

IKI Selection Procedure 2018 – Information on support under the International Climate Initiative (IKI) of the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety

1 Introduction

In 2008, the German government launched the International Climate Initiative (Internationale Klimaschutzinitiative, IKI), a funding programme of the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) which aims to support measures that are essential for the implementation of the United Nations Framework Convention on Climate Change (UNFCCC) and the Convention on Biological Diversity (CBD) in partner countries.

In December 2015, the UN Climate Conference adopted the Paris Agreement, which provides a binding multilateral framework for climate-friendly transformation of countries and the world economy. Since the Agreement entered into force in November 2016, parties to the UNFCCC have been able to convert their Intended Nationally Determined Contributions (INDCs) – their proposed climate actions under the Paris Agreement – into Nationally Determined Contributions (NDCs). The IKI's priority is to provide effective support to partner countries in implementing these NDCs both in climate mitigation and in adaptation. Where possible, this will be achieved through the NDC Partnership initiated by Morocco and Germany and officially launched at COP22. The partnership provides a support platform that enables member countries and partner organisations to exchange information on their experience of implementation and to work together in seeking support for implementation activities (more on this below).

Another priority of the IKI is to help partner countries achieve the Aichi Targets of the Strategic Plan 2011-2020 of the Convention on Biological Diversity (CBD) in order to counter the dramatic loss of biodiversity. Support measures should be derived as far as possible from the National Biodiversity Strategies and Action Plans (NBSAPs) and should promote their implementation. They should also complement existing programmes/projects and other implementation activities at national, regional and international level.

Climate protection and biodiversity conservation are key objectives of support and the aim is to generate a maximum amount of synergies between them.

In addition to the two UN framework conventions, the UN's Sustainable Development Goals (SDGs), which were also adopted in 2015, provide another important benchmark. The implementation of the associated worldwide 2030 Agenda aims to bring about the shift to sustainable lifestyles and economic practices in industrialised, emerging and developing countries; a development that is long overdue if the integrity of the Earth's ecosystems is to be maintained.

This funding information describes the procedure and criteria for the selection of regional or national programmes in IKI cooperation countries that, in accordance with IKI procedures for the selection and preparation process, can receive funding at the earliest from the end of 2018. The term 'regional programmes' is used here to describe transnational multi-country programmes within a geographical region.

Further IKI funding information for the 2018 selection round relating to bilateral cooperation in selected countries – probably South Africa, Mexico, the Philippines, Costa Rica, Brazil and possibly other countries – will be published during 2017. Further information on IKI cooperation and priority countries can be found in the list of countries on the [IKI website](#).

2 Object of support

The IKI supports ambitious climate change mitigation and biodiversity programmes in IKI cooperation countries and regions. In the area of climate action, the emphasis in the present selection process is on programmes with the maximum possible transformative effect (mitigation and adaptation effect), on support for raising the level of ambition and on long-term strategies for low-carbon, climate-resilient development. In the area of biodiversity, the focus is on implementing the goals of the Strategic Plan 2011-2020 of the CBD.

In the context of this funding information, the IKI is looking primarily for national or regional proposals that, as joint programmes, implement overall programmatic approaches with a volume of generally 15 – 20 million euros. These joint programmes should have a regional focus and be strongly anchored in the partner countries. If there is a major need of support for individual countries, which are not IKI priority countries (see list of IKI countries), individual countries can in exceptional cases also be recipients of funding measures.

It is assumed that programmatic approaches of this sort also exist in connection with financial cooperation programmes in which funding of national or regional activities is provided via a state partner institution or an international non-governmental organisation with the involvement of other state or non-state implementing organisations.

Submissions for bilateral programmes in the IKI priority countries are not considered in this funding information. As mentioned above, there will be additional country-specific IKI calls for a selection of countries. Submissions of project outlines for bilateral programmes with these countries will be invited by a separate funding information during 2017.

