# European Climate Initiative (“EUKI”) 2018

**Project proposal**

[Project title]

submitted by

[Submitter]

Please enclose the following attachments:

|  |  |
| --- | --- |
|  | Annex 1: Implementing partner(s) |
|  | Annex 2: Timeline/Gantt chart on the project schedule (see template) |
|  | Annex 3: Expenditure and financing (see template) |
|  | Annex 4: Letter of Support/ Proof of interest on part of the partner country’s government |
|  | Annex 5: Written confirmation on co-financing from other donors including project volumes (if applicable) |
|  | Annex 6: *Only to be handed in by the implementer!*  Annual turnover/annual budgets and duly authorised annual financial statements for the past three years. *N.B.:* Should no external/internal audit reports be available which make reference to the information requested in Annexes 8 and 9 please enclose internal guidelines/thorough description of the implementing organisation on contract award and accounting/financial management procedures. |
|  | Annex 7: *Only to be handed in by the implementer!*  Confirmation on previous experiences in implementing third party funded projects. Information on experience in technical and administrative implementation of earlier financing (including other donors). Audit reports on previously implemented projects – if available - projects may be enclosed. |
|  | Annex 8: *Only to be handed in by the implementer!*  Audit reports from internal control bodies (internal audits). Such reports shall supply information on procurement/award procedures, accounting systems and annual financial statements (if available). |
|  | Annex 9: *Only to be handed in by the implementer!*  Audit reports from external control bodies (external audits). Such reports shall supply information on procurement/award procedures, accounting systems and annual financial statements (if available). |
|  | Annex 10: *To be handed in by the implementer as well as implementing partners!*   * Proof of legal form of the institution/organisation: Evidence of legal form and registration in accordance with the legal provisions that apply in the country in which the institution/organisation is based. Please attach extracts from the appropriate register / formation documents showing the location of the institution/organisation’s registered office and the year of formation (if not shown in the register entry) / Tax number or other forms of substantiating documentation generally required in the country. All documents should be in German/English or French. * Proof of non-profit status:   in the case of German recipients: (Provisional) certificate of exemption or Annex to the corporation tax assessment of the tax office (section 5 (1) no. 9 of the German Corporation Tax Act (= assessment for ‘corporations, associations of persons and bodies of assets which, under their statutes, act of foundation or other constitution and under their de facto management, pursue exclusively and directly charitable, benevolent or other religious objects’)  in the case of non-German recipients: Articles of association and register entry or comparable documents in German/English or French as evidence of the use of the funds to achieve the tax-privileged purposes of the foreign corporation, i.e. an activity that would have tax-privileged status if it were performed in Germany. According to Section 52 (2) of the German Fiscal Code, tax privileges are granted for the ‘advancement of upbringing, adult education and vocational training’ (no. 7); the ‘advancement of nature conservation and environmental protection (no. 8); the ‘advancement of development cooperation’ (no. 15) and the ‘advancement of equal rights for women and men’ (no. 18). |
|  | Annex 11: Order form for registration of a creditor |

To complete this form, please consult the ‘Guidelines on results-based project planning and monitoring in the European Climate Initiative’ (short title: ‘Guidelines on project planning and monitoring’).

The explanations in grey writing should be carefully read and followed. Please delete the explanations in grey writing after filling in the form. Please do not exceed 20 pages plus annexes. The documents are to be submitted electronically (as Word/Excel files and as a scanned PDF document) to   
[info@euki.de](mailto:info@euki.de).

Europäische Klimaschutzinitiative (EUKI)

Project Financing

Potsdamer Platz 10

10785 Berlin

Germany

E-mail: info@euki.de

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Place, date Legally binding signature

[Name of the authorised officer]

Stamp

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH has been commissioned by the German Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) with the implementation of the EUKI funding programme. Funds will be disbursed by means of a Zuschussvertrag - for implementers legally registered in Germany - or Grant agreements - for implementers from outside Germany. Model contracts are available for download on the EUKI website: <http://www.euki.de/?lang=en>



