

IKI Small Grants

International Calls

Call 2024

Application guidelines part 2

This document guides you through the different steps in the application platform. Please make sure you always read the explanations in this document first before you fill out the platform boxes.

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1. Introduction

This document serves as a guideline for [applicants](#) under the IKI Small Grants programme. It provides essential information and explanations for the different sections of the online application platform.

The document gives applicants an overview of how to develop an IKI Small Grants project.

Please find important terms for IKI Small Grants projects in the **glossary** at the end of this document.

To draft applications, applicants are encouraged to seek assistance from third-party organisations where needed.

Applications must be **submitted in English**. Official documents from organisations (e.g. accounting guidelines) and register entries must be translated into English. No notarised translations are required.

We highly recommend **uploading** and submitting applications **with enough time to spare** to avoid increased internet traffic on our server close to the deadline. This helps prevent technical problems, especially in the last hours before the submission deadline.

Please follow the guidelines carefully when developing and drafting your proposal to ensure the highest possible quality of your project concept and consequently improve your chances of being selected for funding.

We look forward to receiving your application!

2. Project

2.1 Project main data

Project title

How to define a project title?

The project title should be **concise and informative**: What is the project's main objective? It should be short (50 to 80 characters) and easy to understand. The title should highlight the project's unique selling point, e.g. a special method. The title may contain the region of implementation and/or the [target group](#). Please avoid abbreviations or acronyms in the title.

Examples:

- *On farm conservation of indigenous plant species in Mayuge District*
- *Eco-friendly bricks for affordable, resilient housing*
- *Trees for Lebanon*
- *Women cooperatives promoting clean cooking stoves*
- *Locally manufactured E-Bikes with rental system for peri-urban communities*

For further examples please visit the [IKI Small Grants website](#).

2.2 Project summary

In this chapter, please provide a description of your project and its background.

i. Initial situation and problem statement:

This section describes how **climate change** or **loss of biodiversity** have contributed to the **current situation** in your project region. The problem description must relate one of the four IKI funding areas. Define the problem you would like to address with the project. Please focus on problems for which the project is offering solution and not on all the problems potentially prevalent in your target region.

Where available, describe all relevant background information on the specific (local, institutional, legal, etc.) context of the project, helpful and important for understanding the project logic.

In addition, please describe briefly how current **climate change risks impact your target group** and – depending on information available – on your target group's socio-economic background.

If land use measures are planned through agriculture or forestry, for example, please also provide information on the **land tenure situation**. It is helpful to know who owns specific land. Furthermore, please indicate if the community, municipality, or private owners have already agreed on the planned measures.

For example, please also check the descriptions on [Projects | IKI Small Grants \(iki-small-grants.de\)](#) for descriptions of information on various initial situations.

ii. Project approach

Please explain the **rationale** of your project concept and mention the approach you intend to apply (e.g. climate smart agriculture, biodiversity monitoring, renewable energies for urban areas, local adaptation plans etc.).

Summarise your project's main pillars or components. This section should contain a first outline of your project approach, with further details provided in the following logical framework. Indicate your main activities and how they involve your target group but be precise and do not add too many details.

Please briefly mention any **specific methodology or technology** you are applying. Please also highlight **how the project addresses the IKI funding area(s)**. For comparisons of other project descriptions, see [Projects | IKI Small Grants \(iki-small-grants.de\)](https://www.iki-small-grants.de)

iii. Expected results

Please briefly summarise your project's expected contribution and [results](#). **How will the situation improve?** You can relate to the problems mentioned above, describe how the situation is expected to change for your target group and how your results contribute to the IKI funding area(s). Highlight the climate or biodiversity aspect of the project.

2.3 Target group

The **target group** are the individuals, groups, or organisations the project wants to directly reach via its activities or results/outputs and with whom it interacts. The target group can also include **beneficiaries** if they benefit from the intended project impacts.

There may be cases where the target group and the beneficiary of the impacts are not the same. For example, if a project works with school principals (target group) to introduce energy saving stoves for providing meals to students (beneficiaries).

Please name all the target groups and beneficiaries you plan to work with in this section. In the description of your activities (chapter 3), you can explain how they participate in your project. If the project targets various target groups, please describe each of them individually. Where possible, please also provide an approximate and realistic number of people and/or beneficiaries.