The following ten topics for joint programmes reflect needs that have been particularly communicated to BMUB by partner countries. They are intended to provide optimum support for the climate protection and biodiversity conservation activities of partner countries and regions. The joint programmes cooperate closely with state institutions in



the partner countries, emphasise country ownership or are country-driven and aim for maximum input by national/local implementation partners. In this context networks and transformation partnerships, which connect government institutions, international organisations, local authorities, universities and research institutions, think tanks, civil society and the private sector play an important role. These factors should be explicitly described in the project outlines.

The primary level of intervention in conceptual terms and with regard to the selection of countries is the national and regional – i.e. geographically contiguous – level. Partner institutions should be selected at national and, where appropriate, subnational level; the choice of countries in regional approaches should be based on the structure of the issue at hand. The approaches must be embedded consistently in national strategies and policies and serve to implement them. An advanced level of knowledge and strong embedding in national circumstances is expected.

In regional approaches, the partner countries' interest and commitment as well as the partner countries' willingness to participate in the regional approach must be ensured. 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.

The thematic-regional oriented programme selection is guided by the criteria set out in Section 7.3. Section 2.1 provides further information on eligible measures and support approaches.

IKI programmes must be relevant to one or more of the thematic-regional priorities set out in Section 2.2.

2.1 Eligible measures and support approaches:

The IKI is able to support coherent programmatic measures in the areas of policy advice, capacity development, technology cooperation and investment and implementation of policies and strategies. In particular, the following approaches are eligible for support:

- Support for the conceptual design and implementation of ambitious transformative policy programmes and mechanisms, low-carbon transformations and long-term strategies;

- Development of country-specific solutions, regulatory frameworks and the removal of barriers to strategy implementation;
- Capacity development in public and private institutions in the partner countries, development and strengthening of appropriate institutions in the partner countries;
- Development of specific consultancy approaches, financing and business models (see also financing instruments);
- Support of the development of concrete project proposals for major funding programmes and investors (pipeline development);
- Support of transformation partnerships which connect government institutions, international organisations, local authorities, universities, think tanks, civil society and the private sector;
- Financial cooperation, especially financing of investment, financial contributions to financial sector development, fiduciary holdings, innovative financing instruments;
- Advice on, demonstration of and dissemination of technical innovations;
- Innovative approaches to the promotion of gender aspects in all IKI funding areas;
- Cooperation between countries in the negotiations.

Programmes that aim to support the implementation of NDCs are, where relevant, assessed in the context of the NDC Partnership (NDC-P). This means that selected measures, which become active in the member countries of the NDC-P, must be brought into the context of the NDC-P. Further information on the NDC-P can be found on the website www.ndcpartnership.org.

2.2 Thematic priorities for funding

2.2.1 Supporting the Implementation of NDCs in Small Island Developing States (SIDS)

With adoption of the Paris Agreement, almost all countries have submitted details of their climate action plans in the form of NDCs. This funding information calls for programme proposals which support the implementation of NDCs in Small Island Developing States (SIDS) in a joint regional cooperation, which adopts an integrated approach and addresses selected components (such as relevant mitigation sectors such as energy, transport, REDD, etc. and adaptation and/or cross-cutting issues) and/or considers the issue of biodiversity.

The programme should promote regional cooperation and as far as possible work with the relevant regional organisations. Depending on the needs of the target countries/regions, a programme involving one or more of the following approaches will be funded:



- Drawing up roadmaps for implementation of the NDCs focusing on the promotion of interministerial cooperation ('whole of government approach') and involving all NDC-relevant stakeholders from various implementation sectors while strengthening local/regional institutions, stakeholders and networks;
- Supporting the creation of legal and institutional frameworks for implementation of the NDCs;
- Supporting the review and adaptation of the NDCs with the aim of consolidating the data basis and raising the level of ambition;
- Supporting the countries in the development of capacities and mechanisms for national and international NDC monitoring and reporting and developing projections of mitigation effects;
- Strengthening technical and planning capacities for implementation of the NDCs in relevant mitigation sectors, including demonstrating technologies adapted to local conditions and business models for climate-friendly investment and mitigation measures;
- Supporting the orientation and adaptation of medium- and long-term sectoral strategies and policies to NDC implementation and achievement of mitigation targets. In connection with this, supporting the analysis and consideration of interactions between the mitigation measures of different sectors;
- Drawing up financing plans for NDC implementation – pipeline development; identifying and mobilising/creating financing opportunities; financing NDC measures;
- Integrating social aspects, especially gender mainstreaming and training, in the NDC strategies.

