ACTION COMPONENT

Medium Grants

OPERATIONAL MANUAL

(JUNE 2019)

www.biopama.org

The Biodiversity and Protected Areas Management Programme (BIOPAMA) is an initiative of the ACP Group of States funded by the European Union's 11th European Development Fund.

The BIOPAMA Action Component Operational Manual, hereafter BIOPAMA AC Operational Manual, is a compendium of operating policies and procedures that cover all stages of the project cycle, i.e. selection process, approval, implementation, completion and evaluation. It focuses mainly on grant-making, eligibility criteria, selection process, grant management, financial management, conflicts of interest, risk assessment, cash flow, and monitoring processes for BIOPAMA Medium Grants. The BIOPAMA AC Operational Manual has been elaborated on the basis of information gathered through the BIOPAMA regional inception workshops, BIOPAMA AC Regional Teams consultation, and in collaboration with the European Commission DG DEVCO and the ACP Secretariat.

BIOPAMA Medium Grants are awarded following the procedures set out in the BIOPAMA AC Operational Manual - validated by the BIOPAMA Steering Committee - to ensure that suitably qualified grant beneficiaries are chosen without bias and that the best value for money is obtained, with the full transparency that is appropriate for the use of public funds.

The BIOPAMA AC Operational Manual may only be amended with approval of the BIOPAMA Steering Committee.

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1. BIOPAMA Action Component

1.1. BIOPAMA Action Component overview

1.1.1.   Context

The **Biodiversity and Protected Areas Management (BIOPAMA) Programme** is an initiative of the ACP Group of States financed by the European Union's 11th European Development Fund (EDF). It is part of the EU Biodiversity for Life Flagship initiative (B4Life) which supports efforts to halt loss of biodiversity and ecosystem services and is implemented jointly by the International Union for Conservation of Nature (IUCN) and the Joint Research Centre of the European Commission (JRC).

BIOPAMA aims to **improve the long-term conservation, sustainable use of natural resources and ecosystem services in African, Caribbean and Pacific (ACP) countries**, in protected and conserved areas and surrounding communities. Protected and conserved areas and the landscapes within which they are located have indeed a central role to play in preserving the biodiversity and ecosystem services that the majority of rural communities depend on for sustainable livelihoods.

A **protected area** is a clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values. (Dudley, N. 2008)

A **conserved area** is an area-based conservation measure that, regardless of recognition and dedication and at times even regardless of explicit and conscious management practices, achieves conservation *de facto* and/or is in a positive conservation trend and likely to maintain this trend in the long term". This definition applies equally to land, inland waters and coastal and marine territories and areas (Borrini-Feyerabend and Hill. 2015. In Worboys et al., 2015)
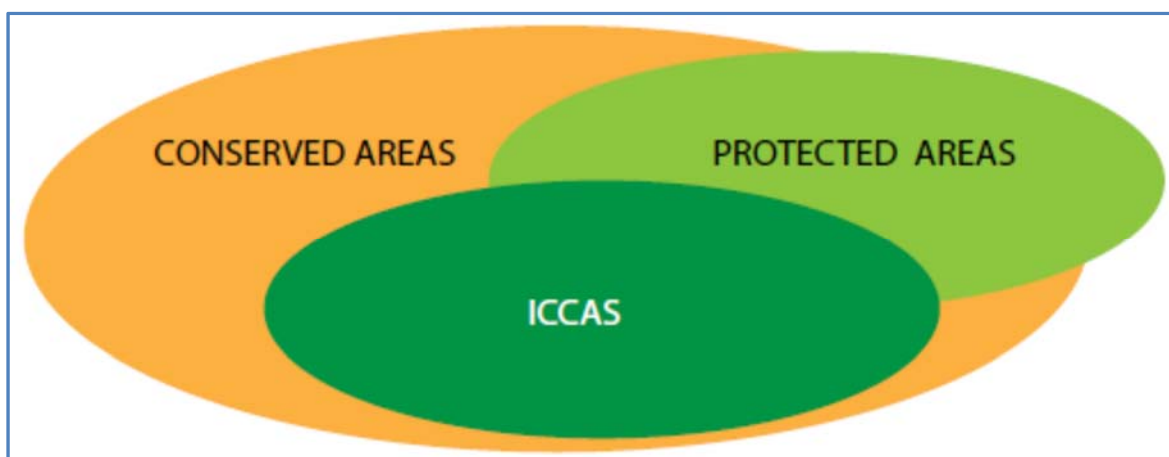
Fig.1 Incomplete overlaps among conserved areas, protected areas and ICCAs (IUCN, 2014)

The importance of ACP countries for the conservation of biodiversity of global significance, and to support local livelihoods, is clearly recognised. This is a unique opportunity for the EU to support leadership of ACP countries to address the critical needs for conservation in the face of many challenges.

As a follow-up to the BIOPAMA I programme (2011-2016), BIOPAMA II (2017-2023), provides unique and tailored support to protected area stakeholders and authorities in the ACP countries to address their priorities for improved governance and management of biodiversity, sustainable management of natural resources and ecosystem services. To achieve this, BIOPAMA II aims to achieve:

- the consolidation of the Reference Information Systems (RIS) for biodiversity and protected areas management;
- the further development and operationalization of the Regional Observatories[1] mandated by regional institutions and hosting the RIS; and
- **site-based actions, including the implementation of the BIOPAMA Action Component, an action grant mechanism to support targeted actions on the ground (hereafter BIOPAMA AC).**

Driven by clearly identified priorities, the BIOPAMA AC establishes a mechanism for mobilising grants in ACP Countries for tangible on the ground actions that address key governance and management issues. Co-benefits for human well-being, livelihoods, as well as for climate change mitigation and adaptation actions will be sought explicitly whenever possible.

1.1.2. Geographical scope and eligibility

BIOPAMA is open to stakeholders **of the ACP Countries**, located in three important regions across the world:

- Africa
- Caribbean
- Pacific

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[1] The BIOPAMA Regional Observatories for Protected Areas and Biodiversity support data collection, analysis, monitoring and reporting, develop the capacities of staff and organisations to manage this information and provide policy guidance for better decision making on biodiversity conservation. Mandated by well-established regional institutions, four Regional Observatories have been established during the first phase of the BIOPAMA programme (2011-2017) and others are being established under the second phase. These key regional partners include: the Secretariat of the Pacific Regional Environment Programme (SPREP), the University of the West Indies (UWI-CERMES) in the Caribbean, the East African Community (EAC) Secretariat, the Observatory for Central African Forests (COMIFAC-OFAC), the West African Marine Protected Areas Network (RAMPAO) and the West African Economic and Monetary Union (WAEMU). For more information please visit https://www.biopama.org/what-we-offer

Fig.2: Map of the ACP regions

The ACP Group of States targeted by BIOPAMA encompasses the following **countries** (in alphabetical order): Angola - Antigua and Barbuda - Belize - Cape Verde - Comoros - Bahamas - Barbados - Benin - Botswana - Burkina Faso - Burundi - Cameroon - Central African Republic - Chad - Congo (Brazzaville) - Congo (Kinshasa) - Cook Islands - Côte d'Ivoire - Djibouti - Dominica - Dominican Republic - Eritrea - Ethiopia - Fiji - Gabon - Gambia - Ghana - Grenada - Republic of Guinea - Guinea-Bissau - Equatorial Guinea - Guyana - Haiti - Jamaica - Kenya - Kiribati - Lesotho - Liberia - Madagascar - Malawi - Mali - Marshall Islands - Mauritania - Mauritius - Micronesia - Mozambique - Namibia - Nauru - Niger - Nigeria - Niue - Palau - Papua New Guinea - Rwanda - St. Kitts and Nevis - St. Lucia - St. Vincent and the Grenadines - Solomon Islands - Samoa - Sao Tome and Principe - Senegal - Seychelles - Sierra Leone - Somalia - South Africa[2] - Sudan - Suriname - Swaziland - Tanzania - Timor Leste - Togo - Tonga - Trinidad and Tobago - Tuvalu - Uganda - Vanuatu - Zambia - Zimbabwe.

A proposed geographical allocation of the total budget of the BIOPAMA Action Component (EUR 21 million) by region is based on the following scenario:

Region	Indicative budget*
Caribbean	3M
Pacific	3M
West Africa	3M
Central Africa	3M
East Africa	3M
Southern Africa	3M
Full competition	3M

*The total amounts are indicative

The full competition budget will allow to award additional projects when regional envelopes would not be sufficient but high quality projects would deserve to be awarded.

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[2] While natural and legal persons established in South Africa are eligible to participate in procedures financed by the 10th/ 11th EDF, South Africa cannot be a beneficiary of contracts financed by the 10th/11th EDF.

1.1.3. Objectives of the BIOPAMA Action Component

Within the framework of BIOPAMA II, the BIOPAMA AC aims to:

- **Enhance the management and governance of priority areas** by addressing existing limitations (strengthening on-site infrastructure/equipment for patrolling, poaching control, developing capacity of staff);
- **Strengthen the legal frameworks** required to achieve effective biodiversity conservation;
- **Support local community initiatives** to enhance the livelihoods of local people whilst effectively contributing to protected area management and governance.

1.1.4. Expected BIOPAMA Action Component results

The BIOPAMA AC expects to result in:

- **Improvements in the long-term conservation, equitable management and sustainable use of biodiversity and natural resources in <u>priority areas</u> (see 1.1.5.2);**
- **Enhanced capacity of national PA agencies and PA managers** to use appropriate <u>**diagnostic tools**</u>, and to apply the results of those diagnoses and assessments to undertake tangible actions in PA governance, planning, decision making, and management;
- **Contributions towards sustainable livelihoods** of local communities, vulnerable peoples and indigenous communities living in priority areas through targeted field-action interventions.

1.1.5. Method of implementation

The management of the BIOPAMA AC is carried out in a complementary way with the other activities of the BIOPAMA Programme. **From knowledge to action**, the BIOPAMA AC draws information from **diagnostic tools** that identify priorities for actions, as a basis for allocating funding for specific activities in **priority areas** to achieve effective outcomes and efficient use of resources.

1.1.5.1. Diagnostic tools and priority for actions

The BIOPAMA AC uses **a three-tiered approach** to determine priorities for action (see figure below):
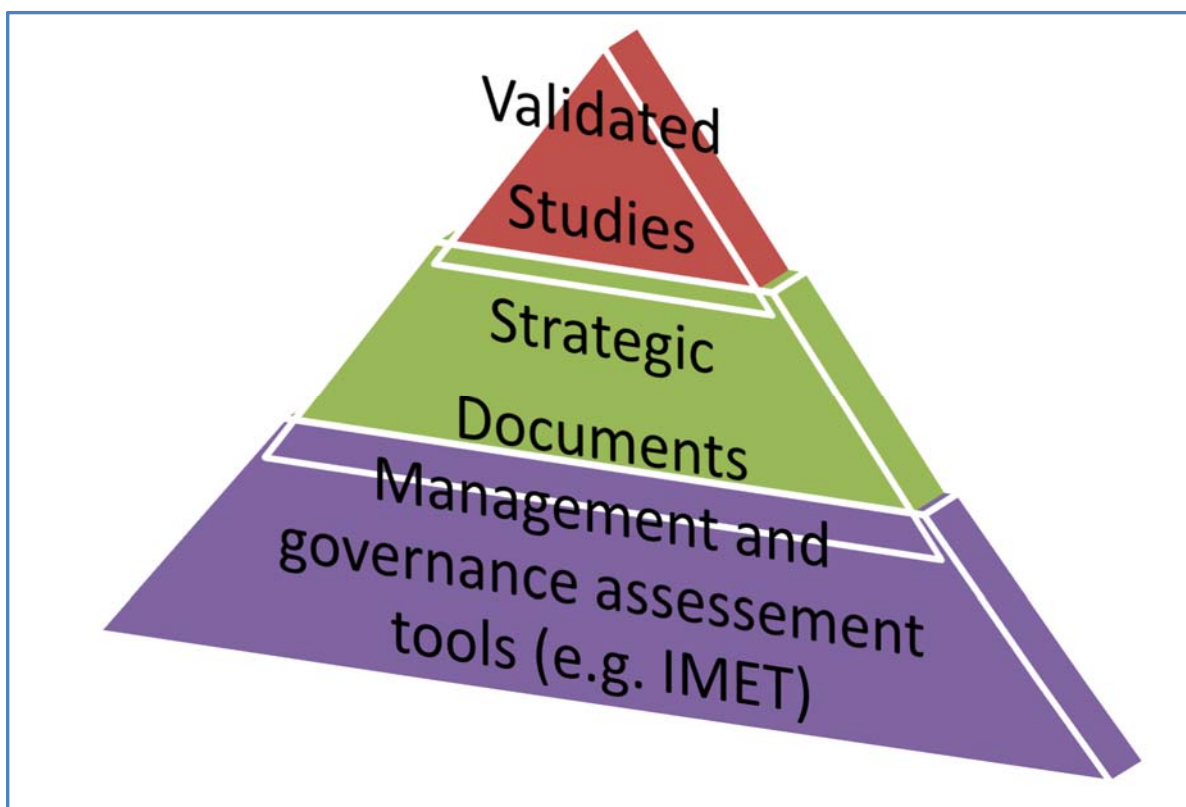
Fig.3: BIOPAMA three-tiered approach

All the BIOPAMA proposals should be based on and address priorities for action identified and specified by diagnostic tools, which encompass:

- quantified management and governance assessment tools (including IMET, PAME tools – e.g. METT, RAPPAM, Green List, EoH, or equivalent)

And only in case these are not available:

- **Strategic documents** at the protected and conserved area, national and regional levels (e.g. PA management and operational plans, National Biodiversity Strategy and Action Plan);
- **Validated Studies** by the PA management authorities.

