Status: 11.2024

DEZERNAT FORSCHUNG

UNIVERSITÄT HEIDELBERG ZUKUNFT SEIT 1386

Application and processing of BMBF projects and other federal funding projects at Heidelberg University

I. Application procedure

You can obtain initial information on suitable calls via:

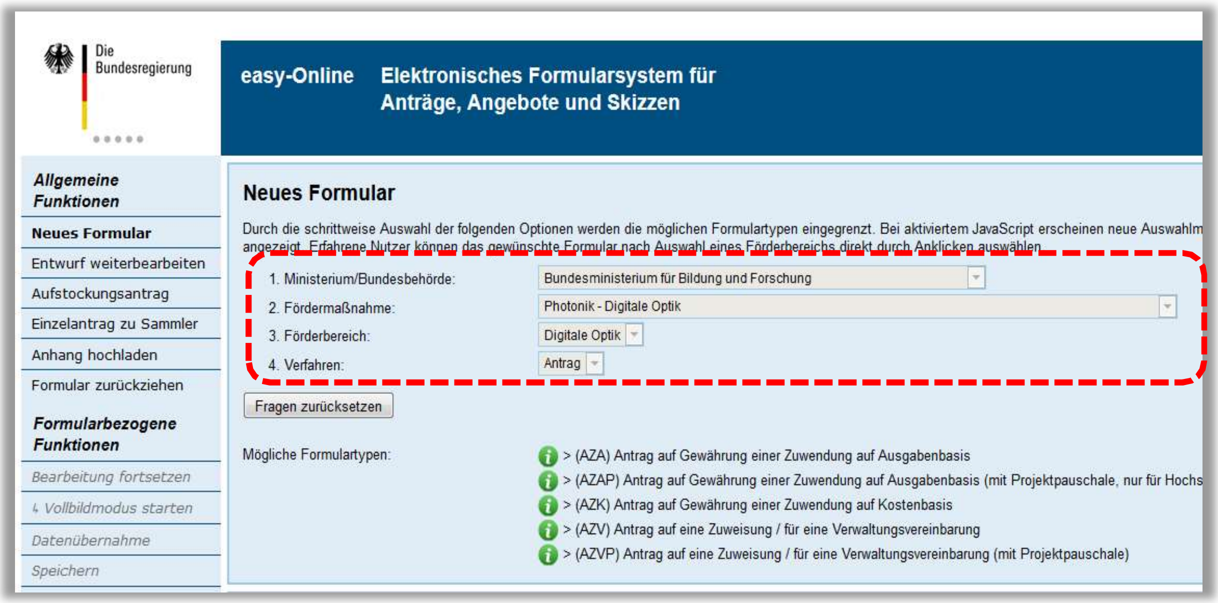
- the electronic information service for research funding INFOR-News of the Research Division https://www.uni-heidelberg.de/en/research/research-service/electronic-research-funding-information-service

- the staff of the Heidelberg Research Service HRS (Department 6.2) https://www.uni-heidelberg.de/en/institutions/university-administration/division-6-research/heidelberg-research-service

1) Select the desired call via Easy Online

Applications to federal funding bodies are submitted exclusively online via the EASY ONLINE portal https://foerderportal.bund.de/easyonline/

- Selection of funding provider, funding measure, funding area and procedure as well as selection of the required form type.
  IMPORTANT: BMBF projects involve so-called **AZAP** forms; here, a project overhead of 20% of the direct costs applied for is granted exclusively for universities [see also https://backend.uni-heidelberg.de/de/dokumente/programmpauschalenkompensation/download]; other federal funding bodies generally do not pay indirect costs, which is why EASY ONLINE only offers **AZA** forms in these cases.



