

On behalf of:



Federal Ministry
for the Environment, Nature Conservation
and Nuclear Safety

z | u | g ZUKUNFT
UMWELT
GESELLSCHAFT

of the Federal Republic of Germany

Administrative Guidelines IKI Medium Grants (IMG)

As of December 2020





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1. General information

The following guidelines address all implementing organisations who were informed by ZUG to submit a full project proposal. The guidelines aim to provide administrative information about the IKI Medium Grants (IMG) programme and to assist applicants, grantees and their partners in successfully planning and implementing their IMG projects.

Please note that for a better understanding and design of your project proposal, important legal terms are provided in German language.

For any further questions that are not addressed below, please refer to the IKI Secretariat at ZUG:

Zukunft – Umwelt – Gesellschaft (ZUG) gGmbH
iki-secretariat@z-u-g.org

1.1. General communication and signature

General communication to submit your documents will be by e-mail. For legal reasons, you are, however, required to submit selected documents (application form, project proposal and attachments including budget) by post. Should you prefer to submit all documents electronically, please ensure to use a service provider for 'qualified electronic signature' that meets the requirements of the Administrative Procedures Act (Verwaltungsverfahrensgesetz - VwVfG), specifically §§ 3a, 37 and 41 VwVfG.

Once you received an IKI project signature and Funding reference number, please indicate both in all project related correspondence. This signature can be found in all official documents and will be communicated to the organisations in the „Letter of formal notice (Aufforderungsschreiben)“.

1.2. Implementing organisation / Grantee (Zuwendungsempfänger)

Grantees (Zuwendungsempfänger) are generally legal entities based in the Federal Republic of Germany (e. g. universities, NGOs, non-profit organisations). For the respective project, the grantee is the sole recipient of the administrative act concerning a grant (Zuwendungsbescheid).

Should the grant be forwarded to any third parties (Weiterleitung), the grantee remains responsible to ensure that all respective partners (Weiterleitungspartner) also comply with the obligations specified in the administrative decision. Therefore, grantees and their partners have to sign a subgrant agreement (Weiterleitungsvertrag).



1.3. Implementing partner (Weiterleitungspartner)

The grantee may entrust tasks forming part of the project on a non-profit basis to one or several implementing partners. Grantee and partners will implement the project activities in partnership in accordance with their expertise. The distribution of the work packages must be described in the application.

The grantee shall ensure that all conditions referred to in the grant agreement are also applicable to its implementing partner(s). For this matter, the IKI provides a standard subgrant agreement (Weiterleitungsvertrag). Prior to signing the mandatory subgrant agreement with an implementing partner, the grantee is recommended to verify any partners' credit rating and document the results in an appropriate manner.

The project budget of an implementing partner needs to meet the same requirements as the budget submitted by the applicant. Please enter the total amount payable to the implementing partners for each year in the form field "Weiterleitung" in easyOnline. Please submit further documents for more detailed information.

Please be reminded, the grantee remains fully responsible towards BMU and ZUG for all activities of the implementing partners and shall ensure and guarantee an effective management and control of the whole project. The grantee is allowed to conclude separate agreements on details of the project as long as the subgrant agreement will prevail over any such agreement. BMU or the IKI Secretariat at ZUG will not provide any legal advice or check any supplementary agreement.

2. Project proposal phase

2.1. Submission of project proposal (Zuwendungsantrag)

Submitters of promising project outlines will be asked to send in a full project proposal (Zuwendungsantrag) by ZUG. Any project proposals submitted without prior request by ZUG will not be considered in the application process.

The project proposal is to be submitted via easyOnline:

1. Please use the „Antragssystem easyOnline“ to submit the your project proposal. The link which should be used will be sent to you by the „Letter of formal notice (Aufforderungsschreiben)“.
2. To accept the terms and conditions please tick the checkbox „Ich akzeptiere die Nutzungsbedingungen“ and click on the button „Absenden“.
3. Please select the appropriate ministry in the category by choosing „BMU / Bundesministerium für Umwelt, Naturschutz und nukleare Sicherheit“.
4. In a further step, please select „IKI Medium Grants “. Finally, please select „Formular erstellen “.

Please make sure that you submit the respective application documents in "easyOnline". During the project implementation phase, documents must be submitted in "Profi".





