International Climate Initiative 2025

**Project proposal**

to the

Selection.

[Project title]

submitted by

[Submitter]

Please enclose the following attachments:

|  |  |
| --- | --- |
|  | Annex 1: Gantt chart on the project schedule |
|  | Annex 2: Project description |
|  | Annex 3: Expenditure and financing |
|  | Annex 4: Political partner(s)/Implementing partner(s)/Contractor(s) |
|  | Annex 5: Organisation chart of the structural arrangement of the consortium |
|  | Annex 6: Confirmation cooperation agreement |
|  | Annex 7: Standard indicator report |
|  | Annex 8: Gender Annex |

To complete this form, please consult the ‘[**Guidelines on project planning and monitoring in the International Climate Initiative**](https://www.international-climate-initiative.com/PUBLICATION1898-1)’ (short title: ‘**Guidelines on project planning and monitoring**’). In particular, take note of the new requirements regarding the use of standard indicators as well as project-specific indicators.

The content of the project proposal 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. Please do not exceed **45** pages plus annexes. The documents are to be submitted electronically (as Word or Excel compatible files and PDF documents) to [iki-office@z-u-g.org](mailto: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 information 4](#_Toc181010205)

[1.1 Project 4](#_Toc181010206)

[1.2 Submitter (Consortium lead) 4](#_Toc181010207)

[1.3 Implementing partners and contractors 6](#_Toc181010208)

[1.4 Local action 7](#_Toc181010209)

[1.5 Consortium structure and governance 7](#_Toc181010210)

[1.6 Political partner institution(s) 7](#_Toc181010211)

[2 Project classification 8](#_Toc181010212)

[2.1 OECD Policy Markers (incl. Rio Markers) 8](#_Toc181010213)

[2.2 CRS Purpose Codes 9](#_Toc181010214)

[2.3 Contributions to Team Europe Initiatives 9](#_Toc181010215)

[2.4 Sustainable Development Goals (SDGs) 10](#_Toc181010216)

[2.5 Further information on the classification 11](#_Toc181010217)

[2.6 Global Biodiversity Framework – 2030 Action Targets 11](#_Toc181010218)

[2.7 Carbon Credits 11](#_Toc181010219)

[3 Project concept 12](#_Toc181010220)

[3.1 Project context and challenges 12](#_Toc181010221)

[3.1.1 Project context in the partner country/-ies or partner region/s 12](#_Toc181010222)

[3.1.2 Project integration into strategies of the partner country/-ies or partner region/s 12](#_Toc181010223)

[3.2 Project objectives and results 13](#_Toc181010224)

[3.2.1 Target groups 13](#_Toc181010225)

[3.2.2 Results logic 13](#_Toc181010226)

[3.2.3 Results framework 14](#_Toc181010227)

[3.2.4 Outcomes (overarching project goals) including indicators 15](#_Toc181010228)

[Indicators for outcome I: 15](#_Toc181010229)

[3.2.5 Outputs (specific project goals) including indicators and work packages (activities) 15](#_Toc181010230)

[Output I: 15](#_Toc181010231)

[Output II: 16](#_Toc181010232)

[3.2.6 Standard Indicators for the aggregation of results 17](#_Toc181010233)

[3.2.7 Technical, political and economic risks 18](#_Toc181010234)

[3.2.8 Grievances and complaints 18](#_Toc181010235)

[3.3 Additional characteristics of the project 19](#_Toc181010236)

[3.3.1 Innovation character 19](#_Toc181010237)

[3.3.2 Ambition and transformative character 19](#_Toc181010238)

[3.3.3 Gender responsive project implementation and management 19](#_Toc181010239)

[3.3.4 Securing sustainability and multiplier effect after termination of funding 19](#_Toc181010240)

[3.3.5 Synergies with and links to other relevant projects and sectors (of German and international cooperation) 19](#_Toc181010241)

[3.3.6 Visibility of the project 20](#_Toc181010242)

[3.3.7 Knowledge management 20](#_Toc181010243)

[3.3.8 Co-Benefits (Contributions to economic, social, environmental development as well as the development of good governance) 20](#_Toc181010244)

[3.3.9 IKI Exclusion Criteria 20](#_Toc181010245)

[4 Further relevant information 21](#_Toc181010246)

[4.1 Notes on own funds, external funding, third-party grants 21](#_Toc181010247)

[4.2 Further aspects relevant to funding 21](#_Toc181010248)

[4.3 Exclusion of further non-eligible criteria 21](#_Toc181010249)

[5 Environmental and social safeguards 21](#_Toc181010250)

[5.1 Environmental and social risk category 21](#_Toc181010251)

[5.2 Stakeholder Engagement 22](#_Toc181010252)

[5.3 Environmental and social risk analysis and safeguards measures 23](#_Toc181010253)