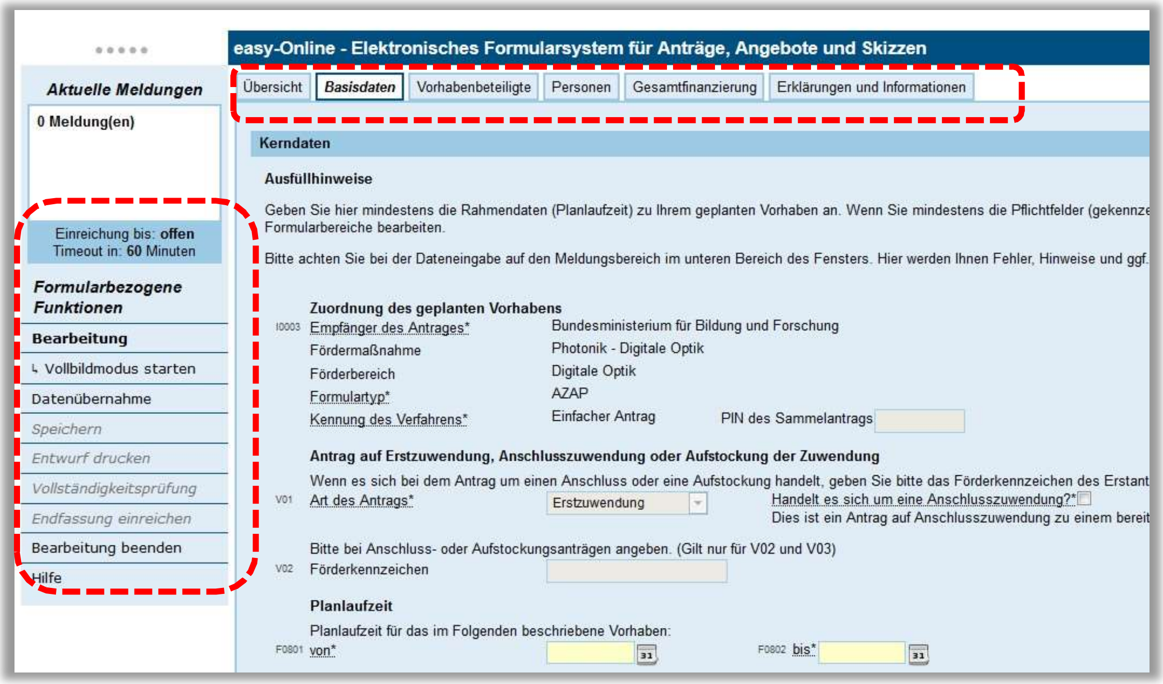
2) Creation and completion of an application form

- Creation of a draft application in the form of an *.xml file in EASY ONLINE.
  IMPORTANT: To fill out the AZA/P forms correctly, please use the handout from the Research Division, available at the following link: https://backend.uni-heidelberg.de/de/dokumente/aza-beispielantrag-uhei-basisangaben-zur-information-fuer-antragsteller-stand-0924/download

- Please fill in all open fields under the specified tabs, in particular the section Total financing. Current personnel cost rates are available on request from Department 6.2.
  IMPORTANT: Personnel costs must be stated in the form of the actual budget costs respectively as the employer's gross amount, as otherwise there is a risk of the project being under-budgeted.

- To save your draft application, you must first **SAVE** it (see left menu page) as an *.xml file. You can also **PRINT** a watermarked draft as a *.pdf file. As part of the **COMPLETENESS CHECK**, missing or incorrect information is automatically marked. The final release for the submission of applications (**SUBMIT FINAL DRAFT**) is only possible after all error messages have been corrected!

- The editing of the draft file can also be continued at a later date and/or by other authorized persons. To do this, please click on **CONTINUE EDITING DRAFT** on the EASY ONLINE start page and upload the previously saved *.xml file.



3) Transmission of the application as a draft to HRS (*.xml file and pdf version)

- Please note that the signature always required for applications to be submitted can only be made directly via Heidelberg University as the applicant.

IMPORTANT: Only the chancellor or a legally authorized deputy is authorized to sign. All applications must therefore be submitted via the university administration.

4) Review of the draft application by the HRS

- The HRS project managers check the information, modify the draft document if necessary, or provide feedback to the principal investigator with a request for correction and resubmission to Department 6.2.

5) Approval of the AZA/P application & submission via EASY ONLINE by the principal investigator

- After a successful check, final approval is given by the HRS.

- In the next step, the principal investigator submits the AZA/P application him/herself via EASY ONLINE (**SUBMIT FINAL APPLICATION**).

IMPORTANT: An official AZA/P file in the form of a pdf is only generated by EASY ONLINE (without a watermark) once the submission has been completed. Only this official pdf can later be signed by the chancellor.

6) Transmission of the final version to HRS, signature of the chancellor and dispatch

- The final version of the AZA/P application must be sent to the HRS together with all accompanying documents (Excel tables, project description, etc.) as a pdf **by e-mail** and in duplicate in printed form. The Research Division prepares the application for signature by the chancellor. After signature and return, the HRS will send the documents to the project management organization and to the Baden-Württemberg Ministry of Science and the Arts (copy).

- Please submit the explicit address details of the contact person at the project management organization to the HRS together with your final version of all documents so that immediate and correct delivery can be guaranteed.

IMPORTANT: Obtaining the chancellor's signature may take several days, depending on the workload. The Research Division therefore requests that the documents be submitted to the project management organization with a sufficient time buffer, **but at least 1 week before the applicable submission deadline**. The University accepts no responsibility for late submission after the deadline due to the principal investigator's noncompliance to provide a sufficient time buffer!

IMPORTANT: As a rule, your application consists not only of a signed AZA/P form, but also of a project description and various accompanying documents (e.g., bar chart, declarations, etc.; see "Declarations and information" tab in the AZA/P). These documents **must also be sent to the HRS** (2x printout, 1x electronically).

II. Project administration and processing manual

1) Receipt of the grant notification

- Notification from the Research Division to the principal investigator about receipt of the grant notification if it arrives shortly before the start of the project. The confirmation of receipt and the application for access to the **PROFI ONLINE** web portal are carried out automatically by Department 6.2.

