



Federal Ministry  
for the Environment, Nature Conservation  
and Nuclear Safety

INTERNATIONALE KLIMASCHUTZINITIATIVE (IKI)



## **IKI Medium Grants 2020**

Information on funding projects under the framework of the  
International Climate Initiative (IKI) of the Federal Ministry for the  
Environment, Nature Conservation and Nuclear Safety (BMU)  
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## 1. Funding objective

The Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) launched the International Climate Initiative (IKI) in 2008 following a resolution passed by the German Bundestag in 2008 and, since then, has funded a large number of projects in the field of climate change and biodiversity as well as cross-cutting at the intersection of both areas.

The IKI primarily funds large-scale programmes via thematic and country-specific selection procedures in order to accelerate the transformation towards a sustainable and low-carbon economy and its connected supply structures. However, the implementation of the Paris Agreement and the Convention on Biological Diversity also requires the effective involvement of all social groups and thus strengthening the capacities of small stakeholders in developing and emerging countries.

This is precisely where two new IKI programmes for small projects come in, adding to the thematic and country-specific selection procedures:

1. The **"IKI Small Grants"** scheme is exclusively aimed at promoting the work of small organisations and local stakeholders in developing and emerging countries directly and thus dedicated to strengthen their capacities. Commissioned by BMU, GIZ is responsible for its implementation. Further information can be found on the [IKI website](#).
2. The **"IKI Medium Grants"** programme supports civil society actors based in Germany and strengthens their international networks in order to implement measures for climate and biodiversity protection in a global context through north-south cooperation. The Zukunft-Umwelt-Gesellschaft gGmbH (ZUG) was commissioned by the BMU to implement the project financing of the *IKI Medium Grants*.

*IKI Medium Grants* is the subject of this funding information. The programme aims at civil society stakeholders based in Germany, who implement measures for strengthening north-south cooperation in climate protection, adaptation and the conservation of biodiversity in developing and emerging countries. Funding is available for projects with a financing volume of between EUR 300,000 and EUR 800,000 and a duration of two to three years. The programme is part of Germany's contribution to international climate and biodiversity financing.

The IKI Secretariat of the ZUG supports the BMU as project management agency in implementing the IKI and is available to answer questions relating to this call for project ideas: [iki-secretariat@z-u-g.org](mailto:iki-secretariat@z-u-g.org)

## 2. Subject of funding, funding approaches

*IKI Medium Grants* can be used to fund concrete project activities that benefit ODA-eligible countries on site and are implemented in cross-border cooperation between non-state actors from the global North and South. Depending on the project concept, bilateral and also regional projects on case-by-case basis are supported. Regional projects refer to so-called transnational multi-country projects involving up to two countries in a geographical region, whereby the target countries do not necessarily have to be neighbouring. The aim is to make transformative bottom-up contributions to the implementation of the Paris Agreement and the Convention on Biological Diversity.

The *IKI Medium Grants* programme supports the following funding approaches that can be funded individually or in combination:

**I. Implementing model projects on site**

In order to raise the level of ambition in reducing greenhouse gas emissions, protecting against impacts of climate change and in preserving and protecting biodiversity, concrete model projects with a demonstrative characteristic can be funded under this funding approach. These innovative model projects shall be suitable for demonstrating the effectiveness of transformative technologies and concepts and also for exchanging the resulting knowledge between the global North and South as well as on the South-South level.

Transformative innovations can, for instance, be instruments and measures that initiate change on the basis of analyses and technology cooperation and thus enable long-term and sustainable carbon-neutral and biodiversity-friendly development paths.

**II. Pooling and disseminating knowledge and raising awareness**

Under this funding approach, exchange of expertise on policy analysis, dialogue processes and formal and informal education aimed at pooling and disseminating knowledge and raising awareness can be supported. In this way, civil society actors shall become active multipliers for ambitious climate and biodiversity protection measures at local, sub-national, national or regional level. In addition to this, the aim is to empower them to become advocates for sustainable social norms and narratives and thus initiate transformative changes in climate-damaging and biodiversity-threatening patterns of behaviour and lifestyles.

**III. Building and developing capacities**

Funding will also be provided for measures designed to build up the expertise of key civil society actors in terms of expert knowledge, methodologies and management skills.

Measures of organizational and strategic development will also be supported.

