International Climate Initiative 2024

**Preparation phase proposal**

to the

Selection.

[Project title]

submitted by

[Submitter]

Please enclose the following attachments:

|  |
| --- |
|[ ]  Annex 1: Gantt chart on the project schedule*(stating dates of activities, field visits, meetings, milestones (e.g. workshops) and deliverables, and to be submitted to IKI Office at Zukunft – Umwelt – Gesellschaft (ZUG) gGmbH (the project executing agency for the funding programme IKI) in a detailed version not less than 3 weeks before the start of the first country mission. The Gantt chart template for the project proposal (implementation phase) may be used but is not obligatory.)* |
|[ ]  Annex 2: Project description *(to be forwarded by* Selection.*to the political partner institution(s); please use the template ‘Project description’)* |
|[ ]  Annex 3: Expenditure and financing  |

*The content of the form has been revised with significant alterations compared to previous versions.* ***The explanations in grey writing should therefore be carefully read and followed****. Please delete the explanations in italic font after filling in the form. The documents are to be submitted electronically (as Word or Excel compatible files and PDF document) to* iki-office@z-u-g.org*, quoting the project number in the subject line of the Email.*

|  |  |
| --- | --- |
| Place, Date: |  |
| Implementing organisation: |  |
| Authorised signatory: |  |
|  |
| Name and position in block letters |

**Table of content**

[1 General project information 3](#_Toc171502931)

[1.1 Project 3](#_Toc171502932)

[1.2 Submitter (Consortium lead) 4](#_Toc171502933)

[1.3 Implementing partners and contractors 5](#_Toc171502934)

[1.4 Political partner institution(s) 6](#_Toc171502935)

[1.5 Deliverables of the preparation phase 7](#_Toc171502936)

[2 Project classification 7](#_Toc171502937)

[2.1 OECD Policy Markers (incl. Rio Markers) 7](#_Toc171502938)

[2.2 CRS Purpose Codes 8](#_Toc171502939)

[2.3 Contributions to Team Europe Initiatives 9](#_Toc171502940)

[3 Detailed concept for the preparation phase 9](#_Toc171502941)

[3.1 Project context and rationale of project intervention 9](#_Toc171502942)

[3.2 Current state of project development 10](#_Toc171502943)

[3.2.1 Activities conducted to date 10](#_Toc171502944)

[3.2.2 Links with other projects 10](#_Toc171502945)

[3.3 Description of the preparation phase 10](#_Toc171502946)

[3.3.1 Objective and target groups of the preparation phase 10](#_Toc171502947)

[3.3.2 Expected results and activities 10](#_Toc171502948)

[3.3.3 Methodological approach and tools employed 12](#_Toc171502949)

[3.3.4 Staff 12](#_Toc171502950)

[4. Further information on non-eligible criteria 12](#_Toc171502951)

# General project information

## Project

|  |  |
| --- | --- |
| Project number |       |
| Project title |       |
| Partner country/countries of implementation  |       |
| Duration of preparation phase | [TT.MM.JJJJ - TT.MM.JJJJ] |
| Duration of implementation phase | [TT.MM.JJJJ - TT.MM.JJJJ] |
| Structured short description | Summary of general project (not country-specific) context to raise public awareness of aims and measures as well as multiplier effect formulated using comprehensible, active language to ensure that lay people can also understand the description. Please avoid using too many foreign words, long sentences and lists such as i) ii) and iii). The project title and name of the implementing organisations should not appear in the short description. These will be visible in the project information boxes on the IKI website directly beside the summarised short description of the project. [Identical to the section on the ‘short description’, found in the attachment ‘**Project description**’, found in Annex 2 which has to be sent prior to the submission of the full preparation phase proposal to the IKI Office at ZUG] |

This table is an integrated excel-object – Double click to enter funding information.