2.2.2 Financing Climate Change Mitigation and Adaptation

Implementation of the Paris Agreement requires broad-impact financing approaches, which promote the transformation to carbon-neutral economies and resilient societies at an early stage, influence the political reform dialogue, are of strategic importance and provide leverage effects via the mobilisation of additional public and private funds.

This funding information calls for programme proposals that address one or more of the following aspects:

- Financing of national and sectoral climate plans, including REDD+ strategies and adaptation strategies. Financial instruments and investments, which are suitable to provide financial support for the NDCs of particularly ambitious partner countries at an early stage. In order to achieve high financing volumes capable of driving sectoral transformation, partnerships of several financiers are desirable. A high level of political and financial ownership by the relevant partner country is also assumed.

Relevant approaches include policy based lending; economic inclusion, financing of sector reform, fund-based financing, REDD+ results-based payments;

- Financing mechanisms for the mobilisation of additional public and private investment. Mechanisms should build upon a clear analysis of the barriers to additional investment in climate change mitigation and biodiversity conservation in the target country in order to exclude free rider effects and create sustained incentives for additional public and private investment (e.g. climate funds, sector-specific capital funds, revolving investment mechanisms);
- Needs-driven project development (pipeline development) for mitigation and adaptation financing. Development and implementation of sustainable financial products that are designed to promote climate-friendly and climate-change-appropriate investment. In the development of project pipelines, consideration should be given from the start to subsequent financial feasibility, where appropriate, by involving possible investors from the outset. The development of project pipelines can also be embedded as components of financing and investment programmes.

2.2.3 Forest Landscape Restoration – Latin America, Africa or Asia

Afforestation and forest restoration have major potential for improving the greenhouse gas balance, restoring ecosystems and hence conserving biodiversity. By signing up to the Bonn Challenge, some countries have set ambitious targets for forest and landscape restoration. This funding information calls for programme proposals that provide large-scale and sustainable support to countries or regions in Africa, Asia or Latin America in connection with forest restoration. It is essential that these countries have already prioritised restoration potential and have experience in involving the land users, in order for the programmatic approach to prioritise implementation. The restoration activities must pay detailed attention not only to the achievement of land coverage and carbon mitigation targets, but also to environmental criteria. Regional aspects that should be considered in Africa are the outcomes of the regional ministerial round table for Eastern and Central Africa and the AFR100 initiative and in Latin America the implementation of the regional Initiative 20x20 as part of the Bonn Challenge. The programme's approach should be used to improve the entire production chain: political conditions, structural barriers, piloting and establishing financing models, all on the basis of existing analyses. Regionally, synergies and complementarities should be used, also in the case of subregional or transnational ecosystems, e.g. in connection with seed issues. It is also expected that social aspects – especially gender mainstreaming, human rights, indigenous rights and education/training – will be incorporated into the intervention.

2.2.4 Sustainable Urban Development – Latin America, Asia

Almost all global demographic growth until 2050 will take place in the cities of developing countries. The New Urban Agenda sets out a vision of how urban development can successfully be accomplished in the face of this challenge. Urban development needs to combine environmental requirements with integrated, sustainable urban development. In addition, the digital revolution opens up new opportunities and brings with it new requirements. Furthermore, in view of the rapid rate at which land is being sealed, particular attention must be paid to the conservation and promotion of biodiversity in urban areas. This funding information calls for programme proposals that provide large-scale and sustainable support to countries or regions in Latin America or Asia. The focus is on sustainable urban development, e.g. in the context of city networks, and the use of economies of scale in connection with the development of instruments and their use as well as the multiplying of successful approaches. In the design of a regional programme, subregional approaches will be particularly favoured, since they involve the geographical proximity that is necessary for the city level, the exchange of experience and the multiplying effect. In addition, the aim is to fund capacity development and specific solutions relating to resilient, sustainable and integrated city and infrastructure development, eco-smart, climate-friendly or resilient planning, implementation and quality monitoring of programmes and projects in new or existing cities and urban neighbourhoods and the conservation of biodiversity in cities.

