



Federal Foreign Office Funding Concept

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Federal Foreign Office funding for projects to support international measures in the fields of crisis prevention, stabilisation and peacebuilding (Divisions S 03 and S 04)

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Under this funding concept and the General Administrative Regulations on sections 23 and 44 of the Federal Budget Code (BHO), the Federal Foreign Office allocates grants for projects in the fields of crisis prevention, stabilisation and peacebuilding.

1. Funding goal and intended purpose

The German Bundestag plenary decision of 15 March 2001 (printed paper no. 14/3862) states that: “Given the many trouble spots and the complexity of conflict situations, individual countries or organisations are often overstretched when it comes to resolving problems. Civilian crisis prevention, civilian conflict management and post-conflict peacebuilding offer a prospect of success in particular if they have a subsidiary, multilateral and multidimensional structure, if different governmental, economic and civil society stakeholders and above all mediating forces from the conflict regions pull together. To increase effectiveness and efficiency, activities and programmes have to be discussed and coordinated at national, regional and international level.”

The federal budget has funds available annually to fulfil this ongoing mandate. At the Federal Foreign Office these funds are from appropriation 0501 item 687 34, earmarked as “Crisis prevention, stabilisation and peacebuilding, climate and security policy”, and are used to promote measures in the fields of crisis prevention, stabilisation and peacebuilding.

2. What can be funded?

The Federal Foreign Office’s Divisions S 03 and S 04 support projects and measures which are designed to prevent potential confrontations, overcome ongoing conflicts and support post-conflict peacebuilding. Civil society contributions to international peacekeeping efforts and peace operations run by international organisations may also be eligible for funding. For the purposes of this funding concept, “conflict” means violent hostilities between states or population groups in a state or a region.

Projects and measures in the following areas in particular are eligible for funding:

- political mediation, other forms of mediation, national dialogues
- reconciliation during and after conflicts, reckoning with the past, transitional justice
- stabilisation and strengthening of state and civil society structures in the wake of conflicts
- promotion of the rule of law, judicial cooperation in the context of precarious sovereignty and provision of advice on constitutional bodies and constitutional reform
- security sector reform, disarmament, demobilisation and reintegration
- prevention of extremism and deradicalisation
- migration management

The central goal of funding is to support political processes, particularly peace processes, which serve to alleviate the impact of armed conflicts or help resolve them. A specific focus is placed on ways for societies as a whole to reach an understanding on potential solutions particularly for violent conflicts. Projects in the fields of crisis prevention, stabilisation and peacebuilding are part of the Federal Foreign Office’s diplomatic efforts. Consequently, these projects are context-specific and driven by

specific interests; they are designed to attain a concrete political German foreign policy goal.

The projects are to be conducive to constructively influencing the circumstances and addressing the causes of a conflict. This includes projects aimed at coming to terms with the past and promoting a multi-ethnic culture of cooperation. One special focus of funding is on measures designed to strengthen and improve the rule of law, as well as on mediation projects.

Alongside measures to reform state structures, funding is also given to projects seeking to improve civil society structures and capabilities. The aim is to enable the states, regions and population groups involved to resolve conflicts themselves.

2.1 The following areas do not fall under this funding concept

Projects primarily designed to support democratisation processes (election assistance, education measures, promoting political participation, the work of independent media and supporting constitutional bodies) may be eligible for funding from democracy-building assistance (appropriation 0501 item 687 34 transaction 03016957). There is a separate funding concept for this.

Projects in the area of the Ta'ziz Partnership are eligible for funding from appropriation 0501 item 687 21 (purpose: "Ta'ziz partnership for democracy in the countries of North Africa and the Middle East"). Further information is available in the [Ta'ziz Partnership funding concept](#).

Division S 09 at the Federal Foreign Office is responsible for humanitarian assistance projects. For projects designed to strengthen human rights, please contact Division OR 06. Projects dealing with culture, cultural preservation, media and scholarships should be submitted to Directorate-General 6.