## Submitter (Consortium lead)

|  |  |
| --- | --- |
| Name of lead institution |       |
| Acronym and/or otherwise used name (if applicable) |       |
| Department |       |
| Street, No. |       |
| Postal Code, Town/City |       |
| Country |       |
| Contact person for project |       |
| Telephone (of the above mentioned contact person) |       |
| Email (of the above mentioned contact person) |       |
| Website |       |
| Institution | [Type of university/research institute, NGO, private company, finance institution, international/multilateral institution, federal implementing organisation] |
| Legal structure |       |
| Legal non-profit status | [ ]  yes [ ]  no |
|  |  |
| Total staff [no.]*(must be identical with the number in Annex 3)* |       |
| Staff for the project [no.] |       |
| Year established |       |
| Turnover [EUR/year] |       |

|  |  |
| --- | --- |
| Registration number |       |
| Name of register (e. g. Trade register) |       |
| Country of registration |       |
| Date of registration |       |
| VAT number |       |
| Legal Representative of the organisation |       |
|  |  |
| Considered as local content according to IKI local content regulation | [ ]  yes [ ]  no |

|  |  |
| --- | --- |
| Experience in the target region [years] |       |
| Experience in activities relevant to the project [years] |       |
| Role/function in the preparation phase |  |

## Implementing partners and contractors[[1]](#footnote-2)

Please state here only partners of the consortium that are participating in the preparation phase. Please be aware that governments (such as Ministries, the Presidential office of a country, and similar) cannot be funded and therefore, cannot be categorized as implementing partners.

In case an implementing partner is chosen, it is the responsibility of the consortium lead to ensure that the implementing partner complies with IKI regulations and signs a sub grant agreement (IKI form required) with the consortium lead. For each implementing partner, a separate budget must be submitted with the preparation phase proposal.

|  |
| --- |
| Implementing partner/ Contractor 1[ ]  Implementing partner [ ]  Contractor |
| Name |       |
| Government owned entity | [ ]  yes [ ]  no |
| website |  |
| Considered as local content according to IKI local content regulation | [ ]  yes [ ]  no |
| Capabilities and experiences relevant to the project |       |
| Role/function in the preparation phase |       |
| Duration of involvement | [TT.MM.JJJJ - TT.MM.JJJJ] |
| Total expenditures | EUR |

|  |
| --- |
| Implementing partner/ Contractor 2[ ]  Implementing partner [ ]  Contractor |
| Name |       |
| Government owned entity | [ ]  yes [ ]  no |
| website |  |
| Considered as local content according to IKI local content regulation | [ ]  yes [ ]  no |
| Capabilities and experiences relevant to the project |       |
| Role/function in the preparation phase |       |
| Duration of involvement | [TT.MM.JJJJ - TT.MM.JJJJ] |
| Total expenditures | EUR |

|  |
| --- |
| Implementing partner/ Contractor 3[ ]  Implementing partner [ ]  Contractor |
| Name |       |
| Government owned entity | [ ]  yes [ ]  no |
| website |  |
| Considered as local content according to IKI local content regulation | [ ]  yes [ ]  no |
| Capabilities and experiences relevant to the project |       |
| Role/function in the preparation phase |       |
| Duration of involvement | [TT.MM.JJJJ - TT.MM.JJJJ] |
| Total expenditures | EUR |

## Political partner institution(s)

Please state here - for each partner country in which the preparation phase will take place - the technically responsible governmental partner institution with a contact person that you have informed about the activities and scope of the mission.

Please note: Once your preparation phase proposal has been approved, the political partner institution of each partner country in which the preparation phase will take place about the upcoming mission will be informed. No later than five months after the start of the preparation phase, you are requested to submit a joint Memorandum of Understanding for each partner country of implementation. It needs to be signed by the political partner institution(s) and the consortium lead, clearly stating the interest to jointly implement the proposed project. A signed Letter of Interest by the political partner is also accepted.

|  |
| --- |
| Political partner institution 1 |
| Institution |       |
| Role in the project |       |
| Carrying out project activities? | [ ]  yes [ ]  no |

|  |
| --- |
| Political partner institution 2 |
| Institution |       |
| Role in the project |       |
| Carrying out project activities? | [ ]  yes [ ]  no |

|  |
| --- |
| Political partner institution 3 |
| Institution |       |
| Role in the project |       |
| Carrying out project activities? | [ ]  yes [ ]  no |

## Deliverables of the preparation phase

[ ]  Signed Memoranda of Understanding / Letters of Interest/Intent (MoUs/LoI) with political partners (to be submitted no later than five months after the start of the preparation phase)