2.2. Evaluation of the project proposals

The IKI Secretariat will coordinate the evaluation of the project proposal and all required annexes. This process may take approximately six months. Please consider this timeframe when planning the project start.

In a first step, the application documents will be verified on completeness and formal correctness. Should the grant provider require further information, the applicant will be notified by E-mail.

In the next step, there will be an in-depth technical review as well as a financial, administrative and legal check of all documents provided. During the review period, the technical and legal project manager at ZUG are likely to contact the grantees to clarify questions and request more detailed information.

2.3. Political safeguarding

During the evaluation process, BMU also officially informs governments of relevant partner countries about the given project concepts and the ongoing appraisal through their designated UNFCCC or CBD focal points. Please understand that a project proposal cannot be funded if the responsible government raises an objection.

2.4. Components of the project proposal (Zuwendungsantrag)

The technical project proposal is divided into the parts „General information“, „Project description“, „Results chain underlying the project proposal“ and „Additional project information“. All this information is required to develop a comprehensive picture of the measures as well as ambition and climate mitigation impact of the project. The template provides guidance on the expected content and scope of every chapter.

In addition, the applicant is requested to submit the corresponding AZA application via the "easyOnline" application system.

2.4.1. Annexes

To fully understand the individual types of expenditure, it is necessary that the applicant submits additional documents that provide individual information.

Several annexes to the project proposal are required:

- Gantt chart on the project schedule,
- Application of GCF Safeguards under the International Climate Initiative,
- Proof of the legal status and non-profit status of the applicant and implementing partners, if applicable,





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- Copies of the applicant's certified annual statements of the past two years, annual financial statements audited by an auditor / tax consultant (or comparable) of the last three financial years, and
- a declaration about co-financing (incl. amount) by each co-financing third party (if applicable),
- In addition, you are required to submit documents that show the calculations and explanations, especially of the "Personnel Expenses", "Events" and "Travel Expenses".

The additional information is required to approve applications. Please note that there is no entitlement to a grant and that the funding agency (BMU/ZUG) may reject applications at its discretion if the information provided is doubtful or incomplete.

2.4.2. Project budgeting

The ancillary provisions of "ANBest-P" in the respective valid version apply for the funding on an expenditure basis.

2.5. Financing

2.5.1. Types of financing (Finanzierungsarten)

There are four different ways for BMU to contribute to a project conducted by ZUG.

- The fixed-sum financing mode (Festbetragsfinanzierung) means that BMU provides a fixed amount (the grant) as part of the total eligible expenditure, according to project budget and regardless of increase or decrease of total eligible expenditure at the end of the project. In case the total expenditure exceeds the grant amount, the difference must be borne by the grantee or other funding sources. With a fixed-sum financing mode, the agreed budget lines are not binding if deviations within the project budget occur.
- Pro-rata funding (Anteilfinanzierung) means that the donor contributes a predetermined percentage of the expenditure up to a certain maximum amount. Savings therefore reduce the grant by the percentage share. As in the case of fixed-sum financing, the grantee must cover the difference itself or by using third-party funds.
- Deficit-financing (Fehlbedarfsfinanzierung) means that the donor provides funding only to the extent that the total eligible expenditure exceeds own funds/third party grants/external funding. In case there is a decrease in total expenditure or an increase in own funds/ third party grants/ external funding the grant decreases accordingly.
- Full financing (Vollfinanzierung) means that the grant covers all eligible expenditures up to the maximum amount indicated in the project budget. Please note that full financing can only be applied for in exceptional cases.



2.5.2. Co-funding

Co-funding means a direct financial contribution (i. e. cash contribution) to the realisation of a project. There are the two types of co-funding: Own funds and third party contributions.

Project applicants are encouraged to provide or attract co-funding for the IKI project. IKI-projects should not be funded entirely by BMU but include an adequate proportion of co-funding. An appropriate financial participation of the grantee (“own funds”) and/or the mobilisation of additional co-funding will be checked during the approval phases.

The budget of the project proposal needs to reflect the amounts originally laid out in the project outline. If the amount of co-funding in the project proposal should deviate extensively from the project outline, these changes need to be substantiated.