# General information

## Project

|  |  |
| --- | --- |
| Project number |  |
| Project title |  |
| Partner Country/countries of implementation |  |
| Duration of preparation phase (if applicable) | [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.  Only to be filled, when already sent Text had to be altered [field is Identical to the section ‘Summary / short description of project’ in the project description, found in Annex 2 which is sent prior to the submission of the full project proposal to 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) |  |
| Please fill in new or updated data if information have changed compared to previous proposal versions (preparation phase proposal, project proposal, amendment request). | |
| 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.] |  |
| Staff for the project [no.]  *(must be identical with the number in Annex 3)* |  |
| 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 action according to IKI local action regulation | yes  no |
| Experience in the target region  [years] |  |
| Experience in activities relevant to the project [years] |  |
| Role/function in the project |  |

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

Please list the organisations, political partner institutions or companies that will contribute directly to attaining the project’s outcome and outputs (overarching and specific goals). 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 project proposal (political partner institutions are not eligible for direct IKI funding).

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

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

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

## Local action

*Please describe how the project intends to ensure that at least 50 per cent of the project budget is implemented in the partner countries/regions through local members of the consortium, contractors/subcontractors, and/or funding recipients.*

*Please make it traceable how the composition of the total local budget is made up. Please provide detailed information on the legal registration, organisational structure and decision-making power of the local organisations in Annex 4.*

## Consortium structure and governance

Please describe the organisational structure and governance of the consortium: steering, cooperation and communication mechanisms between consortium lead and implementing partners and/or contractors respectively.

Please provide an organisation chart of the consortium’s structural arrangements (Annex 5) and attach the Cooperation Agreement signed by all members of the consortium (Annex 6).

## Political partner institution(s)[[2]](#footnote-2)

Please state the political partner or project-executing institution that ensures the project is anchored in the partner country of implementation or in the target region (usually one partner per implementing partner country/target region). The partner institution and its role in the project must be named. Please select, if the political partner contributes directly to the achievement of goals (by carrying out project activities). If the political partners shall receive funding as well, the partner is also to be listed as an implementing partner under 1.3. 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.

|  |  |
| --- | --- |
| 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 |

Please describe the cooperation and communication mechanisms between consortium and political partner institution(s).

# Project classification

## OECD Policy Markers (incl. Rio Markers)

Please score the Rio markers and Policy objectives based on the following scores:

1. not targeted,
2. a significant objective or
3. a principal objective of the action

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’ 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[[3]](#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 partner 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 |

## Sustainable Development Goals (SDGs)

Please select all SDGs to which the project seeks to contribute through distinct activities, outputs or the outcome. Click [here](https://sdgs.un.org/goals) for further information on the SDGs:

|  |  |
| --- | --- |
| **SDG 1** | End Poverty in all its forms everywhere |
| **SDG 2** | End hunger, achieve food security and improved nutrition and promote sustainable agriculture |
| **SDG 3** | Ensure healthy lives and promote well-being for all at all ages |
| **SDG 4** | Ensure inclusive and equitable quality education and promote lifelong learning  opportunities for all |
| **SDG 5** | Achieve gender equality and empower all women and girls |
| **SDG 6** | Ensure availability and sustainable management of water and sanitation for all |
| **SDG 7** | Ensure access to affordable, reliable, sustainable and modern energy for all |
| **SDG 8** | Promote sustained, inclusive and sustainable economic growth, full and productive  employment and decent work for all |
| **SDG 9** | Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation |
| **SDG 10** | Reduce inequality within and among countries |
| **SDG 11** | Make cities and human settlements inclusive, safe, resilient and sustainable |
| **SDG 12** | Ensure sustainable consumption and production patterns |
| **SDG 13** | Take urgent action to combat climate change and its impacts\* |
| **SDG 14** | Conserve and sustainably use the oceans, seas and marine resources for sustainable development |
| **SDG 15** | Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss |
| **SDG 16** | Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels |
| **SDG 17** | Strengthen the means of implementation and revitalize the global partnership for sustainable development |

## Further information on the classification

If applicable, please state here in which group(s) of ecosystems the project is mainly active (multiple answers possible).