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| **1** **Project master data** | |
| 1.1 Project | |  |  | | --- | --- | | Project number (if given to you) |  | | Project title |  | | Country/countries of implementation |  | | Project duration | [MM.JJ - MM.JJ] | |
|  |  |
| 1.2 Implementer | |  |  | | --- | --- | | Name |  | | Department |  | | Street, No. |  | | Postal Code, town/city |  | | Country |  | | Contact Person |  | | Telephone |  | | Telefax |  | | Email |  | | Website |  | | Institution |  | | Legal structure |  | | Deduction of input tax according to § 15 UStG (if registered in Germany) | eligible/ not eligible | | Total staff |  | | Staff for the project |  | | Year established |  | | Turnover [EUR/year] |  | | Experience in the target region  [years] |  | | Experience in activities relevant to the project [years] |  | | Role/function of the implementer in the project proposed | | |
| 1.3 Implementing partners and steering structure | Please list all implementing partners, i.e. those institutions receiving forwardings from the overall grant and make a direct contribution to achieving the project’s outcome (overarching project goal) and outputs (specific project goals). A separate budget for each implementing partner must be submitted as part of the financial proposal.   1. [Name of organisation in local language and translated into English]  * Capabilities and experiences relevant to the project      * Function/role in the project proposed      1. [Name of organisation in local language and translated into English]  * Capabilities and experiences relevant to the project      * Function/role in the project proposed      1. [Name of organisation in local language and translated into English]  * Capabilities and experiences relevant to the project      * Function/role in the project proposed |
| 1.4 Current/previous contracts from GIZ | Did your organisation receive any other financing contracts from GIZ in the past 3 years: Yes No   |  |  | | --- | --- | | If yes, please indicate the GIZ contract number: |  | |

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| 2 **Brief description** | |
| 2.1 Structured brief description | Please provide a description of the project that can be used internally or externally by the EUKI (e.g. on the EUKI website). The text should have a maximum length of 1,000 characters (including spaces) and should include the project goals and planned measures:  What does the project aim to achieve? Who benefits from the project and how? |

