



Request for Proposals for the Republic of the Philippines under the International Climate Initiative (IKI) of the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety

1. Introduction

This funding information - IKI Request for Proposals for the Philippines (RfP) - describes the procedure and criteria for the selection of an integrated programme with a volume of at least EUR 30 Mio and up to max. EUR 35 Mio in the Philippines that, in accordance with IKI procedures, can receive funding at the earliest in 2019.

Purpose of this document is to assist applicants in preparing and submitting programme outlines.

2. Background: Philippine-German co-operation on climate change and biodiversity

Bilateral cooperation between the Republic of the Philippines and Germany/BMU under the International Climate Initiative (IKI) started in 2008. To this date, the Philippines are among BMU's main recognized IKI partner countries. Both countries intend to continue the cooperation in a yet deepened dialogue, developing the cooperation portfolio with a strong focus on the Post-Paris Agreement priorities and the implementation of the Nationally Determined Contribution (NDC) as the guiding principle as well as the national implementation of the Strategic Plan 2011 – 2020 of the Convention on Biological Diversity (CBD).

The Philippines have identified priority cooperation topics, coordinated in an in-depth government coordination mechanism between the government institutions responsible for the NDC implementation, including relevant cross-cutting and sectoral ministries, reflecting the underlying NDC strategy and the NBSAPs. Key documents were reviewed during this process to ensure alignment with the country priorities outlined in the National Framework Strategy on Climate Change (NFSCC), the National Climate Change Action Plan (NCCAP), Philippine Development Plan (PDP) 2017-2022, Philippine Biodiversity Strategy and Action Plan (PBSAP) as well as key programs of government in support of the NCCAP.

As one of the developing countries most vulnerable to the impacts of climate change, and at the same time on the road to a prosperous and thriving low carbon economy, the Philippines intend to overcome the dichotomy between adaptation and mitigation. With the ratification of the Paris Agreement, the Philippine government sets to further



enhance its country-specific framework on climate change adaptation and mitigation. This process is being guided by the National Climate Change Commission (CCC), the lead coordinating body on climate change and part of the Presidential Office of the Philippines, in close collaboration with the National Economic and Development Authority (NEDA) as the lead planning agency.

3. Request for proposals for IKI cooperation with the Philippines

This RfP seeks proposals for an integrated bilateral programme, which will be implemented in a consortium of more than two organisations, with very strong involvement of national actors that are expected to receive at least 50% of the programme resources, in the interest of bringing together different comparative strengths. National actors here refer to implementing actors such as e.g. NGOs, universities, think tanks, financial institutions or the private sector, not to political partners.

Since COP 21 and the adoption of the Paris Agreement a key focus of BMU's International Climate Initiative IKI is the effective support for the NDC implementing institutions of its partner countries, the climate and/or environment ministries, but also involving relevant sectoral ministries. IKI's prime intent is to support programmatic approaches that foster highly ambitious climate and biodiversity measures while ensuring significant national participation in implementation structures and strong financing elements in the programming.

3.1 Eligible measures, support approaches and project products:

IKI seeks to support an ambitious programme on technical advice and/or investments, which supports an effective and large-scale NDC and NBSAP implementation and takes into account the implementation of related SDGs. The programme should gear for a comprehensive, inter-sectorial and territorial approach, be embedded consistently in national strategies and policies and serve to implement them. Close cooperation with the relevant partner institutions in the Philippines is therefore a prerequisite, and collaboration with other government agencies, local governments, private sector and CSOs/NGOs is essential.

In particular, the following approaches are eligible:

- Sustainable implementation of the respective NDC and related SDGs, e.g. through: implementation of policies and strategies, regulatory and institutional framework conditions, evaluation and contribution to transformation within sectors and within



society, further development of MRV tools and/or systems, local capacity development, technology cooperation and financial investments/leverage. The latter can include but must not be limited to co-financing, blended finance approaches as well as other innovative financing mechanisms that should be identified, developed and implemented, in particular to leverage financing sources from the private sector; as well as pipeline development combining technical and financial assistance;

- Conservation of biological diversity, restoring ecosystems and sustainable use of terrestrial and marine biological resources through integrative approaches and cross-sectoral cooperation.

The integrated programme needs to be based on

- firm political ownership of the country; both coordination among and involvement of relevant line ministries on national and where necessary also local level;
- involvement of relevant stakeholders in civil society, the private and the financial sector;
- involvement of UNFCCC and CBD focal points;
- a significant involvement of national implementers as project partners; participation in international political and knowledge exchange fora, in particular the international NDC Partnership and NBSAP implementation - where applicable.

