



## IKI Selection Procedure 2018

# Frequently Asked Questions (FAQ) updated

### Processes

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#### **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 project/programme outlines need to be submitted based on the corresponding funding information. If project/programme outlines are promising, BMUB will ask for the submission of a formal project/programme proposal (start of second stage).

In the **second stage**, the lead executing organisations of promising project/programme outlines receive a written invitation to present a formal project/programme proposal and, immediately after that, can request funding for preparing the project/programme, for instance for studies, appraisal missions, or planning workshops with partner institutions. Subsequently, the project/programme proposal can be submitted. After an in-depth evaluation and a positive decision on the proposal by BMUB, the project/programme can begin.

#### **Question 2: When can a project/programme outline be submitted?**

In 2017, the BMUB announces several calls for submitting project/programme outlines (ideas competition, thematic and country-specific). Please refer to the IKI website ([link](#)) for the deadline for submission of project/programme outlines for the current IKI call.

#### **Question 3: In which form is the project/programme outline to be submitted?**

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

#### **Question 4: Does a project/programme outline need to be signed?**

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

#### **Question 5: Can the project/programme outline be evaluated by BMUB before submission?**

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

#### **Question 6: What is an appraisal mission? In which cases is an appraisal mission reasonable and how can one apply for an appraisal mission?**

An appraisal mission serves as a preliminary audit to supply valid data and information, providing a foundation for a detailed project planning process and substantiated project structure and content.

The proposal for the appraisal mission should be in written form. The application template will be supplied in the second stage of the selection process.



### Question 7: When can the appraisal mission start?

After BMUB asks for the submission of a formal project/programme proposal (start of second stage), funding for an appraisal mission can be requested. A decision is made by BMUB as soon as possible.

## Applicants

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### Question 8: Who can submit the project/programme outline?

The IKI supports projects/programmes carried out in partner countries by German federal implementing agencies, NGOs, business enterprises, universities and research institutes based in Germany and abroad, by institutions in partner countries (including national implementing entities accredited by international or multilateral organisations, NDAs) and by international and multilateral organisations and institutions, e.g. development banks and United Nations bodies and programmes. Individuals and their projects/programmes are not supported by the IKI.

It is expected that project/programme proposals will generally specify that the programme will be implemented jointly and in partnership by several of the organisations that specialise in the particular strand of work (**joint programme**). One of the programme-implementing organisations must be nominated as having principal responsibility (**joint programme coordinator**) and submit the project/programme outline.

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

The implementing organisations must be capable of providing suitable human and financial resources for the implementation of the programme.

It is understood that these requirements are met in the case of financial cooperation projects/programmes involving national or regional activities by a governmental partner institution or an international non-governmental organisation, involving other governmental or non-governmental implementing organisations.



## Joint Projects/Programmes

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### Question 9: What is a joint project/programme?

In general, a joint project/programme involves several organisations that work as fully-fledged partners for the purpose to ensure successful and efficient implementation of a joint IKI project/programme. The principles of cooperation will be laid out in a cooperation agreement signed by all the implementing actors and the joint programme coordinator. The cooperation agreement should not be submitted until the second stage of the application procedure (cf. Section 7.2 'Selection procedure' of the funding information).

### Question 10: What is a cooperation agreement? When is the cooperation agreement to be submitted?

The successful implementation of a project/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 programme coordinator who carries out the internal organisation and external representation of the joint project/programme.

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

### Question 11: What is the relationship between the joint programme coordinator and the implementing organisations towards BMUB?

The joint programme coordinator is the **sole recipient** of the approval notification or the sole contract partner of BMUB. As the sole implementing actor, the joint programme coordinator receives direct payments through BMUB; 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 in the joint programme. Please refer to the 'Consortium Agreement' fact sheet for more information on the IKI website ([link](#)).

### Question 12: 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.

## Partnerships

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### Question 13: In which form and at what point of the IKI selection process does the interest of the political partner and its willingness to cooperate need to be secured and proven?

For the realisation of a project/programme, it is essential that the Government of the partner country shows a clear interest in the project/programme. The explicit interest of the partnering Government has to be obtained during the second phase of the IKI selection process (project/programme proposal phase). Further information on how it should be obtained will be given at the beginning of the second phase of the IKI selection process.



In the first phase of the IKI selection process (project/programme phase), applying organisations should provide a first evaluation of the political support for the project/programme outline; a relevant contact person/focal point within the partner country's Government (political partner) must be provided.