For ease of access to the required information and to help applicants to identify appropriate proposals, where available, existing priorities for actions will be made available on the BIOPAMA Action Component portal, the RIS and the Regional Observatories.

Where no priority actions have yet been identified for a site, the national authorities and protected areas managers may provide their own rationale for action, based on the criteria listed above, and are invited to contact the relevant BIOPAMA regional focal points to obtain technical support for determining the appropriate standards and tools that are available for developing diagnostic tools.

Proposals should also take into account:

- The Intra-ACP cooperation for the 11th EDF – Strategy paper and indicative programme;
- EC strategic Biodiversity documents such as "*Larger than elephants. Inputs for an EU strategic approach to wildlife conservation in Africa*".

1.1.5.2. *Priority areas*

For the purpose of the BIOPAMA AC, **Priority areas** in wider conservation landscapes, include *inter alia* key landscapes for conservation (where identified in ACP Countries), KBAs, Marine Managed Areas or other protected and conserved areas, where their importance is justified by diagnostic tools or strategic documents in ACP Countries, including SIDS.

1.1.5.3. *Information sharing back to the RIS and Regional Observatories*

In addition, BIOPAMA funded projects will contribute to the RIS and the Regional Observatories sharing data and information from on-ground activities.
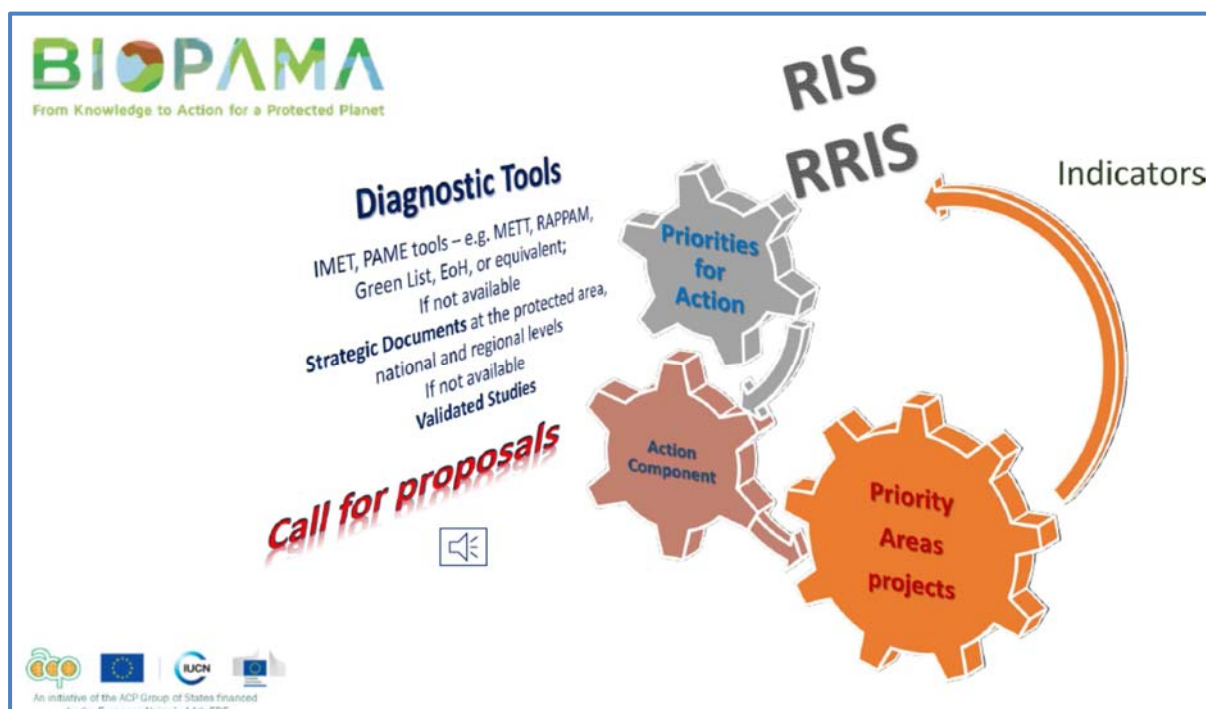
Fig.4: BIOPAMA feedback loop from knowledge to action and from action to information

1.2. Guiding principles

1.2.1. Openness and transparency

BIOPAMA AC follows principles of **openness, transparency, and partnerships** as part of its commitment to strengthen and empower national and local stakeholders. This approach ensures the avoidance of potential conflicts of interest and duplication of efforts. All groups seeking funding from BIOPAMA AC and implementing projects with BIOPAMA financial support are required to address these principles.

Information derived from projects and activities supported by BIOPAMA AC, including monitoring assessments (e.g., PAME), will be made available to the Regional BIOPAMA Teams and shared with the BIOPAMA Regional Observatories and RIS. Information regarding grants awarded, BIOPAMA AC project activities, results, best practices, and lessons learned will be posted on the BIOPAMA Action Component portal https://action.biopama.org/ and the BIOPAMA website, www.biopama.org.

1.2.2.   Consultation and participation

Stakeholder involvement is fundamental to enhancing the benefits of protected and conserved areas, and the well-being of local communities (see ESMS Chapter). The adequacy of a project's consideration and involvement of relevant stakeholders in the preparation of proposals, the inclusion of measures to maintain stakeholder participation over time, and to ensure that stakeholder involvement will enhance sustainability, are criteria against which all BIOPAMA AC project proposals will be assessed. Plans for ensuring that environmental and social safeguards are adequately met (see section 5) should be documented by the proponent and will be assessed before grants are awarded. They will also be considered during the implementation through appropriate monitoring and evaluation.

In addition, protected area managers and relevant authorities, rights-holders and stakeholders should be formally informed and involved in the preparation of proposals. When infrastructure works are proposed within the boundaries of protected and conserved areas, the relevant governance authority must endorse the activities documented in a letter of no-objection.

1.2.3.   Complementarity

All applicants are strongly encouraged to undertake consultations with stakeholders, agencies and government departments to ensure that proposed projects are complementary and avoid duplication. Complementarity and synergy with other activities or projects are criteria against which all BIOPAMA AC project proposals will be assessed. This is also considered during the implementation monitoring and evaluation of the projects. It is suggested that applicants notify their regional BIOPAMA focal point (see list p.33) of planned proposal development to gain an insight into complementary activities.

Grant portfolios will be made available to partner organizations, the conservation community and governments via the dedicated BIOPAMA Action component portal and BIOPAMA website and newsletters. The ACP Secretariat, the EC and other donors and funds, such as KfW, CEPF, PPI and BEST, will be updated on BIOPAMA Action Component grants on a regular basis to foster complementarity of actions.

1.3. The types of projects that can be funded by the BIOPAMA Action Component

BIOPAMA AC will provide grants to projects supporting **tangible actions on the ground in priority areas.** The **activities shall be based on the clear priorities for action identified** in priority areas by diagnostic tools (see 1.1.5.1).

1.3.1.   The niche of the BIOPAMA Action Component

The BEST Initiative has demonstrated that external funding from the EU B4Life flagship project has a highly beneficial effect on the ability of local and national actors to leverage complementary funding, as well as in terms of strengthening their institutional capacity. As ACP Countries may also be eligible for support from other funding sources, the BIOPAMA AC seeks to provide complementary and **tailor-made modalities of financial support**.

1.4. BIOPAMA Action Component activities

1.4.1. Overarching and interlinked components

The BIOPAMA AC encompasses three main **interlinked activities**:

1. **A grant programme** providing funding for projects in ACP Countries through small, medium sized grants and small technical grants.
2. **Capacity-building** activities (workshop/webinar) for local actors preparing project proposals and grantees managing grants;
3. **Monitoring and evaluation during** implementation, to ensure that lessons learned are captured and communicated, and so that information can be shared with the Regional Observatories and RIS.

1.4.2. Indicators of success of the Action Component

The BIOPAMA AC is intended to achieve the following:

> - **100%** BIOPAMA AC funded projects are addressing a priority for action defined by diagnostic tools.
> - **100%** BIOPAMA AC funded projects provide all relevant information and lessons learned to the BIOPAMA Regional Observatories and RIS.
> - **18 Medium Grant projects approximately** are aiming at enhancing capacity to use appropriate assessment tools (e.g. IMET, PAME, PAGE and Green List Standard), planning and decision making, improving long-term conservation and sustainable use of biodiversity and natural resources in priority areas and surrounding communities.

These indicators are nested within the overall BIOPAMA AC Logical Framework (see below).

1.4.3. BIOPAMA Action Component Logical Framework

The **three-year implementation (2019-2023) BIOPAMA AC Logical Framework** provides the underpinning concept for its monitoring approach and its strategic allocation of grant funding.

The BIOPAMA AC Global Team, in close collaboration with the BIOPAMA AC Regional Teams and JRC, is responsible for monitoring the performance of the overall BIOPAMA AC and ensuring that all activities are carried out in line with this operational manual.

The BIOPAMA AC Global Team compiles performance data at the overall AC level and conducts analysis to identify trends, key accomplishments, performance strengths and weaknesses, and lessons learned.

The BIOPAMA AC Regional Teams support regional and national monitoring ensuring the collection and analysis of performance data at the regional and project levels.

BIOPAMA Action Component Logical Framework (2019-2023)

		Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
BIOPAMA Specific Objective 3		**Governance and management actions identified as priorities by appropriate diagnostic tools are implemented in priority areas.** Co-benefits for human well-being, livelihoods, as well as for climate change mitigation and adaptation actions will be explicitly sought whenever possible.	**3.a.** BIOPAMA AC projects are addressing clear and prior identified priority(ies) for action, using information from diagnostic tools.	**3.a.** Priorities for actions made available by RRIS, RIS and the BIOPAMA AC portals.	**3.a.** **100% BIOPAMA Action Component funded projects address a clear and prior identified priority for action**, using information from diagnostic tools.	**3.a.** BIOPAMA AC project descriptions and reports.	The Priorities for actions are clear and publicly available. The applicants clearly understand the link between the BIOPAMA AC, the RRIS and RIS.
			3.b. RIS indicators[3] are used by the BIOPAMA funded project logframe in order to both: - monitor, in a consistent and harmonised way, the BIOPAMA funded projects' contribution to the BIOPAMA objective to improve and strengthen Protected areas as well as CBD Aichi Targets and SDGs; - ease an effective and consistent feedback	**3.b.** RIS Management effectiveness and governance indicators used by the BIOPAMA AC funded projects logframe at start of action.	**3.b.** Management effectiveness and governance indexes in beneficiary conservation landscapes in 2023.	**3.b.** Interim and final reports of the BIOPAMA funded projects; BIOPAMA AC Portal, BIOPAMA website, State of Protected Area reports, RRIS reports, RIS.	Management effectiveness and governance assessments are endorsed by national authorities and done transparently. The BIOPAMA Grantees share data and information with RIS.

[3] Annex 4

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
		process with data and information from the BIOPAMA funded projects to RIS.				
		3.c # Number of Priority Areas benefiting from BIOPAMA Action Component funded projects.	**3.c** Priority Areas showcased by the RIS and RRIS at start of action.	**3.c** **100 Priority Areas** benefit from at least one BIOPAMA Action Component funded project by 2023.	**3.c.** BIOPAMA AC Portal, BIOPAMA website, RRIS reports, RIS, Interim and final reports of the BIOPAMA funded projects.	Priority Areas are well identified and promoted by BIOPAMA Regional Observatories and RIS. The BIOPAMA Action Component applicants target Priority areas.
Result 3.1	**Enhance the management and governance of priority areas by addressing existing limitations (strengthening on-site infrastructure/equipment for patrolling, poaching control, developing capacity of staff);**	**3.1.a.** Level of improvement in management effectiveness and governance indices in PAs receiving BIOPAMA AC grants	**3.1.a.** Management effectiveness and governance indices at start of action.	**3.1.a.** Improved management effectiveness and governance indices at end of action by 2023.	**3.1.a.** Management effectiveness and governance assessment reports, regional and national strategies, thematic and expert reviews.	Management effectiveness and governance assessments are endorsed by national authorities and done transparently.
		3.2.b. BIOPAMA Action Component funded projects' activities.		**3.2.b.** BIOPAMA AC funds at least by 2023: - 12 to 18 MG	**3.2.b.** EC selection letters of projects. BIOPAMA AC Portal.	BIOPAMA AC applicants have access to diagnostic tools, understand the priorities for

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
						actions and submit proposal for addressing them.
Result 3.2	**Strengthen the legal framework required to achieve effective biodiversity conservation.**	**3.2.** Level of improvement of the legal framework in management effectiveness and governance indices in PAs receiving BIOPAMA AC grants	**3.2.** Management effectiveness and governance indices at start of action.	**3.2.** Improved management effectiveness and governance indices at end of action by 2023	**3.2.** Management effectiveness and governance assessment reports	Management effectiveness and governance assessments are endorsed by national authorities and done transparently. National Authorities support the needed improvement of the legal framework and adopt and implement the needed measures.
Result 3.3	**Support local community initiatives aiming to enhance the livelihoods of local people whilst effectively contributing to protected and conserved areas management.**	**3.3.a.** **# Number of CBOs** benefiting as leader or partner of the BIOPAMA AC projects.	**3.3.a** # Number of diagnostic tools targeting communities' livelihoods and vulnerability at start of action.	**3.3.a** # Number of BIOPAMA AC funded projects addressing local communities' livelihoods and vulnerability by 2023.	**3.3.a**. BIOPAMA AC Portal, interim and final reports of BIOPAMA Action Component funded projects, RRIS, RIS.	Submitted BIOPAMA AC projects target Local communities living in priority conservation landscape aiming at enhancing their

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
		3.3.b Relevant RIS indicators used by the BIOPAMA funded project logframe to : - monitor, in a consistent and harmonised way, the BIOPAMA funded projects' contribution to the BIOPAMA objective to improve Protected areas governance and management of natural resources and ecosystem services as well as relevant CBD Aichi Targets and SDGs.	**3.3.b.** Relevant Management effectiveness and governance indices at start of action.	**3.3b.** Improved relevant management effectiveness and governance indices by 2023	**3.3b.** Management effectiveness and governance assessment reports, RRIS, RIS, interim and final report of BIOPAMA Action Component funded projects.	livelihoods and reducing their climate change vulnerability. Local community are in capacity to submit a project proposal.