2.5.3. Own funds

Own funds are financial contributions directly supplied from the grantee’s funds and not sourced from other donors or third parties. A fixed proportion of own funds for the financing of an IKI project does not exist.

Any revenues expected to be generated in the course of the project (e. g. participation fees, interest) can be included into third party contributions as part of the project financing. Please note that within the financing section of easyOnline revenues can be designated as an independent category within the ‘Type of financial contribution’ section.

Any goods or services provided by the grantee do not count as own funds but as in-kind contributions. Thus, they must not appear in the budget.

(F0863) Mittel Dritter / Einnahmen 0,00 €

Ausfüllhinweise

Sie können neue Zeilen über das "+"-Zeichen am rechten Tabellenrand anlegen, wenn alle Pflichtfelder (gelb) ausgefüllt sind. Die Eingaben werden in die verbleibenden Jahre vorgetragen. Eingegebene Zeilen können nur in der Gesamtebene (Schaltfläche "Gesamt" links der Tabelle) gelöscht werden.

Bitte achten Sie bei der Dateneingabe auf den Meldungsbereich im unteren Bereich des Fensters. Hier werden Ihnen Fehler, Hinweise und ggf. noch auszufüllende Datenfelder angezeigt.

berechnen

Gesamt

2021

Zeile	Lfd. Nr.	Quelle*	Grund*	F0863 Betrag €*	Zeile
	1			0,00	+
				0,00	

2.5.4. Third-party contributions

Third party contributions refer to cash contributions made available for the project from other public donors or non-public third parties. Cash contributions of the implementing partners are considered as third-party contributions. A written confirmation stating the amount or



percentage contributed to the IMG-project is mandatory and must be submitted as Annex in your project proposal.

2.6. Expenditure

2.6.1. General information on eligibility

Eligible expenditures meet the following criteria:

The fundamental eligibility requirement is that expenditures are indispensable for the achievement of the project results. The expenditures must be essential for the performance of the project in question.

All expenditures must be incurred within the eligibility period of the project set out in the grant agreement. This means that the expenditures should relate to activities performed during the implementation period of the project. The only exceptions to this rule are expenditures related to the final financial audit which can be incurred after the implementation period of a project but within the eligibility period.

The expenditures must be:

- recorded in the accounting records of the grantee,
- compliant with the accounting standards of the country of registration of the grantee and its usual accounting practices, and
- backed by supporting evidence (e. g. invoices, receipts, contracts, timesheets, etc.).

The grantee does not have to provide the documents of supporting evidence with the final report but must keep them available at BMU's request or in case of audits. Indirect expenditures (administrative overheads) do not need to be backed by supporting evidence during audits if applicable.

The project funds must be used in accordance with the principles of thrift, efficiency and effectiveness:

- The principle of thrift requires that the resources used in the pursuit of an activity be made available in due time, in appropriate quantity and quality and at the best price.
- The principle of efficiency refers to the best relationship between resources employed and results achieved.
- The principle of effectiveness is concerned with attaining the specific objectives set and achieving the intended results.

Throughout the project, the grantee will have to make sure that these principles are respected. At the end of the project, in cases where these principles could not be respected, the grantee will have to justify the reasons and the impact on the result. If no valid justification can be provided, expenditures may be declared ineligible.

The grantee must comply with the applicable tax and social legislation, e. g. the legislation of the country of registration of the grantee and of the country(-ies) of project implementation.

2.6.2. Financial Plan

In this section the financial plan of the applicant/grantee is explained in detail highlighting information about different budget categories and the expected way of calculating expenditures. The budget calculation has to be entered in easyOnline under section „Gesamtfinanzierungsplan“. For every budget category a step-by-step guideline can be found in the following sections.



Screenshot easy-Online

Please note that in the overall budget, expenditures of the implementing partner/s are entered in an aggregated way under “(5) Forwarding” of funds as a total amount per year. However, it is recommended for the implementing partner/s to use a similar budget template when drawing up the total budget calculation and to follow the regulations applying for the grantee for every budget category. Additionally, in some cases specific information for the budget calculation of the implementing partners are emphasized below.

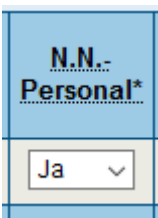
2.6.2.1. Personnel (F0824)

Please calculate the budget for employees working for the project individually by stating their function/role in the project and/or their position within your organisation.