#### **Question 14: Do all partnerships and subcontractors have to be listed in the project/programme outline?**

**Political partners** have to be taken into consideration in the project/programme outline to the extent that a first evaluation of the political support for the project/programme outline needs to be provided as well as a contact person / focal points within the partner country's Government (political partner). In the second phase of the IKI selection process, an explicit statement of interest of the partner's Government has to be obtained (in accordance with the requirements specified in the request for application, which will be addressed to the joint programme coordinator after selection).

All **implementing partners** that participate in the consortium have to be stated in the project/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 project/programme. Should **subcontractors** already be determined before submission of the project/programme proposal, they have to be listed in the project/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 project/programme outline on the IKI online platform ([link](#)).

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

## Budget

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#### **Question 15: In which currency is the application requested?**

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

#### **Question 16: Are there any guidelines regarding the maximum amount of funding?**

A minimum or maximum grant amount does not exist. In general, joint projects/programmes involve spending on a scale of EUR 15 - 20 million.

The planned average annual BMUB funding volume should not exceed the average annual turnover of the last three financial years. The average annual funding volume follows from the planned BMUB total funding volume and the planned project/programme duration.

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

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



#### **Question 17: 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 grantee's funds and is not sourced from other donors or third parties.

IKI projects/programmes should not be funded entirely by BMUB funding 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 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 project/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 BMUB is therefore only possible in exceptional cases.

In addition to own funds, **third-party grants** refer exclusively to sums made available for the project/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.

**Own funds** from subgrantees are counted in the formal project proposal as third-party grants of the grantee. A written confirmation is not necessary in this case.

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

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

#### **Question 18: 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 grantee. Therefore, in-kind contributions do not involve any expenditure. Consequently, in-kind contributions are not eligible and must never appear in the budget of the IKI project/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, BMUB shall be informed and the planned contributions need to be displayed and described under 5.4 of the project/programme proposal form (second stage).

#### **Question 19: Are smaller projects, which do not exceed the announced EUR 15 -20 million budget, competitive or do larger projects, which apply for more than EUR 20 million, have a chance to benefit from IKI funding?**

Within the framework of this funding information, projects that do not meet the criteria laid out for joint projects/programmes are only eligible in well-founded exceptional cases.



**Question 20: How is the budget distributed between joint programme coordinator and the implementing partners? Are there any guiding principles?**

There are no specifications. However, a balanced and factually comprehensible relationship should be respected. It is in the special interest of BMUB that the joint project organisations cooperate at the same level. This should be reflected, if possible, in the budget.

## Countries, regions and themes

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**Question 21: Can only countries from the published list of IKI countries be selected as implementing countries? Can countries that are not on this list be considered? Can priority countries play a role and if yes, to which extent?**

**Regional projects/programmes** must integrate at least one cooperation country and can include other countries in addition to the IKI cooperation countries. IKI priority countries can only be considered as part of regional projects/programmes, not as bilateral projects/programmes, for which there are separate calls. However, the scope of work in priority countries should be limited. It is important that the projects/programmes fit into the IKI portfolio and, where possible and appropriate, they should draw on, consolidate and complement existing work. Moreover, the partners' governments must express an explicit interest in the programme.

Furthermore, **individual countries (bilateral projects/programmes)** from the list of IKI cooperation countries, which are not IKI priority countries, can also be recipients of funding measures.

Generally, a partner country/region must be ODA-eligible. This means that it must meet the criteria for recognition as a recipient of Official Development Assistance (ODA).

**Question 22: Is the IKI primarily looking for national projects/programmes or can individual countries only be recipients in exceptional cases?**

In the context of this funding information, the IKI is looking for national and regional projects/programmes. Generally, partner countries/regions must be ODA-eligible to receive IKI funding.

**Question 23: Is there a difference between national and bilateral programmes?**

No, these terms are used synonymously and are to be understood especially as an explicit differentiation from regional/global multi-country programmes.

**Question 24: Is it possible in principle to apply for funding of global projects?**

The interest of partner countries in global projects has steadily declined in recent years. Only in strongly justified individual cases will funding be provided for non-regional 'global' multi-country programmes, dealing with issues and challenges, which lack practicable solutions, and for which there is no international exchange of knowledge and experience yet. It must be clear that the synergies achieved through the multi-country approach are extremely evident, that all the countries involved have explicitly expressed their interest and that in addition to the depicted synergies of the multi-country programme, there is strong embedding in the partner countries.

**Question 25: How many countries should be involved in a regional project?**

There are no specific requirements regarding the number of countries to be involved in a regional project.



