



Federal Ministry
for the Environment, Nature Conservation
and Nuclear Safety

INTERNATIONALE KLIMASCHUTZINITIATIVE (IKI)



IKI Country Specific Selection Procedure 2019 Kingdom of Thailand

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 Kingdom of Thailand

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Information on funding programmes within the International Climate Initiative for the Kingdom of Thailand

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 their 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. Thailand Country Call - Background

The partner country Thailand is among the countries most severely affected by climate change worldwide and already increasingly experiences extreme weather events such as floods, droughts and heat waves as well as negative impacts on natural resources including coastal erosion, loss of biodiversity and decreasing agricultural productivity. Thailand attaches great importance to the global efforts in addressing this pressing challenge. In 2014, the country pledged to reduce its greenhouse gas (GHG) emission by 7% from the business-as-usual (BAU) level by 2020, and in 2015 Thailand pledged an additional reduction of 20% by 2030. Thailand's strategic 2030 NDC approach within the area of climate change mitigation and adaptation focuses on activities in the sectors energy, transport, waste and industry. The energy and transport sectors alone accounted for approximately 75% of the country's total GHG emission. With respect to climate resilience, Thailand's National Adaptation Plan prioritises adaptations in the areas of water resource management, agriculture and food security, tourism, public health, natural resource management, and human settlements and security.

Bilateral cooperation between Thailand and Germany by means of IKI project funding started in 2008. During the past decade, Germany has contributed to the progress of climate policy development in Thailand through a variety of global, regional and bilateral programmes and projects, including the Thai-German Climate Programme (TGCP). An overview of ongoing IKI projects, including regional and global projects with activities in Thailand, can be accessed at <https://www.international-climate-initiative.com/en/projects/> (search for Thailand on the world map).

Both countries intend to continue their fruitful 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 United Nations Framework Convention on Climate Change (UNFCCC), the national implementation of the Aichi Biodiversity Targets of the Strategic Plan for Biodiversity 2011 – 2020 of the Convention on Biological Diversity (CBD) and the goals of the future global framework for biological diversity for the years after 2020, respective National Biodiversity Strategies and Action Plans (NBSAPs), as well as the Sustainable Development Goals (SDGs).

3. Thematic funding priorities

With this country call for Thailand, 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) Adapting to a changing climate - strengthening urban climate change resilience
- 2) Fostering the national energy transition - renewables, energy efficiency and public green electric mobility and establishing a Thailand National Climate Initiative (ThaiCI).

The first programme should have a funding volume between 8 million EUR and 10 million EUR. The second programme will be funded with up to 20 million EUR of which at least 6 million EUR are expected to be used within work stream 2 (ThaiCI).

3.1 Adapting to a changing climate - strengthening urban climate change resilience

Within this programme the intention is to **strengthen the capacity of Thailand to adapt its cities to the impacts of climate change**. The programme is expected to address urban resilience and to include all or some of the measures depicted below and/or additional ones. It should represent an integrated cross-sectoral approach to adapt to climate change. The integrated sectors include human settlements, urban green space, water, biodiversity, health, transport infrastructure and tourism. While focusing on adaptation in urban areas, the programme should seek co-benefits with climate mitigation and socio-economic development and thereby propose effective measures in the context of Thailand's NDC and NAP implementation. The programme should focus on :

- **Enhancing climate risk data and information:** Establishment of fundamental and specific climate service products, e.g. for resilient urban planning and infrastructure development, urban water management, proactive health prevention measures as well as ecosystem conservation as a basis for risk-informed decision-making; support cross-sector collaboration on integrated urban development planning and resilience.
- **Integrating vertical and cross-sectoral implementation of urban adaptation planning and actions:** This includes sector specific studies, guiding documents, and database development to enable cross sector implementation through selected pilots. The selected pilot areas could include key tourism destinations and potentially go beyond the city scope to address wider perspectives of metropolitan regions, regional-urban linkages and connectivity depending on the risk profile. The following sectors can be addressed:
 - **Human settlements / urban planning:** Introducing approaches for multi-functional green and open space planning and management, climate-resilient urban infrastructure development as

well as tracking of urban resilience through resilience criteria and indicators, etc.; support the vertical integration of resilient urban development

- **Water resources management:** introducing climate sensitive water management approaches by considering the “sponge city” concept; using technical and nature-based solutions to address area-based climate risks
- **Transport:** introducing instruments for a comprehensive risk assessments of transport infrastructure/networks including but not limited to rural roads, highways, railways, airports, and resilient transport infrastructure development
- **Public health:** Supporting the establishment and improvement of baseline data on health economics and climate change as well as health benefits of urban green space development; application of climate services for proactive health prevention measures and early warning through health volunteers
- **Biodiversity:** introducing a mapping/database of urban ecosystems and urban biodiversity in connection to green space development and connectivity as well as the benefits of ecosystems to prepare for and adapt to climate change
- **Strengthening institutional and human capacities:** Providing trainings for technical experts and public officers through tailor-made training programmes to improve the technical expertise on the application of the above-mentioned approaches and instruments and the utilisation of climate-risk information in the planning and implementation processes.

3.2 Fostering the national energy transition - renewables, energy efficiency and public green electric mobility and establishing a Thailand National Climate Initiative (ThaiCI)

Within this programme the intention is to **enhance Thailand’s mitigation efforts in the energy and transport sectors as laid out in the NDC by supporting the grid integration of renewable energies, enhancing energy efficiency and promoting climate-friendly technologies for public transportation.** The programme is expected to address the three work streams described below and to include all or some of the measures depicted below and/or additional ones.