Development policy measures are not supported with funds from Directorate-General S. The Federal Foreign Office and the Federal Ministry for Economic Cooperation and Development maintain a constant close dialogue in order to avoid any overlap with development cooperation projects.

No projects and measures are financed that already receive funding from other federal authorities out of public budget funds. In exceptional cases, however, applicants may receive a share of the support from more than one federal authority if the same measure serves several different development policy aims.

Purely academic projects (studies, seminars, conferences, etc.) are not supported unless they are geared towards a specific need for political advice or for the development of conflict resolution models or towards the training of civilian peace personnel, or if they represent per se a measure for dialogue between conflict parties.

3. Funding recipients

The Federal Foreign Office cooperates with international organisations, national state agencies, German and foreign non-governmental organisations (NGOs) and United Nations institutions that can demonstrate that they have substantial experience with concrete project work – ideally also in fragile contexts. Individuals may not apply for funding.

Applicant organisations are free to exclusively use their own project personnel. However, they should as a rule endeavour to implement the measures in conjunction with local partners.

Applicant organisations must possess legal status under their host country's laws and must guarantee sound management. Evidence of sound management can be provided by submitting, for example, register entries, audited and approved annual financial statements (balance sheets, profit and loss calculations) or, in the case of charitable organisations, annual financial statements of the net income accounts of the last two years, confirmed by a tax advisor or accountant where necessary.

Proof of legal status must also be provided. Moreover, applicant organisations must ensure that they are able to oversee their projects and measures at all times using their own personnel (monitoring) and that they have a progress-review concept (evaluation).

German political foundations and similar bodies that already receive institutional funding are also entitled to receive project funding. Project outlines may be submitted to Division S 03 or S 04 via these bodies' headquarters or branches in Germany. Organisations that are exclusively based abroad must submit their project outlines to the relevant German mission abroad.

In principle, support is available for projects anywhere in the world, although not in EU member states and countries that belong to the European Economic Area. However, the beneficiaries of project funding should primarily be countries and regions that are affected by conflicts or crises and that the Federal Foreign Office wants to help stabilise as part of international efforts. With this in mind, funding is focused on projects and measures in Africa and the Middle East.

4. Specific conditions for funding allocation

In Germany, the general conditions for funding allocation apply (paragraph 1 of the Administrative Regulations on section 44 of the Federal Budget Code (BHO)).

The Federal Foreign Office's Divisions S 03 and S 04 decide on submitted applications **after due assessment of the circumstances** within the scope of the budget funds available, in accordance with this funding concept, the Administrative Regulations pertaining to the BHO, the general supplementary provisions for project grants (ANBest-P) and the particular supplementary provisions of the Federal Foreign Office on the awarding of grants (BNBest-AA) as amended. These latter provisions will become binding on the applicant if funding is granted. There is no automatic

entitlement to a grant. Particular attention must be paid to the conditions for funding allocation set out in paragraph 1 of the Administrative Regulations on section 44 of the BHO. Pursuant to sections 23 and 44 of the BHO and the corresponding Administrative Regulations, grants are constantly examined to ensure that the grant recipient is using the project funds economically, efficiently and for the intended purpose, pursuant to section 7 of the BHO.

As the area of application of the Administrative Procedure Act (VwVfG) and the BHO does not extend to other countries, an administrative act (grant award document) cannot be issued there. Instead, a private-law contract (funding agreement) is concluded with the grant recipient. The aforementioned provisions for a grant award document will be applied *mutatis mutandis* to grants to recipients based outside Germany.