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| **3 Project concept**  Please follow the instructions provided in the ‘Guidelines on project planning and monitoring’ – especially regarding the design of project-specific indicators.  Make sure this section is consistent with the ‘Time line/Gantt chart’ (Annex 2) on the project schedule. | |
| **3.1** **Starting situation**  If several countries are involved, please describe the starting situation in the subsequent categories under 3.1.1 and 3.1.2 for each target country individually. | |
| 3.1.1 Starting situation in the target region | Please describe the framework conditions and eventual barriers to achieving the project goal and its impacts. In doing so, please be as specific as possible. The concrete requirements and or capacity gaps of the target groups should be accurately described. |
| 3.1.2 Project integration into the climate policy framework of the EU/ the target countries | Please explain how the project fits into the overall climate and – if applicable – energy policy framework of the partner countries. The connection of the planned project activities to the policy goals, strategies, plans and programmes should be presented. |
| **3.2 Project goals and results**  Please follow the instructions provided in the ‘Guidelines on project planning and monitoring’.  If several countries are involved, please choose an adequate form of presentation, which enables to differentiate between countries. | |
| 3.2.1 Target group | Persons, societal groups or institutional units that the project seeks to reach and that the project goals are directed towards. Describe what characterises the target group – and in short form – how the target group will be supported. |
| 3.2.2. Impacts (long-term results) | Impacts are long-term results that mostly cannot be attributed to the project alone, but also relate to developments external to the project (such as decisions on a higher political level, activities by other donors). The concrete impacts envisioned by the project should be described and related to the EUKI goals (cf. “Information on financing of projects under the framework of the EUKI”). |
| 3.2.3 Outline of the results chain underlying the project proposal | Here, the project’s underlying results chain is to be explained (1 page max.): It should make clear, how outputs and the outcome are causally linked or how they build on each other in order to achieve the project’s desired impacts. In this respect, it is vital to express how the outputs are used in the course of the project by partners and/or target groups, how they complement each other and how they contribute to reaching the outcome, as well as on which assumptions the results chain is based. It is important that assumptions made in this regard are realistic.  This results chain should be supplemented by the graphic below, which serves as its summary (adjust the table if necessary to add or reduce outputs). |
| |  |  |  |  | | --- | --- | --- | --- | | **Impact**  Include a maximum of 5 sentences here to describe the impact according to 4.2.2 | | | | | **Outcome**  Include the outcome here according to the formulation in 4.2.4 | | | | | **Output I**  Include output x here according to the formulation in 4.2.5 | **Output II**  Ditto | **Output III**  ditto | **Output IV**  ditto | | |
| 3.2.4 Outcome (overarching project goal) including indicators | **Outcome:**  Please name the outcome here. The outcome is the actual goal of the project, i.e. it describes intended changes that can be directly causally attributed to the project and that emanate from the utilisation of the outputs via the target groups.    **Indicators for the outcome:**  One or two project-specific indicators must be defined for the outcome. All indicators (including those in section 4.2.5) have to be specific, measurable, achievable, relevant and time-bound (see: ‚Guidelines on project planning and monitoring‘). This should not be a mere aggregation of the output indicators and as such should not be identical with the outcome indicators. N.B. When formulating your indicators please pay special attention to clearly delineating them from goals, activities and milestones!   |  |  |  | | --- | --- | --- | | 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: | | |   Definition of up to two indicators can in most cases be considered as sufficient to measures the project’s outcome. |
| 3.2.5 Outputs (specific project goals) including indicators and work packages (activities) | Outputs may be products, services and sets of regulations/standards, as well as their use by the partners and target groups, which have arisen as a result of project activities.  Please describe the outputs in the table below, ordered either chronologically, or in a logical sequence. Along each output, indicators need to be named, which measure the attainment of these project goals. In this regard, indicators shall not only reflect the preparation of concrete products, services, studies etc. but also their use by the target groups. The activities necessary to reach each output shall be described in sufficient detail and grouped into work packages (activity bundles).  For crosscutting activities such as management or public relations/dissemination activities (if not core activity of the project) no separate work packages shall be included. These activities can be described in more detail in sections 1.3 and 4.2 respectively.  **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:**  Name each work package and briefly indicate how the activities bundled in the work package contribute to reaching the envisaged output. Should there be more than one partner involved in implementing the work package, please define their different contributions and responsibilities. Activities are to be numbered consistently. Their role in the results chain should become evident. Important milestones have to be time-bound, if they provide crucial information for tracking the project goal. Activities and milestones have to be listed correspondingly in the Gantt chart (Annex 2) which provides their time schedule.  Work package (WP I):  Activity (A I.1)    Activity (A I.2)    Activity (A I.3)    **Output II:**  Additional outputs, indicators, work packages, activities and milestones can be added by copying the above scheme. Special attention shall be paid to choosing an adequate aggregation level especially when formulating the outputs and activities. Experience has shown that defining more than 3-5 outputs are only advisable in very special project setting. |
| 3.2.6 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 present risk minimisation strategies. In addition, please provide an assessment on the controllability for each risk, based on a justified evaluation (according to low, medium and high). Where possible, please attribute the risks to the project’s outputs and outcome. The underlying assumptions on risk minimisation should in turn be plausibly derived from the activities of the planned project.  Risks concerning the compliance with environmental and social safeguards are to be described and assessed in paragraph 2.3 in conjunction with Annex 4 only.  Type / Name of risk:  Level and controllability of the risk:  Risk minimisation strategy: |
| **3.3** **Other characteristics of the project** | |
| 3.3.1 Contribution to the goals of the EUKI | Please elaborate how the project contributes to the goals of the EUKI (see EUKI website and “Information on financing of projects under the framework of the EUKI”). If applicable, list different goals and elaborate separately. |
| 3.3.2 EUKI standard indicators | Contribution of the project results to one or more EUKI standard indicator is highly desired though not mandatory for project financing.    *Building knowledge and raising awareness for climate action in partner countries*   |  |  | | --- | --- | | Unit | Target value | | Number of participants in awareness raising activities |  | | Please indicate sources of verification for assessing the target value and list activities from 3.2.4, which contribute to fulfilling this indicator. | |   *Capacity development and networking for key state, civil society, economic, education, scientific and municipal actors to support transformative processes in partner countries*   |  |  | | --- | --- | | Unit | Target value | | Number of trainings/coachings/networking events |  | | Number of transformative processes triggered by the project (e.g. new regulations, programmes or other policy measures that provide incentives for climate action) |  | | Please indicate sources of verification for assessing the target value and list activities from 3.2.4, which contribute to fulfilling this indicator. | |   *Dissemination and/or transfer of good practices on climate action from one Member State to another taking*, while ensuring the practices are prepared appropriately for the given target group*.*   |  |  | | --- | --- | | Unit | Target value | | Number of disseminated or transferred good practices |  | | Please indicate sources of verification for assessing the target value and list activities from 3.2.4, which contribute to fulfilling this indicator. | |   *Third-party applications with a focus on climate or energy that have emerged from the project.*   |  |  | | --- | --- | | Unit | Target value | | Number of submitted or planned project proposals for EU or other third party funds that that were initiated or prepared by the EUKI project consortium. |  | | Please indicate sources of verification for assessing the target value and list activities from 3.2.4, which contribute to fulfilling this indicator. | | |
| 3.3.3 Securing sustainability | Please state here how it will be ensured that the results and achievements of the project will be maintained and benefit the target groups even after the project terminates. Please make reference to the following three dimensions of sustainability:  Anchoring the projects results in the sector policies of the target country/region  Replicability/Upscaling-potential within the country, the region or the EU as a whole  Financial sustainability of the instruments/structures/products developed, e.g. by securing a follow-on financing |
| 3.3.4 Visibility of the project | Please outline how the activities of the project, its results and GIZ/EUKI as a whole, are made visible respectively to partner governments, in the international debate, among the expert community and to the general public. 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. |

