



Federal Ministry
for the Environment, Nature Conservation
and Nuclear Safety

INTERNATIONALE KLIMASCHUTZINITIATIVE (IKI)



IKI Country Specific Selection Procedure 2019 Socialist Republic of Viet Nam

Information on funding programmes within the International Climate Initiative (IKI) of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) for the Socialist Republic of Viet Nam

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Content

- 1. Key objectives of the IKI1
- 2. Viet Nam Country Call - Background2
- 3. Thematic funding priorities3
- 4. Requirements for programmes7
- 5. Political partners.....9
- 6. Requirements for implementing organisations9
- 7. Type, scope and duration of funding11
- 8. Regulations on grants13
- 9. Selection process.....14
- Annex I: IKI selection criteria15
- Annex II: Cooperation agreement16

Information on funding programmes within the International Climate Initiative for the Socialist Republic of Viet Nam

The International Climate Initiative (IKI) of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) finances climate and biodiversity programmes in ODA-eligible states.¹ It supports programmes on policy advice, capacity building, technology cooperation and investment as well as the implementation of policies and strategies. The selection procedure consists of two stages: (1): Submission of a programme outline; (2): Submission of the complete programme proposal).

1. Key objectives of the IKI

IKI's main objectives are climate protection and the conservation of biodiversity within the context of the respective international agreements. IKI mainly supports partner countries in the implementation and further development of the Nationally Determined Contributions (NDCs) anchored in the Paris Agreement. The signatory states of the Paris Agreement define their climate protection and adaptation targets in the NDCs, up to and including 2030.

In the field of biodiversity, IKI supports partner countries in their efforts to achieve the goals of the Convention on Biological Diversity (CBD) to address the dramatic global loss of our natural resources. IKI's funding measures aim to contribute to the specific implementation of the Aichi goals of the CBD's 2011-2020 Strategic Plan and the goals of the future global framework for biological diversity for the years after 2020. Activities are derived in particular from the CBD guidelines and the National Biodiversity Strategies and Action Plans (NBSAPs).

The 2030 Agenda for Sustainable Development adopted by the United Nations (UN) in 2015 with its 17 Sustainable Development Goals (SDGs) forms a global framework for climate protection and biodiversity conservation that goes beyond the United Nations Framework Convention on Climate Change (UNFCCC) and the CBD.

¹ ODA (Official Development Assistance) is an internationally-recognised indicator adopted by the OECD Development Committee (DAC) for recording public development services. Funds paid to countries only qualify as ODA if the recipient is listed as a developing country in the relevant DAC list. The list of countries is revised every three years by the DAC.

2. Viet Nam Country Call - Background

Viet Nam is one of BMU's partner countries most severely affected by climate change. Extreme climate events have become more frequent and more intense, its average temperature has increased by about 0.5 degrees Celsius, and sea level rise is threatening 2,000 miles of coastline and the large deltas, especially of the Red River and the Mekong River, worsening saltwater intrusion deep into those fertile regions. At the same time, emissions of greenhouse gases (GHGs) are growing fast and there is considerable mitigation potential. Beside the energy sector, the agricultural sector is a big source of GHG emissions, while the land use sector has net negative emissions. Therefore, the strategic approach of Viet Nam's NDC within the area of mitigation focuses on activities in sectors such as energy, transport, agriculture, land use, land-use change and forestry (LULUCF), industry, and waste management. In the field of climate adaptation Viet Nam seeks to improve its capacity for disaster management and strengthen its resilience to sea level rise. Moreover, Viet Nam also promotes actions that bring co-benefits on adaptation and mitigation and nature-based solutions (NbS) and ecosystem-based adaptation (EbA) are the first priority. These actions will be included in the Viet Nam's updated NDC to be submitted to UNFCCC by 2020.