5. Type, scope and amount of funding

Grants are awarded exclusively as **project funding**. No institutional funding is provided. The following types of financing are possible:

- **Deficit financing:** The grant is limited to a specified maximum amount. It can only be claimed if all of the applicant's own resources and third-party funding have been used up.
- **Partial financing:** The costs for which a grant can be awarded are calculated according to a fixed percentage or share.
- **Fixed-sum financing:** A fixed sum is provided for expenditure recognised as eligible for a grant. The precondition for this type of funding is that the recipient has its own or third-party resources.
- **Full financing:** If the grant recipient has none of its own resources with which to implement the project **and** cannot receive any funding from third parties, but the project and the purposes for which it is being implemented are quite clearly in the public interest, then the Federal Foreign Office may in exceptional cases consider funding all expenditure recognised as eligible for a grant. In this case, the grant is limited to a specified maximum amount.

All **expenditure** necessary in the context of efficient and economical budgetary management for projects and measures aimed at achieving the approved grant purpose is eligible for a grant. The grant must be utilised by the recipient within the scope of the binding financial plan and the specified type of financing. If travel expenses are claimed as part of the project funding, please note that the amount granted will be determined by the provisions of the Federal Travel Expenses Act (BRKG) as amended. In addition, only costs for project staff (i.e. staff employed solely for the project concerned) can be approved as eligible for a grant. As a rule, no funding can be provided for members of an organisation's permanent staff. This also applies to existing infrastructure (offices, IT, etc.).

6. Other grant provisions

The prohibition of preference applies to organisations that are predominantly financed by public grants, i.e. payment of project employees must be in line with the costs for comparable activities in the public sector. The Federal Agency for Foreign Affairs will be happy to answer any questions about this and about job gradings for staff.

Administrative costs with a causal connection to the project may be combined as lump sums if itemising them individually would not be possible without considerable effort (c.f. paragraph 2.3 of the Administrative Regulations on section 44 of the BHO). Recognition of the lump sums by the Federal Foreign Office is conditional on a comprehensible calculation of expenses and details of the type of expenses contained in the lump sum. A brief explanation of the effort involved in providing an itemised list of the costs is also required.

7. Procedures

7.1 How and when should funding applications be submitted?

As a rule, applicants may apply for funding from the Federal Foreign Office at any time. The first time they make contact, they should take the opportunity to submit a project outline (no longer than three pages!), based on the question words who, what, how, why, where, etc. to give the Federal Foreign Office's Divisions S 03 and S 04 a quick overview of the project. At this stage the Federal Foreign Office can already provide information as to whether the project is likely to be considered for funding. If the grant amounts to less than 400,000 euro, the ifa/zivik guidelines and application documents should be used (see 7.3).

The project outline, together with the logframe and a draft financial plan using the template provided, should be emailed to S03-R/S04-R@diplo.de or, in the case of organisations based outside Germany, to the relevant German mission abroad. Should the project be taken into consideration for funding, a formal application signed by at least one person who is authorised to represent the applicant organisation can then be submitted. As far as entitlement to submit an application is concerned, the provisions regarding authorisation to represent the applicant organisation apply. The application, together with all relevant documentation, should arrive at the Federal Foreign Office at least eight weeks before the scheduled project start date. Projects that have already begun are not eligible for funding (c.f. paragraph 1.3 of the Administrative Regulations on section 44 of the BHO).

7.2 Where should the formal project application be sent?

If funding as provided within the scope of this funding concept is desired, the signed project application using the Federal Foreign Office form must be sent to the following address together with the financial plan, logframe and evidence of sound management (see 3.):

- if the grant amounts to 400,000 euro or more and the organisation is based in Germany:
Auswärtiges Amt, Referate S 03 & S 04, 11013 Berlin
- if the grant amounts to 400,000 euro or more and the organisation is based outside Germany:
to the relevant German mission abroad
- if the grant amounts to less than 400,000 euro, regardless of where the organisation is based:
ifa – Institut für Auslandsbeziehungen e. V., Förderprogramm zivik, Linienstrasse 139/140, 10115 Berlin, Germany, zivik@ifa.de, www.ifa.de

7.3 Submitting applications via ifa (Institut für Auslandsbeziehungen)

Since 2001 the Federal Foreign Office has supported individual projects run by German and international NGOs in the fields of crisis prevention, peacekeeping and conflict management via **ifa (Institut für Auslandsbeziehungen)** through its **zivik funding programme** using a two-stage funding procedure. To this end **ifa** receives Federal Foreign Office funding to support projects run by German and international NGOs. The **ifa zivik funding programme** oversees the entire project cycle (application, disbursements, auditing of proof of employment of funds etc.). The Federal Foreign Office retains political control and overall responsibility. The tasks of the programme office also include advising NGOs in Germany and abroad. For applications to the zivik funding programme, the forms provided for that programme must be used.