**Question 26: Are the regions listed under thematic priorities with an ‘or’ mutually exclusive or is it possible to combine these regions in one programme?**

As a rule, one region only should be chosen and – as explained in the funding information – regional approaches are preferred over global ones.

**Question 27: What exactly does the concept of ‘region’ mean? Do countries have to be neighbouring to count as one region?**

Regional programmes are transnational multi-country projects which take place in one geographic region (e.g. MENA, sub-Saharan Africa, Central Asia, AOSIS) and whose activities generate a value that exceeds the mere national level.

In a region, countries do not have to be neighbouring. For example, a project/programme that takes place in the MENA region involving the countries Tunisia and Jordan counts as ‘regional’.

**Question 28: Does ‘SADC’ as a region mean that in one programme all countries that belong to the SADC have to be considered or is it possible to choose only 3 to 4 countries out of this region? Does the same apply also for COMIFAC and Central Asia?**

Not all 15 countries have to be considered and thus it is possible to choose only 3 to 4 countries out of the SADC region. The same applies for COMIFAC and Central Asia.

**Question 29: Are regions other than those mentioned for a certain thematic priority in the funding information acceptable?**

No, the combination of themes and regions must be in accordance with the requirements of the funding information.

**Question 30: Is it possible to submit outlines for small-scale projects? If so, for which thematic areas?**

The present funding information focuses on joint programmes (national or regional). In well-founded cases, it is possible to submit outlines for small-scale projects regarding the thematic areas 2.2.9. and 2.2.10.

**Question 31: Which countries are part of the international NDC-partnership (NDC-P)?**

The country landscape of the NDC-partnership alters constantly. The most recent information about the participating countries can be found on the following website: [www.ndcpartnership.org](http://www.ndcpartnership.org).

## Further funding information for single countries

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**Question 32: When will the funding information for single countries be published? Is it possible to submit project/programme outlines for bilateral programmes already now?**

The dates for the submission of project/programme outlines for bilateral calls 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 the selected countries - probably South Africa, Mexico, Philippines, Costa Rica, Brazil.

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

On behalf of:

Programme Office  
**International  
ClimateInitiative**



Federal Ministry for the  
Environment, Nature Conservation,  
Building and Nuclear Safety

of the Federal Republic of Germany

**Question 33: Will the funding information for bilateral calls exclusively include IKI cooperation countries (incl. priority countries)? Or will there be IKI calls for other countries, too?**

Country-specific funding information address IKI priority countries. Occasionally, bilateral programmes for IKI cooperation countries are also foreseen to support international political processes in the climate and nature conservation. Submissions for bilateral programmes in other countries are not planned.

**Question 34: What exactly is an 'IKI priority country'? Which criteria are applied in order to classify a country as 'priority country'? What does it mean to be a priority country?**

IKI priority countries are to be found in the IKI country list published on the website of the International Climate Initiative ([link](#)). For these selected countries, BMUB and the partner institutions have agreed on close cooperation in the target country, which is accompanied by political exchange.

**Question 35: Will the funding information for bilateral IKI calls be similar to the present funding information? Which criteria will form the basis for the country-specific calls?**

The funding information for the country-specific selection procedures reflects current and tangible needs of the respective countries and was discussed closely and agreed upon with the partners in the countries. Further information about the thematic priority areas of the country-specific calls as well as about the respective process of the call will be published in due time on the website of the International Climate Initiative ([link](#)).

**Question 36: Are the same selection process (incl. deadlines) and the same application forms going to be applied when it comes to the choice of projects for bilateral programmes?**

Yes, the country-specific calls will generally be based on the current IKI selection procedure. All relevant information will be published in due time on the IKI website.

**Question 37: Is it possible to submit a regional project/programme outline with the countries Peru, Colombia and Costa Rica, although these countries do partly count as IKI priority countries and will probably each see a separate IKI call?**

Yes, it is possible. Nevertheless, it is requested that countries, which are not part of bilateral calls, dominate the project/programme outline.

**Question 38: What exactly are the differences of the upcoming bilateral IKI calls compared to the IKI calls for bilateral cooperation in the past?**

The country-specific calls will clearly respond to the countries' NDC implementation while significantly taking into consideration questions dealing with the conservation of biodiversity. The content of the bilateral calls is discussed closely between BMUB and the partnering countries before publication of the funding information; it reflects actual needs of the respective country, which shall be addressed via the IKI within the framework of the close cooperation between BMUB and its partners.