Fresh water, wetlands, rivers and lakes

Forest and forestry

Grassland, savannahs and deserts

Oceans and coasts

Mountains

Agricultural land (cropland)

Other:

## Global Biodiversity Framework – 2030 Action Targets

If applicable, please state here to which action targets the project seeks to contribute (multiple answers possible). Click [here](https://www.cbd.int/article/cop15-final-text-kunming-montreal-gbf-221222) for further information on the Global Biodiversity Framework

1 Spatial planning & reducing losses

2 Restoration of ecosystems

3 Conservation and protection of ecosystems

4 Conservation of species

5 Harvest, trade and use of species

6 Invasive alien species

7 Pollution

8 Biodiversity and climate change

9 Sustainable use of wild species

10 Sustainable management of areas & productive systems

11 Ecosystem functions and services

12 Green and blue spaces in urban areas

13 Access and benefit sharing

14 Mainstreaming biodiversity across sectors

15 Business and biodiversity

16 Sustainable consumption

17 Biosafety

18 Subsidies and incentives

19 Financial resources for biodiversity

20 Capacity-building and development

21 Information and knowledge

22 Participation of IPLCs

23 Gender equality

## Carbon Credits[[4]](#footnote-4)

IKI funds can be used to promote quality and transparency in the carbon market and to attract private capital for scaling up IKI projects. However, the use of carbon markets as a source of financing in IKI projects must occur within certain limits and guidelines. Click [here](https://www.international-climate-initiative.com/en/about-iki/values-responsibility/handling-of-mitigation-credits-in-the-iki/) for further information on the handling of carbon credits in the IKI.

1) IKI-funding is used directly for greenhouse gas mitigation and/or carbon sinks, which will contribute to generating emission allowances, emission credits, or any other type of CO2 compensation certificates. Please state for which market:

International Compliance Market (e.g. UNFCCC, CORSIA)

National or subnational Compliance Market (e.g. ETS)

Voluntary Carbon Market

No generation of carbon credits

If so, please state how the project will contribute to the generation of carbon credits?

Start-up financing (which leads to emission reductions)

Certification

Other (please describe)

If so, the certificates generated by the project will

Permanently be cancelled in an approved register in favour of the IKI (“cancelling”).

Remain in the partner country and will be counted towards the host-country NDC (“non-authorised Article 6.4” mitigation units) and thus contribute to the NDC implementation of the partner country. This requires activity-based agreements with the partner country.

Voluntary Carbon Market

In case carbon credits are generated within or after the funding period, please name the respective carbon mechanism or the emission trading system, as well as the name of the carbon credit and the register in which its cancellation is listed.

*2) IKI-funding is used for conceptual preparations for mitigation activities under Article 6 of the Paris Agreement (methodology development, project design, feasibility studies). However, the technical implementation (i.e. after financial close) is implemented through other funding sources and not through IKI funds.*

Yes  No

If so, please describe how the project will ensure that the IKI-funding and the technical implementation of mitigation activities (i.e. after financial close), including generation of carbon credits, will be separated, to ensure a clear separation between ODA-eligible climate finance funds and the carbon market.

# Project concept

*Please follow the instructions provided in the ‘*Guidelines on project planning and monitoring*’ – especially regarding the design of project-specific indicators and the use of standard indicators. Make sure this section is consistent with the ‘Gantt chart’ (Annex 1) on the project schedule.*

## Project context and challenges

If, in regional/global projects, several countries are involved, please describe briefly the situation for each partner country individually in the subsequent categories under 3.1.1 and 3.1.2.

### Project context in the partner country/-ies or partner region/s

Please describe the framework conditions and eventual barriers to achieve the project goal and intended project impacts. Please describe challenges within the political, economic, social and cultural framework including stakeholders and gender aspects. In doing so, please be as specific as possible. The specific requirements and/or capacity gaps of the target groups (global as well as country specific) should be accurately described.

**The length should not exceed 1,000 characters per country or region.**

### Project integration into strategies of the partner country/-ies or partner region/s

Please state the political and legal framework of the respective partner country’s needs. Explain how the project fits into the frameworks and, if applicable, how it supports the frameworks. The connection of the planned project activities to the policy goals, strategies, plans and projects in the respective partner country as well as to international processes (e.g. within the framework of the UNFCCC/CBD) should be presented. Please also describe past and on-going activities addressing the same and related topics. In particular, please describe if and how the project links up to e.g. the Nationally Determined Contribution (NDC), National Biodiversity Strategy and Action Plan (NBSAP) or National Adaptation Plan (NAP) of the partner country/-ies or region/s and how it effectively supports their implementation, development or update.

Please be as specific as possible (Guiding questions: Which part and/or sector of the NDC does the project address? How does the project contribute to the achievement of the NDC/ NBSAP/ NAP goals? Does the project contribute to any institutional/legal/policy changes directly relevant for NDC/ NBSAP/ NAP implementation? How does the project contribute to raise the ambition of the NDC/ NBSAP/ NAP? Which legislative process in the partner country does the project support - e.g. a new climate law, an energy efficiency directive, a bio corridor bill?).

**The length of this section should not exceed 1,000 characters per country or region.**

## Project objectives and results

If, in regional/global projects, several countries are involved, please choose an adequate form of presentation, which enables to differentiate between countries.

