

On behalf of:



Federal Ministry  
for the Environment, Nature Conservation  
and Nuclear Safety

of the Federal Republic of Germany

**ZUG**

Zukunft – Umwelt – Gesellschaft (ZUG) gGmbH

# Frequently Asked Questions (FAQ)

## IKI Thematic Selection Procedure 2019

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# 1. Selection procedure and duration of funding

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## 1.1. What comprises the first and second stage of the IKI selection procedure?

IKI selection is based on a two-stage procedure.

In the **first stage**, coherent programme outlines need to be submitted based on the corresponding funding information. If programme outlines are promising, BMU/IKI will ask for the submission of a formal programme proposal which will be prepared during an appraisal mission (start of second stage).

In the **second stage**, the joint programme coordinator (applicant) 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 must submit a thoroughly prepared programme proposal. After an in-depth evaluation and a positive decision on the proposal by BMU/IKI the programme can begin.

## 1.2. When can a programme outline be submitted?

BMU/IKI selects programmes for IKI funding based on open calls for ideas that are announced regularly. Thematic and country-specific calls are launched for the selection of large-scale programmes that are implemented jointly with other organisations in a consortium.

In 2019, BMU/IKI recently launched a thematic call for programme outlines. Another call is planned for the end of the year. BMU/IKI will also publish several Requests for Programme Outlines (RfPs) for submitting country-specific programme outlines throughout the year. Please refer to the [IKI website](#) for the respective submission deadlines.

## 1.3. In which form is the programme outline to be submitted?

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

## 1.4. Does a programme outline need to be signed?

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

## 1.5. Can the programme outline be evaluated by BMU/IKI before submission?

For reasons of equal treatment and fair competition, the evaluation or discussion of the programme outline with BMU before submission is not allowed. Inquiries about the status of the assessment of programme outlines will not be answered while selection is in progress.

## 1.6. What is an appraisal mission?

The appraisal mission is mandatory and serves as a preliminary audit to explore the programme set-up jointly with the partners, supply valid data and information, in order to provide the basis for a detailed programme planning process and substantiated programme structure and content.

### 1.7. How is the appraisal mission queried in the programme outline?

Please submit information on the expenditure for the appraisal mission in Chapter 6 “Budget” under 6.1 “Planned funding requirements of overall programme” as an estimate. Please note that BMU funding for the appraisal mission together with the estimated BMU funding for the overall programme activities shall not exceed the stated amounts in the respective funding information.

Please describe scope, measures, time frame and the roles of the partners involved in the appraisal mission in Chapter 3 “Programme concept” under 3.8 “Appraisal mission” of the programme outline.

### 1.8. Are several joint programme coordinators asked to implement appraisal missions and to develop complete programme proposals, of which one will be selected at the end? Or will there be only one prioritised after the first selection stage?

Following the first selection stage BMU/IKI chooses one programme outline per thematic priority, unless otherwise specified in the funding information. The respective joint programme coordinator will be asked to carry out an appraisal mission jointly with selected programme partners and to develop complete programme proposals. This does not prejudice the decision for full funding.

### 1.9. When does IKI anticipate funds to be available for the current selection period?

The funding of the programme depends on a thorough preparation and evaluation phase. It is expected that programmes can be funded from mid-2020 at the earliest.

### 1.10. Can programme implementation be planned for less than eight years? E.g. six or seven years?

Yes, it is possible. If a shorter duration due to the funding requirements per year at the desired level of ambition will be generally expedient for the success of the programme and based on the programme concept, the programme duration can be shorter than eight years. However, it should be considered that subsequent phases are not foreseen and that the programme achieves its objectives sustainably in the requested period.

## 2. Applicants and joint programme coordinators

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### 2.1. Who can submit a programme outline?

IKI supports activities by implementing agencies, NGOs, consultancies, universities, research institutions, international and multilateral organisations and institutions, e.g. development banks and United Nations bodies and programmes, based in Germany and abroad. Individuals cannot be funded. Furthermore, governments are not eligible to receive funding directly. IKI encourages the inclusion of implementing institutions from partner countries.

The programme needs to be implemented in a **consortium** of more than two organisations, including significant participation of national implementing institutions.



**2.2. The average annual grant from BMU should not exceed the average annual turnover of the joint programme coordinator over the last three years. Does this apply solely to the joint programme coordinator's share, or does it apply to the overall grant?**

The joint programme coordinator is the grantee and acts as the sole recipient of the overall grant. Thus, this requirement applies to the joint programme coordinator.