## Supplement: Answers to unresolved questions from the webinar

The webinar on 17 August 2017 provided essential information about the current IKI selection procedure based on the new IKI funding information, and responded to frequently asked questions. The video recording of the webinar (4 pm) can be viewed via the IKI website ([link](#)). Time constraints meant that not all the questions could be addressed, so answers to the unresolved questions from the webinar are now provided below. All further questions to which the following provides no answers will be answered solely by email; the same applies to questions about thematic priorities.

### Processes

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**Question 39: Have 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).

**Question 40: Should the costs of an appraisal mission be included in the project outline?**

Details (scope, activities, roles of the partners, expenditures, etc.) of a preparatory phase or appraisal mission may be indicated in the online form under 7.1. 'Need for pre-appraisal mission'. The expenditures needed for an appraisal mission are not to be included in the project budget.

### Applicants

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**Question 41: The average annual grant from BMUB 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 16) therefore applies to the overall grant.

**Question 42: Is it possible to display the required five years of experience in the region through the overall consortium (all project partners, or one of them) instead of through the consortium leader 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 region for at least five years.



## Joint projects/programmes

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### Question 43: What does cooperation at the same level mean?

Cooperation at the same level means that the partners in a joint project/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 project/programme. The partners should act in consensus (incl. external visibility of all partners with simultaneous presentation of the project as financed by the BMUB).

### Question 44: How binding, in the view of BMUB, are cooperation arrangements at the point of submission of a project/programme outline? After outline selection, can cooperation partners leave and/or join the initiative?

After the selection, further cooperation partners can join if, for example, an appraisal mission indicates that further local partners/experts are required to implement the project/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 project/programme outline.

### Question 45: Will BMUB provide support for matchmaking with compatible partners, recommending partnerships with like-minded organisations?

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

### Question 46: 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 47: 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 project/programme.

## Budget

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### Question 48: Is there a fixed limit to the IKI administrative overheads?

A fixed limit is not defined. However, the overheads have to be broken down in the second stage in order to be assessed for appropriateness.

### Question 49: Must joint project/programme partners also provide evidence to BMUB of an own contribution? When and where (outline or project proposal)?

Appropriate own financial contributions and 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 project/programme, the level of own funds and third-party grants is one of the selection criteria. This rule also applies to the partners in a joint project/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').



**Question 50: What happens if a project 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 49). If additional financing (own funds and/or third-party grants) can be secured for the project, BMUB views this positively. Depending upon the type and level of the new funding, the BMUB 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 51: Does an English-language version of the general collateral clauses for grants to support projects (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 BMUB continue to provide no legal advice on this? Are the costs 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 expenditure and therefore should not be included in the project outline.

**Question 52: Is it possible as grantee, for calls for tenders within Germany, to gain access to the [www.evergabe-online.de](http://www.evergabe-online.de) tender portal maintained by the Federal Government in order to access the notifications and corresponding documentation? VOL/A will be replaced in September by UVGO – will ANBest-P be updated accordingly and reference made to UVGO?**

The terms and conditions for using the portal can be found here ([link](#)). Please note that BMUB does not host the above-mentioned page and therefore has no influence on the options for use.

It is not known at present (September 2017) when ANBest-P will be updated.

**Question 53: 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?**

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

For the 2018 selection procedure, only expenditure-based applications are eligible. The funding information states (cf. Section 5 ‘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.

Private companies can take part within a consortium in the implementation of a joint project/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 54: On the island, a combination of hydropower and solar energy is to be used for the first time in Colombia. Is there a limit to the costs of gathering all the geodata needed to dimension and plan the project reliably? Unfortunately, we have found nobody for the combination of the two energy sources in Colombia and can only rely on our own know-how.**

There are no fixed limits to planned expenditures. What is key is that the need for the planned expenditures – particularly with regard to attainment of the goals of the project/programme – is presented verifiably and that funds are deployed economically and efficiently.

## Countries and regions

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**Question 55: What characterises individual projects, i.e. which financial volume must they not exceed and what is their minimum volume? May individual projects be bilateral projects with one country or must they cover several countries? Can staff be seconded to the countries within the context of individual projects?**

No financial scope is defined for individual projects. Individual projects can be designed as bilateral projects or they can involve several countries. In general, the deployment of staff in the country (secondment) is possible.