Over many years Germany and Viet Nam have been working together in a number of climate and biodiversity policy areas. The two countries intend to continue their cooperation in a yet deepened dialogue, developing the cooperation portfolio with a strong focus on the implementation of NDCs which are at the heart of the Paris Agreement and the UNFCCC, the national implementation of the Aichi Biodiversity Targets of the Strategic Plan for Biodiversity 2011 – 2020 of the CBD, and the goals of the future global framework for biological diversity for the years after 2020, respective NBSAPs as well as SDGs. In the context of the country engagement process of the NDC-Partnership (NDC-P), Viet Nam has identified its needs and finalised its NDC-Partnership Plan, which is intended to serve as a framework for international cooperation in supporting NDC implementation. The process of the implementation of the NDC Partnership Plan is currently being undertaken.

An overview of IKI projects, including regional and global projects with activities in Viet Nam, can be accessed at <https://www.international-climate-initiative.com/en/projects/> (search for Viet Nam on the world map).

The Government of Viet Nam is currently updating its national planning processes. This process provides an opportunity for the government and the National Assembly to ensure that climate change and green growth and where relevant biodiversity aspects are systematically integrated into planning processes especially on the sectoral and provincial level. This serves to ensure consistent work towards the implementation of the Paris Agreement and of the CBD.

Viet Nam introduced a new Planning Law in 2017, which started being effective in 2019. In order to assure policy coherence, it is now necessary to integrate the processes related to NDC, SDGs, green growth and biodiversity, into the national planning process. First steps have been made: The green growth action plans on the sectoral and especially on the provincial levels provide a basis for systematically including green growth and climate change aspects into the planning process. A wide range of marginal abatement cost curves for provinces has been calculated, and a first rough pipeline of possible green growth and climate change projects has been identified. The National Action Plan for the Implementation of the Viet Nam Green Growth Strategy (VGGS), aligned with the Vietnamese Strategy for the Implementation of the SDGs (VSDG) and Viet Nam's NDC provides an overall policy orientation. It is envisaged that the programme implementation period falls into the preparation and early years of the second phase of VGGS 2021-2030. While mainstreaming green growth and climate change aspects into subnational plans and ensuring adequate implementation, it is deemed beneficial to analyse, discuss and address local interlinkages and implications such as potential co-benefits of climate change and green growth measures, implications to economic activity, local value chains and industry, skill development and jobs, spatial (co-)utilization, environmental impacts (e.g. water, soil, air pollution or alleviation of such), potential increase of climate and ecological resilience, drivers for urbanisation, etc.

3. Thematic funding priorities

With this country call for Vietnam, two programmes will be funded with a total funding volume of up to 30 million EUR. One programme per the following thematic priorities will be funded:

- 1) Supporting the implementation of Viet Nam's adaptation targets in its NDC in the area of nature-based solutions (NbS) and ecosystem-based adaptation (EbA), in one relevant sector and with focus on strengthening the legislation system and the participation of the private sector
- 2) Supporting the implementation of green growth policies, shift of financial flows and transformation of the energy sector in Viet Nam

The programmes should have a funding volume between 12 million EUR and 15 million EUR each.

3.1 Supporting the implementation of Viet Nam's adaptation targets in its NDC in the area of nature-based solutions (NbS) and ecosystem-based adaptation (EbA) in one relevant sector and with focus on strengthening the legislation system and the participation of the private sector

Within this programme the intention is to **strengthen the capacity of Viet Nam to implement and further develop its national and international goals in the field of biodiversity and climate**. This should be done with a **special emphasis on NbS and EbA measures in one relevant sector**, while promoting social, economic and mitigation co-benefits. Building on a wealth of experiences, partly generated through IKI projects, this includes the support for and mainstreaming of national strategies (NDC, NBSAP, and National Adaptation Plan (NAP)) through an integrated approach, including e.g. the legal framework, economic incentive systems, valuation of ecosystem services, awareness raising and implementing activities. The programme should **address linkages between climate action and biodiversity conservation** and propose effective measures for climate change adaptation in the **context of Viet Nam's NBSAP and NDC**.

