# European Climate Initiative (“EUKI”) 2019

**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/demonstration of interest on the part of the partner government or, if applicable, another suitable body in the target country |
|  | Annex 5: Written confirmation (incl. amount of co-financing) from each further third-party donor |
|  | Annex 6: *Please only submit for the implementer!*  Annual financial statements for the past three years*. Important note.:* 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: *Please only submit for 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: *Please only submit for the implementing organisation*  Audit report(s) by internal audit bodies (internal audits). The reports should provide information in particular about procurements/awarding of contracts, accounting (system) and annual financial statements (if available). |
|  | Annex 9: *Please only submit for the implementer*  Audit report(s) by external auditing bodies (external audits) The reports should provide information in particular about procurements/awarding of contracts, accounting (system) 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 25 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

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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>



|  |  |
| --- | --- |
| **1** **Project master data** | |
| 1.1 Project | |  |  | | --- | --- | | Project number (if given to you) |  | | Project title |  | | Country/countries of implementation |  | | Project duration  Sector | [MM.JJ - MM.JJ]  Wählen Sie ein Element aus. | |
|  |  |
| 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     Please outline (esp. when more than one implementing partner is involved) the steering structure of the consortium and envisaged management formats. |
| 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: |  | |

|  |  |
| --- | --- |
| 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. 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? |

|  |  |
| --- | --- |
| 3 **Problem analysis**  If several target countries are involved in projects, please list the information in the following categories separately for the different target countries. | |
| 3.1 Initial situation in the target countries/region | The current general conditions, obstacles, capacity gaps, etc. that the project needs to address should be described here. Please ensure that the information is as specific as possible and describe concrete needs precisely. |
| 3.2 Stakeholder landscape in the sector | Please analyse and name the key state, civil society and, if appropriate, economic stakeholders in the relevant sector and explain how they can contribute to overcoming the problem identified in section 3.1. Which of these stakeholders are being involved in project implementation and how? |
| 3.3 Embedding the project in the target country’s climate policy framework | Please provide detailed information about the integration and compatibility of the planned project activities with the climate goals, strategies, plans and programmes in the partner country. |

|  |  |
| --- | --- |
| **4 Project concept**  Please comply with the instructions in the document ‘Guidelines on results-based project planning and monitoring in the European Climate Initiative (EUKI)’, particularly with regard to drawing up project-specific indicators. Ensure that this is consistent with the bar chart on the steps of the project (Annex 2).  If several countries are involved in projects, please choose a suitable method of presenting the information to allow a distinction to be made between the different countries. | |
| 4.1 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. |
| 4.2 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”). |
| 4.3 Results logic and capacity development | Please explain the results logic here, clearly showing how specific project goals (outputs) and the overarching project goal (outcome) are interlinked and/or build on one another to ultimately achieve the desired results (impacts). It is particularly important to show how the outputs during the course of the project are used by the partners and/or target groups, how they supplement one another and ultimately how they contribute to achieving the outcome and what assumptions the results logic is based on. It is important to ensure that the assumptions made are realistic.  The diagram below should be added tothe description of the results logic, providing a clear summary of it. (Add to or reduce the outputs in the table, if necessary):  For projects that focus on capacity development, please also outline the underlying capacity development strategy. Show which level (human resources, organisation, society) and which target groups the project addresses with what type of measures. |
| |  |  |  |  | | --- | --- | --- | --- | | **Impact**  Include a maximum of 5 sentences here to describe the impact according to 4.2 | | | | | **Outcome**  Include the outcome here according to the formulation in 4.4 | | | | | **Output I**  Include output x here according to the formulation in 4.5 | **Output II**  Ditto | **Output III**  ditto | **Output IV**  ditto | | |
| 4.4 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. |
| 4.5 Outputs (specific project goals) including indicators and work packages (activities) | Outputs include products, services and sets of rules created through the project activities and their use by the partners or target group. Outputs should be described in the table below in chronological order or in logical steps. At the same time, the indicators used to measure the extent to which these project goals have been achieved should be specified. When formulating the indicators, please ensure that they not only reflect the production of projects, services, studies, etc., but that they also take account of their use by the target groups.  The activities required to achieve each output should be described in sufficient detail and summarised in work packages (sets of activities).  No separate work packages should be formulated for cross-cutting activities such as management or public relations work (unless they are one of the core outputs of the project); instead, the relevant activities should be described in sections 1.3 and/or 6.3.  All the publications prepared as part of EUKI should be drawn up on the basis of current scientific findings, and dialogue formats should be implemented in accordance with usual practice in respectful discourse. For more extensive publications, peer review parties should be taken into account.    **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. |
| 4.6 Technical, political and economic risks | The main risks to the success of the project should be listed (technical, political, economic, nature-related risks, etc.). The extent of these risks should be estimated (low, medium, high), and strategies to minimise risks should be presented. In addition, an assessment of the degree to which each risk can be influenced should be provided (also giving reasons for why it is deemed to be low, medium or high), and the risks should be assigned to the relevant outputs and/or to the project outcome. The basic assumptions concerning risk reduction should in turn be able to be plausibly derived from the activities of the planned project.  Risk 1:  Type/name of risk:  Extent of risk and degree to which it can be influenced::  Strategy to minimise risk:  Risk 2:  Type/name of risk:  Extent of risk and degree to which it can be influenced::  Strategy to minimise risk:  Add more if necessary |
| 4.7 Ensuring sustainability | Please explain the steps that will be taken to ensure that project achievements and results can be maintained and continue to benefit the target groups even after the project has been phased out. Please address the following aspects in this context:  1. Integration of the results into the policies of the target country/region;  2. Replicability/upscaling potential in the country, the region or the entire EU;  3. Financial sustainability of the instruments/structures/products developed. If a follow-on financing is required, please elaborate on national, EU or other funding programmes from which funds shall be secured. |