**2.3. Is it possible to display the required five years of experience in the country through the overall consortium instead of through the joint programme coordinator exclusively?**

No, the joint programme coordinator must provide evidence of this expertise and, as a rule, demonstrate that it has continuously implemented international cooperation programmes in the thematic area jointly with partners in the country for at least five years.

**2.4. Can an NGO that is based in the USA act as joint programme coordinator in the recipient country? Or must a national partner take on this role?**

The joint programme coordinator does not have to be headquartered in the recipient country. However, one has to ensure that the joint programme coordinator has expertise in that country.

**2.5. Can several organisations take on the role of a joint programme coordinator?**

No, only one organisation can assume the role of the joint programme coordinator.

## 3. Programme organisation, consortia and political anchoring

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**3.1. What is a joint programme?**

In general, a joint programme involves several organisations that work as fully-fledged partners. The principles of cooperation will be laid out in a cooperation agreement signed by all the implementing partners and the joint programme coordinator.

**3.2. What is a cooperation agreement? When is the cooperation agreement to be submitted?**

The successful implementation of a programme calls for trustful collaboration between cooperation partners. The partners shall therefore work on the basis of an internal agreement that sets the framework for the cooperation and constitutes the rights and obligations of the partners. Moreover, the partners appoint a joint programme coordinator who carries out the internal organisation and external representation of the joint programme. The cooperation agreement shall be submitted in the second stage of the IKI selection procedure (cf. Question 1.1). However, it needs to be negotiated and finalised before the decision on the funding of the programme is made. Please refer to Annex III of the funding information on the [IKI website](#) for more information.

**3.3. What is the relationship between the joint programme coordinator and the programme partner(s) towards BMU?**



The joint programme coordinator is the sole recipient of the approval notification/contract partner of BMU. As the sole recipient, the joint programme coordinator receives direct payments through BMU. No grants were disbursed directly to other programme partner(s). The joint programme coordinator is responsible for forwarding the grant to the programme partner(s). Please refer to Annex III of the funding information on the [IKI website](#) for more information.

**3.4. In the view of BMU, how binding are cooperation arrangements at the point of submission of a programme outline? After selection, can cooperation partners leave and/or join the programme?**

After the selection, further programme partners can join if, for example, an appraisal mission indicates that further local partners/experts are required to implement the programme. Normally, no cooperation partners will leave the programme after selection, unless this is mutually agreed by the partners and only if this does not change the character and core elements of the programme outline. However, the joint programme coordinator must not change after being selected in the first stage and receiving the written invitation to submit a formal request for funding for an appraisal mission (start second stage).

**3.5. Are there institutions that are excluded from the participation in a consortium?**

IKI supports activities by implementing agencies, NGOs, consultancies, universities, research institutions, by international and multilateral organisations and institutions, e.g. development banks and United Nations bodies and programmes, based in Germany and abroad. Individuals and Governments are not eligible as member of a consortium/joint programme coordinator.

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

Private companies can take part within a consortium as long as they have no commercial interest in the implementation and no economic advantage from the receipt of grants. Evidence must be provided if required.

**3.7. How will the interest of the political partner and its willingness to cooperate be secured?**

For the realisation of a programme, it is essential that the government of the partner country shows a clear interest in the programme. The explicit interest of the partnering government has to be obtained during the second stage of the IKI selection procedure (cf. Question 1.1.). Further information on how it should be obtained will be given at the beginning of the second stage of the IKI selection procedure.

**3.8. Must all partners be listed in the programme outline?**

**Political partners** have to be named in the programme outline and contact persons or focal points within the partner country's government shall be provided (Annex 1).

All **programme partners** of a consortium must be stated in the programme outline (Annex 2). The procurement of services, which includes the delivery of goods, construction works or the provision of services, shall take place after the approval of a programme. **Subcontractors** are not listed in the programme outline.

Please describe the organisational structure and division of labour of the programme consortium in Annex 2 of the programme outline and upload a relevant organisational chart.