1.5. Programme management structure and governance

The management of BIOPAMA AC includes the BIOPAMA AC Global Team, BIOPAMA AC Regional Teams, Regional Advisory Committees, Regional Observatories, JRC and the BIOPAMA Steering Committee. Their respective roles and responsibilities are described below.

The BIOPAMA AC implementation arrangements are designed to enable continuous and efficient support to stakeholders of the ACP Countries, and to establish a clear and effective chain of accountability for results. The approach allocates authority, responsibility, and accountability among the different partners, while ensuring important linkages between the different levels of the BIOPAMA AC.

IUCN is responsible for administering and executing the BIOPAMA AC activities. This includes hosting the BIOPAMA AC Secretariat, employing the needed staff, contracting the needed experts, and ensuring that all funds are managed with due diligence and efficiency on behalf of the BIOPAMA Action Component.
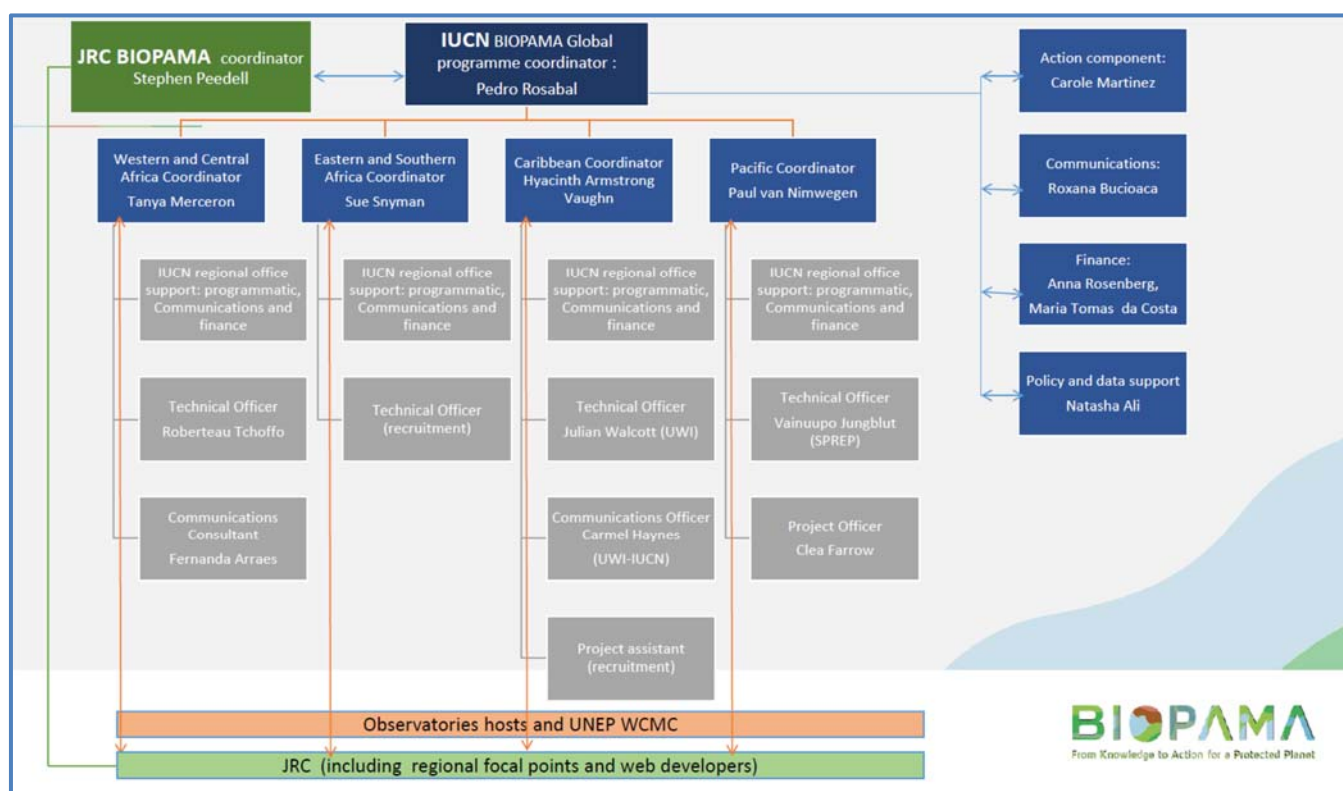
Fig.5: BIOPAMA Organogram

1.5.1.   BIOPAMA Action Component Secretariat

The BIOPAMA Action component includes both one dedicated BIOPAMA AC Global team based in IUCN HQ and BIOPAMA AC Regional Teams based in IUCN Regional offices.

1.5.1.1.   BIOPAMA AC Global Team

The BIOPAMA AC Global Team is responsible for strategic and financial management, oversight, and reporting for the Action Component. This includes supervision of the BIOPAMA AC implementation, monitoring and reporting as well as the training of all the BIOPAMA AC staff to ensure that all activities and the financial management are carried out in accordance with the BIOPAMA Operational Manual. BIOPAMA AC Global Team responsibilities include financial management and annual audits, organizing independent evaluations, communications and outreach, including management of the BIOPAMA AC portal (https://action.biopama.org/), publication production, training for monitoring, documentation of lessons learned, and facilitating opportunities for sharing of information, best practices and success stories from grantees.

Roles and Responsibilities of the BIOPAMA AC Global Team

- Developing the overall Action Component framework in collaboration with the regional teams and JRC.
- Monitoring and reporting to ensure that all BIOPAMA activities of the Action Component and financial management are carried out in compliance with the European Commission rules as well as the BIOPAMA AC Operational Manual.
- Creating and managing an online portal for the submission of proposals and intranet for storing and analysing the proposals and developing international and European promotion, communication and outreach materials.
- Organising the calls for proposals and their outreach in collaboration with the BIOPAMA AC Regional Teams.
- Issuing the grants and managing them with the support of BIOPAMA AC Regional Teams.
- Ensuring the grant projects monitoring and overseeing the project monitoring by the regional teams.
- Supporting the BIOPAMA AC Regional Teams for the review and documentation of the lessons learned, communicating success stories, facilitating knowledge sharing to the Regional Observatories and RIS with new data and information from the BIOPAMA AC funded projects.

The BIOPAMA AC Global Team comprises a Senior BIOPAMA Action Component Manager, a Senior Grant Finance Manager, the BIOPAMA Finance officer and the BIOPAMA Communication and Liaison Officer.

1.5.1.2. BIOPAMA AC Regional Teams

To ensure the most efficient uptake from BIOPAMA I and an efficient BIOPAMA AC implementation at the regional and national levels, the BIOPAMA Regional Coordinators act as BIOPAMA AC **regional focal points**.

The BIOPAMA AC Regional Teams include one BIOPAMA AC Regional Focal Point, one BIOPAMA AC regional technical officer and one BIOPAMA AC financial officer and one Regional Observatory technical officer. Located in all of the regions targeted by BIOPAMA, the BIOPAMA AC Regional Teams ensure important proximity and availability to the stakeholders in order to provide information and explanation about the BIOPAMA AC as well as capacity-building.

BIOPAMA AC Regional Teams also ensure that the BIOPAMA I knowledge is reinforced by the BIOPAMA AC, taking care that priorities for action are clearly identified by the Regional Observatories and addressed by BIOPAMA AC funded projects, providing to the BIOPAMA Regional Advisory Committees (RAC) useful insights on the proposals regarding their accordance with the identified priorities for actions and their ESMS screening. In addition, the BIOPAMA Regional Teams contribute to the monitoring of the funded projects as well as to collation and analysis of data and information, and lessons learned useful for contributing to the RRIS.

1.5.2. BIOPAMA Action Component Regional Advisory Committees (RAC)

The BIOPAMA Regional Advisory Committees (RAC) bring together independent experts to perform the **assessment of proposals** by providing an independent scientific and technical review. The independent experts have a sound knowledge on ACP biodiversity and experience in the ACP regions and countries to ensure a robust and impartial assessment. IUCN will mobilize its expert networks, including the IUCN Commissions, to this end, organising a call for application, and relevant CVs will be shared with the BIOPAMA AC Validating Committee for approval. The terms of reference for the Regional Advisory Committee experts include provisions to prevent any risk of conflict of interest between the experts and

potential applicants from the same ACP regions and/or country. The appointed members of the Regional Advisory Committees (RAC) are validated by the deciding members of the BIOPAMA Steering Committee. The terms of reference for the Regional Advisory Committees can be found in Annex **Error! Reference source not found.**5.

The BIOPAMA Regional Coordinators convene and ensure the secretariat of their respective BIOPAMA Regional Advisory Committee and provide to the RAC useful information on the relevance of the project regarding the identified priorities for action as well the ESMS screening.

1.5.3. BIOPAMA Steering Committee and BIOPAMA Action Component Validating Committee.

1.5.3.1. BIOPAMA Steering Committee

The BIOPAMA Steering Committee is the overall platform for information exchange and sharing advice and recommendations on the overall strategic, operational and financial direction of all phases of the BIOPAMA programme between the ACP Secretariat (ACPS), the contracting authority (the European Commission), the contractors (IUCN and JRC). The BIOPAMA Steering Committee meetings are convened and chaired by the ACPS and take place once per year, at least one month after submission of joint JRC-IUCN Annual Progress Reports. Depending on the agenda for each meeting the ACPS may consider inviting regional representatives that can bring their experience and perspective on the implementation of the programme.

The role of the BIOPAMA Steering Committee is to:

- To review progress achieved in the implementation of the BIOPAMA programme, including the Action Component, and provide advice on how to enhance activities.
- Provide guidance on how to address any problem that could affect the implementation of the BIOPAMA programme and its Action Component.
- Provide guidance on how to better link priorities of ACP countries to those defined for the implementation of BIOPAMA II including its Action Component.

The BIOPAMA Steering Committee is made up of three categories of members:

- Deciding members:

- 1-2 representative of DG DEVCO C2 (co-chair).
- 1-2 representatives of ACP Secretariat (co-chair).

- Reporting members:

- 2 representatives of IUCN;
- 2 representatives of JRC

When relevant, 1 representative of each of the BIOPAMA regional teams involved in the Action component.

- Observer members (if needed):

Additional observer members can be invited on an *ad hoc* basis by the Secretariat, as relevant.

1.5.3.2. BIOPAMA Action Component Validating Committee

The BIOPAMA Action Component Validating Committee includes the deciding members of the Steering Committee:

- Evaluates project proposals on the basis of the RAC-consolidated reports for MGs project proposals and regional summary reports for Small Technical Grants;
- adopts the BIOPAMA decision award with the list of the selected projects for BIOPAMA Action Component fund.

The BIOPAMA Action Component Validating Committee is mobilised by the BIOPAMA AC Global Team through a written process with the communication of the RAC consolidated reports, including risk assessment of the projects, and summary reports on the submitted Small Technical Grant requests.

For details on the grants award see section 2.8 and section 2.11.