The programme will also include an appropriate mix of so-called "project products" such as:

- consultancy services for the processing and elaboration of strategies, "roadmaps", action plans or similar processes and written documents;
- studies or analytical research services on selected topics;
- inputs to the development of governmental documents such as land use plans for selected regions and cities (to be quantified preliminarily);
- inputs to the development of financial programmes to support actual measures on mitigation, adaptation and biodiversity in the requested areas including co-financing;
- technical and pilot projects, e.g. in federal states, cities and/or enterprises including co-financing;
- capacity building including events, delegation visits or expert stays;

3.2 Thematic priorities for funding

The integrated programme should develop an approach that addresses the following three topics (3.2.1 – 3.2.3) simultaneously and in an integrated manner

3.2.1 Climate change and disaster resilient development

In order to enhance the adaptive capacity of communities, resilience of natural ecosystems, and sustainability of built environment to climate change, this part of the



programme is expected to work with elements of (a) ecosystem-based adaptation and food security in a landscape approach; (b) conservation of biodiversity; (c) conservation, restoration and sustainable use of natural carbon sinks; (d) environmental health and human security; (e) resilience of the built environment. Mitigation co-benefits should also be consistently integrated in the proposed measures along the line of the PHL NDC.

Given the Philippines's vast coastlines, mangrove ecosystems play a key role in disaster resilient development. A comprehensive reef to ridge approach (including blue carbon and climate-smart land use planning) must take connectivity on ecosystem level as well as on society level into account. Close cooperation between local government units, line agencies and civil society is crucial, as well as building capacities to strengthen the implementation of environmental law.

3.2.2. Low-carbon economy/transition towards low emission development

Sustainable energy with a focus on power and transport as well as climate-smart industries and services are main components. A focus on programmatic NDC implementation at sectoral level including a review of the NDC baselines and emission reduction targets, sectoral programming and measures with both the finance and the industrial sector is expected.

Proposed measures should support the Philippines in planning and implementing significant transformational shifts of the above-mentioned sectors. To this end, a close consultation with relevant stakeholder groups is crucial to gain reliable support such as broad understanding for the changes needed. Smart communication focussing on the various target groups and promoting the expected sustainable development benefits should underpin the processes. Measures should link up with related processes and initiatives such as, for example, the implementation of the related SDGs or in the field of Green Economy.

3.2.3 Climate governance

Here elements are expected that strengthen climate governance - structure, process and actors - and priority actions towards climate change adaptation and mitigation. The work needs to build institutional capacities for the implementation of the Philippines's NDC, with emphasis on (a) institutional strengthening and capacity-building; (b) finance; (c) technology transfer; (d) measurement, reporting and verification; and (e) knowledge management, networks and transformation partnerships.



Furthermore, partner institutions should be encouraged by a range of measures to work on raising further the ambition both in mitigation and adaptation.

Transformational Change						
1 Climate Change and Disaster Resilient Development Resilience of natural ecosystems and sustainability of built environment to climate change using a landscape approach				2 Low-carbon Economy Facilitated transition towards low emission development		
EbA for Water and Food Security	Conservation of Biodiversity	Environmental Health and Human Security	Resilience of the built environment	Sustainable Energy		Climate-Smart Industries and Services
Conservation, restoration and sustainable use of natural carbon sinks				Power	Transport	
3 Climate Governance Climate governance (structure, process and actors) and priority actions towards CCAM in the Philippines are strengthened and the Philippine government actively engages in the international climate discourse and plays a decisive role in the UNFCCC negotiations.						
Institutional Strengthening and Capacity-Building	Climate Finance	Technology Transfer	M&E and MRV	KM, networks and transformation partnerships		

Activities in as many as possible useful areas shown in the table above, including differentiated level of engagement per topic, should be reflected, capturing linkages and synergies among the different components. Where possible the proposal should identify co-benefits of the suggested measures.

Particularly regarding 3.2.1. and 3.2.2, the proposals are expected to include elements that ensure scaled-up finance flows that result in low carbon, climate resilient infrastructure and utilities.



4 Selection criteria

Submitted programme outlines will be evaluated and selected by BMU, in cooperation with the Philippine government, according to the following conditions and criteria:

4.1 Relevance to the NDC and CBD implementation process in the country:

- 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](#), including the resolutions on NDC implementation, 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)
- Political ownership of the country and the involvement of UNFCCC and CBD focal points, of line ministries, of relevant stakeholders in the private sector, in finance and civil society. Participation in international political and knowledge exchange fora on NDC implementation – in particular the international NDC Partnership - and NBSAP implementation.
- Contribution to economic and social development in the partner country and to the creation of enabling political conditions in the partner country
- Coherence with and integration into national and/or regional/transnational strategies, international cooperation and synergies with other projects and sectors