### **3.9. What are the criteria and conditions for entities to be considered national actors that are expected to receive at least 50% of the programme resources?**

The main rationale of the thematic programmes is to provide substantial support to partner countries in the process of NDC implementation as well as national implementation of the Strategic Plan 2011 - 2020 of the CBD. BMU/IKI seeks to work towards more cooperation and collaboration, and towards more capacity in partner countries. A prime intent of the thematic programmes is therefore to significantly enhance capacity building and support civil society. To accomplish this goal, BMU/IKI expects that national implementing partners receive at least 50% of the programme funding (cf. Question 3.10). In this context, national implementing partners in the BMU/IKI definition are institutions that are registered as national legal entities in at least one of the countries of implementation. This definition also includes subcontractors. In the programme outline under Chapter 3 "Programme concept", the applicant shall elaborate on how the programme integrates national implementing partners to enhance capacity building and support civil society. The provision of an estimated budget share for those partners is recommended.

#### Institutions covered by this scheme are:

- National/local institutions, including universities, think tanks, financial institutions or the private sector with the goal of strengthening national/local level capacities in NDC implementation and leveraging their expertise
- International NGOs, which have a local representation in the country (acting as independent legal entity under the respective national laws) and help strengthen non-state actors and civil society

#### Not included are the following institutions:

- Intergovernmental/multilateral organisations, government organisations, UN agencies
- Cost of local staff at international organisations

Exceptions to the 50% budget share for national implementing partners will be evaluated on a case-by-case basis. This include programmes, e.g. with financial cooperation (e.g., MDBs), especially financing of investment, financial contributions to financial sector development, fiduciary holdings and innovative financing instruments.

### **3.10. Will higher allocations be rewarded with higher ratings during the evaluation phase?**

Please note, that the allocation of 50% of the programme funds to national implementing partners is considered as optimum, not as a prerequisite. 50% and higher national share will be awarded the full score in the evaluation of programme outlines. Programmes including a lower proportion can also apply but will in this category of evaluation receive a lower score. A higher proportion than 50% does not constitute a competitive advantage.

### **3.11. Will BMU/IKI provide support for matchmaking with compatible partners, recommending partnerships with like-minded organisations?**



BMU/IKI will not provide any support for networking among potential partners.

### 3.12. Is it essential to be in a consortium with a German institution?

There is no requirement for the involvement of German institutions in a joint programme.

### 3.13. Can an organisation be involved in several consortia?

Yes, an organisation can be part of more than one consortium with different roles and approaches.

## 4. Budget, type and scope of funding

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### 4.1. In which currency is the application requested?

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

### 4.2. Are there any guidelines regarding the maximum amount of funding?

A minimum or maximum grant amount does not exist. In general, please refer to the stated amounts in the respective funding information.

The planned average annual BMU funding volume should not exceed the joint programme coordinator's average annual turnover of the last three financial years. The average annual funding volume follows from the planned BMU total funding volume and the planned programme duration.

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

### 4.3. What are own funds, what is understood as external funding? Do they have to be stated in the budget?

**Own funds** are financial contributions, which are supplied directly from the joint programme coordinator's and implementing partners' funds and are not sourced from other donors or third parties.

IKI programmes should not be funded entirely by BMU funding but include an adequate proportion of co-funding. An appropriate financial participation of the joint programme coordinator ("own funds") and/or the mobilisation of additional co-funding are a condition for approval of a grant. The extent to which the own funds must be available can only be decided in individual cases. The appropriate amount depends in particular on the financial strength of the applicant. A fixed minimum level for own funds does not exist. The funding of the programme purpose is primarily the responsibility of the applicant, who therefore must do everything to achieve the necessary funds. A full financing mode from BMU is therefore only possible in exceptional cases.

Own funds must be uncommitted financial resources. Another requirement is that these are traceable through direct cash-flows during project implementation. In-kind contributions are encouraged but cannot be counted as own funds.



In addition to own funds, you are asked to give an estimate of **all external funding** expected to be raised for this specific programme.

In principle, all revenue related to the programme purpose and the own funds of the joint programme coordinator are to be used as a means for all eligible expenditures related to the programme purpose.

#### **4.4. Can participation also take the form of in-kind contributions?**

In-kind contributions usually refer to goods or services provided free of charge by a third party. In-kind contributions never involve an actual transfer of financial resources to the joint programme coordinator or the implementing partners. Therefore, in-kind contributions do not involve any expenditures. Consequently, in-kind contributions are not eligible and must never appear in the budget of the IKI programme as an expenditure. It is not practical to calculate the financial value of such contributions and to assess whether it has effectively been provided. If in-kind contributions are intended, BMU shall be informed and the planned contributions need to be displayed and described under 5.4 of the programme proposal form (second stage).