[ ]  Project proposal (to be submitted no later than five months after the start of the preparation phase)

# Project classification

## OECD Policy Markers (incl. Rio Markers)

Please indicate applicable Rio markers and policy objectives for your project concept at the current stage based on the following scores:

(0) not targeted,

(1) a significant objective or

(2) a principal objective of the action

As such, please be aware that the Rio markers and policy objectives do not need to describe the activities of the project preparation phase but instead should describe the overall project concept that is to be refined in the preparation phase. For policy objectives that receive a score of 1 or 2 please use the column ‘Justification’ to briefly describe the ways in which the project contributes to these objectives (incl. references to specific work packages, indicators, and relevant outputs or the outcome).

The ‘[**Guidelines on project planning and monitoring**](https://www.international-climate-initiative.com/PUBLICATION1898-1)**’** include further information on the OECD-DAC Policy and Rio markers.

|  |  |  |
| --- | --- | --- |
| **Marker** | **Score** | **Justification** |
| Rio Marker  | Please note that IKI Projects must be fully credited as climate finance. The sum for Climate Change mitigation and/or adaptation must be 2: e.g. 2:0, 1:1 or 0:2 |
| Climate change mitigation  | Please select |  |
| Climate change adaptation  | Please select |  |
| Biodiversity | Please select |  |
| Desertification  | Please select |  |
| Policy Marker |  |  |
| Gender equality  | Please select |  |
| Democratic and Inclusive Governance | Please select |  |
| Aid to environment  | Please select |  |
| Disaster Risk Reduction  | Please select |  |
| Disability  | Please select |  |
| Nutrition  | Please select |  |
| RMNCH[[2]](#footnote-3) | Please select |  |
| Trade development | Please select |  |

## CRS Purpose Codes

Please choose CRS Purpose Codes that best correspond with the sectors within which the project seeks to promote changes. Please note that the sectors do not refer to the type of goods or services produced by the project. Instead please choose those sectors in which these goods and services contribute to changes. In addition to selecting the sectors, please indicate an estimated proportion of project funds that can be allocated to each CRS Purpose Code. If the project works towards improvements in one sector, please select the corresponding CRS Purpose Code and allocate 100 % of project funds to this code. If the project works in multiple sectors, please choose up to four applicable CRS Purpose Codes and indicate the proportion of funds in full percentage points. Please note that the sum should always amount to 100 %. Please first select the primary CRS Purpose Code that accounts for the largest share of project funds, then list other applicable purpose codes in descending order of percentage.

The ‘Guidelines on project planning and monitoring’ include further information on the OECD-DAC CRS Purpose Codes. A comprehensive list of all codes and respective explanations can be found [here](https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/dacandcrscodelists.htm).

|  |  |  |  |
| --- | --- | --- | --- |
| **Order of appearance** | **CRS Purpose Code**  | **Applicable share of project funds** (in percentage without decimals) | **Justification**  |
| **Primary Code**(mandatory) | *Please select* |  | Please briefly outline your reasoning for the selected CRS Purpose Code. |
| **Second Code**(if applicable) | *Please select* |  | Please briefly outline your reasoning for the selected CRS Purpose Code. |
| **Third Code**(if applicable) | *Please select* |  | Please briefly outline your reasoning for the selected CRS Purpose Code. |
| **Fourth Code**(if applicable) | *Please select* |  | Please briefly outline your reasoning for the selected CRS Purpose Code. |

## Contributions to Team Europe Initiatives

Please indicate whether the project will significantly contribute to an existing Team Europe Initiative (TEI). To this end, review existing TEIs for the countries or regions you work in, in accordance with guidance provided in the ‘Guidelines on project planning and monitoring’ and select the applicable TEI Code. The following points should be observed in the selection:

* *To determine whether or not the project contributes to a TEI, screen the list of TEIs provided in the* [*IKI TEI Codes Tool*](https://www.international-climate-initiative.com/PAGE493-1) *and review the information provided on these initiatives on the Team Europe Website. Links are included in the tool, as well as detailed instructions on the screening process.*
* A project can only have one TEI Code
* Bilateral projects: first screen TEIs for the respective partner country of implementation. If no applicable code exists, please review regional and subsequently global TEIs that geographically fit with the country of implementation. If the project does not contribute significantly to any of these TEIs, please select “Not applicable”.
* Projects with two or three countries of implementation: first screen regional / global TEIs. If not relevant review bilateral TEIs for the countries of implementation. If the project contributes to one of these TEIs significantly, the respective code should be selected. If the project does not contribute significantly to any of these TEIs, please select “Not applicable”.
* Projects with four or more countries of implementation: first screen regional / global TEIs. If not applicable, screen bilateral TEIs for the countries of implementation. If the project contributes significantly to one or more of these bilateral TEIs, please select the general TEI Code “TEI000”. If the project does not contribute significantly to any of these TEIs, please select “Not applicable”.

|  |  |  |
| --- | --- | --- |
| **TEI Code:** | *Please select* | Please briefly outline your reasoning for the selected TEI Code |

# Detailed concept for the preparation phase

Please do not change the format of the document (Font Arial, Font size 10) and keep the preparation phase proposal as short and clear as possible. The explanations in grey writing should be carefully read and followed. Please delete the explanations in grey font after filling in the form.

## Project context and rationale of project intervention

Please provide, for each partner country of implementation, project-related background information on the current state of

* the relevant institutional and policy framework (including relevant national and subnational strategies),
* socio-economic and bio-physical background,
* relevant scientific research and experience of other in-country projects, and
* identified gaps and needs for the project intervention.

## Current state of project development

### Activities conducted to date

Please provide a brief description of previous activities and planning steps conducted in preparation of the project proposal.

### Links with other projects

Please list and describe other projects as well as global, regional, and national partnerships and collaborative mechanisms (e.g. the NDC Partnership or the NBSAP Accelerator Partnership) that have been identified as potentially relevant for the intended project intervention, including projects carried out by the consortium and IKI-projects listed in the request of application or discussed during the kick-off meeting. Describe how these projects, partnerships or collaborative mechanisms will be assessed during the preparation phase to harness synergies and avoid duplication of work. Please take care to avoid double funding related to your own consortium members and to other projects within the project region in general. Additional funding to fill gaps of implementation is welcome.

## Description of the preparation phase

### Objective and target groups of the preparation phase

Please describe the preparation phase’s objectives, as well as target groups throughout the preparation phase. The objectives need to reflect key questions the preparation phase aims to answer for preparing a meaningful project proposal and should be specified by indicators. Moreover, the proposal for the preparation phase should state the activities to be implemented **after submission** of the project proposal of the implementation phase of the project (see also section on work schedule below).

### Expected results and activities

Please describe the expected results and result-level indicators of the preparation phase that lead to the attainment of its objectives and specify corresponding main activities. In doing so, please be sure to equally describe the expected results and result-level indicators for activities targeted after submission of the project proposal. All activities should be budgeted accordingly in the expenditure and financing plan for the preparation phase.

Main activities of the first part of the preparation phase should comprise, among others, the following:

Project design

* Analysis and verification of the current baseline and rationale of the project intervention, and development of a clear project objective
* Depiction of the landscape of relevant actors and stakeholders
* Development and description of a project intervention logic which results in formulating a logical framework matrix
* Identification of baseline and target values for SMART[[3]](#footnote-4) indicators defined in the logical framework matrix
* Identification of assumptions underlying the logical framework
* Identification of potential project risks and risk management measures
* Environmental and social risk analysis in compliance with IKI Safeguards Policy, IKI Safeguards Standards (Environmental and Social Safeguards of the GCF, interim IFC Performance Standards) and stakeholder engagement requirements to assess environmental and social risks of planned project activities and develop appropriate safeguards measures. Results have to be reported in chapter 5 of the project proposal.
* Gender analysis in compliance with IKI gender strategy to identify potential unintended negative impacts of the project on women and marginalised groups and to outline approaches to promote gender justice in project planning and implementation.