- The account assignment object data is created in the Research department by the responsible administrator. At the same time, the key data of the project is entered in the research database.

2) Account assignment object data and project overhead account

- As soon as the principal investigator has the account assignment object data, the project can be started.

- The project overhead account is created automatically by the Research Division (if it does not already exist).

3) Forms

- Together with the account assignment object data (see II.2), you will receive the following form from the responsible administrator in department 6.2:

    - *Notification of third-party grants and research contracts (Annex)*

- Please complete, sign and return this form **within 14 days** to Department 6.2.

Universität Heidelberg

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Einrichtung

Universität Heidelberg
Zentrale Universitätsverwaltung
Dezernat für Forschung und Projektmanagement (D6)
Seminarstr. 2
69117 Heidelberg

Anzeige von Zuwendungen und Forschungsaufträgen Dritter (§§ 13 und 41 LHG, DMRL 2010)

Allgemeine Angaben

Antragsteller*in (Name, Telefonnummer)	
Projektsachbearbeiter*in (falls abweichend vom Antragsteller)	
Zuwendungsgeber*in/Auftraggeber*in	
Mittelherkunft	☐ öffentlich ☐ privat (Zusatzangaben Rückseite)
Nur bei ausländischen Geldgebern:	Erfolgt die Mittelvergabe entsprechend dem Vergabeverfahren öffentlicher Drittmittelgeber Deutschlands? (z.B. Wissenschaftliche Begutachtung) ☐ ja ☐ nein
Kurzbezeichnung des Forschungsvorhabens (max. 80 Zeichen)	
Förderkennzeichen (soweit bekannt)	

4) Requests for funds

- Requests for funds can only be made via the **PROFI ONLINE** portal https://foerderportal.bund.de/profionline/

- The request for funds is created online by the decentral office. The request must then be printed out, signed by the principal investigator and submitted to Department 6.2. In the Research Division it is checked, countersigned and returned to the principal investigator.
- If a digital form of the funding request is sufficient for the project management organization, this step is not necessary.

IMPORTANT: Please be sure to submit the acceptance order (Annex 1) with a copy of the request for funds at the same time as the payment request. The project overhead will be transferred automatically.

https://www.uni-heidelberg.de/universitaet/beschaeftigte/service/finanzen/buchhaltung/downloads/

Annahmeanordnung

Anlage 1

Drittmittel: ☐ Ja ☐ Nein

1	Anordnende Stelle Institut Frau Mustermann	Telefon, Fax, E-Mail 54-XXX mustermann@uni-heidelberg.de	Eingangsstempel
2	Einzahlungs-pflichtiger [1]	Name / Firma / Anschrift Projektträger angeben (z.B. DESY, DLR)	Von der Finanzbuchhaltung auszufüllen Beleg-Nr. Debitoren-Nr.
3	Anzunehmender Gesamtbetrag [1] (bei BgA Bruttobetrag)	In Ziffern [1] Euro Cent Betrag brutto In Buchstaben [1,2]	Anlagen-Nr.

5) Interim statements and proof of use

- Interim statements and proof of use must also be created and submitted via **PROFI ONLINE**. Here too, the principal investigator's signature must be followed by an additional check and signature from Department 6.2. Please note that the figures entered in the statements must match the figures in SAP.

  IMPORTANT: Interim reports can be sent directly to the project management organization.

6) Adding or deleting employee accounts in PROFI ONLINE

- New project members who require access to the project within PROFI ONLINE can be activated at a later date without any problems. To do this, please send an e-mail to Ms Braunecker ines.braunecker@zuv.uni-heidelberg.de

- The same applies to the deletion of accesses by former employees.

7) Term extensions and carryovers

- An extension of the term or a carryover can be made via an informal letter from the principal investigator to the project management organization. After signature by the principal investigator, please send this first to Dept. 6.2, where it will be forwarded by post after countersignature.

8) Acknowledgements of receipt of the change notices

- Acknowledgements of receipt of the change notices are sent directly from Dept. 6.2 to the project management organization.

9) Project completion

- **Unspent funds** that are still available after the end of the project must generally be repaid (see grant notification). A corresponding payment authorisation must be created for this purpose, which can be sent directly to the financial accounting department (http://www.uni-heidelberg.de/einrichtungen/verwaltung/finanzen/d4_3.html).

  IMPORTANT: In certain exceptional cases, unspent funds may be retained. After notifying Dept. 6.2 accordingly, a “free funds fund” can then be created for the principal investigator.

- If the **project fund is in the red after the end of the project, it must be balanced** by the principal investigator. Please note that a cross-title group transfer (e.g., from DFG to BMBF) is not possible. If the fund is not balanced, the debit account procedure is initiated.

- If the project fund is at zero at the end of the project, please send a brief notification by e-mail to Department 6.2 (braunecker@zuv.uni-heidelberg.de). Here, the fund is closed so that no further bookings can be made.