#### **4.5. Is there maximum or minimum grant amount?**

A minimum or maximum grant amount does not exist. In general, please refer to the stated amounts in the respective funding information.

#### **4.6. How is the budget distributed between the joint programme coordinator and the implementing partners? Are there any guiding principles?**

There are no specifications. However, a balanced and comprehensible relationship should be reflected. It is in the special interest of BMU that the joint programme organisations cooperate at the same level. This should be reflected in the budget. IKI expects a strong involvement of national/local partners in the consortium, receiving at least 50% of the programme's budget.

#### **4.7. Is there a fixed limit to the IKI administrative overheads?**

A fixed limit is not defined. However, in case the administrative overheads seem excessive you may be asked to deliver a detailed breakdown for further assessment.

#### **4.8. Must implementing partners also provide evidence to BMU of an own contribution? When and where (programme outline or proposal)?**

Appropriate own financial contributions and implementing partner inputs, and the mobilisation of additional funding to finance the eligible expenditure, are generally a precondition for approval of a grant. When evaluating the suitability of a programme, the level of own funds and third-party grants is one of the selection criteria. This rule also applies to the implementing partners in a joint programme. The budgeted own funds and third-party grants must already be stated in the programme outline. Own funds of the implementing partners have to be declared in Chapter 6 under 6.2. "Own funds provided by applicant/implementing partners".

#### **4.9. What happens if a programme has accessed another source of funding? Would the award be withheld because of a breach of this clause?**



Appropriate own financial contributions are generally a precondition for approval of a grant. If additional financing (own funds and/or third-party grants) can be secured for the programme, BMU views this positively. Depending upon the type and level of the new funding, the BMU grant would be reduced accordingly. This, however, must be assessed on a case-by-case basis; it is not possible to generalise in advance.

**4.10. Does an English-language version of the general collateral clauses for grants to support programmes (Allgemeine Nebenbestimmungen für Zuwendungen zur Projektförderung, ANBest-P) exist? Will there be simplifications to Point 3 (VOB/A and VOL/A – Award of contracts)? If not, will BMU continue to provide no legal advice on this? Are the expenditures of legal advice/tender consultants for award procedures eligible for funding and should these already be included in the Concept Note budget?**

ANBest-P is not available in English. No simplifications to the procurement rules are envisaged.

As before, legal advice services do not count as eligible expenditures and therefore should not be included in the programme outline.

**4.11. Has the deadline for the expenditure of funds and the procurement rules been changed? Is it possible to apply for an extension of the expenditure deadlines?**

The deadline for the expenditure of requested funds has not been changed. Requested funds have to be spent within six weeks, as laid down in the grant agreement. It is not possible to extend the deadline.

The procurement rules have not been changed. The rules are laid down in the Grant Agreement. Please also refer to the [IKI Guidelines for international applicants](#) for more information on procurement rules.

**4.12. Please could you provide some further information on the level of co-funding that is typically required to make a programme outline competitive?**

There are no fixed criteria set and there is no fixed minimum for own funds or external funding. However, it is expected to bring in external funding and own funds according to the capacity of the consortia.

Depending on the layout of the programme and the constitution of the implementing organisations, these amounts are expected in different levels.

As a rule: External funding and own funds show real commitment and are highly appreciated but always depend on individual assessment.

**4.13. Even if in-kind contributions do not count as an “expenditure”, can they be considered matching “own funds” or provide any other support in the programme outline? When do co-financing or other contributions need to be in place in order to be counted.**

In-kind contributions are welcome and show commitment of the consortia but cannot be included in the budget. They can be provided and described as programme support, but they do not count as own funds or external funding. If in-kind contributions are intended, the planned contributions need to be displayed and described in the programme proposal form (second stage).



All own funds and external funding need to be in place before approval of the programme.

**4.14. Can an institution that is both political partner and implementing partner also receive certain percentage of the programme resources?**

It is not foreseen, that an institution is both political partner and implementing partner in an IKI programme. In general, it is not possible to finance permanent political partner staff e.g. from partner ministries or subordinate authorities from IKI funds.