The aim is for civil society actors in the target countries to be empowered to initiate dialogue, participation, consultation and stakeholder processes and to boost dynamism across all governance levels by establishing and expanding their networks.

### **3. Funding priorities**

Calls for funding covering different priority areas are published at regular intervals for the *IKI Medium Grants* programme. In this first call for proposals, the focus is on climate change mitigation and biodiversity. Projects are sought which pursue the described funding approaches (see section 2) in one or several of the following thematic priority areas and initiate societal transformation for climate protection and the protection of biodiversity:

***Funding focus on mitigation:***

- *Focus on energy:* Projects that help energy production, supply and consumption (the latter also in production facilities) to move towards significant reductions or avoidance of greenhouse gas emissions and create awareness in society about the advantages of having sustainable energy systems established;
- *Focus on mobility:* Projects that implement concepts on climate-friendly mobility and encourage climate-friendly mobility behaviour

- *Focus on cities:* Projects to mitigate climate change in city conurbations, which are ideally working at the intersection to adaptation and/or biodiversity measures.

***Funding focus on biodiversity:***

- Projects that contribute to the conservation, restoration and sustainable use of protected areas and ecosystems;
- Projects that strengthen civil society to make an effective contribution to achieving the goals of the Convention on Biological Diversity;
- Projects that help to create consciousness about the unique values of nature and endangering of nature arising from climate change.

#### **4. Requirements for project outlines, project proposals and project implementation**

##### **4.1. Criteria for the selection of project outlines and examination of project proposals**

Project outlines are examined and selected after careful consideration and are subject to the availability of budget. In addition to the eligibility of the beneficiary in accordance with Section 5 and fulfilment of the conditions stated in Section 6, the project outline itself must fulfil the following criteria and conditions in order to be considered eligible for funding. To reach a high evaluation score, outlines must take into account both these criteria as well as the objectives, funding approaches and funding priorities as stated in Sections 1 to 3. Furthermore, Annex I provides a systematic overview of the selection criteria set out in this call for proposal.

Criteria for the selection of outlines and examination of project proposals are:

##### ***a) Depending on the selected funding approach under Section 2***

##### **Level of innovation**

Essential for projects pursuing Funding Approach I are the pioneering character of the project as well as its distinctiveness and novel nature compared to existing solutions and approaches.

##### **Relevance and specific nature**

Projects not primarily pursuing an innovative pioneering project concept (and thus pursuing funding approaches II and III) are designed to make a tangible, visible and relevant contribution to solving current challenges of climate and biodiversity protection (studies "to keep in a drawer" excluded!). A high degree of identification with the project and support in its implementation by the target group is expected.

##### **(Raising awareness through) education**

Through the project activities under funding approach II, civil society actors will be trained and educated as multipliers for ambitious climate and biodiversity protection at local, sub-national, national and regional level in order to advocate for sustainable narratives, norms and behavioural patterns of lifestyle.

##### **Building and developing capacities**

Pursuing funding approach III, the project will strengthen the human resources of organisations based within the target countries including their networks as well as their organisational and technical

capacities in a sustainable manner. This includes an increase in expert knowledge, methodologies and management skills, an increase in implementation capacities, as well as an increase in knowledge about strategic organisational development. The proposed activities respond comprehensively to the needs identified.

### ***b) Irrespective of the selected funding approach under Section 2***

#### **Transformation potential and best practice characteristic**

The transformative nature of the project concept should be reflected in at least one of the following characteristics:

- The project achieves a substantial and measurable improvement compared to a "business as usual" scenario by setting an ambitious benchmark;
- The project brings about lasting system changes and/ or lasting behavioural changes of decision-makers or a significant number of individuals or institutions;
- The project initiates steps towards a sustainable climate-neutral and biodiversity friendly development path that are either irreversible or very difficult to reverse
- The project has the potential to develop a broad external impact and appeal through being a role model, so that positive effects can spill over to other contexts such as countries/regions and/or other sectors.

#### **Exchange of experience between North and South**

The project is suitable for raising the level of ambition in the protection of climate and biodiversity through the exchange of experience between North and South on an equal footing. A coherent division of roles between the applicant and the implementing partner(s) is of great importance.