Example:

Description	Number
Small-holder farmers	500 (250 women)
Local government authorities	10
Local solar panel producers	2
Regional climate protection committees	10

2.4 Inclusion of women, indigenous peoples, youth, and/ or other minorities or disadvantaged groups

Please indicate in this box if your organisation is led by representatives of disadvantaged or vulnerable groups or if your project mainly focuses on a group considered disadvantaged or vulnerable. If the majority of board members of your organisation is considered disadvantaged or vulnerable, tick the respective boxes. You can select the respective boxes, as well, in case your organisation is registered, as women-rights-, youth-based- or similar form of registration.

Proposals that follow a [gender-responsive](#) or [gender-transformative](#) approach, work on structural discrimination or are submitted by women's/LGBTQI* rights organisations, cooperatives or networks are explicitly encouraged in the IKI Small Grants Funding Information and will be considered with priority.

2.5 Project concept – project logical framework

IKI Small Grants follows a [results-oriented approach](#). Project concepts should be based on a **results chain**. IKI Small Grants understands project results as the combination of [outcome and output](#). Project concepts do not include impact as the project's long-term overarching goal, as impact is normally not achieved within the project period. Nevertheless, you can address the level of project impact in the proposal where you describe your project's wider socio-political context.

Outcome, outputs, and indicators

Please define **one outcome, i.e. the project goal**, and no more than four outputs that contribute to the outcome. The outcome and each output must be supported by [specific indicators](#). **One or two indicators must be defined for the outcome and at least two indicators for each output.**

The indicators need a value that is comparable from the start to the end of the project. Each indicator requires a **value at the start of the project (baseline)** and a **value at the end of the project (target)**.

Describe how you provide evidence of specific data. Mention if you [verify data](#) through protocols, participant lists, satellite data, photos, videos, signed contracts, etc.

Also apply a gendered approach when drafting your indicators, baseline, and target values.

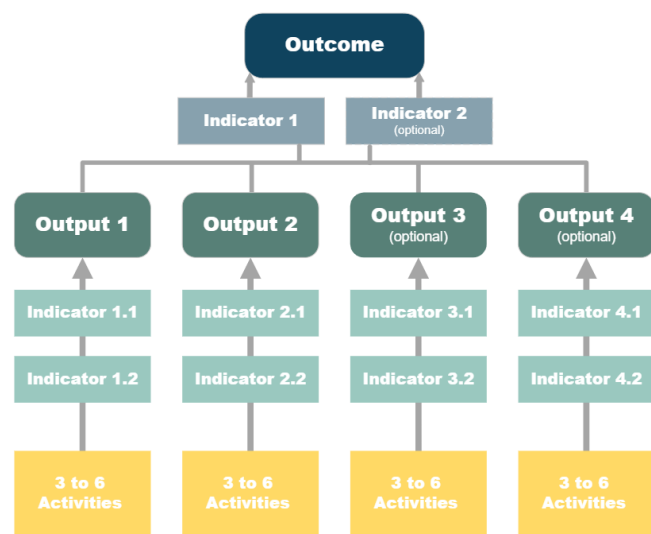


Figure 1: Project logical framework – example logic

[Gender](#) sensitive indicators are:

- **Disaggregated by sex:** indicator findings are reported separately for men and women for all indicators that involve people or groups of people (e.g. cooperatives). In technical areas, ensure the indicators capture changes related to women and men, girls and boys (e.g. instead of indicators such as “# tons of crop harvested in X region”, it is recommended involving people such as: “Percentage (%) of male and female household members who report improved quantity/quality) of water supply in X region.”
- Set sex-disaggregated targets for each indicator and include other disaggregated factors where required. Targets can be set to incrementally improve gender equality. The disaggregation can also include other diversity factors. However, please consider the costs and efforts of data collection, and collect meaningful data that helps improve results.
- **Gender specific:** this indicator measures initiatives targeted at women, such as women's cooperatives.
- **Implicitly gendered:** addresses an issue of specific relevance to women and girls, such as safety in public transport.
- **Chosen by women rather than men:** the indicator is chosen by female community members/project staff and reflects the specific needs and priorities of women.