### Target groups

Please list here persons, societal groups or institutional units that the project seeks to work with and wants to provide services for. Describe very briefly what characterises the target groups, how they will work with and be supported by the project as well as their role in the project (incl. project planning phase). In doing so, please provide a differentiated description according to different genders and other societal dimensions such as socio-economic status, education level, age, ability, ethnicity.

**The length of this section should not exceed 2,500 characters.**

### Results logic

Please use this section to explain the project’s impacts, outcomes and outputs and present the reasoning and assumptions regarding how the project will work. In other words, please explain what the project seeks to achieve, how and why it is assumed that these achievements can be reached, and under what conditions. In doing so, please explicitly state the inherent assumptions and hypotheses on the ways in which the project’s outputs contribute to the outcome(s) and how the outcome(s) should contribute to intended impacts.

Please focus the description on the hypotheses and assumptions regarding the link between outputs and the outcome. The description should make clear why respective outputs are relevant to achieve the intended outcome(s) and how the outputs are linked and complement each other to reach the outcome objective. The section should also be used to transparently describe assumptions regarding the expected use of outputs by partners and/ or target groups as well as any other assumptions regarding the link between outputs and the outcome (such as potential barriers). These assumptions should be realistic.

In case the project has a graphic visualisation of the results logic, please submit the visualisation as an annex to the project proposal and make reference to this annex here.

**The length of this section should not exceed 4,000 - characters.**

Link to results framework (section below):The results logic described above and the respective monitoring system may be complex than what is indicated in the results framework below (e.g. projects might use additional outcomes or monitor context factors that they use for internal project steering or monitor context factors). The description of the results logic here must be supplemented by the results framework below, which serves as a synthesised version of this results logic and creates the basis for reporting on results (e.g. outcomes, outputs, associated indicators) towards the IKI.

This results chain should be supplemented by the graphic below, which serves as its summary.

### Results framework

Note! Please use the table to present the central impacts, outcomes and outputs of your project and related indicators. Please delete or add columns/cells to match the results framework laid down in the project proposal. Please do not add activities and milestones in the table. All text in grey should be deleted when completing this form.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Impact(s)**  Wording impact (according to 3.2.2) | | | | | | | |
|  | | | | | | | |
| **Outcome Level:** *Please list 1 to 4 central outcome(s) and related indicators and delete empty columns if applicable. Outcomes are “the positive changes in terms of new or improved policies, plans and practices implemented by target groups that the IKI project contributes to against the backdrop of longer-term, higher level impacts. Outcomes generally are not changes that can be achieved by the IKI project alone but changes that the IKI project seeks to influence to a substantial extent.” Examples include behavioural changes within your target groups, changes in the regulatory environment, changes in physical environment (e.g. ecosystems) or changes in infrastructure. The project can influence these changes but cannot fully control them.* | | | | | | | |
| **Outcome I**  Wording outcome (according to 3.2.4) | | **Outcome II**  Wording outcome (according to 3.2.4) | | **Outcome III**  Wording outcome (according to 3.2.4) | | **Outcome IV**  Wording outcome (according to 3.2.4) | |
| Ind. 0.I.1: Wording of outcome indicator | | Ind. 0.II.1: Wording of outcome indicator | | Ind. 0.III.1: Wording of outcome indicator | | Ind. 0.IV.1: Wording of outcome indicator | |
| Ind. 0.I.2: Wording of outcome indicator | | Ind. 0.II.2: Wording of outcome indicator | | Ind. 0.III.2: Wording of outcome indicator | | Ind. 0.IV.2: Wording of outcome indicator | |
| Ind. 0.I.3: Wording of outcome indicator | | Ind. 0.II.3: Wording of outcome indicator | | Ind. 0.III.3: Wording of outcome indicator | | Ind. 0.IV.3: Wording of outcome indicator | |
|  | | | | | | | |
| **Output Level:** *Please list 2 to 5 outputs and related indicators below and delete empty columns if applicable. Outputs are defined as “Products and services developed and delivered by IKI projects that are in line with partners’ and target groups’ needs. Projects are responsible for delivering on outputs, which in turn are expected to make a verifiable contribution to the outcome.” Examples are capacity development measures provided, pilot measures implemented by the project, policy advice provided.* | | | | | | | |
| **Output I: topic**  Wording output | **Output II: topic**  Wording output | | **Output III: topic**  Wording output | | **Output IV: topic**  Wording output | | **Output V: topic**  Wording output |
| Ind. I.1: Wording of output indicator | Ind. II.1: Wording of output indicator | | Ind. III.1: Wording of output indicator | | Ind. IV.1: Wording of output indicator | | Ind. V.1: Wording of output indicator |
| Ind. I.2: Wording of output indicator | Ind. II.2: Wording of output indicator | | Ind. III.2: Wording of output indicator | | Ind. IV.2: Wording of output indicator | | Ind. V.2: Wording of output indicator |
| Ind. I.3: Wording of output indicator | Ind. II.3: Wording of output indicator | | Ind. III.3: Wording of output indicator | | Ind. IV.3: Wording of output indicator | | Ind. V.3: Wording of output indicator |
|  | | | | | | | |
| **Safeguards indicator(s)** (if environmental and social risk category A or B): Wording of Safeguards-related indicator(s)  Environmental or social risk to be monitored and work packages, where risk occurs: | | | | | | | |

