments through BMU; no grants funds are paid directly to other implementing partners in the joint programme. The joint programme coordinator is responsible for forwarding the grant to the implementing partners in the joint programme. Please refer to the 'Consortium Agreement' fact sheet on the IKI website for more information ([link](#)).



Question 14: Can several organisations/institutions take on the role of a joint programme coordinator?

No, only one implementing organisation can assume the role of the joint programme coordinator.

Question 15: What does cooperation at the same level mean?

Cooperation at the same level means that the partners in a joint programme take decisions on the common implementation in partnership and joining their respective comparative advantages and competences to ensure the successful and efficient implementation of an IKI programme. The implementing partners should act in consensus (incl. external visibility of all partners with simultaneous presentation of the programme as financed by the BMU).

Question 16: How binding, in the view of BMU, are cooperation arrangements at the point of submission of a programme outline? After outline selection, can cooperation partners leave and/or join the initiative?

After the selection, further implementing partners can join if, for example, an appraisal mission indicates that further local partners/experts are required to implement the programme. Normally, no cooperation partners will leave the initiative after selection, unless this is mutually agreed by the partners and only if this does not change the character and core elements of the programme outline.

Question 17: Will BMU provide support for matchmaking with compatible partners, recommending partnerships with like-minded organisations?

In order not to influence competition among the implementing partners, BMU will not provide any support for networking among potential partners.

Question 18: Can a NGO based in the USA act as joint coordinator for a programme in Mexico? Or must a Mexican (NGO or governmental) partner take on this role?

There is no requirement that the joint programme coordinator must be headquartered in the country in which the measure is conducted. However, it must be ensured that the partner in question has expertise in that country.

Question 19: Is it essential to be in a consortium with a German institution?

No, it is not necessary for a German institution to be involved in a joint programme.

Partnerships

Question 20: How will the interest of the political partner and its willingness to cooperate be secured?

The political support of the partnering Government for the programme will be secured by BMU bilaterally. No action is required by the implementing partners.

Question 21: Do all partnerships and subcontractors have to be listed in the programme outline?

Political partners have to be listed in the programme outline and contact persons / focal points within the partner country's Government (political partner) have to be provided.

All **implementing partners** that participate in the consortium have to be stated in the programme outline. The procurement of services, which includes the delivery of goods, construction works or the provision of services, shall take place after the approval of a programme. Should **subcontractors** already be determined before submission of the programme proposal, they have to be listed in the programme proposal and their selection has to be reasonably justified.



For more information on the differentiation between partners/forms of partnerships please read the instructions provided in the programme outline on the IKI online platform ([link](#)).

Please also describe the organisational structure of the programme consortium in Annex 2 of the programme outline (online version) and upload a relevant **organisation chart**.

Budget

Question 22: In which currency is the application requested?

All calculations and amounts must be stated in Euro (EUR).

Question 23: Are there any guidelines regarding the maximum amount of funding?

A minimum or maximum grant amount does not exist. In general, please refer to the stated amounts in the respective bilateral request for proposals.

The planned average annual BMU funding volume should not exceed the joint programme coordinator's average annual turnover of the last three financial years. The average annual funding volume follows from the planned BMU total funding volume and the planned programme duration.

$$\emptyset \text{ annual funding volume} = \frac{\text{total BMU funding}}{\text{Years(project duration)}}$$

The joint programme coordinator is responsible, within the framework of the transfer of the sub-grant, for ensuring that this requirement is also complied with by the implementing organisations (forwarding recipients) in respect of their funding share.

Question 24: What are own funds, third-party grants and external funding? Do they have to be stated in the budget?

Own funds are a financial contribution which is supplied directly from the joint programme coordinator's funds and is not sourced from other donors, third parties or implementing partners.

IKI programmes should not be funded entirely by BMU funding, but include an adequate proportion of co-funding. An appropriate financial participation of the joint programme coordinator ('own funds') and/or the mobilisation of additional co-funding are a condition for approval of a grant. The extent to which the own funds must be available can only be decided in individual cases. The appropriate amount depends in particular on the financial strength of the applicant. A fixed minimum level for own funds does not exist. The funding of the programme purpose is primarily the responsibility of the applicant, who therefore has to do everything he can to achieve the necessary funds. A full financing mode from BMU is therefore only possible in exceptional cases.

In addition to own funds, **third-party grants** refer exclusively to sums made available for the programme from other public donors to finance the eligible total expenditure. Other public institutions include institutions of the federal and state governments, institutions and foundations of public law, as well as associations thereof, irrespective of the legal form, and all EU institutions. A written confirmation by the donor concerning the provision of the third-party grants is to be submitted after the completion of the first stage.



In addition, **external funding** can be included. External funding is funding provided by non-public third parties with an interest in the programme to finance the total expenditures of the programme that are eligible for support (e.g. private donors). A written confirmation of this financial contribution is mandatory.

Own funds from implementing partners are counted in the formal programme proposal as third-party grants or external funding. A written confirmation is not necessary in this case.

In principle, all revenue related to the programme purpose (in particular, the grants and/or external funding) and the own funds of the joint programme coordinator are to be used as a means for all eligible expenditures related to the programme purpose.

Question 25: Can participation also take the form of in-kind contributions?

In-kind contributions usually refer to goods or services provided free of charge by a third party. In-kind contributions never involve an actual transfer of financial resources to the joint programme coordinator or the implementing partners. Therefore, in-kind contributions do not involve any expenditures. Consequently, in-kind contributions are not eligible and must never appear in the budget of the IKI programme as an expenditure. It is not practical to calculate the financial value of such contributions and to assess whether it has effectively been provided. If in-kind contributions are intended, BMU shall be informed and the planned contributions need to be displayed and described under 5.4 of the programme proposal form (second stage).