**Question 56: With regard to smaller biodiversity projects, is there scope for funding projects that address policy orientation of key stakeholders with the intention of raising stakeholder awareness and understanding to facilitate policy implementation?**

**Can you clarify a bit more on the smaller biodiversity projects? How many are planned and what budget range can they have?**

Sections 2.2.9. and 2.2.10. of the funding information set out the thematic priorities for funding with regard to biodiversity conservation.

**Question 57: Is it better to develop a programme that covers a small number of countries and two or several themes, or a programme that covers more countries but fewer themes?**

There are no constraints. The choice of countries should, however, be guided by a regional thematic priority.

**Question 58: Should the project outline be limited to a single region or can the outline cover several regions? Does this also apply to the theme 2.2.2 'Financing Climate Change Mitigation and Adaptation', which does not address any particular region?**

In principle, the criteria of the funding information apply. However, for this theme in particular, global programmes can be considered, if the global approach is particularly evident and conducive to goal attainment. This needs to be made very clear in the application.

**Question 59: If there is a defined regional focus for a specific thematic priority, does this exclude a country not located in that region from the country selection of a project/programme?**

No, no countries are excluded automatically. However, the chosen country should have a geographical and thematic link. As outlined in the funding information, regional approaches are given preference over global approaches and approaches where countries from different regions are project partners.



**Question 60: Would a proposal concentrating on Peru, Brazil and Colombia meet your criteria? I ask because all of these are priority countries. My understanding is that a single-country proposal must address a cooperation country. However, this clarification is not given for a regional proposal, which makes me think that it is OK.**

IKI priority countries can be considered as part of a regional project/programme. The scale of activities in IKI priority countries should however be limited, as there are separate country-specific calls for priority countries (cf. Question 21 and Question 37).

**Question 61: Are applicants preferred, who concentrate on the priority countries on the list of cooperation countries?**

The funding decision will be taken after comprehensive assessment and weighing of all aspects speaking for or against a project/programme. The selection of countries is one point considered in the assessment (cf. Question 21).

**Question 62: The IKI Selection Procedure 2018 document states that individual countries can also be recipients of funding measures in exceptional cases. What are the conditions that must be met by non-IKI cooperation/priority countries?**

This depends upon the concrete project/programme (and its focus). As noted under Question 61, the grant decision will be taken after comprehensive assessment and weighing of all aspects speaking for or against a project/programme.

**Question 63: Must the selection of AOSIS countries have a geographic regional focus or can it comprise countries across different regions?**

The selection of AOSIS countries does not need to have a geographic regional focus.

**Question 64: What is meant by 'geographically contiguous' region? For instance, does this consider marine boundaries beside those on land? In the case of Indonesia, would a regional project/programme outline together with Papua New Guinea (PNG) be conceivable? PNG is a geographically neighbouring country, but does not belong to South-East Asia. Would the countries of the Gulf of Thailand come into question as 'geographically contiguous' partners?**

Regional projects/programmes are transnational multi-country projects/programmes in a geographic region whose activities generate an added value that goes beyond the national level (e.g. MENA, Sub-Saharan Africa, Central Asia, AOSIS).

Countries in a region do not have to be neighbouring. For instance, a programme in the MENA Region that involves the countries of Tunisia and Jordan is considered regional.

In the case of Indonesia, a regional application with Papua New Guinea (PNG) as neighbouring, individual AOSIS country would be conceivable. The countries of the Gulf of Thailand can be considered as geographically contiguous partners.

**Question 65: Will the upcoming bilateral calls involve thematic prioritisation?**

Yes, the funding information for the country-specific selection procedures will reflect the current and specific needs of the countries concerned. Their thematic focus will be agreed upon in detail with the partners in the countries.



## Thematic priorities

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### Question 66: Are any themes of more priority importance?

No, there are no different priorities among those themes.

### Question 67: The guidance suggests that programmes may be relevant to more than one of the thematic-regional priorities. Would proposals that focus on only one theme generally be preferred? Is IKI prepared to consider proposals that integrate more than one of the thematic priorities listed in the call, e.g. Forest Landscape Restoration and EbA? If yes, should we still flag one of the thematic priorities as the main one?

Themes are often interlinked, e.g. EbA, FLR and biodiversity. Programmes may therefore relate to more than one of the thematic-regional priorities. However, the focus of a programme should be clear and one main thematic-regional priority must be determined.

### Question 68: Does the listing of priority countries also apply to 'Energy Transformation SEA'? The four IKI priority countries are the most relevant energy-consuming economies and coal-fuelled emitters.