#### **Quality and persuasiveness**

Expected results and potentials are presented in a precise, comprehensible and systematic way. Any possible systemic effects (rebound effects, conflicting goals) must be addressed. Important factors for this include the operationalization of the project goals and structure of the project plan, speedy and sensible timing of the project activities, as well as logic and comprehensible explanations on the feasibility of the project proposed. A convincing case must be made for the country selection. A high level of knowledge of national and regional conditions and circumstances including an initial assessment of potential risks is a prerequisite.

#### **Synergies**

In order to exploit synergies and avoid double funding, references to other funding instruments within the same or related policy fields, which are being implemented by either the Federal Government, Germany's federal states, the European Union as well as other national and international donors should be reviewed carefully. The closer and/or more similar the objectives, target groups, measures and concrete products of the planned project are to those of a current/completed project, the more precise the delimitation or link must be.

#### **Gender mainstreaming and participation**

The IKI has adopted a policy on promoting equal opportunities for women and men in an integral approach. In particular, a specific perspective addressing especially women's needs to compensate for existing discrimination against themselves and other women is a laudable feature of the project design.

Participation and empowerment of other vulnerable groups (e.g. youth, indigenous groups) is also encouraged.

#### **Sustainability of the project impact**

The project concept demonstrates how the project activities contribute to the preservation or continuation of achieved goals and/ or activities beyond the lifespan of the project.

### **4.2. Requirements for the implementation of projects**

Apart from the administrative prerequisites listed under Section 6, the following requirements are considered mandatory for project implementation:

#### **IKI safeguards**

During implementation, the projects must take into account the IKI safeguards, which have been developed in accordance to IFC Performance Standards. The IKI safeguard approach ensures that risks are considered well in advance and managed effectively. The IKI safeguards approach is subject to universal guiding principles, such as compliance with human rights principles. Any measures proposed to mitigate or monitor the risks must be integrated into the project activities and outputs, where appropriate.

#### **Result-based monitoring**

The planning and monitoring of the projects must be oriented on the results logic (output, outcome, impact) of the Organisation for Economic Cooperation and Development (OECD) (see [IKI website](#)). Indicators must be specific, measurable, achievable, relevant and time-bound (SMART).

#### **Evaluation**

The effectiveness of the projects is evaluated externally at regular intervals. Implementing organisations are obliged to provide the necessary data and information for this purpose.

### **5. Implementing organisations**

Funding is provided to civil society organisations (foundations, federations, associations, trade unions), university departments and institutes of state-owned and private universities, non-university research institutes and think tanks, as well as non-profit enterprises, all of them fulfilling the prerequisite of having their headquarters and business activities based in Germany.

Furthermore, the implementing organisation must generally have been working continuously in the field of international cooperation in climate and/or biodiversity protection for a minimum of three years.

Implementing organisations must also be able to plan the measures in a professional manner, to implement them cost-efficiently, to monitor them and account for them based on expenditure. The level of the average annual BMU funding amount planned (including *IKI Medium Grants*) shall not exceed 50% of the average annual revenue of the last two financial years.

Implementing organisations may pass on a part of the grant to up to two partner organisations working on site in the target countries for implementing the cooperation between north and south. For this purpose, the implementing organisations must check the creditworthiness of the designated partner

organisations and provide evidence to ZUG in the second stage of the application process. In addition to this, a political assessment on the role of the partner organisation(s) in the target country or countries must be conducted before implementation and be submitted to ZUG.

## **6. Financing prerequisites and country selection**

### **6.1. Financing prerequisites**

Funding will only be provided to projects. Institutional (core) funding is not permitted under this programme. Projects focused purely on investments as well as project primarily focusing on Germany are excluded from project financing. There is no legal entitlement to receive funding.

Projects can only be funded if they could not be carried out without such funding, or only to a significantly lesser extent. In addition, the project shall not have started yet at the time of application.

By submission of the full project proposal (stage 2 of the selection procedure), the applicant must agree that BMU or its representatives may disclose the name of the funded organisation and the purpose of the funding as part of their public relations work.

Upon successful completion of the outline and application procedure, a private-law grant agreement will be concluded. A contractual relationship will be established exclusively between ZUG as implementing project management agency of the *IKI Medium Grants* and the applicant. The contractual relationship between the applicant and its partner organisations is under the sole responsibility of the applicant.