Examples of how to draft proper indicators:

Who/what?	Change/desired effect	In what?	By when?
Municipal government	adopts policy	to promote rainwater harvesting in residential properties	by Dec 2024
4 farmers' cooperatives	apply soil conservation measures	to improve drought resilience	by the end of the project
100 hectares of deforested land	are managed sustainably	using a silvo-pastoral approach	by month 20

Activities

Besides drafting suitable outputs, please describe the activities planned to achieve the outputs and their respective indicators. Approximately **3 to 6 activities** should support **each output**. The activity descriptions should include a high level of detail and therefore require at **least 3 to 10 sentences**. A set of activities connected to a project output should always come with transparent **budgeting**. Realistic planning and budgeting are key for successfully implementing project activities.

Each activity should clearly answer the following questions:

- Who does what? Who is responsible for this activity?
- Which means/ materials/ resources are used for the activity?
- Who is the target group? Is it clear who this activity will affect?

Examples of how to define proper project activities:

Who?	Is doing what?	Reaching whom?	When?
Your organisation	conducts a workshop	30 farmers	Jan 2024
Your organisation	apply soil conservation measures to improve drought resilience	5 hectares of communal land given by farmers	by the end of the project
A partner you are working with	installs a solar panel	a municipality wastewater treatment plant	by month 20

Further resources:

IKI Small Grants specific resources:

- For a **short guide** with tips on the logical framework, please check out this 7-minute video: [IKI Small Grants Tutorial on Results-based Project Management \(youtube.com\)](#)
- For a **deep dive**, watch our one-hour webinar on results-based project management: [IKI Small Grants Results Based Project Management Webinar \(youtube.com\)](#)

General information:

- [What are results? - OECD](#)
- [Development-Results-Note.pdf \(oecd.org\)](#)
- [Social-Impact-Navigator | Online tutorial for nonprofits](#)
- [SMART criteria - Wikipedia](#)
- [Rapid Guide to Designing SMART Indicators FINAL.pdf \(indikit.net\)](#)

2.6 Partners for your project implementation

Please name all partners critical for your project implementation. It is important to mention the name of the partner, their type of organisation (e.g. public institution, government body or civil society). Also, briefly describe their role in the planned project implementation. Please do not mention all of the networks and partners you work with in other projects or as an organisation, only those directly related to the planned project. If these partners have already agreed to support the planned project, please add in brackets that an agreement is available. You do not need to hand in the agreement yet.

Example:

Name of the partner	Type of partner organisation	Role or relevance in project implementation
Forestry department	Government	Monitoring trees after planting them by the project for up to three years (agreement available)
Local beehive production company	Private sector	Producers of beehives to promote alternative income generating activities
University of xyz	Public institution	Advise on biological aspects related to the project (agreement available)
Women organisation in xyz region	Civil society	Networking partner to reach out to female target group and integrate their interests throughout project implementation

2.7 Risks to the success of the project

This section describes **external risks** that can have an impact on the project's successful completion. This section **does not need to** describe the general or specific situation of the project region (e.g. general impacts of climate change are not considered a project risk). The occurrence of risks can negatively influence implementation, i.e. planned execution of activities and creating project results.

Please describe these risks and the possible impact on the project and present a strategy to minimise the identified risk. Ideally, the elements of your strategy are reflected as activities in the respective outputs and are also budgeted as such.

Example 1: Inflation of local currency

Your project is implemented in a country with a high inflation rate. This poses an economic (financial) risk to your project budget, as it can lead to higher costs and insufficient funds. Your assessment concludes that this **risk is high** for successfully implementing your project, as you could lose up to half the project budget value due to inflation. However, you can influence the impacts of the risk.

Your **strategy** is to reduce costs by evaluating the relevant markets for better offers for the needed resources.

Figure 2: Example of risk assessment (I)

Example 2: Lack of maintenance capacities for solar energy installations

Your project plans to replace fossil fuels (running on generators) with solar panels. However, your project is in a region with few service providers for regular servicing of installations. You consider this a **risk for sustainable use of solar energy installations** (*technical risk*).

Your assessment concludes that the risk level is medium for successful implementation of this part of the project. Your **strategy** is to acquire robust and low-maintenance types of solar panels. Furthermore, you coordinate with other users of solar energy in the area, so you can synchronise interventions by technicians. This should lead to an acceptable level of maintenance by the service provider and reasonable maintenance costs.