4.2 Aptitude of the submitter(s):

- Requirements stated in Section 2 and 4 below for implementing actor/joint programme coordinator (notably: competence, capacity, experience (thematic and regional), professional business management of submitter and the submitter's partners in the joint programme).
- Consortium with clearly described comparative advantages of partners
- Strong focus on national implementing institutions. IKI expects a strong involvement of national/local partners in the consortium, receiving a minimum of 50% of the programme's budget.
- Cooperation with national, local or regional partners in order for the activities to be anchored long-term in the target region
- Track-record of the organisation that coordinates the joint programme



regarding the appropriateness, effectiveness and efficiency of use of funds

4.3 Aptness of the programme:

- Alignment with Thematic Priority guidance of the International Climate Initiative in this RfP (see Sections 2 and 3)
- Ambition and contribution to IKI Standard Indicators
- 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
- Potential for large-scale and long-term impact
- Maturity and coherence of the concept, including programme management and monitoring
- Convincing allocation of the budget among the proposed project products
- Convincing allocation of the budget among the proposed project partners
- Envisaged co-financing from the Philippine Partners on several levels including private sector
- Own contributions from implementing organisation and third-party financing
- Appropriateness, effectiveness and efficiency of the use of funds

5. Formal aspects

5.1 Funding recipients and programme organisation

IKI supports activities by implementing agencies, NGOs, consultancies, universities, research institutions, based in Germany and abroad, by international and multilateral organisations and institutions, e.g. development banks and United Nations bodies and programmes.

The programme should be implemented in a consortium of more than two organisations (minimum), including significant participation of national implementing agencies (compare section 2) in the framework of a cooperation agreement (see fact sheet Consortium Agreement), with one organisation acting as joint programme coordinator. This joint programme coordinator is the sole recipient of the approval notification and the sole contract partner of BMU receiving direct payments through BMU; 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 as agreed within the consortia of the programme.



The joint programme coordinator and its consortia partners are expected to have comprehensive relevant expertise and experience in the Philippines. The joint programme coordinator must display this expertise and, as a rule, demonstrate that it has continuously implemented international cooperation programmes in the relevant thematic area jointly with partners in the region for at least five years. The partners 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](#)).

The joint programme coordinator and the consortia partners must provide competent staff for the technical and administrative programme implementation. Average annual BMU 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 programme partners (forwarding recipients) also comply with this requirement in respect of their funding share. The average annual funding volume derives from the planned total BMU funding volume and the planned duration of the project as stated in the outline.

Activities by organisations/institutions based in Germany and abroad are supported via grants. Activities 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, the sections of this funding information apply correspondingly.

5.2. Requirements for support

Formal confirmation of the support of the Philippine government for the programme will be obtained by BMU. Programmes must be implemented in cooperation with national, local or regional political partners. Partners are to be named in the programme outline.

The programme or parts of it cannot have already started, and it is expected to be completed within seven years.

Support by IKI can be provided only if implementation of the 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.

5.3. Type, extent and amount of the funding

Support can be granted for all expenditures necessary and 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.

A preliminary intended allocation of the budget has to be presented including a description on the allocation to outputs and to the specific project partners.

Efficiency of expenditures as well as economic 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).



BMU advocates climate-neutral business travel. Measures include in particular reducing business travel. Where it cannot be avoided, expenditure for offsetting greenhouse gas emissions resulting from traveling within the IKI programme is eligible for funding.

5.4. 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).

BMU 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 BMU 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 BMU after due assessment of the circumstances and in the light of the budgetary funds available.

6. Decision-making procedure

6.1 Selection procedure

The selection process is based on a two-stage procedure:

1. **Outline stage:** In the first stage, a programme outline is submitted (in English language) via online platform on the [IKI website](#). No further templates or documents have to be submitted. At the end of the assessment of programme



outlines by BMU and the Philippine government, most ambitious proposals will be pre-selected to enter the second stage.

The following deadline applies: For the Request for Proposals/PHL selection procedure project outlines must be submitted online by 27 September 2018 (Central European Summer Time, CEST). The online platform will not be accessible after this deadline, and outlines that are not submitted by the designated means cannot be considered for the selection procedure.

All outlines that have been submitted through the online platform by the deadline will be evaluated. All applicants will be informed in writing of the result of the evaluation.

- 2. Formal project proposal stage:** Once preselected, the joint programme coordinator will receive a written invitation to submit a formal request for funding for an appraisal mission (start of second stage). Joint programme coordinators then have up to six months to complete the appraisal mission and on that basis have to submit a thoroughly prepared programme proposal. BMU/IKI 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 the first stage.

6.2 Involvement of a Programme Office

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

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Potsdamer Platz 10
10785 Berlin
Germany

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