A programme should involve several or all of the topics in the following two work streams:

Work stream 1: Supporting the implementation of the NBSAP to conserve biodiversity through addressing market, policy and governance challenges that lead to ecosystem degradation

- Supporting the revision of national policies and laws, including the NBSAP, Biodiversity Law, national planning on the biodiversity conservation vision to 2050 in the context of climate change and guidelines for biodiversity conservation in provincial planning to 2030 in the context of climate change, mainstreaming biodiversity into sustainable land-use planning, in line with the Law on Master Planning.
- Developing integrated approaches, including public-private partnership to promote NbS and inter-linkage sectoral solutions for sustainable business development/economic growth with a focus to preserve ecosystem services and biodiversity.
- Implementing biodiversity and EbA projects on the ground. This may include e.g. valuing biodiversity, installing conservation-based areas (under the new CBD guidelines) for habitats vulnerable to climate change such as wetlands, or piloting scalable agroforestry systems, financial and safeguard instruments for biodiversity conservation in the context of climate change.
- Providing scientific support for biodiversity monitoring, reporting to CBD and assisting the research for the Sixth Assessment Report (AR6, to be released in 2023) of the Intergovernmental Panel on Climate Change (IPCC). This should include the assessment of impacts of climate change on biodiversity and agricultural production.

Work stream 2: Supporting the implementation of the NAP to deliver adaptation targets in the NDC

- Supporting the integration of climate change adaptation into long- and medium-term planning and investment. This will include updating Viet Nam's climate change and sea level scenario projections, mainstreaming of climate change adaptation in land-use master planning, and/or in water resource management regulations for effective climate change adaptation.
- Establishing a coherent NDC-NAP pipeline of bankable projects, including through pre-feasibility studies, aiming at public-private sector partnership and private sector large scale investments, e.g. large adaptation infrastructures, resilient housing, mangrove forests, with the goal to support the implementation of Viet Nam's NAP, NDC, and Plan for Implementing Paris Climate Agreement (PIPA).
- Developing innovative financial instruments and incentives to mobilize public financial resource and private investments for the implementation of EbA measures and other climate change adaptation measures. This may include regional and inter-regional EbA projects in the most vulnerable regions, such as Mekong Delta, central highland and coastal and Northern Mountainous regions.
- Implementing EbA projects on the ground. This may include e.g. valuing biodiversity, scaling up agroforestry systems, defining the mitigation potential of EbA, financial and safeguard instruments for biodiversity conservation in the context of climate change.

3.2 Supporting the implementation of green growth policies, green finance and the transformation of the energy sector in Viet Nam

This programme should build on existing instruments and ongoing processes of the Government of Viet Nam in the areas green growth, including green finance and energy transition. The programme is expected to address the two work streams described below and to include all or some of the depicted measures. Mitigation actions should target the energy sector and Sustainable Development Goal no. 7 (SDG7) on ensuring access to affordable, reliable, sustainable and modern energy for all. Overall, the programme should enhance the level of greenhouse gas emission reduction ambition in Viet Nam's NDC. It has to cooperate closely with the NDC Partnership as well as the NDC support programmes of GIZ, JICA, UNDP, UNEP and the World Bank and build on other projects of IKI and other international cooperation projects, and will work closely with the South East Asia Energy Transition Partnership (ETP), a joint initiative among international governmental and philanthropic donors and partner countries in Southeast Asia to provide assistance to the energy transition in the region in order to achieve the targets of the Paris Agreement. It is expected that the programme builds on the results and products from ongoing and previous projects funded by the IKI and others. As to relevant IKI projects please refer to <https://www.international-climate-initiative.com/en/projects/>.