Summary of core roles and responsibilities for the BIOPAMA Action Component

Activity	BIOPAMA AC Global Team	BIOPAMA AC Regional Teams	BIOPAMA AC Steering Committee	BIOPAMA AC Validating Committee
Call for proposal	Develops the Operational Manual Develops materials, procedures and tools for the calls for proposals Updates and manages the call for proposal process Develops and manages the BIOPAMA AC portal	Assist the BIOPAMA AC Global Team in validating the strategic directions and draft Calls for Proposals Promote the calls in each region and sub-region	Validates the Operational Manual Reviews and advises on the call for proposal timeline, procedures and strategic direction	
Proposal preparation	Provides technical support and advice to applicants	Provide technical support and advice to applicants and capacity building to Small Grant applicants Provide technical support to applicants in designing projects	Validates the calendar of calls (written procedure if necessary)	
Proposal evaluation,	Ensures due diligence, supports review	Assist the BIOPAMA AC Global Team in performing the due	Advises on the Operational Manual and Strategic	Decides on the selection of proposals on the

Activity	BIOPAMA AC Global Team	BIOPAMA AC Regional Teams	BIOPAMA AC Steering Committee	BIOPAMA AC Validating Committee
selection and award	and decision-making for all proposals regarding eligibility, compliance and operational capacity Contracting, risk assessment processing, agreement preparation, legal review coordination, etc.	diligence and risk assessment. Support the technical review and selection of grant proposals. Convene and ensure the secretariat of the BIOPAMA AC Regional Advisory Committee (RAC) tasked to provide an independent review of the proposals Collate the results and, once selected by the Validating Committee, prepare the notification letters about the results of the call for all applicants to be sent by the BIOPAMA AC Global Team	Framework that guide the project selection criteria and processes. Informed of the outcome of the selection process.	basis of the RAC consolidated reports of the project proposals and the regional summary reports of Small Technical Grant requests including the risk screening
Grant making	Develops documentation and grant agreements for competitive selection, and directly awarded grants Provides the overall guidance on financial management and reporting Coordinates and manages external audit of medium grants	Assist the BIOPAMA AC Global Team in providing guidance to the grantees maximizing the proximity effect and local knowledge particularly on priorities for action Organise capacity building workshop and provide guidance to grantees on financial management and reporting Support the grantees and the BIOPAMA AC Global team for the external audit of medium grants		

Activity	BIOPAMA AC Global Team	BIOPAMA AC Regional Teams	BIOPAMA AC Steering Committee	BIOPAMA AC Validating Committee
Monitoring	Analyses project management and implementation effectiveness; monitors overall grantee performance against project proposal using project reports and site visits. Supports Regional Teams on technical and financial advices incl. related to safeguard compliance Inform and report to the BIOPAMA Steering Committee on the project implementation	Assist the BIOPAMA AC Global Team in project monitoring and analysis of project management and implementation effectiveness Ensure that the reports are submitted on due time by grantees. Supports grantees by providing technical and financial advice incl. related to safeguard compliance Review the reports and ensure the monthly calls with grantees	Reviews monitoring results on an annual basis. Is informed on BIOPAMA AC project implementation issues and termination of BIOPAMA AC grant agreements and Small Technical Grants contracts	
Consolidation	Leads the elaboration of the consolidation document which summarises the lessons learnt, best practices, success stories and innovative approaches of the BIOPAMA AC funded projects	Contribute to the consolidation document through the extraction of lessons learnt, identification of best practices, success stories and innovative approaches from projects implemented in their region Support the information and data sharing from the BIOPAMA AC funded project to the	Reviews the consolidation results on an annual basis	

Activity	BIOPAMA AC Global Team	BIOPAMA AC Regional Teams	BIOPAMA AC Steering Committee	BIOPAMA AC Validating Committee
		Regional Observatories and the RIS.		
Annual financial and progress report	Elaborates the interim and financial reports on the BIOPAMA AC implementation	Provide inputs to the interim and final reports on the BIOPAMA AC implementation in their region	Reviews the interim and final reports	

2. BIOPAMA Grant management procedures

2.1. General principles

The grant-making system is built on the **principles of transparency, equal treatment, programming, compliance with admissibility, eligibility, selection and award criteria, non-accumulation, non-retroactivity, co-funding for Medium Grants, no-profit rule and avoidance of conflicts of interest.**

These principles are integrated in the procedures, rules and criteria of the grant-making system in accordance with the overarching principle of proportionality.

2.2. Procedures applicable to all types of grants and Procurement

The following procedures will be conducted by the BIOPAMA AC Global Team and associated structures:

(i)   Publication of call for proposals/interest
- wide publication with ease of access
- clarity and completeness of documentation and rules
- support and information provided to applicants.

(ii)   Submission of proposals/requests
- acknowledgement of receipt and registration
- integrity of information, availability and confidentiality
- compliance with deadlines
- invalidation of late proposals.

(iii)   Checking admissibility
- arrival
- completeness.

(iv)   Checking eligibility
- applicants
- project activities.
- costs

(v)   External review
- roles, functions, composition and operating rules of Regional Advisory Committees
- conflict of interest and confidentiality
- reporting and documentation.

(vi)   Review and selection
- checks of design and content of proposals
- review consolidated reports of the proposals review
- ranking list of proposals recommended for funding.

(vii)   Awarding of grants
- segregation of duties in decision making process
- assessment reports/summary reports/decision templates
- notifications to the applicants
- publication of grant agreements/procurement contracts award results.

(viii)   Grant agreements prepared

- grant agreements – terms and conditions
- timing and negotiation
- verification of internal control, accounting rules and financial procedures
- review provisions
- suspension/termination provisions
- notification
- monitoring.

2.3. BIOPAMA Financial support

There are **two main types of financial support** under the BIOPAMA Action Component:

- Medium Grants (MG);
- Small Grants (including Swift Small Grants-SSG and Small Technical Grants-STG).

This Operational Manual deals with Medium Grants (MG) and Small technical Grants (STG). The later provide an ad hoc financial support to urgent equipment needs, small works and services.

Type of financial support	BIOPAMA Funding	Typical Duration
Medium Grants	> € 100 000 and ≤ € 400 000	Up to 36 months
Small Technical Grants	≤ € 50 000	For quick Supplies, equipment, works and services purchases

BIOPAMA grants can be based on the actual costs incurred by the beneficiaries, or on the simplified cost options (e.g. unit costs, lump sums and/or flat-rates) or on the combination thereof, as appropriate.

The following rules apply to BIOPAMA grants:

- The maximum contribution cannot exceed EUR 400 000 for Medium Grants.

- **A minimum of 5% co-funding[4] is required for Medium Grants**.

2.4. Publication of calls for proposals

Calls for proposals will be announced via the BIOPAMA Action Component Portal, which is accessible and open to all applicants, IUCN Regional Offices web pages, the BIOPAMA RRIS hosted by partner institutions. Other means may also be used to disseminate the calls e.g. the BIOPAMA newsletter, the Protected Planet newsletter, the ACP Secretariat website, the portal of the EU delegations in ACP countries. A call for proposals is easily accessible via the internet and consists of:

- Notice of Call for Proposals.
- Guidelines for applicants.
- Templates – project proposal, budget, and logical framework.
- FAQs
- Model Grant Agreement and Annexes.

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[4] EU grants shall involve co-financing. Union grants may not finance the entire cost of the action to be subsidised. Therefore, grants cover only a percentage of the eligible costs. Co-funding from the applicant may be provided in the form of the beneficiary's own resources, income generated by the action or financial contributions from third parties (public or private). European Commission, Financial guidelines for applicants, 2018.

2.5. Proposal submission

All BIOPAMA Medium Grant applications and Small Technical Grant **should be submitted electronically** on the [BIOPAMA Action Component portal](#). Submissions on paper are not accepted.

However, in case of technical difficulties, applicants may exceptionally submit by email to the relevant Regional BIOPAMA Coordinator acting as Regional BIOPAMA AC Focal point (see the list below) copying the BIOPAMA AC Secretariat (BiopamaGrantSecretariat@iucn.org). The list of contacts will be available and updated on the BIOPAMA AC portal.

The BIOPAMA Action Component portal allows applicants to make changes prior to the final submission of an application.

Applicants have the option of contacting the BIOPAMA AC Regional focal point or the BIOPAMA AC Secretariat staff to ask any questions regarding the application process. Contacting the focal point is desirable and advised, especially to screen for complementarity of proposals. Queries must be sent by e-mail no later than **10 calendar days** before the deadline for the submission of the proposal, and should clearly indicate the reference number of the call for proposals. Queries that are relevant to other applicants, together with answers and other important notices, will be published on the BIOPAMA Action Component portal in FAQ section.

The submission of a proposal will be acknowledged by an automatically generated e-mail to the applicant. The system will also generate individual registration numbers for each submitted project concept note and full proposal. The register of submitted proposals along with all the submitted documents will be stored electronically and in hard copy in a centralized storage area with restricted access to authorized personnel to ensure the security and confidentiality of proposals.

2.5.1. Maximum number of applications/requests

Each applicant may submit a **maximum of:**
- **2 Medium Grant proposals per call** as lead applicant and/or co-applicant;
- **1 Small Technical Grant per call**.

Nonetheless**, an applicant can only be awarded 1 Medium Grant as lead applicant**. If two proposals on which an applicant is the lead applicant successfully pass the assessment steps as described in the following sections, only the proposal with the highest score will be retained for the award of a grant.

On the other hand, a single entity may be awarded a grant for its proposal as lead applicant and may also be involved in another grant-awarded proposal as co-applicant, provided it can demonstrate that it has sufficient human and technical resources to successfully implement both projects.

Any one applicant can be awarded a maximum of one BIOPAMA Medium Grant <u>and</u> one BIOPAMA Small Technical Grant.

2.6. BIOPAMA Medium Grant and Small Technical Grant process

Grant processes will be tailored in accordance with the needs and capacities of applicants, particularly in the case of small organisations and local communities that are targeted by the small grants. To this end, BIOPAMA AC has differentiated processes for the Medium and Small Technical Grants.

This operational manual focuses on BIOPAMA AC Medium Grants and Small Technical Grants.

2.6.1. BIOPAMA Medium Grants (MGs)

The grant application process for BIOPAMA MGs (**EUR 100,000 ≤EUR 400,000**) comprises a single stage with the submission of a full proposal for assessment, ranking, evaluation and final selection.

BIOPAMA MG Proposal Cycle (in calendar days)
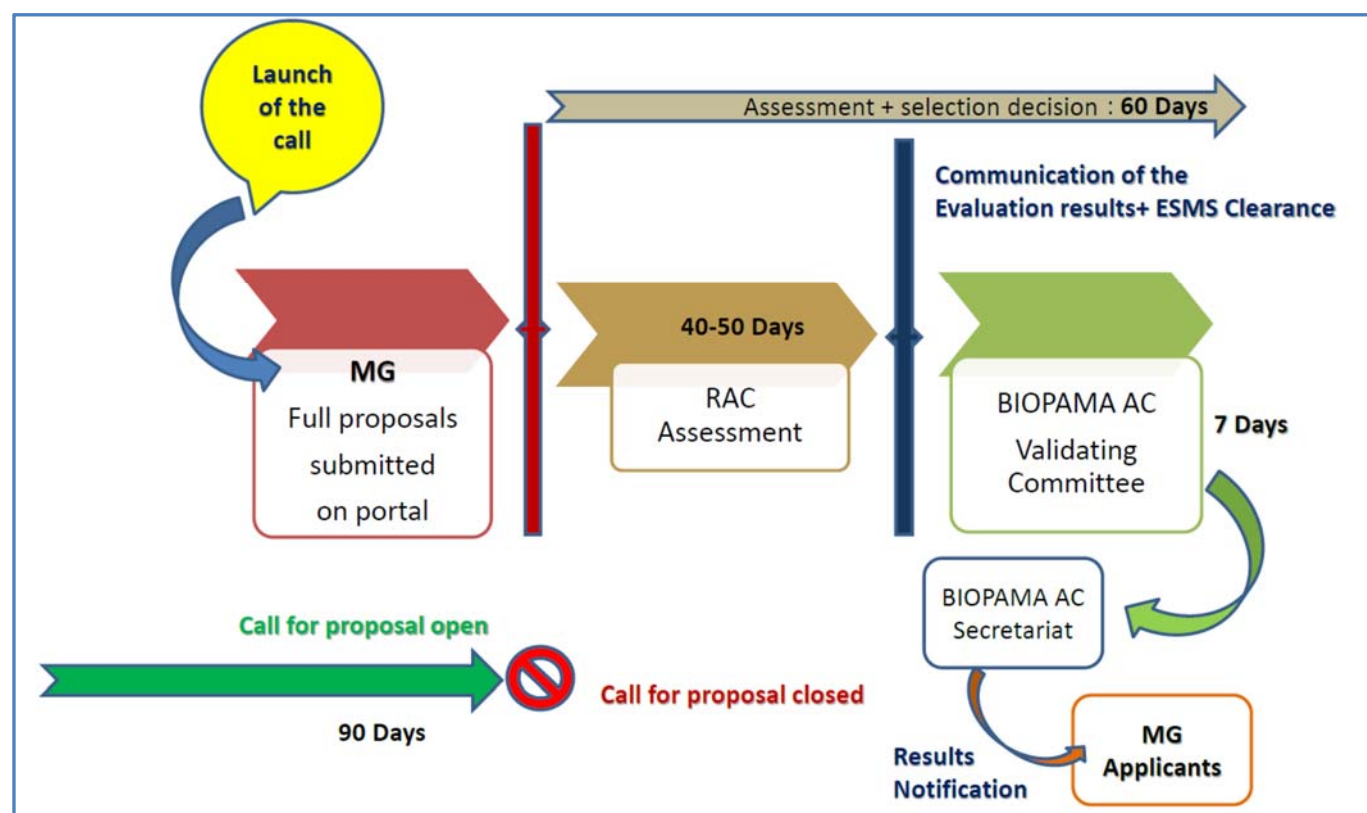
2.6.2. BIOPAMA MG Proposals

Applicants should complete and submit on-line a Medium Grant proposal template (see annex 6) available on the BIOPAMA Action Component portal with the budget and the logical framework, as well as the due diligence and capacity form.

The MG proposal template requires applicants to respond to a series of eligibility questions in order:
- to specify the priority areas, BIOPAMA objective(s) and the priority(ies) for action the project is aiming to contribute to, and the diagnostic tools used;
- to provide a detailed rationale of the project, its socio-economic context, its activities,
- to explain the involvement of relevant stakeholders as well as the ESMS analysis and tools;
- to indicate the monitoring methodology and capitalisation approach;
- to demonstrate its cost-effective budget, the synergy with other projects and indicate the sustainability plan of the project,
- to present the communication activities.

Eligibility of project costs

Only eligible costs will be funded by BIOPAMA grants; in order to be eligible, costs must be:

- necessary for the implementation of the project activities;
- reasonable, justified and consistent with the principles of sound financial management, in particular value for money and cost-effectiveness;
- generated during the lifetime of the project (costs incurred before the official starting date of the

project or after the official end date of the project are not eligible); expenditure eligible for financing may not have been incurred before the signature of the grant agreement;

- either actually incurred by the beneficiary and be recorded in his accounts in accordance with the applicable accounting principles, or based on the simplified costs options or on the combination thereof;
- identifiable and verifiable;
- compliant with the requirements of the applicable tax and social legislation of the country(ies) where the activities are implemented.