**4.15. What expenses and costs to compensate for GHG-emissions can be approved?**

It is possible to recognize car journeys as well as air travel and travel by train. In the case of air travel, besides the seat category and the aircraft type, their additional non-CO<sub>2</sub> effects should also be taken into account by the so-called Radiative Forcing Index (RFI) of 3. The emissions from car and train travel are to be determined on the basis of energy consumption in conjunction with internationally recognized emission factors for the various fuels (see Intergovernmental Panel on Climate Change - IPCC) and electricity grids (see publications of the partner governments). The emission allowances must have been irrevocably de-commissioned in the Kyoto Register. Further qualitative requirements for the compensation will be communicated during the IKI selection procedure.

## 5. Programmatic approaches and thematic funding priorities

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**5.1. Is the BMU/IKI primarily looking for bilateral or regional programmes? Are there any preferences?**

In the context of the current funding information, the BMU/IKI is looking for bilateral and regional programmes with IKI partner countries and member countries of regional organisations. Further information on these countries can be found in Annex II of the funding information on the [IKI website](#). There are no preferences. In general, it is important that the programmes fit into the IKI portfolio and, where possible and appropriate, they should draw on, consolidate and complement existing work. Moreover, the partners' governments must express an explicit interest in the programme. It is also expected that at least 50% of the programme funds will be implemented by national implementing partners (cf. Question 3.9. and 3.10.)

**5.2. Is it possible to apply for funding for a global programme?**

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

**5.3. Is it possible to submit programme outlines for small-scale projects?**



The present funding information focuses on programmatic approaches. In well-founded cases, it is possible to submit programme outlines for small-scale projects regarding the thematic funding priorities 4.11 and 4.12. For these foci a funding volume between €5 and €20 million per programme is foreseen.

#### 5.4. Are some thematic funding priorities of greater importance?

No, there are no different priorities among the themes. Every IKI programme must be relevant for one of the thematic funding priorities.

## 6. Partner countries and regions

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### 6.1. Can countries be selected as partner countries apart from the published list of IKI countries?

Yes, as long as the country selection applies with the rules in Annex II of the funding information on the [IKI website](#). Above all, the selected countries must be **ODA-eligible**. This means that they must meet the criteria for recognition as recipients of Official Development Assistance (ODA). Further information on ODA eligibility can be found on the [DAC list of ODA recipients](#) of the Organisation for Economic Cooperation and Development (OECD).

### 6.2. How does the BMU/IKI define “regional programmes”? Do countries have to be geographically neighbouring to count as one region?

Regional programmes are transnational multi-country programmes, which take place in one geographic region (e.g. MENA, sub-Saharan Africa, Central Asia, AOSIS) and whose activities generate a value that exceeds the mere national level. In a region, countries do not have to be neighbouring. For example, a programme that takes place in the MENA region involving the countries Tunisia and Jordan counts as “regional”.

### 6.3. How many countries should be involved in a regional programme?

There are no specific requirements regarding the number of countries to be involved in a regional programme. It is important that the activities in each country have an explicit impact and outcome at the national and regional level.

### 6.4. Must all member countries of the Southern African Development Community (SADC) be included in the programme or is it possible to choose only three to four countries out of this region? Does the same apply also for the Central African Forest Commission (COMIFAC) and the other regional organisation?

No, not all 15 countries must be considered and thus it is possible to choose only three to four countries out of the SADC region. The same applies for COMIFAC and other regional organisations.

### 6.5. Must the selection of AOSIS countries have a geographic regional focus or can it comprise countries across different regions?

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

## 7. Miscellaneous

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### 7.1. Must literature references be cited (e.g. in the section on the initial situation in the country)?

No literature references are needed in the first stage of the IKI selection procedure.

### 7.2. To what extent are the outcome and outputs sections to be quantified? Are qualitative data acceptable for the launch phase?

Results are to be quantified as far as possible. If quantification is impossible or only possible to a limited extent, the reasons for this should be stated. Please make sure to explain the programme's underlying result chain. It has to be clear, how outcome and output are causally linked or how they build on each other in order to achieve the programmes desired impacts.

In addition, the activities to be carried out in order to achieve each specific programme goal (output) shall be listed and grouped in work packages. It is important to indicate the different weighting of each work package (%) according to the work load/thematic focus and budget. (max. 2000 characters)

### 7.3. Is there a limit to the number of political partners and implementing partners that can be listed in online form (Annex 1 and Annex 2)?

Yes, there is a technical limit to the number of partners that can be entered in the online form. You can also use the text field in Chapter 7 under 7.3 "Other information" for additional information and please do not forget to upload a matching organisation chart.