2.2.5 Sustainable Mobility and Strategies for Decarbonising the Transport Sector – Latin America, North Africa or Asia

The transport sector accounts for more than a quarter of global energy-related CO₂ emissions and is the fastest-growing climate-related sector of the economy. Almost complete decarbonisation of the transport sector is essential if the Paris climate targets are to be achieved via the NDCs.

This funding information calls for programme proposals with a regional focus on Latin America, North Africa or Asia to develop practical standards for NDC implementation and raise the level of ambition in the transport sector overall. This should be achieved by using transregional networks and initiatives (such as the NDC Partnership) as drivers of national institutionalisation in the partner countries, bundling individual programme components and supporting capacity development and knowledge management in two to three partner countries.

The approach of 'Avoid/Shift/Improve/Technology & Fuel-Switch' is designed to underpin the development and implementation of mobility strategies and policies to reduce emissions. Key approaches here involve preventing traffic and shifting the modal split, improving the efficiency of the modes and means of transport and almost

completely decarbonising the energy sources used in the transport sector.

The programme should, wherever possible, deliver health-promoting and environmental co-benefits in terms of air pollution control, noise control and the conservation of other resources.

The challenges include raising the level of ambition in the transport sector, options for an energy transition in the transport sector and cooperation with international financial institutions and state and non-state actors in the context of a sustainable and decarbonised transport sector. Existing innovative and efficient approaches and synergies with ongoing IKI transport projects should be taken into account.

2.2.6 Climate-friendly cooling technology in buildings, logistics and industrial processes – Africa, Middle East or Latin America

Worldwide there is strong growth in the refrigeration and air conditioning sector; the use of fluorinated greenhouse gases, with their severe impact on the climate, as refrigerants or propellants remains high. The potential for mitigation is currently reflected in the Kigali Amendment of 2016 to the Montreal Protocol, which sets out international agreement on the progressive elimination of hydrofluorocarbons (HFCs). It focuses in particular on the establishment of climate-friendly refrigeration technologies and natural refrigerants and propellants.

This funding information calls for programme proposals that support implementation and integration of the Kigali Agreement. The dissemination of sustainable cooling technologies combined with renewable energies and/or energy-efficient alternatives also needs to be strengthened. The priority need for action is in buildings, industrial processes and logistics. In Africa, particularly because of the rapidly growing population and the unreliable energy supply, it is important to make progress in energy-efficient refrigeration and to utilise the immense potential of renewables. In Latin America and the Caribbean, cooling systems are already very widely used but they are usually based on outdated, environmentally damaging technology, which is why a shift to alternative solutions and measures to ensure the safe handling of pollutants contained in retired equipment must be prioritised. Proposals should focus on one sector (buildings, logistics or industrial processes) in one region or subregion. The particular potential for achieving a high climate impact in this thematic area should also be described in the programme outlines.

2.2.7 Supporting the energy transition and the development of climate-friendly energy systems – Southeast Asia

The vast majority of worldwide CO₂ emissions are produced in the energy sector, mainly as a result of the combustion of fossil fuels for the generation of electricity, heat or cooling. In light of this, particular importance lies in the expansion of renewable energies as an alternative to fossil fuels and to improvements in energy efficiency, in particular in the electricity, industrial, building, heat and cooling sectors. Especially in dynamic economic regions such as Southeast Asia, where demand for energy is growing rapidly, it is essential to pay attention to the appropriate planning and implementation of a sustainable energy supply with systematic adaptations in the energy sector based on renewables and energy efficiency.

Moreover, sector coupling, especially in the building and industrial sectors, offers potential for improving energy efficiency and reducing CO₂ emissions. The transport sector can also benefit from sector coupling.