Zeile	Lfd. Nr.	Funktionsbezeichnung /Fachrichtung*

Screenshot easy-Online (F0812) Beschäftigte TVöD/TV-L E12-E15

If the specific person is not employed at your organisation yet, please select the following:



The screenshot shows a dropdown menu with the text "N.N.-Personal*" above it. The dropdown is open, showing the option "Ja" selected.

Screenshot easy-Online (F0812) Beschäftigte TVöD/TV-L E12-E15

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In such cases personnel expenditures are limited to the amounts stated under the following [link](#).

If project personnel is already employed at your organisation, „nein“ would be the correct answer and calculated expenditures should be based on actual expenditures for the respective employees.

In case your organisation is mostly financed (> 50 %) by grants of public authorities (EU, state, federal state, municipalities) the „Besserstellungsverbot“ must be observed. This means that the grant recipient may not place his employees in a better position than comparable federal employees, regarding salaries and other benefits.

Please state in section „Vorhabensbeteiligte“ whatever applies for your organisation

A23 Der/die Antragsteller/in wird Ja
überwiegend aus Zuwendungen der Nein
öffentlichen Hand finanziert.*

Screenshot easy-Online checkbox A23

and accordingly select the correct collective wage agreement such as TVöD E XX.

Eingruppierung*

TVöD - E 13

Screenshot easy-Online (F0812) Beschäftigte TVöD/TV-L E12-E15

In general, the applicable collective agreement has to be selected correctly. However, in case none of the options apply to your organisation please ensure to either choose „Hausvertrag“, if applicable, or „Sonstige“, if the specific collective agreement is not listed.

In order to complete the calculated expenditures for personnel correctly, please refer to the following instructions. Personnel expenditures have to be entered in the sections shown below:

Monatliches Gehalt €*	Monatliche Zuschläge €*	Monatliches Gehalt plus Zuschläge €
0,00	0,00	0,00

Screenshot easy-Online (F0812) Beschäftigte TVöD/TV-L E12-E15

Personnel expenditures may include:

- Actual salaries,

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- Social security contributions,
- Staff insurance expenditures and
- other statutory expenditures included in the remuneration, provided that these expenditures are in line with the grantee's usual policy on remuneration (e. g. sick leave indemnities),
- Additional remunerations, including payments on the basis of supplementary contracts regardless of the nature of those contracts under the condition that they are paid in a consistent manner whenever the same kind of work or expertise is required, independently from the source of funding used (e. g. hardship allowance),
- Severance payments due at the end of employment contracts, provided that such payments arise from a statutory obligation under the applicable labour law (and not contractual arrangements) and are charged to a project only for the portion which corresponds to the share of the total working time spent on the project.

Specific information for implementing partners:

Depending on national regulations staff of implementing partners should hold a regular employment contract or be considered as working under a direct contract such as in-house consultant, advisors or volunteers. In such cases the following criteria is relevant:

- working under direct instructions of the grantee and,
- working on its premises (unless otherwise agreed),
- results of their work should exclusively belong to the grantee,
- payments are not significantly different from the expenditures for staff performing similar tasks under an employment contract with the grantee.

If these conditions are not met, those expenditures have to be considered as external services, for which procurement rules apply.

2.6.2.2. Items <800 € (F0831)

If items with an individual value of less than EUR 800 are essential for the IMG project or mark a considerable amount, this section should be used to display relevant items in particular. Otherwise, items falling into this category can also be pooled under the administration overheads to simplify project accounting.

Please describe the items precisely and elaborate on their necessity for the project in detail in the box „Begründung“. You can also use separate documents.

Zeile	Lfd. Nr.	Bezeichnung*	Preis € / Stück*	Anzahl*	F0831 Betrag €	Zeile
			0,00	0,00	0,00	+
					0,00	

Screenshot easy-Online (F0831) Gegenstände bis 800€ im Einzelfall

2.6.2.3. Rents (F0832)

Rents for business premises for project staff can be listed and will be considered according to the percentage of project staff using the premises and time these premises are allocated to the project. If utilities are already included in the administrative overheads position, only the basic rent is eligible under this section.