For approval, disbursement and accounting of the grant as well as final reporting and auditing, corresponding regulations on §§ 48 to 49a of the Administrative Procedures Act (VwVfG) and the General Auxiliary Provisions for Grants for Project Support (ANBest-P) in their latest version will become integral parts of the grant agreement. These regulations equally apply in cases of necessary withdrawal from or termination of the subsidy contract and the (partial) repayment of the subsidy granted within the framework of the *IKI Medium Grants* programme.

The implementing organisation and any partner organisations must allow ZUG or BMU, including their representatives, and the Bundesrechnungshof (Federal Court of Audit) to conduct audits to verify the appropriate use of funds against the backdrop of cost-efficiency and purpose of the project funding. Upon request, BMU and / or its authorised representatives shall be provided with all necessary information and be allowed to inspect accounting records and documents relating to the project and to carry out audits.

### **6.2. Country selection**

Funding is provided for bilateral as well as regional projects on a case-by-case basis. Regional projects refer to so-called transnational multi-country projects involving up to two countries in a geographical region, whereby the target countries do not necessarily have to be neighbouring. The selection of the target countries requires factual substantiation. Substantive duplication with current IKI country calls shall be avoided.



It is also imperative that all projects are implemented in countries that meet the criteria for Official Development Assistance (ODA) as defined by the Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development ([OECD](#)). In order to ensure ODA eligibility, the projects should be carried out in cooperation with national, local or regional partners to embed the project within the target region and ensure intensive and extensive involvement and commissioning of local implementing partners. ODA eligibility of a country must be given by the deadline for submission of the project outline. Further information on ODA eligibility can be found on the [DAC list of ODA recipients](#).

To ensure visibility of the projects in the target countries, BMU will send information letters and brief descriptions to the CBD and UNFCCC focal points in the respective countries of project implementation.

## **7. Legal framework, funding models, duration and amount of funding**

### **7.1. Legal framework and financing**

Grant agreements with equivalent regulations to §§ 23, 44 of the Federal Budget Code (BHO) and the General Auxiliary Conditions for Grants Provided for Projects on an Expenditure Basis (ANBest-P) are concluded between ZUG and the applicant for implementation. An appropriate own financial contribution or mobilisation of additional third-party funds shall be indicated by the applicant. The appropriateness of the share of own funds as well as the funding model can only be decided on a case-by-case-basis. The appropriate amount depends, in particular, on the financial strength of the implementing organisation. A specified minimum amount for the applicants' own contribution does not exist.

### **7.2. Duration and amount of funding**

A grant of between EUR 300,000 and a maximum of EUR 800,000 can be awarded per project. Projects should be completed within a period of 24 up to a maximum of 36 months. As a principle, no follow-up financing from IKI resources, including *IKI Medium Grants*, can be provided

Particular attention is paid during selection procedure to the cost-efficient and thrifty use of funds (in the case of implementing organisations with IKI experience, also in completed projects) and the provision of an appropriate own contribution.

### **7.3. Billable expenditure (calculation basis)**

Project financing shall be calculated based on the necessity of expenditures to carry out the project. Cost-based financing is generally not allowed, as with this form of finance it is not permissible to forward funds to partner organisations. If you have any further questions, please contact the IKI secretariat ([iki-secretariat@z-u-g.org](mailto:iki-secretariat@z-u-g.org)).

Expenditures incurred in a customary manner of project implementation, in compliance with the principles of cost-efficiency and thrift shall be chargeable, provided that implementation is not possible without such support. Billable are personnel and travel expenses for project staff, including expenses

for necessary preparatory measures such as safety training, health checks and insurance, as well as equipment and investment expenditure such as is necessary and appropriate for example for the implementation and evaluation of model projects under funding approach I. Expenditure on networking and dissemination of results and knowledge, as well as on capacity and awareness building activities resulting from the projects may also be eligible.

Luxury goods, environmentally harmful and military goods (incl. firearms), technologies and installations or services oriented on such purposes will not be funded.

BMU advocates measures to make official travel climate-neutral. This primarily involves the avoidance of such trips, for example by means of video or telephone conferences. If official travel cannot be avoided, expenditure for offsetting greenhouse gas emissions produced by official travel is eligible for funding.