This funding information calls for programme proposals that promote an ambitious reform and transformation process in Southeast Asia in connection with the shift to a low-carbon energy sector and pursues one or more of the following approaches in accordance with the needs of the target countries or region:

- Policy advice on the alignment of the existing energy plans, policies and strategies and state incentive structures with short-, medium- and long-term mitigation targets, especially implementation of the NDCs;
- Supporting analysis and political processes relating to the role of fossil resources and possible alternatives as well as national economic and institutional structures and macroeconomic interactions in connection with the transformation of the energy sector;
- Supporting multi-stakeholder processes with various actors such as relevant government bodies, representatives of the subnational level, utilities, the private sector, associations, civil society, women's rights organisations, academia, think tanks and other non-state actors;
- Strengthening local technical capacities in connection with the energy transformation, in particular the expansion of renewable energies and energy efficiency;
- Supporting implementation of systemic adaptations, such as, among others, expansion planning tailored to the NDCs and long-term low-GHG strategies, the conversion and expansion of electricity grids, grid integration of renewables, smart load management and flexibility options.

2.2.8 Ecosystem-based Adaptation (EbA) – Asia, Latin America or Africa

Ecosystem-based adaptation to climate change (EbA) involves using biological diversity, natural resources and their ecosystem services to boost people's capacity to adapt to the consequences of climate change. The EbA approach explicitly focuses on present and future climatic changes and their impacts on people. Programmes that implement EbA measures repeatedly demonstrate that such measures contribute in a highly cost-effective and sustainable way to the strengthening of resilience and adaptation to climate change and have important co-benefits. The EbA approach is now emphasised in many NAP and NDC processes.

Building on the experience of the IKI, which has promoted EbA vigorously from the start, this funding information calls for programme proposals for scaling up EbA measures w counteract climate-induced impacts such as erosion (in coastal areas and water catchment areas), drought, the reduction of soil fertility and damage to infrastructure and settlement areas. The proposal should as far as possible support NAP and NDC processes or be derived from them. The proposals should focus on particularly vulnerable regions and population groups and generate maximum co-benefits for biodiversity conservation. It is also expected that social aspects – especially gender mainstreaming, human rights, indigenous rights and education/training – will be incorporated into the proposal. Programmes should maximise their focus on broad impacts. In particular, regional EbA proposals of this sort are invited from mountainous regions and/or coastal zones in Asia, rural parts of Latin America and all ecosystems in Africa.

2.2.9 Biodiversity Conservation in Marine and Coastal Regions – Africa or Southeast Asia

Ecologically intact marine and coastal ecosystems harbour an extraordinarily large biodiversity. Coasts, though, are among the world's most densely populated areas. Protecting biodiversity in these regions and using it sustainably is the key challenge if the livelihoods of many millions of people are to be maintained. Moreover, coastal ecosystems such as mangroves play a globally important role in carbon storage and adaptation to the consequences of climate change.

This funding information calls for proposals that involve supporting the efforts of countries or coastal regions in Africa or Southeast Asia in connection with biodiversity conservation, ecosystem restoration and the sustainable use of the biological resources of coastal zones and oceans, thereby making a concrete contribution to implementation of the Strategic Plan 2011-2020 of the CBD. Programmes should pursue integrative approaches, which are based on cross-sectoral cooperation for sustainable development in marine and coastal areas. Attention should also be paid to tackling the causes of the risks to biodiversity. Furthermore, the IKI appreciates the integration of the aforementioned approaches in the specific focus area of Ecosystem-based adaptation (EbA), where this seems appropriate.



2.2.10 Biodiversity Conservation at Landscape Level – Africa or South Asia

The loss, degradation and fragmentation of ecosystems because of human activities is increasing all over the world.

Landscape-level approaches have proved to be successful strategies for mainstreaming biodiversity considerations in regional development processes and land use because they aim at long-term cross-sectoral cooperation. Ecosystem-based adaptation (EbA) as well as the protection and conservation of carbon sinks (especially wetlands, grassland, etc.) and forest ecosystems offer high synergy potentials.