7.4 Information about receiving approved funding

As a rule, funding approved by the Federal Foreign Office is made available through the funds withdrawal procedure. The approved funding can only be disbursed on the day on which it is needed (i.e. the day on which payments become due) at the earliest. In addition, a request procedure is applied in order to take account of circumstances specific to the region or the project. In this case, requests for funds will be limited to the amount necessary to cover payments due shortly after disbursement and may not be made earlier. Where the request procedure is followed, the funds disbursed are to be used to fulfil the intended purpose of the allocation within six weeks of disbursement. Disbursements to grant recipients outside Germany always follow the request procedure.

7.5 Outsourcing of processing steps to the Federal Agency for Foreign Affairs

As part of the division of labour within the federal administration, some steps involved in the review of the application, the administrative formalities surrounding the project and the final evaluation will be undertaken by the funding management directorate of the Federal Agency for Foreign Affairs in Brandenburg an der Havel, a higher federal authority that reports directly to the Federal Foreign Office. The Federal Foreign Office

alone is responsible for the funding decision and for the clarification of substantive questions before and during project implementation.

7.6 How is project progress monitored?

The grant recipient is obliged to conduct monitoring measures at regular intervals, depending on the length of the project, to monitor project progress and use of funding in accordance with the intended purpose.

Following the conclusion of the project, the Federal Foreign Office will evaluate its success on the basis of the project application, the proof of employment of funds which has to be submitted by the grant recipient, and its own assessment of the project, e.g. through visits to the project by staff of the Federal Foreign Office headquarters in Berlin or of the relevant German mission abroad.

The indicators for fulfilment of the intended purpose of the grant (output) and achievement of the project goal(s) (outcome), which the applicant has to define in the funding application logframe and agree upon with the Federal Foreign Office, provide the basis for monitoring during the implementation of the project and for the subsequent evaluation of its success. The more informative and measurable (SMART) the indicators are, the easier it is to clearly ascertain the success of the project.

The Federal Foreign Office commissions programme evaluations or strategic evaluations of funded projects as needed. The evaluations are carried out by external experts. The subject, format and specific goal of the evaluation may be agreed upon with the grant recipient, depending on the case. In addition, grant recipients may be selected as members of the reference group and involved in data collection (e.g. interviews). As well as evaluations commissioned by the Federal Foreign Office, external project evaluations may be commissioned by grant recipients. This is decided together with the grant recipients during the examination of their application.

7.7 Press and public relations work

The grant recipient is requested to expressly refer to the funding by the Federal Foreign Office in an appropriate form when issuing public statements, particularly to the press but also on its website. Contact with and statements to the press are to be discussed with the Federal Foreign Office in advance.

The Federal Foreign Office, for its part, will refer in its own press and public relations work to selected projects receiving funding. To this end the grant recipient is obliged to make available informative photographs, graphics and at least one text for the presentation of individual stories and relevant examples in the media to show how Federal Foreign Office funding is being deployed. Furthermore, the grant recipient is requested to inform the Federal Foreign Office at an early stage of any planned measures or events in which members of the Federal Foreign Office or the relevant German mission abroad could play a representative or practical role.

Press and public relations measures are not undertaken for projects with sensitive content (e.g. confidential mediation talks) or if publicising the project or the funding could put project staff at risk.

8. Period of validity

This funding concept will cease to apply when the guidelines on funding for measures in the fields of crisis prevention, stabilisation and peacebuilding and the Ta'ziz partnership take effect.