Work stream 1: Supporting the implementation of NDC and Green Growth policies, including green finance and green business

- Mainstreaming green growth, climate change responses, and SDGs in national, sectoral and provincial/municipality master plans, in line with the new National Law on Master Planning, as well as budgeting and multi-year investment plans.
- Building on the prioritization criteria and establish a coherent NDC-Green Growth pipeline of bankable projects, including through pre-feasibility studies, aiming at private sector financing and public-private sector partnerships relating to renewable energy (RE) and energy efficiency (EE).
- Developing innovative policies and financing mechanisms in order to stimulate green business development and green growth/climate change actions, especially for small and medium enterprises (SMEs); and attract private capital for the implementation of Viet Nam’s NDC and Green Growth Strategy.
- Developing a prioritization mechanism in line with the existing “Green Investment catalogue” of the State Bank of Viet Nam (SBV) and the planned “Guidelines on Classification of Public Investment for Climate Change and Green Growth”. Developing policy, regulations and financial mechanisms that contribute to align financial flows with the Paris Agreement and help to create a market demand for green finance products, such as issuing guidelines and criteria for green government and commercial bonds (Association of Southeast Asian Nations (ASEAN) or climate bonds principles).
- Supporting the implementation of the SBV’s “Green Banking Development Plan” such as training, policies and access to funding (e.g. by establishing a “Green Finance Fund / Green Credit Facility”).

Work stream 2: Energy transition and renewable energy access for all

- Supporting the Government of Viet Nam with the developments of a sustainable energy sector, e.g. the transformation from fossil fuels to RE, the development on energy production, power grid capacity and management for a high share of RE, ensuring sustainable access to energy for all including off-grid electricity, improving national energy security and the energy trade balances, energy pricing, including feed-in-tariff regulations, RE project licencing procedures, while enhancing local content and industry/private sector development. Substantial inclusion of relevant stakeholders in this process is expected.
- Supporting the Government of Viet Nam and the private sector, with a focus on SMEs, in regulating, financing and implementing its RE/EE plans and projects, for instance, green finance and banking services for SMEs (including “impact businesses” with social and environmental objectives). Also, RE/EE applications by micro-enterprises and developing off-shore wind with co-benefits for fisheries and coastal protection are of interest.

- Supporting the Government of Viet Nam and the private sector in implementing the National Energy Efficiency Programme (VNEEP) III and the National Energy Efficiency Action Plan (NEEAP) by working on innovations and pilots, for instance on EE in industrial parks, efficient cooling in fishing, aquaculture and agriculture, industrial processes, large/high-rise buildings and/or residential sector.

4. Requirements for programmes

This chapter sets out general technical criteria according to which programmes are selected and/or which are relevant for the programme implementation:

Transformation

The transformative nature of the programme concept should be reflected in several or all of the following aspects:

- The programme achieves a substantial and measurable improvement compared to a business-as-usual scenario (programme ambition).
- The programme brings about system changes and/or behavioural changes of decision makers or a significant number of individuals or institutions.
- The programme initiates steps towards climate-friendly development that are either irreversible or very difficult to reverse (creation of “positive path dependencies”, e.g. by building climate-friendly infrastructure at scale).
- The programme concept can be replicated in other countries/regions and/or other sectors, enabling successful effects to be achieved beyond the framework of the programme.

Innovation

The IKI funds innovative approaches that offer new or partially-new solutions for the challenges of climate and biodiversity protection.

Synergies with other programmes and activities

In order to make full use of synergies and avoid double funding, links to other funding instruments and sections, to current and previous funding measures of the German Federal Government, the European Union and further national and international donors should be reviewed. The more a planned programme resembles an ongoing or completed programme in its goals, target groups, measures and specific products, the more precise the delimitation or link to this programme should be set out. In

particular, past or current activities of other IKI-funded projects and programmes have to be taken into account.

IKI Safeguards

During implementation, the programme must take into account the IKI Safeguards developed along the lines of the International Finance Corporation (IFC) Performance Standards (available under [Safeguards for IKI](#)). The IKI Safeguard approach ensures that risks are foreseen well in advance and efficiently managed. The approach is subject to universal guiding principles, such as compliance with human rights. The design of the programmes requires a comprehensive risk assessment and the development of strategies to deal with potential risks. The relevant risks and strategies must be described as precisely as possible in the programme outline.

Impact-based monitoring

Results output/ outcome/ impact and effectiveness of the programmes must be verifiable and must be oriented on the results logic of the Organisation for Economic Cooperation and Development (OECD) (see [Guidelines on results-based project/programme planning and monitoring](#)). Indicators must be specific, measurable, achievable, relevant and time-bound (SMART).