Beneficiaries must take care to avoid any unnecessary or unnecessarily high expenditure.

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme;
- purchases of land or buildings;
- in-kind contributions;
- currency exchange losses;
- credit to third parties;
- salary costs of the personnel of national administrations unless they relate to the cost of activities which the relevant public authority would not carry out if the Action were not undertaken, as attested by the TORs of the specified personnel[5];
- costs leading to personal or private profit, as stated in Annex 2.

2.6.2.1. BIOPAMA MG Proposal submission time

The deadline for submission of a Medium Grant proposal is **90 calendar days from the launch** of the call for proposals.

Only finalized applications submitted online by the deadline stated in the description of the call will be accepted. Incomplete proposals or **proposals submitted after the deadline will be rejected automatically by the on-line application platform.** In exceptional circumstances, where proven technical issues exist (electricity or internet), and after review by the BIOPAMA AC regional and Global Teams, applications may be accepted when submitted after the deadline. To be accepted, a declaration from the electricity and/or internet provider will be required with confirmation of the technical issue, its date and duration.

2.6.2.2. Pre-Screening Reviews of BIOPAMA MG Proposals

All of the submitted BIOPAMA MG Grant proposals will be subject to **two pre-screening reviews** to ensure that they comply with the admissibility and eligibility criteria and are eligible to receive funding from BIOPAMA Action Component:

1) Admissibility check.
- The application **must have been submitted online** via the BIOPAMA AC portal (or exceptionally by email) **before the deadline.**
- The application **must be complete**. Incomplete applications will be rejected.
- The forms must be duly **signed by an authorised person**.

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[5] The eligibility of the salary costs of the personnel of national administrations may be proved by job descriptions that would demonstrate that tasks paid by project make no part of usual workload of the personnel.

- The BIOPAMA AC template and forms have been used (modifications of the content of the form are not permitted; only minor changes in font, size and layout can be accepted).
- The application is not hand-written (except for dates and signatures).
- The BIOPAMA AC funding requested is within the minimum and maximum amount for MGs (i.e. > EUR 100 000 and ≤ EUR 400 000).
- The duration of the project doesn't exceed 36 months
- The required **co-funding (minimum 5%** for MGs) is tangible and not funded by any other EU financial instrument or programme.

If the proposal has **passed the admissibility check, it will be submitted to an eligibility pre-screening and financial risk assessment**.

2) Eligibility pre-screening, financial, and operational capacity risk assessment

This step involves the screening of admissible proposals to ensure that they comply with the eligibility criteria for receiving funding from BIOPAMA AC. Proposals are assessed against the following criteria. A list of proposals which do not pass this check will be submitted to the BIOPAMA AC Validating Committee for their reference.

(i) Eligibility of applicants

Eligible entities for BIOPAMA AC financial support **must**:

➢ be a registered public entity;
➢ be a registered non-profit legal entity;
➢ be a registered small or medium enterprise (SME);
➢ not be individuals or sole traders.

and
➢ be a national, subnational or local government agency;
➢ be a protected area or conserved area;
➢ be a non-governmental organisation (NGO);
➢ be a local community-based organisation (CBO);
➢ be a regional organisation carrying out field projects;
➢ be an international organisation (IGO) carrying out field projects.

and
➢ be established in an ACP country (a member of the ACP Group of States);
➢ be established in a Member State of the European Union;
➢ be established in a European Overseas Country or Territory (OCT)
➢ be established in an OECD Member State, in the case of contracts that are implemented in a Least Developed Country (LDC) or a Highly Indebted Poor Country (HIPC), or in the case of a contract implemented in regional or global programmes which include at least one LDC or HIPC country.

and
➢ be directly responsible for the preparation and management of the grant project; not acting as an intermediary.
➢ not be a beneficiary of a grant funded by the European Union (including EDF funds) for the same activities.

Conflict of interest

For avoiding conflict of interest:

➢ the organizations of the BIOPAMA consortium are not eligible for grants (IUCN, JRC and Regional Observatories).

➢ the Regional Advisory Committee experts are not eligible.
➢ Grants will not be awarded to entities whose staff includes an individual currently employed by, or closely related (i.e. immediate family) to an employee of IUCN, JRC and/or an organisation hosting a BIOPAMA Regional Observatory.

IUCN Member Organisations are eligible to apply for grants provided they fulfil the eligibility criteria and can demonstrate their legal and structural independence from the IUCN Secretariat.

Exclusion criteria:
➢ Applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations listed in the PRAG 2018 (Practical Guide- Section 2.6.10.1.1).
➢ Applicants must sign a dedicated declaration (see annex 2)

The different eligibility status for MGs are summarized as follows:

Applicant	Medium Grant Eligibility
Local civil society organisations (e.g., NGOs), non-profit organisations, CBOs,	🟡*
Small socio-professional organisations, small profit organisations (5-10 permanent staff, annual balance sheet or turnover <EUR 2 million)	🟡*
Municipalities, cities	🟡*
Protected areas, NGOs managing Protected areas, Conserved areas, ICCAS	🟢*
National network of Protected Areas	🟢
Regional Network of Protected Areas	🟢
National civil society organisation, national NGO, national non-profit organisations	🟢
National authorities, agencies, bodies and services	🟢
EU Member State organisations, EU OCTs organisations, OECD Member State organisations	🟢**
Regional organisations	🟢**
International organisations	🟢**

🟡* as co-applicants of other organisations at national and/or regional, international level.

🟢* as lead applicant of a consortium with other organisations at national and/or regional, international level.
🟢** Access to BIOPAMA MGs for EU Member States organisations, EU OCTs organisations, OECD Member States organisations, regional and international organisations are allowed when the following cumulative criteria apply:

- Proven successful experience in the targeted ACP country/countries of cooperation on protected and conserved areas issues and natural resources management;
- Proven experience of field actions in the ACP targeted country/countries;
- Proven successful experience of collaboration with national and local government and/or local civil society, socio-professional actors and local communities in the targeted ACP country/countries;
- Formal support of the relevant national agencies and authorities;
- Proven agreement and co-design of the proposal with the national and/or local government, the protected/conserved areas manager, the local civil society, local communities and socio-professional actors.

In such a case EU Member States organisations, EU OCTs organisations, OECD Member States organisations, regional and international organisations can submit a BIOPAMA project proposal provided the following eligibility conditions are fulfilled:

- The project is based on a partnership/consortium with the national/subnational authorities, and/or the targeted protected/conserved areas, and/or the national/local civil society and local communities as co-beneficiaries;
- The project is based on an equitable division of work and is based on collaboration with the national/subnational authorities and/or the targeted protected/conserved area(s), and/or the national/local civil society, socio-professional actors and local communities,
- The project is based on clear identified priorities related to capacity building, improvement of management effectiveness and governance of the protected/conserved area(s), the conservation landscape and sustainable natural resources management;
- The project demonstrates prior consultation and involvement of the national/subnational authorities, the targeted protected/conserved area(s), the national/local civil society and local communities in the definition of the project.

(ii) Eligibility of project activities

For being eligible activities **must**:

- **Be located in one or more ACP countries**, and within these in priority areas (as defined above in section 1.1.5.2).
- **Address clear priorities** in terms of protected/conserved areas management and governance, sustainable use of natural resources and livelihood of surrounding local communities of the priority areas. The priorities must be **identified by diagnostic tools** (as defined above in section 1.1.5).
- **Be consistent with the specific objectives of BIOPAMA II**.
- Enable data and information sharing from the project with the BIOPAMA Regional Observatories and RIS.

(iii) Financial and operational capacity review

Applicants are required to complete and submit a Due Diligence and Financial Capacity Form (Annex 9) with their proposal. This is assessed by the BIOPAMA AC Secretariat. A proposal may be eliminated if the applicant or co-applicants do not have a sufficient financial or operational capacity, namely:

- if the applicant does not possess the financial capacity to ensure their own existence and structure regardless of external funding. The applicant must prove stable and sufficient sources of finance to ensure the continuity of their organisation throughout the project.
- If the applicant cannot demonstrate sufficient human resources, funds management experience and does not have satisfactory internal controls.

In case the assessment of the financial and operational capacity shows a risk that does not justify exclusion, the Secretariat will propose a series of risk mitigation measures, such as a more comprehensive financial monitoring approach.

To that end, any applicant with a "private" status must include in the proposal their annual accounts for the last 2 financial years (i.e. balance sheet, profit and loss accounts). The verification of financial capacity shall not apply to public bodies where appropriate.

To assess the financial and technical capacity of the applicant, the BIOPAMA Secretariat may ask for additional information/documents and to use all the information at its disposal.

2.6.2.3. Technical assessment

i) Assessment process

Once successfully pre-screened, the BIOPAMA MG proposals will be subject to the following technical assessment process ensuring equal treatment for all proposals:

- The proposals will be shared with the relevant EU Delegations (EUD) for comments, in particular on the complementarity with other EU funded actions. These comments will be incorporated into the consolidated assessment report.

- The BIOPAMA AC Regional Focal Point convenes the BIOPAMA Regional Advisory Committee (RAC) for review of the successful pre-screened proposals. The RAC will be complemented by expert(s) selected by EC to review proposals in all or some regions.

- The RAC independent experts and the experts selected by EC will assess technically and scientifically the successful pre-screened MG proposals on the basis of the evaluation grid defined for the BIOPAMA MG proposals (see annex 6). At least 2 experts will review each of the proposals. During the RAC meeting the experts will present (or connect via a conference call) to discuss their analysis, scores and specify their comments and recommendations.

- The BIOPAMA AC Global Team will share its assessment of the budget accuracy and relevance and discusses it with the RAC independent experts for analysing its cost-effectiveness.

- The BIOPAMA AC Regional Focal Point will share his/her ESMS analysis with the RAC independent experts and the BIOPAMA AC Global Team. This analysis is done on the basis of the ESMS questions of the application template, the information and details provided by the applicant and the evaluation grid. In addition, for supporting this analysis an ESMS table is filled up by the BIOPAMA AC Regional Focal Point for each successful pre-screened MG proposal. He/she highlights the mitigations measures and the risk assessment of the proposal. Special attention will be given through the ESMS screening to areas where abusive or unlawful acts toward local population or within communities have been reported.

- On the basis of the exchanges and conclusions, a consolidated assessment report, compiling the BIOPAMA RAC assessment results, scores, ranking, comments and recommendations, and comments by EUD, will be prepared to support the final decision of the BIOPAMA AC Validating Committee formed from the BIOPAMA II Steering Committee. The BIOPAMA AC Regional Focal Point will prepare an ESMS clearance letter for each assessed proposal, informing the BIOPAMA AC Validating Committee of any ESMS issues, weaknesses, risk and need for improvement.

MGs Assessment and Evaluation process
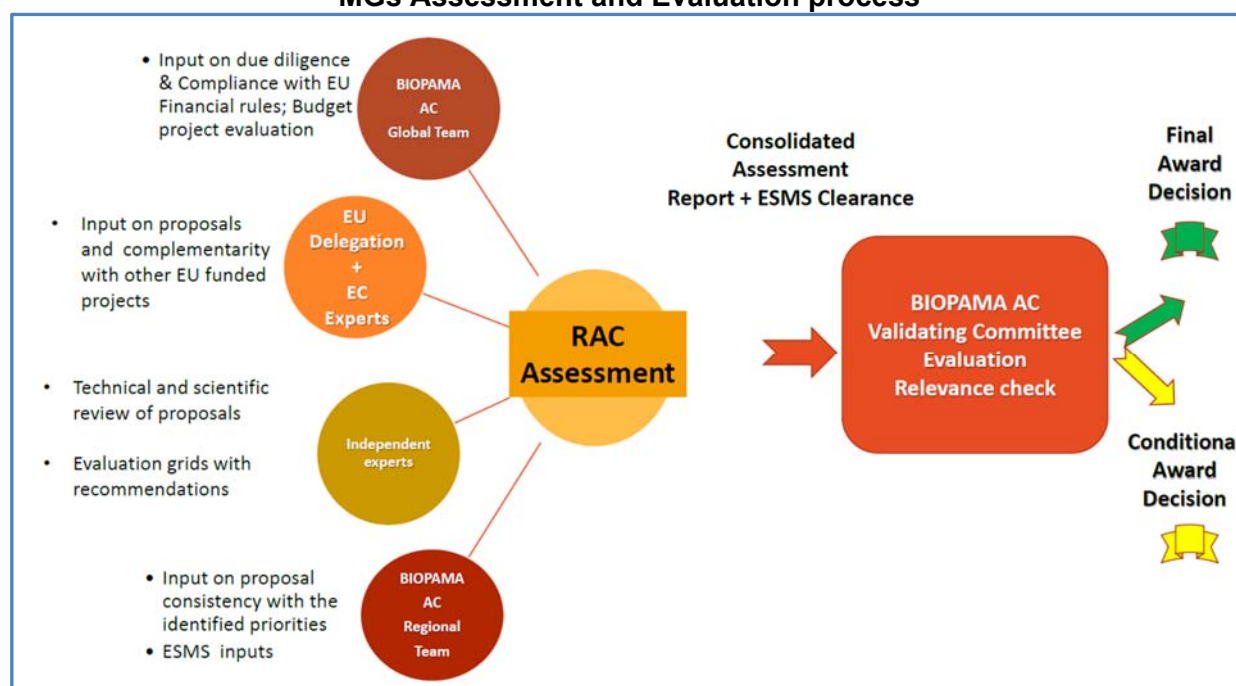
The duration of the **review and selection** of the MGs proposals should be expected to last a maximum of **60 calendar days**.