### Outcomes (overarching project goals) including indicators

Please name the central outcome(s) here. Outcomes are “the positive changes in terms of new or improved policies, plans and practices implemented by target groups that the IKI project contributes to against the backdrop of longer-term, higher level impacts. Outcomes generally are not changes that can be achieved by the IKI project alone but changes that the IKI project seeks to influence to a substantial extent.”

At least two project-specific indicators must be defined per outcome. Together the indicators should adequately measure progress towards the respective outcome.

Please ensure the following when specifying indicators in this section and section 3.2.5 (see also ‚Guidelines on project planning and monitoring‘):

* Indicators in section 3.2.4 and 3.2.5 should be suitable to measure the respective objective and thereby relevant for measuring progress of the project. They need to be clearly defined and unambiguous. They need to be of high quality (i.e. fulfil quality criteria such as SMART, CREAM, SPICDED or equivalent)
* Indicators in section 3.2.4 and 3.2.5 should be formulated in neutral terms: e.g. “Number of measures implemented”, “Number of farmers using adapted agricultural methods (disaggregated by gender)”
* All headcount indicators in section 3.2.4 and 3.2.5 should be disaggregated by gender.

**Outcome I:**

#### Indicators for outcome I:

|  |  |  |
| --- | --- | --- |
| Outcome indicator 0.1: | | |
| Unit | Baseline (start of project) | Target value (end of project) |
| Means of verification and a description of the procedure (data sources, data collection, measurement methods etc. :) | | |

|  |  |  |
| --- | --- | --- |
| Outcome indicator 0.2: | | |
| Unit | Baseline (start of project) | Target value (end of project) |
| Means of verification: | | |

Additional outcomes and outcome indicators may be added by copying the section above.

### Outputs (specific project goals) including indicators and work packages (activities)

Please describe the outputs in the text below, ordered either chronologically, or in a logical sequence. Outputs are “products and services developed and delivered by IKI projects that are in line with partners’ and target groups’ needs. Projects are responsible for delivering on outputs, which in turn are expected to make a verifiable contribution to the outcome.”

The delivery of each output must be monitored by at least two indicators. Where relevant for project success and results-based steering, projects are strongly encouraged to include indicators that monitor the satisfaction with, uptake or perceived relevance of the outputs by their intended users.

If the project falls under the safeguards risk category A or B, please formulate at least one safeguards indicator to monitor potential negative impacts of project activities (see IKI Safeguards Policy, chapter 3 and 4). The safeguards indicator has to address the most serious environmental or social risk identified in the safeguards risk assessment and should be able to measure whether anticipated negative effects occurred or whether implemented safeguards measures had positive effects.

#### Output I:

**Indicators for output I:**

|  |  |  |
| --- | --- | --- |
| Indicator I.1: | | |
| Unit | Baseline (start of project) | Target value and planned date of attainment |
| Means of verification: | | |

**Activities corresponding to output I:**

Projects should list work packages for each output that describe the cluster of activities that are implemented to deliver the respective output. In doing so, it is possible to highlight the contribution of work packages or activities to several outputs.

Please name work packages (incl. implementing partners/contractors responsible for its implementation) as well as underlying activities that are implemented to deliver the respective output. Activities are to be numbered consistently. Their role in delivering the output should be evident. Please define milestones in the implementation of activities, where necessary to ensure that the output is delivered in time. All activities and milestones (see below) have to be listed in the Gantt chart (annex 1).

For projects with a safeguards risk category A or B, please integrate the safeguards measures in the work package, where the most serious environmental or social risks are most likely to occur (see IKI Safeguards Policy, chapter 3 and 4).

**Work package (WP I):**

Activity (A I.1)

Activity (A I.2)

Activity (A I.3)

**Milestone corresponding to output I:**

Insert the work package-relevant intermediary results in form of milestones here if these are important markers on the extent to which the project is on track to delivering the output.

Milestone I.1:

#### Output II:

Additional outputs, indicators, work packages, activities and milestones may be added by copying the section above.

**Safeguards indicator(s) (if environmental and social risk category A or B):**

|  |  |  |
| --- | --- | --- |
| Safeguards indicator 0.1: | | |
| Unit | Baseline (start of project) | Target value (end of project) |
| Means of verification: | | |

### Standard Indicators for the aggregation of results

In addition to the project-specific indicators, please report on all standard indicators that are applicable and relevant to your project. If individual standard indicators capture key results of your project, you can include these Standard Indicators within your results framework as project-specific indicators.