The energy component (work stream 1) focuses on building technical and regulatory capacities to support the increased share of renewable energies in electricity generation while at the same time increasing energy efficiency. The actions should be in line with Thailand’s NDC target in the energy sector. Achieving this energy transition requires support for the technological aspects but needs to be complemented with policy consultation. Policy and regulatory changes in the energy market are necessary to remove barriers for renewables and increased efficiency.

The electric vehicles component (work stream 2) targets the electrification of public transport and commercial vehicle fleets and should help to enhance the efforts of existing plans, such as the fleet renewal of the Bangkok bus fleet. The programme should focus on the implementation of Thailand's mitigation target in the transport sector as laid out in the NDC while harnessing social and health benefits. To avoid fuelling electric vehicles with climate-damaging emissions, the component should seek linkages with the energy component and the promotion of renewable energies in general.

The climate finance component focuses (work stream 3) on technical capacity development and establishment of Thailand's Climate Initiative (ThaiCI), a funding mechanism to support subnational climate actions. The mechanism should build upon and further expand the existing Thai Environmental Fund. It should be enabled to effectively fund subnational scalable projects with a strong focus on climate mitigation and adaptation actions on the ground and thereby contributing to Thailand's successful implementation of NDC and NAP. Therefore, the ThaiCi is considered a mechanism for enhancing mitigation as well as adaptation measures.

Work stream 1: Grid integration of renewable energies and energy efficiency

- **Providing technical support for technological challenges.** This includes:
 - Support for operational aspects to increase grid flexibility
 - Introducing innovative technologies and approaches such as advanced energy storage systems, demand-side management, and short and long-term forecast systems
 - Implementing “smart energy” solutions to support a decentralised and bi-directional energy system, with proof of concept through pilot project development to bring recommendations to realisation
 - Engaging key stakeholders inside and outside Thailand to support a technology transfer and the development of tailored practical evidence-based recommendations
 - Implementing organic waste management solutions for e.g. biomass energy production, contributing towards the avoidance of open burning of organic matter
- **Providing advice for regulations, standards and norms.** This includes:
 - Advice on new renewable energy friendly regulations as well as on strengthening existing regulations and developing specific policies and standards for energy efficiency
 - Developing technical standards and norms for efficient energy utilisation and process management in the Thai industrial sector
 - Enhancing the monitoring/MRV of GHG mitigation through energy efficiency measures for Thailand's long-term NDC planning, reporting and implementation

- Benchmarking the energy efficiency of Thailand's future industries with industrial sectors in leading developed countries
- **Enhancing partnerships and the exchange of knowledge** to mainstream the energy transition. This includes:
 - Engaging relevant stakeholders in positive dialogues to ensure that information is perceived accurately and adopted at all levels, from operation to management and policymakers
 - Building meaningful partnerships between regulatory agencies, utilities and private players engaged in the energy transition pathway, including through piloting public-private partnership models combining large scale public investments with private business
 - Facilitating the knowledge exchange of experiences and transferring expertise from outside Thailand to foster peer learning on challenges and solutions in the field of grid integration and energy efficiency

Work stream 2: Green and electric mobility

- Providing technical support for arising challenges related to battery range and charging technology
- Developing business models for scaling up electric mobility, e.g. by supporting smaller, private fleet operators, financing of electrification of bus-corridors and (non-) monetary incentive schemes
- Addressing organisational challenges such as the re-organisation of transports routes, fleet management and institutional challenges
- Promoting the greening of the electricity mix and safeguarding other sustainability concerns such as battery standards and recycling schemes to secure a sustainable electrification and effective decarbonisation of the transport sector

Work stream 3: Thailand National Climate Initiative (ThaiCI)

- **Providing technical support for the establishment of Thailand National Climate Initiative (ThaiCI)** as part of the Environmental Fund of Thailand. This includes the following aspects:
 - Regulatory advice to formulate its approval, reporting, monitoring and evaluation and other administrative processes and modalities
 - Technical support for the development of climate-friendly criteria to be integrated into each relevant sectoral framework and capacity building of the Environmental Fund Office to administer those criteria, including project monitoring and evaluation

- Technical support to local institution partners for project pipeline development, including how to integrate and verify climate benefits
- Demonstrations and technical exchanges with regards to climate change preparedness, the utilisation of ecosystem-based adaptation, greenhouse gas emission reduction through clean, climate-friendly, energy-efficient technologies, and sustainable production and consumption
- Establishing clear linkages of sub-national level implementation to national-level policies and plans, particularly the NDCs and NAPs
- **Providing an initial grant funding for ThaiCI** to support sub-national level implementation and capacity building for local government agencies, state enterprises, community organisations, civil society organisations and private sector entities
- **Contributing to the project selection** after the successful establishment of ThaiCI
- **Facilitating the knowledge exchange** of good practices and lessons learned in the region and at the international level

This bilateral energy programme for which proposals are sought 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 previous projects funded by the IKI and others. As to relevant IKI projects please refer to <https://www.international-climate-initiative.com/en/projects/>.

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. 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 and commitment of the consortium

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.

The joint programme coordinator is expected to submit a letter of intent from its national implementing partner organisations expressing their interest in implementing the programme for the outline submitted to the IKI secretariat.

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 information sheet in 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. The first programme should have a funding volume between 8 million EUR and 10 million EUR. The second programme will be funded with up to 20 million EUR of which at least 6 million EUR are expected to be used within work stream 2 (ThaiCI). 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 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.

IKI Secretariat
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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 proposals.

- 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: **14 May 2020**.

For this selection procedure (scheduled programme start 2021 at the earliest) only programme outlines received by 23:59h (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
- Naming of 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