|  |  |
| --- | --- |
| **5** **Contribution to the goals of the EUKI** | |
| EUKI standard indicators | Contribution of the project’s 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 at conferences, workshops and/or other training measures to strengthen knowledge and raise awareness in the field of climate change mitigation |  | | Please indicate sources of verification for assessing the target value and list activities from 4.5 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 key state, civil society, economic, education policy, academic and/or local stakeholders that - as a result of the project and its measures - support or initiate transformative processes for climate change mitigation |  | | Please indicate sources of verification for assessing the target value and list activities from 4.5, 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 specific examples of good practices from a member state that are taught in an appropriate way for the target group in at least one other member state and are disseminated via specialist, social and general media |  | | Please indicate sources of verification for assessing the target value and list activities from 4.5, 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 planned project applications focusing on climate or energy issues in a supraregional or cross-border programme in the EU that are to be 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. | | |

|  |  |
| --- | --- |
| **6 Mainstreaming/ Interaction with European cooperation projects and other relevant aspects** | |
| 6.1 Networking and synergies | Links to and cooperation with ongoing and previous projects by other organisations financed from funding programmes by the German Government, the German federal states, the European Union or national and other donors. The type of cooperation and synergies, such as use of the results, potential joint events or similar, should be analysed and presented in detail. |
| 6.2 Knowledge management | Please outline the project’s internal knowledge management approach according to the following aspects:  Actors and location of existing knowledge and of knowledge that will be created in the course of the project, 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 describe structures, mechanisms and systematization of knowledge transfer and learning within the project. |
| 6.3 Dissemination and visibility of the project | Please line out how the project’s activities, experiences and results as well as the involvement within the EUKI can be communicated to different target groups. Please describe:   * Communication goals (e.g. making best-practice-examples available, acquisition of new networking partners, increasing the project’s publicity, etc.) * Target groups (e.g. national/regional/local governments, other implementing organisations or stakeholders within or outside the EUKI community, expert community, general public; please do only list all target groups but rather your major selection) * Messages (according to the respective goals and target groups) * Instruments (e.g. project website, publications, events, social media, EUKI channels, etc.).   Please plan to attend the annual EUKI networking conference in Berlin for implementing organisations and partners (1 person for each implementing organisation and partner), and budget for it accordingly. Please also dedicate resources for contributing to the public relations work and knowledge management of the EUKI secretariat. |
| 6.4 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). |
| 6.5 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:**

|  |  |
| --- | --- |
| **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] |  | |