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| **4 Mainstreaming/ Interaction with European cooperation projects and other relevant aspects** | |
| 4.1 Synergies with and links to other relevant projects and sectors (of German, European and international cooperation) | Please list projects and measures in German, European and international cooperation that are relevant to your planned project as well as a presentation of 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 separately, if deemed especially important for achieving the project goal. |
| 4.2 Knowledge management in EUKI projects | Please outline the knowledge management approach according to the following aspects:  Preparation of-, access to- and evaluation of information, knowledge, products and competences inter alia with the objective to create synergies between projects and support replication of successful approaches in other contexts. Please explain structures and mechanisms in knowledge exchange and learning within the project and in the communication of relevant project results: Target groups for the relevant knowledge management outputs (e.g. project partners, other implementers or stakeholder to promote exchange and learning); instruments for systemising and communicating of project results (e.g. EUKI website, workshops/conference, online-cooperation platforms, etc.). Also, allow time and resources for participation in the annual EUKI conference in Berlin. |
| 4.3 Self-assessment on the relevance of the project in terms of state aid | As part of the assessment of the project proposal, it is to be established whether financing of project activities is to be regarded as state aid pursuant to Article 107(1) of the Treaty on the Functioning of the European Union. One of the matters to be established is whether there is already a market for the project activities thus financed and/or whether such activities are already offered by economic stakeholders with a commercial purpose. Please therefore describe the market situation for the activities to be performed in connection with your project. In particular, you are to describe whether and, if so, on what conditions the activities in question are already offered. In addition, please describe the demand situation, i.e. in particular, identify the target group for the activities intended to be performed in connection with the project, and explain to what extent the target group has required or used the activities to be financed up to now. Please also show the extent to which the project acts as an incentive and/or fulfils a pilot role. Please note that, in principle, no economic activities as defined in Article 107(1) of the Treaty on the Functioning of the European Union are to be financed as part of the European Climate Initiative (EUKI) and that there must be no distortion of competition. Inaccurate information may thus lead to project financing that has already been granted subsequently being deemed illegal state aid, which as a general principle will lead to the financing being reclaimed. Whether or not financing is deemed state aid is assessed, among other things, on the basis of the Commission Notice on the notion of State aid as referred to in Article 107(1) of the Treaty on the Functioning of the European Union (OJ EU 2016, C 262/01). |
| 4.4 Other aspects relevant to financing | Please explain aspects that could not be described under section 1.1 to 4.3, but which are, nevertheless, of relevance for the approval of the project. In kind or other non-cash in-house contributions that are not affecting expenditures, e.g. that cannot be supported by invoices, may be listed here. |

**Annex 1:**

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| **Implementing partner(s) (if applicable)** | |
| 1st Implementing partner | |  |  | | --- | --- | | Name |  | | Department |  | | Additional address |  | | Street No. |  | | Postal code, town/city |  | | Country |  | | Institution |  | | Website |  | | Legal structure |  | | Contact person |  | | Telephone number |  | | Email address |  | | Total staff |  | | Staff for the project |  | | Year established |  | | Turnover [EUR/year] |  | | Experience in the target region [years] |  | | Experience in activities relevant to the project [years] |  | |
| 2nd Implementing partner | |  |  | | --- | --- | | Name |  | | Department |  | | Additional address |  | | Street No. |  | | Postal code, town/city |  | | Country |  | | Institution |  | | Website |  | | Legal structure |  | | Contact person |  | | Telephone number |  | | Email address |  | | Total staff |  | | Staff for the project |  | | Year established |  | | Turnover [EUR/year] |  | | Experience in the target region [years] |  | | Experience in activities relevant to the project [years] |  | |
| 3rd Implementing partner | |  |  | | --- | --- | | Name |  | | Department |  | | Additional address |  | | Street No. |  | | Postal code, town/city |  | | Country |  | | Institution |  | | Website |  | | Legal structure |  | | Contact person |  | | Telephone number |  | | Email address |  | | Total staff |  | | Staff for the project |  | | Year established |  | | Turnover [EUR/year] |  | | Experience in the target region [years] |  | | Experience in activities relevant to the project [years] |  | |