Question 26: Do smaller projects, which do not reach the announced country-specific budget or larger projects, exceeding the country-specific budget have a chance to benefit from IKI funding?

No, within the framework of each bilateral funding information, projects that do not meet the criteria laid out for joint programmes are not eligible.

Question 27: How is the budget distributed between the joint programme coordinator and the implementing partners? Are there any guiding principles?

There are no specifications. However, a balanced and comprehensible relationship should be reflected. It is in the special interest of BMU that the joint programme organisations cooperate at the same level. This should be reflected in the budget. IKI expects a strong involvement of national/local partners in the consortium, receiving a minimum of 50% of the programme's budget.

Question 28: Is there a fixed limit to the IKI administrative overheads?

A fixed limit is not defined. However, in case the administrative overheads seem excessive you may be asked to deliver a detailed breakdown for further assessment.

Question 29: Must implementing partners also provide evidence to BMU of an own contribution? When and where (outline or programme proposal)?

Appropriate own financial contributions and implementing partner inputs, and the mobilisation of additional funding to finance the eligible expenditure, are generally a precondition for approval of a grant. When evaluating the suitability of a programme, the level of own funds and third-party grants is one of the selection criteria. This rule also applies to the implementing partners in a joint programme. The budgeted own funds and third-party grants must already be stated in the outline. Own funds of the implementing partners have to be declared under 6.2. ('Own Funds provided by submitter/implementing partners').



of the Federal Republic of Germany

Question 30: What happens if a programme has accessed another source of funding? Would the award be withheld because of a breach of this clause?

Appropriate own financial contributions are generally a precondition for approval of a grant (cf. Question 29). If additional financing (own funds and/or third-party grants) can be secured for the programme, BMU views this positively. Depending upon the type and level of the new funding, the BMU grant would be reduced accordingly. This, however, must be assessed on a case-by-case basis; it is not possible to generalise in advance.

Question 31: Does an English-language version of the general collateral clauses for grants to support programmes (Allgemeine Nebenbestimmungen für Zuwendungen zur Projektförderung, ANBest-P) exist? Will there be simplifications to Point 3 (VOB/A and VOL/A – Award of contracts)? If not, will BMU continue to provide no legal advice on this? Are the expenditures of legal advice/tender consultants for award procedures eligible for funding and should these already be included in the Concept Note budget?

ANBest-P is not available in English. No simplifications to the procurement rules are envisaged.

As before, legal advice services do not count as eligible expenditures and therefore should not be included in the programme outline.

Question 32: Can you please clarify what is meant by ‘expenditures’ and ‘costs’? Do I interpret the terms correctly as meaning that the funds applied for cannot be used to cover the costs (or indeed commercial fees) of the staff working time of implementing partners?

For the 2018 selection procedure, only expenditure-based applications are eligible. The funding information states (cf. Section 5.3 ‘Type, extent and amount of the funding’): ‘Support can be granted for all expenditures, which are necessary in line with the principles of sound financial management to achieve the programme goal, insofar as it is not possible to achieve this goal without this support. There is no provision for grants on a cost basis.’

Moreover, expenditures are not cost-covering. In order to avoid misunderstandings in the application process, ‘expenditure’ and ‘cost’ should therefore never be used synonymously in the IKI context.

Question 33: To what extent are private-sector organisations in a position to take part in implementation within a consortium?

Private companies can take part within a consortium in the implementation of a joint programme as long as they have no commercial interest in implementation and no economic advantage arises from the receipt of grants. Evidence must be furnished if required.

Question 34: Has the deadline for the expenditure of funds and the procurement rules been changed? Is it possible to apply for an extension of the expenditure deadlines?

No, the deadline for the expenditure of requested funds has not been changed. Requested funds have to be spent within six weeks, as laid down in the grant agreement. It is not possible to extend the deadline.

The procurement rules have not been changed. The rules are laid down in the Grant Agreement (please see also [IKI Guidelines for international applicants](#) for more information on procurement rules).



Bilateral cooperation

Question 35: Is the IKI primarily looking for national programmes or can regional or global programmes be recipients in exceptional cases?

In the context of bilateral RfP, the IKI is looking for national programmes only.

Question 36: Is it possible to submit outlines for small-scale projects?

The present funding information focuses on national joint programmes. Small-scale projects will not be considered (cf. Question 27).

Question 37: When will the funding information for other priority countries be published? Is it possible to submit programme outlines for other countries already now?

The dates for the submission of programme outlines for other bilateral RfP has not been determined yet. Please feel free to check our website ([link](#)) on a regular basis, where we will in due time publish all relevant information for any selected countries.

Further information on IKI cooperation and priority countries can be found in the list of countries on the IKI website ([link](#)).

Miscellaneous

Question 38: Can programme implementation be planned for less than seven years?

Yes, this is possible. If a shorter duration due to the funding requirements per year at the desired level of ambition will be generally expedient for the success of the programme and based on the programme design, the programme duration can be shorter than seven years. However, it should be considered that subsequent phases are not foreseen and that the programme achieves its objectives sustainably in the requested period.

Question 39: Must literature references be cited (e.g. in the section on the initial situation in the country)?

No, not in the first stage of the selection process.

Question 40: To what extent are the Outcome, Outputs and Results sections to be quantified? Are qualitative data acceptable for the launch phase?

Results are to be quantified as far as possible. If quantification is impossible or only possible to a limited extent, the reasons for this should be stated. Please make sure to explain the programme's underlying results chain. It has to be clear, how outputs and the outcome are causally linked or how they build on each other in order to achieve the programmes desired impacts.