A detailed definition of and more information on the use of the standard indicators is provided in the ‘**Indicator guidance sheets (IGS)**’ within the ‘**Guidelines on project planning and monitoring**’. Please first carefully read these IGS to determine which Standard Indicators your project can report on.

Once determined, please indicate in the table below which Standard Indicators your project will report on and what targets your project strives to reach. In addition, please provide the required information on the relevant Standard Indicators in Annex 7 ‘**Standard indicator report**’.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Standard Indicator** | | **Dimension / Unit** | **Planned Target Value (end of project)** |
|  | SI 1 - Mitigation | GHG emissions reduced or carbon stocks enhanced directly or indirectly by IKI project measures | Direct effects / tonnes CO2 eq |  |
| Indirect effects / tonnes CO2 eq |  |
| Contribution to increased mitigation potential of policies | *Please select* |
|  | SI 2 - Ecosystems | Area of ecosystems with improved conservation and/or sustainable use due to IKI project measures | Area / hectare |  |
|  | SI 3 - Adaptation | Number of people supported by IKI projects to better adapt to the effects of climate change | Number of people directly supported |  |
| Number of people indirectly supported |  |
|  | SI 4 – Capacity people | Number of people directly supported by IKI projects through networking and training to address climate change or to conserve biodiversity | Number of people |  |
|  | SI 5 – Leveraged Finance | Volume of private and/or public finance leveraged for climate action or biodiversity purposes | Mobilised private finance / EUR |  |
| Mobilised public finance / EUR |  |
| Catalysed private finance / EUR |  |
| Catalysed public finance / EUR |  |
|  | The Project does not report on any of the Standard Indicators. | Please note that IKI projects are obliged to select and report on all Standard Indicators applicable to their project and to which their project makes contributions. In exceptional cases, projects might not be able to report on any of the Standard Indicators. If this is the case, please provide a justification in this section. | | |

### Technical, political and economic risks

Please list the key risks (technical, political, economic, etc.) to the project’s success. Classify the degree of risks (low, medium, high) and provide an assessment on the controllability for each risk, based on a justified evaluation (according to low, medium and high). In addition, please present risk minimisation strategies. Where possible, please attribute the risks to the project’s outputs and outcome. The underlying assumptions on risks minimisation should in turn be plausibly derived from the activities of the planned project.

Environmental and social risks associated with the project activities are assessed in chapter 5 only.

|  |  |
| --- | --- |
| Type / Name of risk |  |
| Level and controllability of the risk |  |
| Risk minimisation strategy |  |
| Attribution to Outputs/Outcome |  |

### Grievances and complaints

1. Please describe how the project intends to ensure that its stakeholders - people of all ages and genders and marginalised groups (e.g. poor, indigenous, people with disabilities, youth, etc.), including those of implementing partners and particularly potentially project-affected people, – are aware of the IKI independent complaint mechanism (expected to be operational in early 2022) and how to submit a complaint.[[5]](#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.)

1. If applicable/in case the project has its own centralized or project-level complaint/grievance mechanism:
   1. Please describe in full sentences, how the project and its activities will ensure that all persons listed above can voice their grievances to project management in a confidential way that is free from intimidation, and how the grievances are being dealt with.
   2. Please conform that you will inform the IKI ICM within 72h/3 business days in case your complaint/grievance mechanism receives a complaint concerning an IKI-funded project
2. Please confirm that you will
   1. cooperate with the IKI ICM and its panel of independent experts in case of an investigation or dispute resolution procedure
   2. oblige your further implementing partners to inform about the IKI ICM and the corresponding obligations.

## Additional characteristics of the project

### Innovation character

Please indicate if new, more efficient, more effective and/or better-adapted solutions/methods/tools are being pursued in the context of the project. Innovation could relate to the project context in general, the provider structure, partners and the institutionalisation form or the project environment. For further information on the innovative character of projects, please see the applicable ‘**Funding information for projects within the International Climate Initiative (IKI)**’.

**The length of this section should not exceed 1,000 characters.**

     

### Ambition and transformative character

Please explain how the project can contribute in raising the partner country’s long-term level of ambition regarding its own contributions to climate mitigation/adaptation and/or the conservation of biodiversity, and how it initiates what kind of paradigm-shift towards a low-emission, climate-resilient and/or biodiversity-friendly development. If applicable, please specify the anticipated role of youth or other relevant groups of society as drivers for transformative change in the context of the project. For further information on the transformative character of projects, please see the applicable ‘**Funding information for projects within the International Climate Initiative (IKI)**’.