Besides entering calculated rents please state the total monthly rent/s and the total full-time equivalent (FTE) of all employees using the premise/office in the box „Begründungen“. You can also use separate documents.

Zeile	Lfd. Nr.	Bezeichnung*	F0832 Betrag €* 0,00	Zeile +
			0,00	+
			0,00	

Screenshot easy-Online (F0832) Mieten

2.6.2.4. External services (F0835)

Please specify the service stating a precise and short description and stressing out its contribution to the project in the following field:

u02 Art der Leistung*

Screenshot easy-Online (F0835) Vergabe von Aufträgen

Important note: In addition to the calculated amounts for external services, please submit obtained offers of service providers or add invoices of similar services subcontracted in the past to your project proposal in order to make your calculation comprehensible.

At this stage it is also strongly recommended to familiarise yourself with the procurement regulations of the “Allgemeinen Nebenbestimmungen zur Projektförderung – ANBest-P” ([link](#)).

2.6.2.5. Forwarding of funds (F0838)

Overall yearly expenditures forwarded to the implementing partners have to be entered here:

(F0838) Weiterleitungen

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Jahr	Betrag €*
2021	0,00
2022	0,00
Gesamt	0,00

Screenshot easy-Online (F0838) Weiterleitungen

In order to elaborate on your implementing partner/s expenditures please provide detailed information in the box „Begründungen“ or by submitting an additional document including:

- Amounts per year/partner,
- Expenditures for each partner for staff and external services,
- other noteworthy expenditures.

2.6.2.6. Literature and printing (F0840)

If necessary literature and printing material constitute a significant position within the budget, it might not be possible to subsume them under the administrative overheads. In this case, these need to be included in this section.

Please state calculated yearly amounts for literature and printing here:

Jahr	Betrag €*
2021	0,00
2022	0,00
Gesamt	0,00

Screenshot easy-Online (F0840) Literatur

In order to make your calculation comprehensible, please add additional information about the calculated amounts in the box „Begründungen“. You can also use separate documents.

2.6.2.7. Events (F0841)

Please use this budget category (currently called „weitere Sachausgaben I“) to budget planned events such as conferences, workshops or project meetings. In general, events may be scheduled as long as they are an integral part of the project and the expenses are reasonable. Expenses are deemed reasonable if, for example, the rent for the event rooms does not exceed the customary local level.

Besides calculating yearly amounts for events, please state further explanations in the box „Begründung“ or use separate documents. For example, break down the following types of events based on the expected number of participants and provide an estimate of the

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approximate total expenditure for the event and the types of expenditure considered, such as venue, catering, technical equipment, speakers, travel expenses for external participants, etc.:

- < 20 participants: approximated total expenditures: ... €; included types of expenditures: ...
- > 20 and < 100 participants: approximated total expenditures: ... €; included types of expenditures: ...
- > 100 participants: approximated total expenditures: ... €; included types of expenditures: ...

As a next step, please indicate the number of events per year in the different categories (under 20, over 20, under 100 and over 100 participants) to be held during the project period.

Important note: Please calculate expenditures for events in a way that it refers as close as possible to the actual expenditure. Please also note that calculated lump sums are only used to facilitate the budget calculation. Decisive for the grant are the actually incurred expenditures. The actual expenses may not be higher than the calculated expenses.

Jahr	Betrag €*
2021	0,00
2022	0,00
Gesamt	0,00

Screenshot easy-Online (F0841) Weitere Sachausgaben I

2.6.2.8. Administratives overheads (F0842)

The administrative overheads (flat rate for indirect expenditures) can be used to cover project-related administrative expenditures like consumables, office supplies, communication, etc. directly linked to the project, provided these are not included in one of the budget categories for (direct) project expenditures. These indirect expenditures do not need to be individually supported by supporting documents.

Administrative overheads are calculated by a certain percentage of the total (direct) project expenditures. Grantees must be able to justify the percentage for administrative overhead expenditures upon request.

Please list all types of expenditures covered by the administrative overheads in the box "Begründungen" and additionally add the used percentage of total expenditures.