This funding information calls for programme proposals that support the efforts of countries or regions in Africa or South Asia in connection with the long-term conservation and sustainable use of biological diversity, thereby making a concrete contribution to the implementation of the Strategic Plan 2011-2020 of the CBD.

Programmes focusing on this funding priority should, where possible, build on successful experience in the areas of biotope networking, management of protected areas and protected area systems (including indigenous areas and community-based conservation approaches), participatory approaches in the buffer zones of protected areas, the sustainable use of ecosystems and biodiversity-friendly production and value chains. Particular preference will be given to programmes that achieve concrete implementation results and impacts at regional to local level.

3 Funding recipients and programme organisation

The International Climate Initiative (IKI) supports programmes carried out in partner countries by German federal implementing agencies, NGOs, business enterprises, universities, 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.

Programmes conducted by organisations/institutions based in Germany and abroad are supported via grants. Programmes conducted by German federal implementing agencies are commissioned pursuant to the terms and conditions applicable to these agencies. With regard to funding for institutions based abroad, sections 3 to 7 of this funding information apply correspondingly.

In the light of the funding volume set out in Section 2, it is expected that 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. The cooperation in principle should be agreed upon in a cooperation agreement with all

the implementing organisations (see fact sheet Consortium Agreement). The cooperation agreement should not be submitted until the second stage of the application procedure (see Section 7.2)¹. For communication with BMUB or its agent, one of the programme's implementing organisations must be nominated as having principal responsibility (joint programme coordinator). 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.

This funding information is looking mainly for projects/programmes implemented by more than one organisation and with the involvement of regional and national actors² in joint cooperation programmes. The aim is to harness the cooperation between different actors with their various comparative strengths in the interests of the transformative impact of the programmes and to strengthen the development of sustainable capacities in regions and partner countries. The significant involvement of a broad range of implementation partners in the target country or region will be ranked particularly highly in the selection process. Programmes must fit into the IKI portfolio and, where possible and appropriate, they should draw on, consolidate and complement existing work. Cooperation with programmes financed by other donors is also possible.

The joint programme coordinator and the partners in the joint programme are expected to have comprehensive relevant expertise and experience in 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. Partners in the joint programme must demonstrate their expertise in accordance with their role in the programme. The joint programme coordinator must be able to undertake qualified planning and a cost-effective implementation of programmes and to monitor and render account for them, if necessary in collaboration with the partners or subcontractors directly involved. This includes ensuring compliance with relevant environmental and social safeguards in accordance with IKI's safeguard policy. Specific monitoring of the programmes is expected. Programme planning and monitoring should be based on the results framework developed by the Organisation for Economic Co-operation and Development (OECD) (see introduction on the online platform for more information via the [IKI website](#))

In order to render the impacts of these results-oriented and transformative approaches transparent, evidence-based monitoring of measures can also be funded as part of the

¹ It is assumed that in KfW programmes the role of the cooperation agreement is taken by the agreed private-law financing, loan or participation agreements with the competent departments of the cooperation partner.

² This refers not to the political partners but to cooperation partners in the sense of other implementing actors.



monitoring concept if the partner governments are interested in this.

The joint programme coordinator and the partners in the joint programme must be capable of providing suitable human resources for the technical and administrative implementation of the programme. The level of the planned, average annual BMUB funding volume should not exceed the grant recipient's average annual turnover over the last three business years. When the grant is forwarded, the joint programme coordinator is responsible for ensuring that the relevant partners in the joint programme (forwarding recipients) also comply with this requirement in respect of their funding share. The average annual funding volume derives from the planned total BMUB funding volume and the planned duration of the project as stated in the outline.

4 Prerequisites for support

Support depends on the programme's design being suited to make a substantial contribution to achieving the International Climate Initiative's goals and priorities as defined in Section 2.