Figure 2: Example of risk assessment (II)

Example 3: Internal risks of project staff dropping out

Your project relies on staff contributing continuously. During project implementation, your project manager finds another job and leaves your organisation (*social risk*).

Your assessment shows this is a **high risk for successful implementation** of the project. Your **strategy** is to get all staff members on board before starting implementation. You further plan to hold regular staff meetings that inform staff members on motivation or help find out what might be incentives to stay within the organisation. You have budgeted these regular staff meetings in your project budget.

Figure 3: Example of risk assessment (III)

2.8 Safeguards system and guiding questions

IKI Small Grants uses the Green Climate Fund (GCF) [safeguards system](#), based on [International Finance Corporation Performance Standards](#). The safeguards system is a tool for avoiding, minimising, and mitigating harm to people and environment during project implementation. Applicants must assess whether implementation of a project itself has the potential to cause harm, or even negative impacts.

The project must avoid negative impacts on individuals, groups, or the environment. IKI Small Grants [recipients](#) must adhere to the IKI Small Grants safeguards system.

Please refer to the [IFC Performance Standards on Environmental and Social Sustainability](#) in various different languages for guidance on how to identify and assess potential project risks.

Selected organisations without institutional safeguards system or in-house expertise may receive guidance from the IKI Small Grants team to further sharpen the risk assessment and mitigation strategy.

The planning process of a project needs to assess seven “Performance Standards”. Document the assessment results in the relevant section of the online application platform. Once you identify a potential risk, it needs to be described and monitored properly. The project concept also needs to include management instruments to mitigate risks (e.g. indicators or activities such as mitigation; a desk study on potential risk or a safeguards workshop).

The guiding questions below also help you assess risks for each performance standard.

Please note: The safeguards risks you identify in your organisation will not negatively impact your chances in the project selection process! You need to address these properly in the project concept.

Performance Standard Labour and Working Conditions

Under this Performance Standard, the project is obliged to promote non-discrimination, equal opportunities, and safe working conditions for all workers and must avoid forced labour. This applies to direct workers, contracted workers, and supply chain workers.

Guiding questions: Could the project potentially...

- Cause workers' rights to be violated (working hours, wages, healthy and safe working environment, right to association of workers or to unionise, according to national legislation and international labour standards)?
- Tolerate or promote discrimination or impede equal opportunity?
- Permit child labour, which is illegal, dangerous or endangers a child's right to an education?
- Permit or facilitate forced labour (work carried out under threat of violence or punishment)?

Performance Standard Resource Efficiency and Pollution Prevention

Please make sure to avoid, or as much as possible, minimise negative impacts for human health and the environment. This includes air, soil, and water pollution, emission of greenhouse gases, and use of non-renewable resources. Sustainable use of resources should be supported.

Guiding questions: Could the project potentially...

- Result in energy, water, and other resources being used inefficiently?

- Not apply technically / financially feasible methods for more efficient use of resources (according to Good International Industry Practices)?
- Emit a high amount of greenhouse gas emissions?
- Produce hazardous or non-hazardous waste and/or not apply technically and financially feasible measures for pollution prevention (according to Good International Industry Practices)?
- Result in hazardous materials being used?
- Result in pesticides being used?

Performance Standard Community Health, Safety, and Security

Make sure to avoid or at least reduce possible health risks as well as safety/security risks for the local/affected population, which could result from project-related activities, project equipment and project-related infrastructure. Compliance with relevant international and regional human rights standards/conventions is required. This is particularly relevant in conflict and post-conflict settings.

Guiding questions: Could the project potentially...

- Cause risks to the health and safety of the affected population, for example because Good International Industry Practice (GIIP) is not (sufficiently) considered in infrastructure projects, or the population is exposed to hazardous materials?
- Cause conflicts with, or human rights abuses by, security personnel or park rangers?
- Expose the affected population to communicable diseases by project workers (including indirect and supply chain workers)?
- Expose the affected population to water-based diseases?

Performance Standard Land Acquisition and Resettlement

It is mandatory the project minimises negative social and economic impacts resulting from land acquisition or restriction of land use. **Resettlements as part of the project are not eligible under IKI Small Grants.**

Guiding questions: Could the project potentially...