(ii) Award criteria for BIOPAMA MG

1.Technical coherence and understanding	Max. 55 points
2.Financial coherence and organisational capacities	Max. 20 points
3.Sustainability of the activities and replication potential	Max. 10 points
4.Complementarity, synergy of the project with other initiatives	Max. 10 points
5.Communication, visibility	Max. 5 points
Total	Max. **100 points**

See full Evaluation grid (Annex 10).

Only proposals with a final total score above the **threshold of 65** are submitted to the BIOPAMA AC Validating Committee for the final award decision.

For being eligible activities **must**:

- Achieve **tangible results and impacts** in the field expressed through clear indicators included in the project logical framework.
- **Comply with IUCN Environmental and Social Management System[6] (ESMS).**
- Be cost-efficient and sustainable.
- Be of practical field application and limited in time (confined to the duration of BIOPAMA II) to avoid dependency on the support provided by the Action Component.

Activities with co-benefits beyond conservation (e.g. on human well-being or climate change mitigation and adaptation) will be prioritised.

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[6] https://www.iucn.org/resources/project-management-tools/environmental-and-social-management-system

<u>Sectors and/or themes covered by eligible activities (with indicative examples of eligible activities):</u>

- Protected areas planning and management (e.g. measures to strengthen the knowledge base, potentially including collection of baseline data in places where this information does not exist, monitoring activities including through IMET, MEAs, Social and Governance Assessments so as to diagnose and address identified governance and management problems; preparation or updating of management plans; essential infrastructure for management, patrolling, anti-poaching operations, visitor management as well as obtaining key essential equipment and material provision and maintenance to ensure the effective implementation of these field operations).
- Effective governance arrangements involving local people living in and around protected and conserved areas; equitable management of priority areas.
- Law enforcement, particularly to control wildlife trafficking. (e.g. capacity-building of managers and/or rangers on law enforcement; intelligence linked to combat illegal poaching and wildlife trafficking, dialogue with communities)
- Enhancement of institutional and legal frameworks for biodiversity conservation and sustainable development at national, regional or protected area levels (e.g. revision of the legal framework, capacity development, training materials and technical advice).
- Mitigation of threats in priority areas.
- Climate change mitigation, resilience and adaptation strategies in priority areas.
- Sustainable livelihoods of local communities, vulnerable peoples and indigenous communities living within and around priority areas.

The following types of action are **ineligible**:

The following types of action are **NOT eligible**:

- ❌ The purchase of land or involuntary resettlement of people;
- ❌ Activities on indigenous peoples' lands or territories without having obtained their free, prior and informed consent;
- ❌ Activities on land contested by local communities or indigenous people;
- ❌ Activities that negatively affect physical cultural resources and their access and use, including those important to local communities;
- ❌ The removal or altering of any physical cultural property (includes sites having archaeological, paleontological, historical, religious, or unique natural values);
- ❌ Activities significantly affecting vulnerable groups within local communities, indigenous peoples or where these communities, vulnerable groups, indigenous people have not provided their broad support to the project activities;
- ❌ Activities that include the procurement, handling, storage and use of unlawful pesticides.

Examples of activities to be supported by the BIOPAMA Programme[7]:

- Establishment/extension of protected areas and corridors.
- Design and action plan for network of protected areas.
- Enhancing institutional and legal frameworks of national or regional institutions playing a key role in biodiversity conservation and sustainable development through capacity development, training

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[7] The examples are indicative and not exhaustive.

- Strengthening effective protected area management by training, PA management plan development and communication, participatory ecosystem restoration or eradication of invasive alien species, boundary demarcation, communication and fire management.
- Support for specific conservation actions e.g. reintroductions, translocation and enhancement of breeding success.
- Measures to strengthen the knowledge base of concerned protected areas, including, inter alia, the collection of baseline data, if this information does not exist or is insufficient, i.e monitoring the climate change impacts on biodiversity and ecosystems, monitoring the impacts of invasive alien species and elaboration of follow up practical action plans for improving and strengthening the management and effectiveness of the concerned Protected Areas. The knowledge-based actions of the action plans will have to include activities that deliver tangible results contributing to conservation and/or sustainable use on the ground.
- Activities to increase understanding of the effect of non-intervention management practices: observation, follow-up and reporting about natural dynamics, disturbance and spontaneous adaptation of ecosystems. To improve the score of the targeted sites in the evaluation, these non-intervention management practices will have to include activities that deliver tangible results contributing to conservation and/or sustainable use on the ground.
- Actions of active management practices: maintenance and restoration of high biodiversity areas and healthy ecosystems, creation of protective infrastructure and recovery programmes for critically endangered species, eradication/control of invasive alien species.
- Vegetation/habitat mapping relevant to the elaboration of protection or management or restoration plans of critical habitats, with follow-up/implementation actions on the ground.
- Mitigation of specific threats such as:
  o Analyses to better understand/quantify the threats (including socioeconomic studies, social and governance assessment) for supporting specific action planning and its implementation as field activities together with the local communities.
  o Participatory actions to reduce detrimental edge effects and to protect core refugia for threatened species.
  o Participatory actions to maintain hydrographic integrity and contiguity in freshwater ecosystems.
  o Analyses to better understand the drivers of unsustainable wildlife trade; studies on markets/supply chains for supporting the implementation of alternative solutions for the local communities; Community-based anti-poaching networks; communication and training to enforce legislation.
  o Creation of key essential infrastructure for management, patrolling, anti-poaching operations, visitors' management as well as getting essential equipment to ensure the effective implementation of field operations.
  o Local agricultural practices promoting species conservation.
  o Local eco-tourism for alternative economic solutions for local communities.
  o Establishment of new financing mechanisms for species conservation (e.g., links to Payment for Ecosystem Services (PES) and protecting habitats).
- Analyses and measures to develop sustainable management of ecosystem services specifically for the benefit of the local communities with the focus on supporting sustainable local economy.
- Support the development of sustainable use and economic valorisation of species and ecosystems e.g. by butterfly farming, ecotourism, arboretum, medicinal plants ex-situ conservation promotion.
- Participatory measures to mitigate for and adapt to the climate change impacts based on ecosystem services, maintenance and restoration of blue and green natural infrastructures.

- Analyses and follow up of tangible changes in the design of national and regional Protected Areas network, terrestrial and marine, for supporting resilience to climate change.
- Adaptation of existing practices on the ground towards sustainable use of natural resources and ecosystem services including sustainable agriculture, forestry, aquaculture and fisheries.
- Measures to safeguard and value local and traditional knowledge linked to the sustainable use of biodiversity and ecosystem services, guaranteeing equitable sharing of benefits, specifically with local communities.
- Education/ awareness measures to share knowledge about the natural heritage of the designated sites and/or the habitats and the ecosystem services.
- Support for public awareness and education campaigns i.e. young rangers as well as citizen science projects.
- Innovative mechanisms for participatory monitoring and management of ecosystems (e.g. community based forestry).
- Development and demonstration of best practices for the management and restoration of sites.
- Development and demonstration of best practices for sustainable development and/or innovative models.
- Promotion and support of actions to valorise measures undertaken in favour of sustainable social and economic valorisation of ecosystem services taking into account the gender dimension of biodiversity conservation.
- Capacity building for local stakeholders with field activities for fostering better engagement and ownership of conservation efforts and supporting the effectiveness of Protected Areas.
- Networking and innovative partnership with all relevant economic actors of the conservation landscape in particular with a view of the long term durability and supporting the effectiveness of the protected areas.
- Development and implementation of enabling legislation and policies.
- Short, medium and long-term follow-up measures with regards to drivers (inter alia climate change) having an impact on biodiversity and ecosystem services.
- Implementation of management effectiveness assessment tool for defining priority actions and addressing them.
- Support to local stakeholders (e.g., local communities and public authorities) to help protect/manage biodiversity (e.g. wetland management, participatory monitoring).
- Setting up protected areas managers' networks on regional and national level for experience sharing on good governance and effective management.
- Development of payment for ecosystem services (PES), also in view of PES as compensation for opportunity costs, to provide new resources for sustainable forest, agricultural and agroforestry practices.

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Proposals may include one or several of the above mentioned measures bearing in mind that the above **list is not exhaustive**.

2.7. Information and reporting on the proposals review process

A formal reporting mechanism is implemented for both the initial grant screening procedure, detailed evaluations and final decision.

The initial screening report details all of the grant applicants received in response to the call for proposals and includes the initial screening date and the eligibility outcome for each applicant.

A consolidated assessment report detailing the scores and justifying comments given by the Regional Advisory Committee for each proposal is produced. This report is the basis for the ranking list.

The BIOPAMA AC Secretariat produces a report based on the financial and operational risk assessment of the applicants.

2.8. Grant award

2.8.1. Award decision process

Once all proposals have been reviewed by the Regional Advisory Committees and ranked according to their scores, the consolidated assessment reports, the ranking lists, the assessment risk and ESMS clearances are shared in writing with the BIOPAMA Action Component Validating Committee for final evaluation of coherence of the project proposals with other European activities in the ACP countries, avoiding duplication of support, and concluding with an award decision.

Funding is awarded to the top ranking proposals in each region according to the total score until the total regional pre-allocation budget is reached.

In case of equal scores, the proposal with co-benefits beyond conservation, e.g. on human well-being, climate change mitigation or adaptation, fostering regional cooperation.

In case of a high number of very good quality proposals, additional proposals can be selected by the BIOPAMA AC Validating Committee beyond the regional budget and funded within the full competition envelope.

The BIOPAMA AC Validating Committee will communicate its award decision and the selection of projects to the BIOPAMA Action Component Secretariat in writing within a maximum of **7 calendar days.** In some cases, the award decision will include conditions if changes and improvement are needed particularly from an ESMS point of view. In order to address the priorities for action, but also to comply with ESMS requirements, additional assessments and mitigation measures can be requested.

2.8.2. Award notification

Upon receipt of the BIOPAMA Validating Committee award decision, notification to the successful applicants will take place within **5 calendar days.** Applicants will be notified of rejected proposals at the same time as the successful applicants (see 2.13.1) and will be provided with an explanation from the relevant BIOPAMA AC Regional BIOPAMA Team.

Grant Agreements are then to be generated, discussed if improvements are needed according to the recommendations from the RAC, and signed by both parties. Procedures for managing approved grants are summarized in Sections 3 and 4 of the operation manual.

2.8.3. Grievance mechanisms

The BIOPAMA AC Global team, through the BIOPAMA Regional Teams, will provide an explanation to all applicants whose concept notes or proposals are unsuccessful as part of its focus on building capacity. Applicants are encouraged to contact the relevant Regional Team and/or the Global Team if they have additional questions about the decision. If the applicant is not satisfied with the response and explanation, a grievance may be submitted to the BIOPAMA AC Global Team at the following address : BiopamaGrantSecretariat@iucn.org or by mail to the following address:
BIOPAMA Action Component Secretariat
IUCN
28, Rue Mauverney
1197 Gland
Switzerland

BIOPAMA AC has also established specific procedures to enable other stakeholders to raise a grievance at all times to applicants, grantees, Regional Teams, the Global Team related to the implementation of safeguards.

2.9. Grant agreements

2.9.1. Grant agreement drafting and legal conformity check

After the applicant accepts a grant, the BIOPAMA AC Global Team together with the applicant will finalise the description of the project taking into account the remarks and recommendations from the RAC and the BIOPAMA AC Validating Committee. The Secretariat will prepare a draft Grant Agreement for submission to legal review and internal approval to ensure compliance with IUCN requirements.

The BIOPAMA Grant Agreement will include a time-lined programme of work linked to payment schedules.

The BIOPAMA Grant Agreement for Medium Grants shall expressly impose on the beneficiaries the obligation to comply with the Article 16 "Accounts and Technical and Financial Checks" of the General Conditions of the Grant Contract between the EU and IUCN.

The BIOPAMA Grant Agreement will also include special provisions with the obligation from the beneficiary to share the results, data, information and lessons learned particularly for contributing to the BIOPAMA Regional Observatories and RIS as part of the consolidation of the BIOPAMA funded projects.

In case of financial risk identification:
The BIOPAMA AC Global Team, having performed a financial risk assessment – based on the assessment of the financial and operational capacity of the applicant performed during the pre-screening prior to the proposal review (see section **Error! Reference source not found.** 2.6.2.2) – and having informed the ESMS questionnaire will discuss any recommendations and concerns with the applicant on the basis of the EC grant decision and the recommendations from the RAC.

The financial risk assessment will determine the level of financial monitoring required by the AC Secretariat. The risk mitigation measures will be built into the terms and conditions of grant agreements.

In case of ESMS issues and risk identification:
The ESMS analysis and risk assessment can lead to a conditional clearance. To address the priorities for action, but also to comply with ESMS requirements, additional assessments and mitigation measures may be requested. The ESMS tools and mitigation measures to be implemented will be discussed with the applicant and included in the final technical description of the project as part of the grant agreements and budgeted in accordance. If the initial project budget cannot support the additional measures without undermining the feasibility of the initial technical activities, the grant cannot be awarded. The ESMS risk assessment also determines the level of technical and ESMS monitoring.

2.9.2 Grant management process

Upon signature of the Grant Agreement by both parties, the BIOPAMA AC Secretariat will set up the sub-awards in the Award Vision module of IUCN's ERP (Enterprise Resource Planning).

Management tasks include monitoring of technical and financial performance, tracking progress and completion of deliverables, reviewing payment requests, conducting field monitoring visits and ensuring adequate follow up on any issues that arise.