Programmes applying for support must build on strategies and policies of the respective partner countries or regions, in particular the NDCs, the NBSAPs and the strategies associated with these national plans in order to take account of existing structures. Programmes should – for example on the basis of a needs analysis – be geared to the needs of target countries or regions in order to advance their specific climate protection and biodiversity conservation efforts in the best possible way.

The partner' governments must express an explicit interest in the programme. This is a prerequisite for programme implementation and must be verified in the second stage of the procedure. In the first stage of the procedure (project outline), the organisation submitting the outline should make an initial appraisal of the political support for the outline; a contact/reference person in the government of the partner country (political partner institution) is to be named.

On principle, programmes must be implemented in cooperation with national, local or regional partners in order for the programme to be anchored in the target region. Envisaged partners are already to be named in the programme outline. Programmes that involve a wide range of subcontractors and joint programme partners in the target region (such as state institutions, provinces/cities/municipalities, universities and think tanks, civil society) will be ranked particularly highly in the selection process.

In addition, programmes will be considered for funding only if they have clearly defined goals, which can be achieved and verified within the project duration (using the OECD results framework, see Section 3 above). The programmes cannot have already started and the duration should not be more than eight years.

Support by the International Climate Initiative is provided only if implementation of the proposed programme is impossible without public funding.

In order to fully exploit synergies and to prevent duplication of funding, relations to other instruments or areas of support, to ongoing or earlier funding measures of the Federal German Government, the German federal states or the European Union or to any international measures (bilateral/multilateral) must be disclosed and their relevance for the proposed programme explained. The closer the proposed programme is in its goals, target groups, activities and concrete outcomes to a concluded/ongoing project, the more precisely the demarcation from or linkage with such a project needs to be presented. Intended or previously approved support from third parties for the proposed programme must be stated, specifying the support donor(s) and the specific amount(s) of funding. Proof of such intended or approved support must be provided in the second stage of the selection procedure at the latest.

In order to ensure the additionality of greenhouse gas reduction and of the German contribution to international climate finance, no emissions certificates or other emissions credits generated by IKI programmes may be traded either during or after the programme term. For this reason, funding resulting from the sale of such emissions permits or credits may not be accounted for in the overall financing of IKI-supported programmes. However, this does not apply to emissions credits within the non-compliance market, insofar as they comply with the relevant IKI guidelines and are demonstrably being used to ensure the sustainable funding of climate protection activities in the fields of agriculture, forestry or land use.

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.

It is generally a condition for approval of a grant that the applicant makes an appropriate contribution, that there is appropriate input from the partners, and that additional funding is mobilised to meet the eligible expenditure.

The efficiency of the expenditures and the economical use of the funds must be demonstrated.

The support granted must promote sustainable development in the partner countries. It is not intended to give the grant recipient an economic advantage.

The funded programmes must meet the criteria for recognition as Official Development Assistance (ODA).

BMUB advocates measures to make business trips climate-neutral. Such measures include in particular reducing business trips, for example through video or telephone conferencing. Where business trips cannot be avoided, expenditure on offsetting greenhouse gas emissions resulting from business trips in connection with IKI programmes is eligible for funding.

6 Grant conditions

Implementation of IKI support measures is governed by Sections 48 to 49a of the German Administrative Procedures Act (VwVfG) and the general collateral clauses for grants to support projects (Allgemeine Nebenbestimmungen für Zuwendungen zur Projektförderung, [ANBest-P](#)).

The Federal Audit Office has a right of audit under Sections 91 and 100 of the German Federal Budget Code (BHO).

BMUB or its agents must upon request be provided with any necessary information and permitted to view books and documents relating to the programme and to conduct audits. In the application for a grant, applicants must declare that they consent to BMUB or its agents publicising the name of the supported organisation and the purpose of the grant in the course of its publicity work. If there is evidence that the grant conditions have not been complied with, the grant approval can be withdrawn in accordance with the statutory provisions and return of the grant funds can be required.

In the case of contracts with foreign grant recipients, collateral clauses corresponding to the ANBest-P will become part of the contract.

There is no right to be awarded a grant. The decision to approve support is taken by BMUB after due assessment of the circumstances and in the light of the budgetary funds available.