**The length of this section should not exceed 1,000 characters.**

### Gender responsive project implementation and management

Contribution of the project activities and results to gender justice:

Please describe how the project activities contribute to gender justice. Reflect on how the project can contribute to the reduction of gender-based discrimination by systematically integrating gender considerations in project planning, design, implementation as well as project results and regarding the people the project intends to provide support for and work with.

Gender Mainstreaming in project management:

Please describe the aspects of project management such as staff training, resources and tools used for gender mainstreaming. This also includes liaison with project stakeholders apart from the target group. State specifically how you plan to ensure in all of these areas that the project does not contribute to the continuation of gender-based discrimination. If you conduct a gender analysis, please state briefly the methodology and results of this analysis and attach the results as an annex to this proposal.

**The length of this section should not exceed 2000 characters.**

### Securing sustainability and multiplier effect after termination of funding

Please state here how it will be ensured that the results and achievements of the project will be maintained (by local partners) and benefit the target groups even after the project terminates (exit strategy). Sustainability could be a matter of, for example, long-term project financing, management continuity, institutional embedding and (measures for) the replicability of results (multiplier effect).

**The length of this section should not exceed 1,000 characters.**

### Synergies with and links to other relevant projects and sectors (of German and international cooperation)

Please list projects and measures in German and international cooperation as well as global, regional, and national partnerships and collaborative mechanisms (e.g. the NDC Partnership or the NBSAP Accelerator Partnership) which are relevant to your planned project. Please describe the expected synergies and linkages. In doing so, please outline if and how informal exchange or concrete cooperation is envisaged. Please explain the planned cooperation ventures (with other IKI projects, other donors in the partner country) separately, if deemed especially important for achieving the project goal.

**The length of this section should not exceed 1,000 characters.**

### Visibility of the project

Please outline how the activities of the project are made visible respectively to partner governments, in international debate, at climate or biodiversity negotiations, among the expert community and to the general public and/or local population. Please also name the media (e.g. project website or events etc.) which will be used as well as the target groups that should be addressed.

**The length of this section should not exceed 1,000 characters.**

### Knowledge management

Please describe how relevant knowledge about project learnings, developments in thematic area of the project including stakeholders and other parties in the field generated is shared, analysed and documented.

* *Please outline the internal knowledge management strategy of the project and how you systematise knowledge management. Which structures, mechanisms, formats and instruments are used and how are project results communicated? Please also name a contact person, who is responsible for knowledge management.*
* *Please specify how horizontal knowledge management, aimed at avoiding duplication, fostering synergies and encouraging the replication of successful approaches, is implemented: Who are relevant parties for knowledge transfer? Which formats are planned to which purpose, how often? How are results and learnings documented?*

Further orientation is found in the ‘[**Guidelines on knowledge management**](https://www.international-climate-initiative.com/fileadmin/iki/Dokumente/Projekt_steuern/Foerderantrag/IKI_Guidelines_on_knowledge_management_in_projects_EN_202307.pdf)’.

**The length of this section should not exceed 1,000 characters.**

### Co-Benefits (Contributions to economic, social, environmental development as well as the development of good governance)

Please describe the co-benefits.

Please indicate in which pillars of sustainable development the described co-benefits are located.

social

environmental

economic

good governance

### IKI Exclusion Criteria

Please confirm that your project activities comply with the IKI Exclusion Criteria.

yes

no

If there are remaining risks concerning compliance with the IKI Exclusion Criteria, please describe them here briefly and explain in chapter 5 how you will manage these risks.

# Further relevant information

## Notes on own funds, external funding, third-party grants

Please break down the secured funds for this project noted as ‘own funds’, ‘external funding’, ‘third-party grants’ under 1.1 and list here how they are used/.

External funding: Please provide a proof/ a letter of intent stating the amount of external funding, the donor and the reference for the IKI-project.

Third-party grants: Please provide a proof/ letter of intent

Please indicate if (other) third-party funding is expected, and if so, by whom and how much.

## Further aspects relevant to funding

Please explain aspects that could not be described under the other sections, but which are, nevertheless, of relevance for the approval of the project. For example, this may include in-kind-contributions or own funds in restricted form such as provision of personnel or office space, bank credit etc.

## Exclusion of further non-eligible criteria

Please confirm that you comply with the requirement of not being a terrorist organisation. The funding will neither be used to support terrorist organisations directly or indirectly nor to finance terrorist activities.

yes

no

# Environmental and social safeguards

## Environmental and social risk category

The project applicant is obliged to comply with the IKI Safeguards Policy and the IKI Safeguards Standards (Environmental and Social Safeguards of the GCF, interim [IFC Performance Standards](http://www.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Our+Approach/Risk+Management/Performance+Standards)). Please see IKI Safeguards Policy chapter 3-4 for guidance on risk categorization. The overall risk category corresponds to the performance standard with the highest risk category. Projects with **risk category A or B** have to integrate at least one **safeguards indicator** in the results matrix and describe the **safeguards measures** in work packages. Projects with risk category A have to prepare an Environmental and Social Impact Assessment (ESIA) and an Environmental and Social Management Plan (ESMP) or Framework (ESMF). Additional requirements may apply depending on the nature of risks.