- Directly or indirectly disadvantage the affected population in their access to land, use of land, or their property rights through project activities or land acquisition?
- Increase the risk of resettlement? Here, the possibility of the project exerting economic or social pressure on these groups to resettle must also be considered.

Performance Standard Biodiversity Conservation and Sustainable Management of Living Natural Resources

All projects are obliged to protect biodiversity, to use ecosystems sustainably, to support sustainable management of biological resources, and to promote integration of nature conservation and development priorities. Avoiding negative impacts for biodiversity and ecosystems are a priority. If negative impacts cannot be completely avoided, they must be minimised, or ecosystems must be restored as far as possible. Project activities with a significant negative

impact for biodiversity and ecosystem services requiring biodiversity offsets, are not eligible under IKI Small Grants. In addition, no introduction of invasive species¹ is permitted.

Guiding questions: Could the project potentially...

- Transform or negatively affect natural habitats or critical habitats (habitat conversion, degradation, fragmentation)?
- Implement activities in protected areas or internationally recognized areas (UNESCO World Cultural Heritage, UNESCO Biosphere Reserve, Ramsar Sites)?
- Introduce new alien or invasive species not yet established in the country or region?
- Negatively impact access to ecosystem services for local communities?
- Purchase primary products manufactured or produced in regions with a high risk of significant transformation of natural or critical ecosystems?

Performance Standard Indigenous Peoples and Marginalised Groups

This Performance Standard aims to minimise potential negative impacts for Indigenous Peoples or Local Communities (IPLC) and other marginalised groups in their respective territories regarding their rights, their cultural identity, and their access to and use of land/resources. Project activities that potentially negatively impact the rights and/or the access to and use of traditional land directly require free, prior, and informed consent (FPIC) by the affected groups before the project starts. The project duration must guarantee continuous participation of and consultation with these affected groups. The same standards must be applied if the project affects persons with disabilities.

Guiding questions: Could the project potentially...

- Negatively influence formal or customary rights of indigenous or marginalised local groups through its activities?
- Have a negative impact on the cultural identity and traditional way of life of these groups through its activities?
- Risk not sufficiently consulting indigenous or marginalised groups regarding planned measures that may have an effect as mentioned above?

Performance Standard Cultural Heritage

It helps to protect and conserve cultural heritage and promote equitable sharing of cultural heritage benefits.

Guiding questions: Could the project potentially...

- Negatively impact cultural goods or limit access to cultural goods for local communities?
- Result in commercial usage of cultural heritage (e.g. traditional and/or local knowledge, innovations, spiritual or holy places)?

¹ “Animals, plants or other organisms introduced by humans into places out of their natural range of distribution, where they become established and disperse, generating a negative impact on the local ecosystem and species” (IUCN). This global database can be of further help: [GISD \(iucngisd.org\)](https://www.iucngisd.org)

2.9 Sustainability and upscaling

The aspects of **sustainability** and **potential to upscale/ replicate** a project and/or its results is **crucial** for IKI Small Grants.

Sustainability

The intended positive impacts of the project should prevail and continue to exist after the end of the project. This section lets you explain how this is ensured. Approaches for ensuring sustainability of a project approach may include:

- A concept for permanently financing ongoing costs, for example through mechanisms for generating income for the implementing organisation or its target groups. For example, by showing how developing a sustainable business model can contribute or using existing public funding instruments.
- Integrating innovations created by the project into existing routine processes, rules and regulations in institutions involved, or even a legal framework so improvements can be made without incurring additional costs in the long term. To this end, it is important to explain how the project fits into the existing institutional landscape to make clear how innovations will be effective in the long term without further support through IKI.

In all cases, a good project concept must contain elements that ensure the project results also **benefit a broader interested target group**. The project concept should describe the methods used to achieve continuation and present a **consistent knowledge management** and **information strategy** for a broader public and audience. The project concept should address these aspects right from the beginning, in the best case **as a separate output or set of activities**.

The implementing organisation should also remember that IKI Small Grants projects should always try to contribute in some way to **national climate protection and/or national biodiversity goals**.