Gender mainstreaming and participation

Within IKI the promotion of equal opportunities for women and men applies. Where useful and possible, a gender-specific perspective is a desirable component of programmes, as well as empowerment measures to compensate for existing discrimination of women, but also other disadvantaged population groups (e.g. youth, indigenous groups).

Transparency

Information on current and newly-approved programmes in the field of climate and biodiversity protection has to be published in accordance with the International Aid Transparency Initiative (IATI) standard (cf. [IATI Data](#)). Programme-related knowledge must be comprehensibly documented and made available.

Sustainability of the programme results

The programme concept must demonstrate how the programme activities contribute to ensuring that funded activities and results are continued or maintained beyond the end of the IKI funding period. In

the last two years of the programme's term, activities must focus on ensuring the sustainability of the programme ("exit strategy"). Any increase or extension of funding during or after the end of the programme is not envisaged.

Evaluation

The effectiveness of the programmes is evaluated externally. Implementing organisations are obliged to provide the necessary data for this purpose.

5. Political partners

In order to implement the programmes, the government of the partner country must have an explicit interest in cooperating with the Federal Republic of Germany on climate protection or biodiversity preservation. In the first selection stage, an initial assessment of the political support of the programme must be made and a contact/reference person in the government of the partner country (political partner) must be indicated. In the second selection stage, the implementing organisation with the support of BMU will develop a joint agreement with the partner country.

6. Requirements for implementing organisations

The following institutions may apply: Non-governmental organisations, business enterprises, universities and research institutions from Germany and abroad, implementing organisations of the Federal Republic of Germany, institutions in the partner countries (including accredited national implementation organisations in international or multilateral organisations), as well as multilateral organisations and institutions such as development banks and United Nations organisations and programmes.

One prerequisite for funding is the application as a consortium, i.e. an association of at least two organisations. Consortia must each designate a joint programme coordinator that has primary responsibility. The joint programme coordinator is designated as the sole contractual or agreement partner of BMU. It is the exclusive recipient of direct payments from BMU/IKI and is responsible for the budgetary implementation of the programme. Subcontracting is permitted in case of proven economic viability of the sub-contractor. A cooperation agreement with all other implementing organisations must be concluded (see Annex II); this cooperation agreement should – as far as possible - already be part of the application. Implementing institutions may submit more than one programme outline in different consortia constellations.

The joint programme coordinator must meet the following criteria:

- Together with local partners, it must have implemented programmes in the field of international cooperation and in the relevant thematic field for at least five years.
- The annual BMU programme funding volume may not exceed the annual turnover of the joint programme coordinator, measured against the last three financial years (to be shown).
- The joint programme coordinator must present its access to the relevant stakeholders in the partner country.
- Comprehensive relevant expertise and experience in Viet Nam
- Expertise in the thematic funding priorities

The consortium will also be assessed according to the following criteria:

- Suitability of the joint programme coordinator (technical, administrative and management competences)
- Suitability of the other implementing organisations (technical and administrative competences)
- Consistency of distribution of roles, responsibilities and funding within the consortium

7. Type, scope and duration of funding

Funding necessity

IKI funding can only be granted if the implementation of the programme is not possible without the use of public funds.

Amount of funding

The total funding volume provided by the BMU amounts to 30 million EUR. IKI seeks two bilateral programmes with a funding volume between 12 million EUR and 15 million EUR. Any shortfall in funding volume results in exclusion.

Funding period

The programme duration is envisaged to be between five and seven years.

Contribution and partner services

Adequate own contribution and contributions from implementing organisations as well as the mobilisation of additional financial resources to finance eligible expenditure are generally prerequisites for funding. Cooperation with programmes financed by other donors is also possible. Co-financing or in-kind contributions from national, provincial, or district government and/or from private actors are an important aspect for the final selection. Intended or already secured third-party funding for the proposed programme must be proven with the other funding provider(s) and the respective concrete funding amount.

Start of programme implementation

Programmes may not have already started implementing their activities at the time of application.