**As far as energy and transport are concerned, the greatest impact will presumably be generated by activities in priority countries, especially in Asia. Would that not be reason enough to concentrate on priority countries in these thematic areas?**

Regional projects/programmes must integrate at least one cooperation country and can include other countries in addition to the IKI cooperation countries. IKI priority countries can only be considered as part of regional projects/programmes, not as bilateral projects/programmes, for which there are separate calls. However, the scope of work in priority countries should be limited. The shares of those countries that are not addressed by country-specific calls should be significant. Thus, it makes sense to include several non-priority countries, i.e. non-bolded IKI cooperation countries and other countries, in the energy and transport thematic areas. It is important that the projects/programmes fit into the IKI portfolio and, where possible and appropriate, they should draw on, consolidate and complement existing work.

### Question 69: Are all project/programme outlines referring to cities assigned automatically to theme 2.2.4 'Sustainable Urban Development'?

No, project/programme outlines with references to cities are not automatically assigned to 'Sustainable Urban Development'. In the 'Specific Focus' section of the online form, projects/programmes concerned with sustainable urban development (e.g. climate-specific development planning, energy-efficient urban district planning, biodiversity criteria in urban land-use planning etc.) should be assigned to Focus '04. Sustainable Urban Development'. Projects/programmes with an indirect linkage to urban planning should be assigned to their primary theme, e.g. climate-friendly industrial cooling systems that may also benefit neighbouring urban districts should be assigned to Focus '06. Climate friendly cooling technologies'.

### Question 70: Several SIDS have only submitted their INDCs up to now. Can a project/programme outline on theme 2.2.1 'Supporting the Implementation of NDCs in Small Island Developing States' include countries that have only submitted their INDCs?

Yes, countries that have only submitted their INDCs can also be taken into consideration.



## Miscellaneous

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**Question 71: Will there only be funding for one project/programme per thematic priority? As far as we are informed, only about 10 large-scale projects (with minimum budgets of EUR 10 million) will be selected in order to minimise transaction effort and cost. Is that information correct?**

Yes, only one programme with a volume of approx. EUR 15 - 20 million is supposed to be selected per thematic priority. Exceptions are possible with regard to the thematic priorities in the area of biodiversity (2.2.9. and 2.2.10.).

**Question 72: There are rumours that GIZ will perform the lead role in all projects and that GIZ has already compiled a list of potential cooperation partners who all come from the non-profit sector. Private companies can only participate as subcontractors to GIZ, after they have gone through a tender process. Is this information correct?**

No. IKI is open to a variety of actors in Germany and abroad. The IKI supports projects/programmes carried out in partner countries by German federal implementing agencies, NGOs, private companies, universities and research institutes based in Germany and abroad, by institutions in partner countries (including national implementing entities accredited by international or multilateral organisations, NDAs) and by international and multilateral organisations and institutions, e.g. development banks and United Nations bodies and programmes. Thus, private companies can assume the role of an implementing organisation 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 73: If, for instance, SONNETT is the operator for two sites, can this be submitted as one project/programme? Or do we need to make two projects/programmes out of it?**

It depends on the content and regional constellation of the projects/programmes whether one or two projects/programmes should be submitted. In this regard, the selection criteria and thematic-regional priorities set out in the funding information give an orientation. Exceptions are possible with regard to the thematic priorities in the area of biodiversity (2.2.9. and 2.2.10.).

**Question 74: Can project implementation be planned for less than eight years? E.g. six or seven years?**

Yes, it 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 project/programme and based on the project/programme design, the project/programme duration can be shorter than eight years. However, it should be considered that subsequent phases are not foreseen and that the project/programme achieves its objectives sustainably in the requested period.

**Question 75: Should we select one of the Tables 4.1 - 4.3 or are entries required for all three?**

At least one of the dimensions of the results achieved by climate change mitigation, climate change adaptation and/or biodiversity conservation (4.1, 4.2 and/or 4.3) needs to be indicated. Please state 'not relevant' for any dimension that does not apply. If possible, please also indicate synergies between the fields of climate change mitigation/adaptation and biodiversity conservation.

**Question 76: Is the Annex to the online form for the Implementing partners/Subcontractors repeatable, i.e. one table per partner?**

**Is there a limit to the number of partners that can be stated in this Annex?**

Yes, one table must be completed per partner. There is a technical limit to the number of partners that can be entered per country in the online form. If more than three partners are to be stated for one country, the country in question must be listed several times. Please upload a matching organisation chart (Annex 2) and state the multiple selection under 7.4 'Other information'.

**Question 77: 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 78: 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.