## **8. Selection and application procedure**

The IKI selection procedure has two stages. For the first stage of the procedure, project outlines in German are submitted on the basis of the IKI outline form exclusively via the online platform. The cut-off date is as follows: **12 May 2020**. Only project outlines that are received via the online platform by the deadline of 12 midnight (Central European Summer Time (CEST)) will be considered in this selection procedure. Project outlines that are not received via online platform will not be considered for the subsequent selection procedure. All project outlines submitted via the online platform by the deadline will be reviewed.

In the second stage of the procedure, all implementing organisations of promising project outlines will be informed of the result of the assessment in writing and invited to submit a full project proposal. The relevant provisions and templates – including the requirements on monitoring and safeguards – will be provided in writing after the first stage of the procedure has been completed.

## **9. Assessment and decision-making procedures**

The project outlines and project proposals are evaluated by ZUG based on the listed selection criteria and, if necessary, with the assessment of relevant experts. The selection of the most promising project outlines is made by the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) based on budget availability.

The project can be expected to start from the first quarter of 2021 onwards.

## Annex I: Assessment criteria

### I Criteria for exclusion

- *Suitability of the implementing organisation:*
  - No verifiable experience in international cooperation relating to climate and/or biodiversity protection for a minimum of three years
  - Planned average BMU funding amount is over 50% of the average annual revenue of the last two financial years
- *Formal suitability of the project concept:*
  - The outline has not been submitted via the online platform by the deadline
  - An application has been made for institutional funding instead of project funding
  - The measures focus exclusively on Germany
  - These are purely investment measures
  - The project has already been started
  - The project could be implemented to a significant extent using the implementing organisation's own resources
  - The project is planned in countries that are not eligible for ODA
  - The project is planned in more than two countries
  - The project is planned without the involvement of local implementation partners
  - The project is to be invoiced on a cost basis
  - Amount of funding too high or too low
  - Funding period more than three years/less than two years
  - Total Funding of the project has not been secured
  - Missing application of the monitoring system (output, outcome, impact)
- *Suitability of the content of the project concept:*
  - No consistency with the objectives, funding approaches and priority themes of the programme
- *Suitability of the quality of the project concept:*
  - The quality and feasibility of the project proposal with regard to the preparation of the detailed plan is not convincingly demonstrated

### II Selection criteria for a coherent and convincing project

- *Suitability of the implementing organisation:*
  - Verifiable experience in international cooperation relating to climate and/or biodiversity protection for a minimum of three years
  - Planned average BMU funding amount is at a maximum of 50% of the average annual revenue of the last two financial years
- *Formal suitability of the project concept:*
  - The outline has been submitted via the online platform by the deadline
  - An application has been made for project funding
  - The measures focus on ODA eligible countries
  - These are not purely investment measures

- The project has not been started yet
  - The project could not be implemented to a significant extent using the implantation organisation's own resources
  - The project is planned in a max. of two countries
  - The project is planned with the involvement of local implementation partners
  - The project is to be invoiced based on expenditure
  - Funding amount complied with
  - Funding period complied with
  - Total Funding has been secured
  - application of the monitoring system (output, outcome, impact)
- *Suitability of the content of the project concept:*
    - The project expresses a clear vision for transformation
    - The project concept can be clearly matched to one or more thematic priority areas and pursues one or more of the funding approaches of the kind and manner described
    - The project has ambitious objectives and is designed to produce measurable results
    - The project pursues a new solution approach or offers a new solution for a country or a target region and measures for an exchange of experience between the north and south (if funding approach I is chosen)
    - The project can make a specific, visible and relevant contribution for the target group to solve ongoing challenges for international climate and biodiversity protection (if funding approaches II and III are chosen)
    - Thanks to the project, it appears possible to achieve an improvement over a business-as-usual scenario through greater ambition, lasting system changes and/or lasting behavioural changes by decision-makers and/or a significant number of individuals or institutions can be initiated or steps in the direction of lasting climate-friendly development can be started
    - The project provides synergies to other projects implemented on site
    - The project strengthens vulnerable population groups and promotes equal opportunities between men and women
    - The project operates on a carbon-neutral basis
    - The project provides a response in respect of how the project results can be maintained even after the end of the funding
    - The distribution of tasks and roles between the implementing organisation and its partners are coherent
    - The implementing organisations' own financial contribution and services and the total additional funding (co-financing) are appropriate
  - *Suitability of the quality of the project concept:*
    - A convincing case has been made regarding the quality and feasibility of the project proposal in respect of the elaboration of the detailed plan