7 Decision-making procedure

7.1 Involvement of a Programme Office

BMUB has commissioned the Programme Office of the International Climate Initiative ('Programme Office') to manage the funding programme:

Programmbüro Internationale Klimaschutzinitiative
Potsdamer Platz 10
10785 Berlin
Germany

E-mail: programmbuero@programmbuero-klima.de

7.2 Selection procedure

Selection is based on a two-stage procedure.

In the first stage, coherent project outlines need to be submitted in English through the online platform on the [IKI website](#). The following deadline applies:

For the 2018 selection procedure (planned project start at the end of 2018 at the earliest), project outlines must be submitted online by 12 October 2017, 24:00 (Central European Summer Time, CEST).

The online platform will not be accessible after this deadline. Project outlines that are not submitted by the designated means cannot be considered for the subsequent selection procedure.

All project outlines that have been submitted through the online platform by the deadline will be collected and evaluated by BMUB. BMUB pre-selects promising outlines in line with the available budgetary resources, considering coherence with foreign and development policy. All applicants will be informed in writing of the result of the evaluation.

If project outlines are promising, the principal implementing actors responsible will be requested in writing to submit a formal programme proposal (start of second stage) and may upon request receive a grant for preparation of the joint programmes immediately afterwards (e.g. for studies, appraisal missions, planning processes with partner institutions, etc.). A decision on these applications will normally be made within one month of submission of the full documents relevant to the decision. Joint programme coordinators then have eight months in which to submit the programme proposal. BMUB will then decide on this application in a final review. The relevant terms and application templates to be taken into consideration – including the requirements concerning monitoring and safeguards – will be provided after conclusion of the first stage.



7.3 Selection criteria

The submitted programme outlines will be evaluated and selected by BMUB according to the following conditions and criteria:

Aptitude of the submitter(s):

- The preconditions stated in Section 3 for suitability as an implementing actor/joint programme coordinator (notably: competence, capacity, experience, networking, orderly business management of submitter and, if appropriate, the submitter's partners in the joint programme).

Target region:

- Role of the partner country in the context of the international negotiations on climate protection and/or biodiversity, and the country's interest in cooperating with Germany on climate change or biodiversity.

Suitability of the programme:

- General alignment with one or more of the thematic priorities and support approaches of the International Climate Initiative (see Section 2.2)
- Transformative impact, level of ambition and innovation potential (technological, economic, methodological, institutional)
- Contribution to international climate cooperation, in particular in the context of the UN climate negotiations through support for implementation of the resolutions of the Conferences of the Parties to the UNFCCC (www.unfccc.int), including the resolutions on NDC implementation and pre-2020 ambition, the climate-related negotiations conducted within the framework of the [Montreal Protocol](#) and/or contribution to international cooperation in the context of the CBD processes through support for implementation of the Strategic Plan 2011-2020 of the CBD
- Relevance to implementation of the UN sustainability goals (SDGs)
- Coherence with and integration into national and/or regional/transnational strategies, international cooperation and synergies with other projects and sectors
- Explicit interest of the partner government (see Section 4)
- Contribution to the creation of enabling political conditions in the partner country
- Intensive and wide-ranging involvement/commissioning of local implementation partners
- Cooperation with national, local or regional partners in order for the work to be anchored in the target region
- Contribution to economic and social development in the partner country



- Solidity of the concept, quality of presentation and of the anticipated programme management and monitoring
- Sustainability of outcomes and replicability of the concept and/or results; the measures that promote sustainability (e.g. decreasing volume of funds over the course of the programme) should be specified
- Amount of self-financing and third-party financing
- Appropriateness, effectiveness and efficiency of the use of funds
- Consideration of the appropriateness, effectiveness and efficiency of the use of funds in completed activities conducted by the organisation coordinating the joint programme in the context of the IKI

7.4 Further information

After publication of this funding information, the IKI Programme Office in close cooperation with BMUB will offer webinars and, if appropriate, other events in order to explain the requirements further. The dates will be published on the [IKI website](#).