2.6.2.9. Travel (F0844 and F0845)

Travel expenses can be recognized as eligible expenditure if they are in connection to the project and the amount is reasonable. For detailed information, please refer to the Federal Travel Expenses Act of the Federal Republic of Germany (Bundesreisekostengesetz, BRKG), the legal ordinances and administrative regulations. You can access this information free of charge on the website of the "[Bundesverwaltungsamt](#)".

Calculation of travels is divided into the following two categories:

(F0844) Inlandsreisen

National (Germany)

(F0845) Auslandsreisen

International

In order to facilitate your budget calculation please indicate separately for both categories in the box "Begründung" average amounts for:

- Approximated expenditures for accommodation and per Diems combined for one day/person: ... €
- Average expenditures for flight/bus/train tickets: ... €

As a next step, please state destination and purpose for each travel. In case the destination is yet unknown please simply refer to "national"/"international". Please add a new travel for each person travelling. Each travel calculation should be based on one person.

Reiseziel*	Reisezweck*

Screenshot easy-Online (F0844) Inlandsreisen/ (F0845) Auslandsreisen

Reisedauer (Tage)*

Screenshot easy-Online (F0844) Inlandsreisen/ (F0845) Auslandsreisen

As a result total expenditures per travel have to be calculated as follows:

$$1 \times (\text{average expenditures for flight/bus/train tickets: ... €}) + (\text{Number of days: ...}) \times (\text{approximated expenditures for accommodation and per diems combined for one day/person: ... €}) = \text{total expenditures per travel/person}$$



F0845 Betrag €*	
<input type="text" value="0,00"/>	
<input type="text" value="0,00"/>	

Screenshot easy-Online (F0844) Inlandsreisen/ (F0845) Auslandsreisen

Important note: Please calculate expenditures for travels in a way that it refers as close as possible to the actual expenditures. Please also note that calculated lump sums are only used to facilitate the budget calculation. Decisive for the grant are the actually incurred expenditures. The actual expenditure may not be higher than the calculated expenditure.

2.6.2.10. Items >800 € (F0850)

The use of all items and assets during the project duration need to be earmarked for the specific purpose of the project as outlined and approved in the project proposal. Items and assets with an individual value above EUR 800 need to be inventoried.

Please specify the item/s stating a precise short description and highlighting its necessity for the implementation of the project. Please complete the calculation as shown below:

Bezeichnung*	Preis € / Stück*	Anzahl*	F0833 Betrag €
<input type="text"/>	<input type="text" value="0,00"/>	<input type="text" value="0,00"/>	<input type="text" value="0,00"/>
			<input type="text" value="0,00"/>

Screenshot easy-Online (F0850) Gegenstände und andre Investitionen > 800 €

Important note: In addition to the calculated amounts for items > 800 € - if available - please submit obtained offers of those items or add invoices of comparable purchased items in the past to your project proposal in order to make your calculation comprehensible.

At this stage it is also strongly recommended to familiarise yourself with the procurement regulations of the “Allgemeinen Nebenbestimmungen zur Projektförderung” ([link](#)).

2.6.3. Currency

All calculations and amounts must be stated in EUR. However, payments in a currency other than EUR are optional. The exchange rate will be calculated according to the daily updated EUR foreign exchange reference rates of the European Central Bank.



2.6.4. VAT

If an entitlement is held, VAT will not be considered as an eligible expenditure of the project. Under certain circumstances, VAT may be considered eligible, if the following conditions are met:

- the grantee must be able to demonstrate that it requested an entitlement from the relevant authority, and
- the grantee must be able to show the response of the tax authority or the applicable legislation which stipulates that VAT cannot be refunded.

Please make sure to indicate whatever is applicable for your organisation and keep in mind to calculate project expenditures with or without VAT accordingly.

A65 Hinsichtlich Lieferungen und Leistungen Dritter ist der Antragsteller*:

zum Vorsteuerabzug berechtigt. Umsatzsteuer ist in den Einzelpositionen des Gesamtfinanzierungsplans nicht veranschlagt.

teilweise zum Vorsteuerabzug berechtigt. Umsatzsteuer ist in den Einzelpositionen des Gesamtfinanzierungsplans nur anteilig veranschlagt.

nicht zum Vorsteuerabzug berechtigt.