The financial and technical monitoring conducted by the BIOPAMA Regional teams and BIOPAMA AC Global Team is dependent on the risk ratings associated with the grantee as per the financial risk assessment and the ESMS risk assessment. Technical and financial reports are required to be submitted in accordance with the reporting schedule as defined in the Grant Agreement. The reports will be analysed by the BIOPAMA Regional Teams and the BIOPAMA AC Global Team. Any performance issues will be

discussed with the grantee. The BIOPAMA AC Global Team will report on the BIOPAMA AC funded project implementation at the BIOPAMA Steering Committee meeting and will inform at any time the BIOPAMA Steering Committee members in case of important issues.

2.9.2. Independent expenditure verification

Independent expenditure verification of the final financial reports will be required <u>for all BIOPAMA Medium Grants.</u>

A provision for the payment of audit company fee will be included in each Medium Grant budget.

3. Monitoring and evaluation

The BIOPAMA Action Component monitoring and evaluation framework is designed to be both effective, by ensuring that the information and data necessary to best measure and track performance and impacts are captured, and efficient, by adopting an approach that is proportional to the small to medium size of the investments made by the BIOPAMA Action Grant. It tracks and assesses performance and impacts at 3 levels.
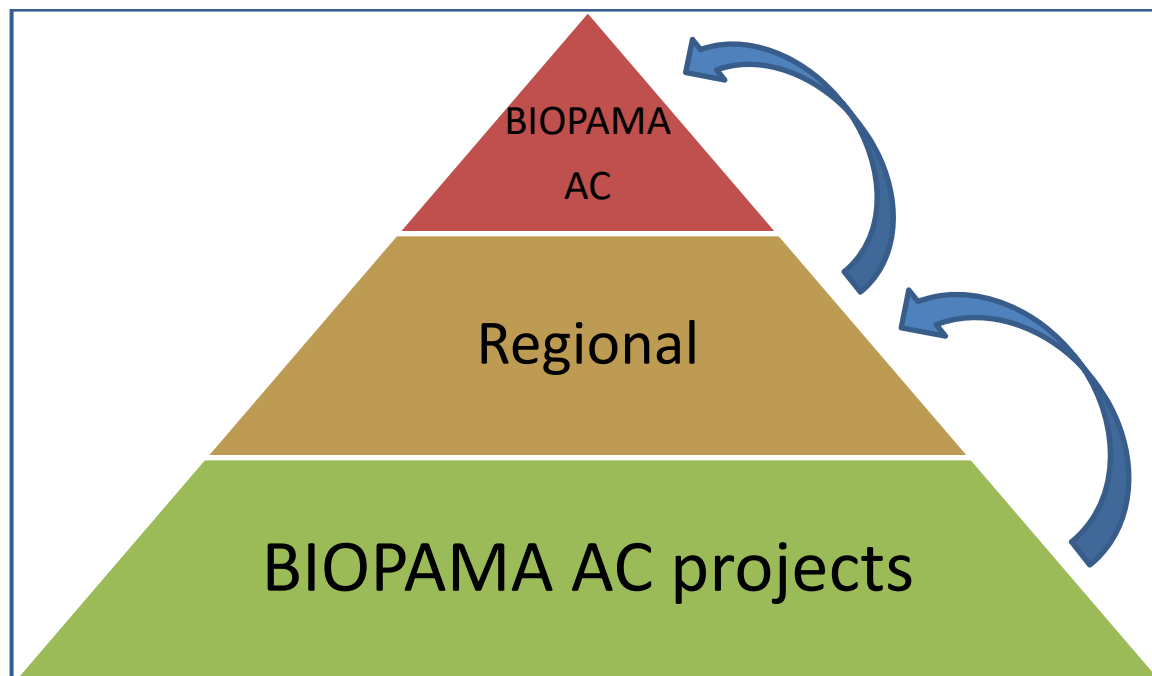
Fig.6 the three level of BIOPAMA AC M&E Framework

These three levels are closely integrated: the monitoring of individual projects feeds into the higher regional and BIOPAMA AC level monitoring to build clear and tangible links between the objectives of the individual projects and their contribution to relevant national and regional strategies, the priorities identified when available and the overall objectives of BIOPAMA. To that end, special attention will be given to the project logical frameworks that should take into account the RIS, DOPA indicators and more particularly the indicators developed for enabling exchanges of data and information between the BIOPAMA AC funded projects and the RRIS and RIS.

The principal goals of the framework are to assess the efficacy of BIOPAMA AC interventions in relation to its objectives, the identified priorities for action where available, the relevant national and regional strategies; to inform the future delivery and direction of individual projects and the BIOPAMA Action Component as a whole through the process of adaptive management; and to identify best practices, innovative approaches, lessons learned, success stories and highlight useful information for the Regional Observatories and the RIS.

Particular emphasis will be given to information sharing and learning. BIOPAMA supports the distillation, dissemination, and uptake of results, innovative approaches and best practices, and promotes opportunities for knowledge sharing and learning among grantees and wider outreach activities targeting communities, national and local government, and NGOs to increase the use of the successes and learning from the BIOPAMA Action Component to inform other conservation initiatives. This learning is conducted by the BIOPAMA Regional and Global Teams at both the regional and programme levels and feeds into the development of the BIOPAMA consolidation document, success stories promotion.

Monitoring and evaluation is carried out in a positive and collaborative spirit to ensure its effectiveness, acknowledging that this type of approach contributes to an active learning system and that projects rarely respond well to an audit style approach.

Financial and technical monitoring are covered separately but are conducted alongside each other as they are interdependent, e.g. the value-for-money of technical interventions can't be assessed without financial information and the reasonableness of financial expenditure needs to be considered in light of the technical progress and activities implemented.

3.1. Technical monitoring

3.1.1.   Individual project level

Monitoring will be fully integrated into all projects funded by the BIOPAMA Action Component. Applicants' proposals identify how the project will contribute to the achievement of the BIOPAMA AC specific objectives, the identified priorities and other relevant national and regional strategies, creating coherence between the individual projects and the other BIOPAMA activities.

All BIOPAMA MG projects have a logical framework – which is submitted at the proposal stage - summarising the project's overall objective, purpose, intended results and proposed activities and specifying the indicators that will be used to monitor the project at the purpose and results levels. Milestones related to the implementation of the proposed activities are also identified at the proposal stage. The logical framework is used as the basis for monitoring project performance throughout implementation and for evaluating the project upon completion. It will be used as well for supporting information and data sharing with the Regional Observatories and the RIS. To that end, special attention will be given to project logical framework indicators in order to reflect and interoperate with the RIS indicators and the management and governance indices where available. It will be the same for the monitoring plan of the BIOPAMA Small Technical Grants.

Effective monitoring should enable:

- effective and efficient project implementation
- identification of unexpected problems before they develop into larger crises particularly from an ESMS point of view
- assessment of new, innovative approaches
- tracking of progress toward the achievement of objectives
- identification of lessons learned
- testing of the project's hypotheses and theory of change
- measurement of a project's conservation impact
- information and data sharing with the Regional Observatories and the RIS.

Where MG projects have a direct focus on strengthening the protection and management of protected areas, it will be proposed that they use IMET - Integrated Management Effectiveness Tracking Tool or other equivalent management or governance assessment tools.

At the level of the individual projects funded by BIOPAMA technical monitoring comprises ***ongoing monitoring***, based principally on monthly calls with the grantee, the technical reports submitted by grantees to the Secretariat, and ***ad hoc monitoring*** involving field visit to selected projects.

3.1.1.1.   Ongoing monitoring

To keep track and stay in touch with the grantees for supporting project implementation, the BIOPAMA AC Regional Team will contact the BIOPAMA MG and STG beneficiaries in order to assess and take any actions needed.

As part of their contractual obligations, grantees will be required to submit, at regular intervals, technical reports detailing the progress made in implementing the proposed activities and towards achieving the expected results and purpose. The frequency of reporting will be determined by the type of grant awarded.

Whilst these technical reports form the basis of the ongoing monitoring, the Secretariat and Regional Teams are also available to answer any questions that grantees may have in regards to reporting and discuss any issues related to project implementation as and when they arise. This enables issues that arise between scheduled reports to be raised and addressed in a timely manner.

There are two types of technical report: Interim Reports and Final Reports; templates for each report detailing the information required to be included are available on the BIOPAMA AC portal. The following table sets out the reporting schedule for each type of grant.

Technical reporting schedule

Report/Type of Grant	Medium Grant
1st Interim Report	To be submitted within **30 calendar days** from the end of the first year of the grant implementation period
2nd Interim Report	To be submitted within **30 calendar days** from the end of the second year of the grant implementation period *(if the total project duration exceeds 30 months)*
Final Report	To be submitted within **60 calendar days** from the end of the grant implementation period

A schedule of reporting will be established based on the conclusions of financial and operational capacity assessment. A higher reporting frequency may be put in place depending on the risk-assessment, namely quarterly or bi-annual interim reports.

All project reports will be saved and protected in the intranet of the BIOPAMA AC Portal.

All technical reports are reviewed and assessed by the BIOPAMA Regional teams and BIOPAMA AC Global Team. The focus of the report and the assessment differs between the Interim Reports submitted during project implementation and the Final Report submitted after the completion of the project.

Interim reports

Interim reports require grantees to revisit the original design to confirm that the objectives are still relevant and achievable, review the work plan to confirm that the project duration is still valid, and report on the progress made in implementing the project.

On the basis of the reports, the BIOPAMA AC Regional and Global Teams will assess the implementation status of the project activities, the completion of deliverables and the reaching of defined milestones against what was foreseen in the proposal, and the progress made towards achieving the intended results and purpose, including the likelihood that they will be fully achieved by the end of the project. Any successes, challenges, lessons learnt and innovative approaches demonstrated by the project will also be identified enabling them to be disseminated and to feed into the higher level monitoring at the regional and programme levels.

Key issues that are covered by the assessment include:

- Is the period of time covered by the report accurately indicated on the report?

- Does the report contain an adequate level of detail to describe activities that were accomplished during the time period?
- Does the project continue to reflect conservation priorities and does it remain relevant to the overall programme?
- Are the activities still suitable to allow the project to achieve its intended results and reach its purpose?
- Is the project being managed appropriately?
- Is there any ESMS issue?
- Are the project partnerships (if any) being managed well?
- Are the project activities being delivered in a cost effective way?
- If any planned activities have not been accomplished have they been rescheduled and is the delay explained?
- Could project activities be delivered in a better way?
- Could the design of the programme be improved to maximise its impact?
- Do any of the issues identified necessitate a discussion to be held with the beneficiary or a site visit to be conducted?

On the basis of the above assessment it may be necessary to reorient the project activities or in extreme cases where the project is no longer considered to be feasible to terminate the grant agreement. Additional reporting requirements may be imposed for poorly performing projects or for ESMS purposes. Any performance issues that are identified will be discussed between the BIOPAMA Secretariat staff and the grantee. Serious performance issues will be reported to the BIOPAMA Steering Committee.

Final reports

Final Reports are submitted following the completion of each project. The review process is similar to that for Interim Reports but with an increased focus on verifying the upper half of a project's logical framework – the achievement of results and purpose.

The assessment looks at planned versus actual performance to evaluate the results of the project; delivery of outputs as well as the project's sustainability and potential for replication. It also identifies the project's successes, failures and any lessons that can be learned for future projects and for the BIOPAMA AC as a whole.

The following questions guide the assessment:
- Have the foreseen deliverables/products been produced?
- What has happened as a result?
- Have the intended results been achieved?
- Has the intended purpose been achieved?
- What has the impact of the project been at the local/regional level/regional observatories/RIS?
- Have there been any unplanned impacts/ ESMS issues?
- What are the potential long-term impacts?
- Are the project activities likely to be sustained beyond the end of the BIOPAMA AC funding?
- What lessons can be learned?
- What elements of the project might it be possible to replicate in other areas/regions?

3.1.1.2.   Technical field visits

Each year site visits to a selected number of projects may be undertaken. It is likely that the majority of projects visited will be those that have received BIOPAMA Medium Grants due to their relative value and complexity.

Technical field visits may also be as well undertaken to ongoing or completed MG/STG projects and serve a number of purposes. For ongoing projects, the purpose of a field visit may include:

- Verifying the results reported by the project

- Obtaining an independent perspective of the project

- Supporting projects to overcome difficulties or challenges by providing an external perspective

- Consolidation and inputs to the Regional Observatories and the RIS.

Field visits to completed projects focus on the longer-term impacts and feed into the regional and BIOPAMA AC level monitoring by assessing the contribution of the project to the identified priorities, the overall BIOPAMA AC objectives, the Regional observatories and the RIS. The purpose of field visits to closed projects may include:

- Assessing the likely sustainability/legacy and longer term impact of a project
- Analysing its contribution to the implementation of the regional environmental profile
- Analysing its contribution to the achievement of the BIOPAMA AC specific objectives
- Analysing its contribution to the Regional Observatories and the RIS.

The information generated during the monitoring of BIOPAMA funded projects is stored within the BIOPAMA AC portal making it possible to view information on each individual project funded and track their progress enabling it to feed into the regional and overall BIOPAMA AC monitoring described in the following sections. In addition, special modalities will be discussed with JRC in order to allow the grantees to contribute to the Regional Observatories and the RIS.

The system enables BIOPAMA AC to maintain a constant understanding of how the programme as a whole is functioning: what overall impacts are being achieved, what strategic directions need adjustment, and what further support may be needed.