Involvement of local actors

Consortia are expected to implement ideally 50% of their funding through national stakeholders in the partner countries. In this respect, national stakeholders are implementing organisations and subcontractors which have an official legal status under the applicable national law. In this regard, political partners are excluded as this would result in budget support.

Economic efficiency

All expenditures necessary to achieve the programme objectives in the context of sound financial management and budgetary discipline may be supported. Expenditure efficiency and the economic use of funds must be demonstrated. For the joint programme coordinator grants on a cost basis are not possible. Grants to the joint programme coordinator on a cost basis are not envisaged, as forwarding is not permitted in this respect.

Climate neutrality of programme activities

BMU advocates measures to reduce emissions from business travel (e.g. through video conferencing). The implementing organisations are obliged to carry out programme activities and investments from programme funds in a as climate-neutral, resource-efficient and environmentally-friendly manner as possible. If business travel cannot be avoided its compensation is eligible for funding. When selecting compensation projects, value should be placed on high-quality certificates (for further information see [here](#) and the guidebook [Voluntary CO₂ compensation through climate protection projects](#)).

Emission certificates

In order to ensure an additional greenhouse gas reduction and the German contribution to climate financing, emission certificates or other emission credits generated by IKI programmes may not be traded either during or after the programme period. Therefore, financing contributions from the sale of such emission certificates or other emission credits may not be included in the overall financing of programmes funded by the IKI. Exceptions to this rule are emission credits on the non-compliance market, if these comply with the [guidelines of the IKI](#) provided for this purpose and if it can be shown that they are demonstrably used for the sustainable financing of climate protection programmes in the agriculture, forestry and/or land use sectors.

Exclusion from funding

Luxury goods, environmentally harmful and military goods (incl. firearms), technologies and installations or services oriented on such purposes are excluded from any funding without exception.

8. Regulations on grants

Programmes by stakeholders from Germany and abroad are supported by grants. Sections 48 to 49a of the Administrative Procedure Act (Verwaltungsverfahrensgesetz (VwVfG) and the General Auxiliary Provisions for Grants for Project Support (Allgemeine Nebenbestimmungen für Zuwendungen zur Programmförderung (ANBest-P)) apply to the implementation of the IKI funding measures.

In the case of grants to foreign implementing organisations, regulations that are equivalent to the ANBest-P shall become part of the funding agreement.

The model agreements negotiated in each case with the Federal Republic of Germany shall apply to grants to multilateral development banks and United Nations agencies and programmes.

Programmes of implementing organisations of the Federal Republic of Germany shall be funded in accordance with the terms and conditions applicable to such organisations.

The auditing rights of the Federal Court of Audit result from sections 91 and 100 of the German Federal Budget Code (Bundeshaushaltsordnung (BHO)).

On request, the BMU or its representatives shall be provided with all necessary information and shall be allowed to inspect books, documents and audits relating to the programme. In its funding application, the applicant must agree that the BMU or its representatives may disclose the name of the funded organisation and the purpose of the grant as part of its public relations work.

In case of concrete evidence of non-compliance with the funding eligibility requirements the grant notification can be cancelled in accordance with the statutory provisions and the funds can be reclaimed.

There is no entitlement to a grant or the amount of funding applied for in each case. Rather, the BMU makes a decision on the basis of dutiful judgement within the framework of the budget funds available to it.

9. Selection process

The IKI-Secretariat managed by the Zukunft-Umwelt-Gesellschaft (ZUG) gGmbH has been commissioned by BMU to manage the funding programme and process the application formalities.

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The IKI selection procedure consists of two stages: (1) submission of a programme outline; (2) submission of the complete programme proposal following the call for programme outlines.

- 1) In the first stage of the procedure, English-language programme outlines based on the IKI outline form are submitted exclusively on the online platform. The following deadline shall apply: **30 April 2020**.