Project management

* Elaboration of the project’s governance (steering structure, project management unit, implementation structure, exchange structure with consortium, etc.)
* Elaboration of Local Content Strategy of the project making sure that at least 50 % of the project budget in the partner countries/regions is implemented through local members of the consortium, contractors/subcontractors, and/or funding recipients)
* Elaboration of the staff concept
* Elaboration of the project’s tentative work schedule
* Develop concrete measures to ensure that during the project implementation, the project’s stakeholders - people of all ages and genders and marginalised groups (e.g. poor, indigenous, people with disabilities, youth, etc.), and including those of further partners – are aware of the IKI independent complaint mechanism and how to submit a complaint.[[4]](#footnote-5) (Examples for possible measures are: Information online, e.g. on the project website; posting on notice boards; inclusion in stakeholder meetings/workshops; inclusion in on-site project kick-off meetings, particularly with potential project-affected people; inclusion of obligation to disseminate information about IKI complaint mechanism in contracts with further implementing partners.)

Project environment

* Assurance and confirmation of political support and partner contributions from each partner country (preparation/conclusion of Memoranda of Understanding/ Letters of Intent (MoUs/ LoIs), implementation agreements, etc.)
* Consultation with other relevant projects (see above section ‘Links with other Projects’)

Please clearly point out the value to be added by the project in terms of generated synergies, knowledge transfer across countries and implementation partners (etc.) compared to a single-project approach across X number of countries.

Activities of the second part of the preparation phase (after submission of the project proposal) should comprise, among others, the following (Please note that as a rule these activities should lay the ground for the implementation of the submitted project proposal):

Project design

* Updating of all submitted project proposal documentation to meet the requirements of the IKI in alignment with the review process led by the ZUG
* Completion of baseline studies in case these where not completed upon submission of the project proposal.
* Additional specific environmental and social risk analysis and management plans (e.g. Environmental and Social Impact Assessment...), if necessary and identification feasible at this point (see IKI Safeguards Policy, chapter 4).

Project management and environment

* Workshops with consortium members, political partners and implementing partners (e.g. to deliberate on reporting obligations during project implementation, keep established networks with local and political partner institutions alive)
* Prepare all required formal steps for swift project implementation upon approval of the implementation phase (e.g. formal arrangements between national and subnational levels regarding in-kind contributions of partners, if required authorisations to implement project activities in selected regions, etc.)
* Exceptionally, trainings and capacity building workshops with **local** (less experienced) implementing partners and contractors to support future access to the IKI funding instruments as lead and/or implementing partner (IKI Readiness Support, enabling local content, improvement of organisational development levels).
* Develop TORs for contractors and annual operational plans for each partner country.

### Methodological approach and tools employed

Please provide information on the country mission’s methodological approach, if any. Please also briefly describe the tools or formats employed to achieve the envisioned results and to conduct the environmental and social risk analysis (e.g. social sciences methods, stakeholder analysis, stakeholder engagement formats, rural appraisal techniques, surveys to determine baseline indicator values, sampling techniques, etc.).

### Staff

Please provide a detailed overview of deployed consortium’s staff and external consultants and their roles and responsibilities within the preparation phase. Please state

* the titles and the description of positions (e.g. ‘Team leader and Natural Resource Economist’) to be filled to conduct the country mission in a cost efficient and effective manner, incl. the foreseen resources (Person-Months/Person-Days per position),
* the descriptions of the experts’ tasks relating to the objectives of the preparation phase.

# Further information on non-eligible criteria

Please confirm that you are not a terrorist organisation nor support such organisations directly or indirectly. You will comply with the requirement that the funding must not be used to finance terrorist activities.

[ ]  yes

[ ]  no

1. The difference between implementing partners and contractors is explained in the [**IKI Administrative Guidelines**](https://www.international-climate-initiative.com/en/find-funding/proposal-phase-for-iki-projects/). [↑](#footnote-ref-2)
2. RMNCH marker – Contributions to reproductive, maternal, newborn and child health [↑](#footnote-ref-3)
3. Please see for more information on the IKI project design the ‘Guidelines on project planning and monitoring in the International Climate Initiative (IKI)’ [↑](#footnote-ref-4)
4. More information see <https://www.international-climate-initiative.com/en/about-iki/values-responsibility/independent-complaint-mechanism/>, particularly the requirements for implementing organisations: <https://www.international-climate-initiative.com/fileadmin/iki/Dokumente/Beschwerdemechanismus/IKI_ICM_guidance_for_implementing_organisations_EN_202211.pdf> [↑](#footnote-ref-5)