Screenshot easy-Online checkbox A65

2.7. Creditworthiness assessment

In order to approve your application, it may be necessary to check the creditworthiness of your organisation. In individual cases, it may happen that the submitted annual financial statements consisting of the balance sheet and the profit and loss account are not sufficient and ZUG will ask for further documentation.

2.8. Decision document (Zuwendungsbescheid)

A positive evaluation of the project proposal will result into a final funding decision signed by BMU/ ZUG.

The IKI Secretariat notifies organisations in writing about the results of the second selection process and issues an administrative act concerning a grant for each project selected for funding.

Grants may only be awarded to projects that have not yet started. A project has usually started when contracts are concluded which relate to the execution of the project. In exceptional cases it is possible to apply for early project commencement (vorzeitiger Vorhabenbeginn). Please refer to IKI Secretariat if this should become necessary.



3. Project Implementation Phase

3.1. Project implementation

The project implementation phase is set according to the duration of the project concerned (24 to 36 months). During this phase, the grantees are required to regularly report on the progress of their projects. All substantive changes to the project within the project implementation phase also require an amendment of the decision document (and an amendment of the subgrant agreement, if applicable).

3.2. Processing of documents via profi online

For the processing of your grant the Project Promotion Information System (profi) will be used. Connected to it is the Internet service profi-Online. Its purpose is to facilitate the processing of the formal transactions (e. g. payment requests) of your project. By using the PROFI Online software, it is possible to submit payment requests electronically and to transmit documents required in the implementation phase (e. g. interim statements) simply and securely by electronic means. We recommend and ask you in your own interest to use the software solution in order to make the processing as simple and fast as possible as well as secure with regard to data protection.

3.3. Interim report (Zwischennachweis)

The interim report consists of two parts: a status report (Sachbericht) and a financial statement (zahlenmäßiger Nachweis). A signed electronic version of each document has to be submitted to the IKI Secretariat (email to iki-secretariat@z-u-g.org) each year by 30 April for the period of the preceding calendar year. The submission date is binding. The financial statement must be presented in an excel file as well as a signed PDF document. The use of the IKI templates for the preparation of the interim report is mandatory.

3.4. Biannual project update (Halbjahresbericht)

For an effective public presentation of the IKI portfolio and efficient knowledge management, grantees are encouraged to submit to the IKI Secretariat biannual project updates by 31 March and 30 September. By means of the biannual project update, ZUG would like to receive information on politically relevant developments as well as information that is suitable for public communication on the IKI website.

3.5. Project short descriptions (Kurzbeschreibungen)

For the IKI website, ZUG also wants to ensure that project short descriptions remain up-to-date. If any significant conceptual changes/amendments have occurred within the project, it would be helpful to get an amended short description accompanying the biannual project update.





3.6. Amendments (Änderungsanträge)

During the project implementation phase, substantive changes to the project may become necessary and require an amendment of the grant agreement (and sub-grant agreement). Such amendment is to be requested by the grantee and approved by the IKI Secretariat. The processing of an amendment request usually takes around 6 weeks at the IKI Secretariat. Non-substantive changes do not require an amendment considering the minor consequences for the project and need to be detailed in the subsequent progress report(s).

3.7. Payment requests

Beneficiaries may make use of payment claims only if the corresponding eligible expenditure is imminent. It is therefore essential to observe the deadline for the use of funds codified in the ancillary provisions. Financial resources that are culpably not used within the corresponding period for the use of funds, must be reimbursed to the funding agency with interest.

4. Project closure phase

4.1. Final Report (Verwendungsnachweis)

During the closing phase of the project, a final report is to be prepared by the grantee. The final report has to be submitted no later than six months after the end of the project implementation period to the IKI Secretariat. It consists of a final status report and a final financial report. A signed electronic version of each document must be submitted to the IKI Secretariat (email to iki-secretariat@z-u-g.org).

The accurate submission date will be set in the grant agreement and is binding. The final financial report must be presented in an excel file as well as a signed PDF document. Any questions regarding form and content of the final report should be clarified with the IKI Secretariat before official submission of the report.

The review of the final report usually takes approximately 6 months at the IKI Secretariat and is concluded with the issuance of a project closure note.

4.2. Further Information

Further information on the project closing phase (proof of use – check / Verwendungsnachweisprüfung) will be provided at a later stage.