For this selection procedure (scheduled programme start 2021 at the earliest) only programme outlines received by midnight (Central European Summer Time (CEST)) on the online platform will be considered. A pre-selection of promising programme outlines from all the programme outlines that fulfil the mandatory requirements is carried out by BMU. They are assessed on the base of the formal and technical criteria described in this funding information. Based on the results of the assessment, its own technical evaluation and the available budget funds, a decision is made by BMU as to which outlines will be further pursued in the second stage of the procedure.

- 2) During the second stage, the joint programme coordinator will be informed of the outcome of the evaluation in writing and will be invited to submit a detailed programme proposal. During the preparation phase, the joint programme coordinator will then have up to eight months to complete a thorough programme proposal. Subsequently, the joint programme coordinator can submit a formal request for funding for a preparation phase. This enables the programme to be optimally tailored to local needs together with the partners. The results obtained should improve the quality of the programme proposal to be submitted and should minimise enquiries during the application and approval processes. The documentation pertaining to the preparation phase must also be provided. The relevant provisions and templates shall be made available in writing at the end of the first stage of the procedure.

Annex I: IKI selection criteria

The programmes are evaluated and selected by BMU pursuant to the following requirements:

Exclusion criteria:

- No timely submission on the online platform
- No need for funding
- Not classified as an ODA-eligible country
- No conformity with the thematic funding priorities
- Amount of funding too high or too low
- Funding period exceeds 7 years
- Programme implementation already started before programme outline submission
- No links to national/regional policies
- Lack of official political support from the partner country
- No results-based monitoring applied (output, outcome, impact)
- Violation of the requirements for emission certificates
- Funding requests for excluded programme activities, goods or services
- Non-consideration of IKI safeguards

Criteria for a coherent and convincing programme:

- The programme has ambitious goals and is designed to deliver measurable results.
- The programme offers a new approach or a completely new solution for a region.
- The programme is linked to the local implementation landscape.
- The programme strengthens disadvantaged population groups and promotes equal opportunities for women and men.
- The programme responds to the question of how the programme's results are to be maintained and developed after the end of the funding period.
- Among the implementing organisations, the distribution of tasks and roles and the allocation of the overall budget are consistent.
- The implementing organisations' own financial participation and own contributions, as well as the sum of additional financial resources (co-financing) are appropriate.
- The role of national organisations and the amount of funding allocated to them is appropriate.

Annex II: Cooperation agreement

A consortium within the meaning of this funding information is an association of several, legally and economically-independent institutions/organisations formed for the time-limited execution of an agreed business purpose. At least two institutions/organisations from Germany and abroad (non-governmental organisations, business enterprises, universities, research institutions, implementing organisations, development banks, organisations/programmes of the UN) work together in a consortium with the purpose of implementing a joint IKI programme. Excluded from this is an exchange of services with third parties in a contractual relationship (subcontract).

The successful implementation of a programme requires trusting cooperation and fair treatment between the programme partners. The framework conditions for cooperation (i.e. the rights and obligations) are regulated by the programme partners in an internal agreement (“cooperation agreement”). At the same time, the programme partners shall designate a joint programme coordinator for the internal organisation and external representation of the consortium with an unanimous agreement of all the other implementing organisations.

The implementing organisations’ cooperation agreement on the nature and distribution of tasks in the joint programme must be submitted with the programme proposal in stage 2. The agreement supplements the programme partners’ regulations on which the funding is based and may not contain any agreements or regulations to the contrary. The programme partners remain fully responsible for the cooperation agreement and should seek legal advice where necessary. Legal advice, liability and/or examination of content by BMU or the ZUG will not be provided.

Before a funding decision is taken, the programme partners must prove that they have reached agreement in principle on at least the following points:

- Naming of joint programme coordinator
- Other implementing organisations (legal form, place of business, right of representation)
- Duration, work plan and clear distribution of tasks between the other implementing organisations

In addition, the implementing organisations should reach an agreement on the following points:

- Reporting and information obligations in the consortium
- Liability of the programme partners
- Rights of use and copyrights
- Dealing with changes during the programme period
- Visibility of the programme partners
- Procedures for the settlement of internal disputes, e.g. employing a mediator