The aim is to **spread successful concepts**, approaches, and methods beyond the individual project. This can, for example, be done by advising government on changes in legislation based on pilots successfully tested locally. Your project can also adopt strategies for an **up-scaling or replication approach**.

Replicability

The approaches and results of the project should be **replicable**. That means your project approach is designed so it is easily **implemented in other contexts**. For example, could a successful pilot be implemented in another province or in the same province but by another organisation? A multiplier effect is possible when sharing project results and/or methods with the public (e.g. networks) or relevant stakeholders.



Replicability is using the same project idea again: You trained 200 farmers in county A, now you can train 200 farmers in county B.

Figure 4: Visualisation of how replicability works

Upscaling

Please also outline your upscaling approach. Approaches, instruments, and methods are developed, applied, adapted, and distributed so a larger target group or a bigger area can benefit too. For example, if you develop training manuals, these can be used again in another project, so no new manuals are needed as part of a further project. It saves time and budget, so a larger target group can be trained with the same amount of money. Please integrate these aspects in your logical framework and budget.



Upscaling is making your approach bigger.

1. Project: 200 farmers have been trained in climate-smart agriculture
2. Project: You train another 500 farmers on climate-smart agriculture

Figure 5: Visualisation of the upscaling principle

Annex: Glossary

Applicant	<p>The organisation that submits the project proposal through the online application platform, pending selection for IKI Small Grants funding.</p>
Gender	<p>A social and cultural construct which distinguishes differences in the attributes of men and women, girls, and boys, and accordingly refers to the roles and responsibilities of men and women. Gender-based roles and other attributes, therefore, change over time and vary with different cultural contexts. The concept of gender includes expectations held about characteristics, aptitudes, and likely behaviours. This concept is useful in analysing how commonly shared practices legitimize discrepancies between sexes.</p>
Gender-responsive	<p>Gender-responsive means taking gender norms, roles and relationships into account and actively addressing the resulting gender-specific disadvantages, inequalities, and discrimination, but also the potentials. Existing gender-specific needs, priorities, power relations, problems and potentials are acknowledged and highlighted, and the corresponding findings are integrated into the design, implementation and evaluation of strategies and measures.</p>
Gender-transformative	<p>The gender-transformative approach seeks to actively examine, challenge, and transform underlying causes of gender inequality rooted in inequitable social structures and institutions. It aims at addressing imbalanced power dynamics and relations, rigid gender norms and roles, harmful practices, unequal formal and informal rules as well as gender-blind or discriminatory legislative and policy frameworks that create and perpetuate gender inequality. By doing so, it seeks to eradicate the systemic forms of gender-based discrimination by creating or strengthening equitable gender norms, dynamics and systems that support gender equality.</p>
Means of verification	<p>An appropriate source for an indicator including a concrete means of verification is determined in the project planning phase and provides the basis for the data that is to be reported for the indicator and for its verification.</p>
Outcome	<p>The actual goal of the project, i.e. the intended changes related to mitigation of greenhouse gas emissions, adaptation to the effects of climate change or conserving biological diversity that can be directly causally attributed to the project. Moreover, this includes transformation in processes that intermediaries and target groups undergo when using project results or outputs.</p>
Outputs	<p>Products, goods or services, and their use by project stakeholders/participants, produced or provided for the implementation of project activities. The combined use of the project's outputs contributes to the attainment of the project outcome.</p>
Project-specific indicators	<p>Project-specific indicators serve as contractually binding benchmarks for measuring goal attainment and project success. They specify the outcome and outputs of IKI Small Grants projects.</p>
Recipient	<p>The formally selected organisation which receives funding through a grant agreement or any other official financing instrument</p>
Result	<p>Denotes a change that results from the IKI Small Grants project. Results can be intended or unintended, expected, or unexpected, positive, or negative. Results can occur from the start of the project and throughout its duration and continue to evolve after conclusion.</p>

Safeguards (system)

Ecological and social principles, (minimum) standards and criteria for project planning and implementation. The IKI Small Grants safeguards system is a tool for preventing and mitigating harm to people and the environment during implementation of a project. During the planning and execution phase of their projects, applicants need to assess whether project implementation can cause harm or have negative impacts.

Target group

Individual and institutional stakeholders the project intends to reach, or which are the focus of the project's outputs and outcome.