Based on the risk analysis below, the overall environmental and social safeguards risk category is:

A – High Risk

B – Medium Risk

C – Low Risk

Due to the nature of environmental and social risks, the following documents will be prepared by the project:

Environmental and Social Impact Assessment

Environmental and Social Management Plan

Environmental and Social Management Framework

Specific analysis, plans or frameworks, namely: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Not applicable.

*The safeguards chapter is published on the IKI website (*[*IKI-Safeguards - Environmental and social standards*](https://www.international-climate-initiative.com/en/about-iki/safeguards/)*).*

## Stakeholder Engagement

The project applicant is required to conduct stakeholder engagement according to IKI Safeguards Policy, chapter 9. Please describe a) stakeholders of the project according to your stakeholder analysis (focus on project-affected people, particularly, vulnerable, marginalised or indigenous groups), b) what stakeholder engagement formats you use and c) how you intend to integrate the views and concerns of stakeholders into your environmental and social risk analysis, safeguards measures and overall project design.

**The length of this section should not exceed 1,500 - characters.**

## Environmental and social risk analysis and safeguards measures

*The goals of this assessment review are to (a) analyse the environmental and social risks which may be connected to the proposed project activities, (b) identify the risk category of the activities, (c) develop safeguards measures in order to prevent, minimise, mitigate or remedy potential adverse impacts of the activities and – if not already addressed during the outline phase – (d) where necessary determine the type and scope of further risk analyses and management plans to be drawn up, disclosed and submitted. Please note all negative impacts that project activities might cause, contribute or be directly linked to.*

*Please read chapter 4 and 8 of IKI Guidelines on Project Management and Monitoring and the IFC Performance Standards carefully before filling out this section of the proposal. The implementing organisation is responsible for providing adequate and comprehensive information to allow a review of compliance with the safeguards standards (Safeguards Policy, chapter 6.2.1). This means that information on potential negative impacts needs to be as specific as possible and based on current data (e.g. # people affected, # hectares, degree of vulnerability, etc…). Risks need to be described for all performance standards. If a risk is categorised as N/A, this needs to be justified.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Performance Standard** | **Summary of risk**  *Description of risks analysed based on* [*IFC Performance Standards*](https://www.ifc.org/wps/wcm/connect/24e6bfc3-5de3-444d-be9b-226188c95454/PS_English_2012_Full-Document.pdf?MOD=AJPERES&CVID=jkV-X6h)*.* | **Risk**  **(A-C)** | **Planned safeguards measures, responsible party and schedule**  *Measures planned to avoid, minimise, mitigate risks and impacts. This may also include additional due diligence and specific management plans. Note measures for each identified risk.* | **Expected results of mitigation**  *Note results in a measurable way. Bullet points suffice.* |
| **PS 2**  **Labour & Working Conditions** | *Add your social and environmental risk analysis for the respective performance standard here.* |  | Measures: *Describe the safeguards measures to mitigate the analysed risk here.*  Responsible: *Which organisation in the project consortium is responsible for implementation of measures? Which organisation/functional unit in the organisation is responsible?*  Schedule: *When is the measure scheduled to be implemented (e.g., a specific time or connected to the start of a work package/activity)?* | *Note results in a measurable way. Bullet points suffice.* |
| **PS 3**  **Resource Efficiency & Pollution Prevention** |  |  | Measures:  Responsible:  Schedule: |  |
| **PS 4**  **Community Health, Safety, and Security** |  |  | Measures:  Responsible:  Schedule: |  |
| **PS 5**  **Land Acquisition and Involuntary Resettlement** |  |  | Measures:  Responsible:  Schedule: |  |
| **PS 6**  **Biodiversity Conservation & Sustainable Management of Living Natural Resources** |  |  | Measures:  Responsible:  Schedule: |  |
| **PS 7**  **Indigenous Peoples and Marginalised Groups** |  |  | Measures:  Responsible:  Schedule: |  |
| **PS 8**  **Cultural Heritage** |  |  | Measures:  Responsible:  Schedule: |  |

1. Please complete the form on general information for all implementing partners and contractors in Annex 4. 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-1)
2. Please complete the form on general information for all political partners in Annex 4 [↑](#footnote-ref-2)
3. RMNCH marker – Contributions to reproductive, maternal, newborn and child health [↑](#footnote-ref-3)
4. This certifies a carbon removal or emission reduction (converted into the unit CO2 equivalent) compared with a set baseline. [↑](#footnote-ref-4)
5. 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)