Responsibilities for monitoring at the project level

Individual/Team	Monitoring role and responsibilities
Project Lead/Coordinator	• Monitor the implementation of project activities including the achievement of defined milestones in accordance with the logical framework • Collect and analyse data for the purpose and result level indicators defined in the project logical framework in line with the RIS and DOPA indicators • Report progress on the activities, and the achievement of the results and purpose to the Secretariat via the technical reports • Report project expenditure to the Secretariat via the financial reports • Monitor project logical framework indicators and share data to the regional observatory
BIOPAMA AC Regional Teams	• Ensure monthly calls with grantees • Review technical and financial reports • Provide *ad hoc* technical support and advice to projects • Prepare and take part in the field visits in close collaboration with the BIOPAMA AC Global Team • Follow-up with project leads/coordinators on any issues including ESMS • Support data and information sharing to the Regional Observatory.

BIOPAMA AC Global Team	• Provide *ad hoc* technical support and advice to projects • Review and assess the technical and financial reports with the support of BIOPAMA AC Regional Teams • Undertake field visits to selected projects in close collaboration with the BIOPAMA AC Regional Teams

3.1.2. Regional level

Monitoring at the level of the six Action Component BIOPAMA regions (Caribbean, Pacific, Eastern Africa, Southern Africa, West Africa, Central Africa) focuses on the contribution that the BIOPAMA AC projects funded in the region have made to addressing their own objectives, the identified priorities, the BIOPAMA AC specific objectives, as well as relevant local, national and regional strategies. The synergies with other ACP and EU-funded (and other donors) initiatives will also be assessed with the support of the EC DEVCO and the ACP Secretariat.

The intended contribution of individual projects at the regional level is set out in the proposal, is detailed in the project reports and is assessed by the BIOPAMA AC Regional and Global Teams.

Regional level monitoring draws together the findings from all projects within a region to enable a comprehensive assessment of BIOPAMA's contribution at the regional level and the identification of key lessons learnt that are relevant to the region as a whole as well as success stories. It may involve field visits to a number of projects in a specific region undertaken by the Secretariat with support from the Regional Teams to gather information or a desk based study on the basis of the project reports. The regional level monitoring feeds into the development of the capitalisation document for BIOPAMA as a whole as well as the contribution to the RRIS.

All grantees are encouraged to integrate dissemination and communication activities in their projects and to actively disseminate the results and lessons learnt at the regional level.

Responsibilities for monitoring at the regional level

Individual/Team	Monitoring role and responsibilities
Project Lead/Coordinator	• Identify and report lessons learnt, innovative approaches and best practices to the BIOPAMA AC Global Team via the technical reports • Communicate and disseminate the project results and lessons learnt widely at the national and regional levels • Monitor indicators relevant for the Regional observatory and share data
BIOPAMA AC Regional Teams	• Identify practical and innovative approaches, lessons learnt, best practices and success stories from projects implemented in their respective regions and inform the BIOPAMA AC Global Team • Promote regional knowledge sharing • Support the transfer of information and data to the Regional Observatories
BIOPAMA AC Global Team	• Extract best practices, lessons learnt, innovative approaches and success stories from project reports and project visits • Promote dissemination at the interregional and international levels

3.1.3.   BIOPAMA Action Component Global Team level

The BIOPAMA AC Global team is responsible for monitoring performance at the overall Action Component level, for ensuring that all activities are carried out in accordance with the BIOPAMA Operational Manual including its logical framework.

The BIOPAMA Action Component global level monitoring follows a similar approach to the regional level monitoring but encompasses all of the projects funded by BIOPAMA AC and focuses on assessing their contribution to BIOPAMA's overall objective and BIOPAMA AC specific objectives. It is closely integrated with the regional level monitoring with lessons learnt, best practices and success stories identified at the project and regional levels feeding into the capitalisation of knowledge at the programme level and the RIS.

Progress towards the achievement of the BIOPAMA AC specific objectives and purpose is assessed using the indicators defined in the BIOPAMA AC logical framework.

In addition, at the BIOPAMA AC global level the representativeness of the BIOPAMA funding is assessed by monitoring the:

- Amount of funding going to the different regions each year and over the calls of proposals.

- Amount of funding going to different ACP Countries each year and over the calls for proposals.

- Number and proportion of different types of project grantees (local NGOs, national agencies, local communities, other civil society actors, local government, national, regional and international organisations) with projects for each year and over the BIOPAMA AC calls of proposal.

The indicators at the results and purpose level relate to the call for proposals process and activities carried out by the BIOPAMA AC Teams. The individual projects funded by BIOPAMA AC will contribute to the BIOPAMA's overall objective and BIOPAMA AC specific objectives.

The BIOPAMA AC Global team supports BIOPAMA AC global level monitoring by supervising the collection and analysis of performance data in line with the BIOPAMA AC logframe.

Performance data, based on the collection of standard data from all projects, is compiled at the BIOPAMA AC global level on the basis of a desk based review of project reports. Programme level monitoring is used to conduct analysis to identify trends, key accomplishments, performance strengths and weaknesses, and lessons learned and make recommendations for changes to the defined targets or overall strategy, if appropriate. The Regional Teams with JRC assess the contribution of BIOPAMA projects to the Regional Observatories and the RIS.

Thematic assessments may also be undertaken to look at the BIOPAMA AC contribution in specific areas e.g. marine, terrestrial, invasive species, climate change adaptation etc, in addition to protected and conserved areas improved governance and management, improved local communities' livelihoods, support to local communities' initiatives. These may involve field visits to a number of projects and/or a desk based review of project reports. The value of this approach depends on the number and type of projects funded that cover a certain thematic area and will be reviewed as the Programme progresses.

Responsibilities for monitoring at the BIOPAMA overall programme level

Individual/Team	Monitoring role and responsibilities
Project Lead/Coordinator	• Identify lessons learnt, best practices and success stories report them to the Secretariat in the project reports • Disseminate the findings of the project and lessons learnt

	• Monitor Indicators relevant to RIS and share data
BIOPAMA AC Regional Teams	• Promote regional knowledge sharing • Support and analyse the contribution to the RIS in their region
BIOPAMA AC Global Team	• Extract best practices, lessons learnt, success stories and innovative approaches from project reports and project visits • Disseminate the findings of the project and lessons learnt at the interregional and international levels

3.2. Financial monitoring

At the Programme level the BIOPAMA AC Global Team is responsible for monitoring expenditure against budget and the commitment and disbursement of funds to grantees. As mentioned above, the programme level monitoring looks at the representativeness of the allocation of BIOPAMA funds between the 6 regions and individual ACP Countries.

At the level of the individual projects funded by BIOPAMA AC, financial monitoring comprises ***ongoing monitoring*** based principally on the analysis of financial reports submitted by grantees, and ***ad hoc monitoring*** involving spot checks and field visits to selected projects.

3.2.1.   Ongoing monitoring

All projects are required to submit financial reports at the same time as the submission of technical reports (see reporting schedule in section 4.7.2.1) which report expenditure against the approved budget included in the grant agreement. Financial reports include prior period expenses, current period expenses, total expenses to date, budget balance, and projected expenses for the next period. The financial reports are submitted alongside with the transactions listing which includes the detailed information on the costs incurred during the reporting period.

Whilst the financial reports form the basis of the ongoing monitoring, the Secretariat and Regional Teams are also available to answer any questions and discuss any issues related to financial issues as they arise. This enables issues that arise between scheduled reporting deadlines to be raised and addressed.

The financial report must be drawn up against the budget stated in the Grant Contract and in the currency of the Grant Contract. In case of projects implemented by partnerships or consortia, the project coordinator shall collect all the necessary information and draw up a consolidated final report.

The procurement procedures to be followed by the grantees are outlined in the Procurement Policy attached to the BIOPAMA Grant Contract between IUCN and Grantees and follow IUCN procurement rules, unless national procurement policies impose stricter or additional obligations. Procurement processes are specifically reviewed as an integral part of the review of financial reports. For example, reviews include assessment of the relevant budget line items (furniture and equipment and professional services). Procurement review is also part of the site visits, where relevant.

All project financial reports are reviewed at two levels: first by the BIOPAMA Action Component Regional Teams and then the Global Team to analyse financial reports for accuracy and reasonableness in light of the project's progress to date.

3.2.1.1.   *Review of financial reports*

The review of financial reports will be geared to establish whether:

- the Grantee's financial report totals are correctly calculated
- the Grantee is reporting against the correct budget

- any variances from the original budget do not exceed the percentage specified in the Grant Contract and are duly substantiated
- the expenses appear reasonable given the progress of the corresponding work
- the expenses match the deliverables reported in the technical part of reporting package
- all expenses comply with eligibility criteria as per Grant Contract
- the procurement of all items over EUR 20,000 has been subject to a suitable procurement process
- the payment request for the following period is reasonable and corresponds to the projected expenses without exceeding the total amount of the grant.

Simplified Cost Option

In case of the grants using a simplified cost option (SCO) the actually incurred expenditure is not subject to verification.

Both under the lump sum and unit cost methodologies the quantitative aspect e.g. the **number of cost units** is of paramount importance and will be the main focus of report assessment. Examples: number of items acquired, number of staff employed, number of consultants, timing aspects (hours, days, months, etc.), measures (weight, distance etc.), number of participants in the events organized. Quantitative aspects are examined for plausibility by taking into account the information provided in the technical report.

Sample checks are performed within different cost categories. Supporting documents proving the number of cost units may be requested from the Grantees. Grantees will be contacted to obtain clarification and/or additional information if necessary.

3.2.2. Financial spot checks

The BIOPAMA Secretariat reserves the right to undertake spot checks on the financial management of projects at any point during implementation. This may involve requests for submission of documentation related to the finances of the project. The likelihood of spot checks being conducted is based on the financial risk assessment.

3.2.3. Financial field visits

As part of the BIOPAMA Secretariat's efforts to build and maintain strong relationships with partners, and to promote financial accountability financial field visits may be undertaken each year as required. Factors such as the risk rating allocated to the project during the assessment of proposals or projects, grant award value, cash received to date, and issues identified through previous site visits or in other ways e.g. through the review of financial reports, may be used to decide which projects will receive a field visit.

The purpose of these visits includes:

- Reviewing the accounting and financial management practices of the grantee
- Identifying any capacity building needs
- Ensure that proper financial controls are in place

All visits are documented in a report. Follow-up visits may be scheduled if deemed appropriate by the BIOPAMA Secretariat.

3.3. External evaluation

Independently from the above, the European Commission may include the BIOPAMA Programme in the list of projects and programmes to be monitored with its own external independent review system, the Result-Oriented Monitoring (ROM).

In addition, the programme's overall performance will be assessed through an independent evaluation, if requested by the European Commission, at the midpoint of the programme.

4. Financial management

The International Union for Conservation of Nature (IUCN) oversees internal control and financial management of BIOPAMA in accordance with its internal financial policies and procedures. The Global Programme Operations Unit (GPOU) at IUCN's headquarters is responsible for financial and administrative activities and services for the proper management of programme, grant-making and projects portfolio in accordance to the provisions and rules of IUCN or the donors, where the latter will prevail.

BIOPAMA project including its Action Component falls under the purview of the Grant-Making Team within the GPOU.

The BIOPAMA Senior Finance Grant Manager is part of the GPOU at IUCN Headquarters. The Head of GPOU oversees the financial management function for the BIOPAMA Secretariat, which includes financial planning, preparation of donor reports, managing annual external audit, budget/spending plan, revenue and cash management, as well as financial performance reporting for BIOPAMA. In addition, the BIOPAMA Senior Finance Grant Manager is responsible for financial management and reporting, under the oversight of the Head of GPOU, and acts as the liaison between BIOPAMA and the IUCN GPOU and between BIOPAMA and the financial staff of the donor and Regional Offices.

4.1. Financial systems

IUCN uses an enterprise resource planning (ERP) system based at its core on Microsoft (MS) Dynamics NAV 2009 version R2, one of four MS ERP systems (see more at http://www.microsoft.com/en-us/dynamics/erp-nav-overview.aspx). IUCN's Chart of Accounts includes segments for donor, cost centre, project activity and grant number. In addition, dimensions are viable for tracking specific project results or activities. Specific dimensions have been established to track BIOPAMA funds.

4.2. Audits

4.2.1.   IUCN external audit

Records associated with financial transactions are kept at IUCN headquarters and its Regional Offices according to Swiss Law, which requires complete documentation to be maintained for no less than ten full years after the transaction for which the document provides support. Each fiscal year, IUCN has an external audit by independent auditors of its records, accounts, and financial statements (statements of financial position, statement of activities, statement of cash-flow and related statements), including those for BIOPAMA, in accordance with the appropriate auditing principles consistently applied. Currently, the audit, is conducted by PwC, who also coordinates sample IUCN regional office audits by its local affiliates.

4.2.2.   BIOPAMA external audits

According to Art.15.7 of the General Conditions to the Grant Contract between IUCN and the EU an annual expenditure verification of BIOPAMA accounts will be undertaken for each 12 months' project cycle, in accordance with the ToR (Annex VII to the Grant Contract).

The procurement of a service provider to carry out the expenditure verification will follow IUCN procurement policies. The European Commission will review the expenditure verification report to ensure that significant audit findings, recommendations, and management's responses thereon are reviewed, discussed, and appropriately acted upon. IUCN's Chief Financial Officer will be responsible for the

administrative management of the external auditor's contract. Funds for the annual external expenditure verifications are included within the BIOPAMA budget.

4.2.3.   BIOPAMA grants expenditure verifications

All Medium Grants funded by BIOPAMA AC require an external expenditure verification of their final financial reports.

This requirement will be written into the Grant Contract with the beneficiary and the associated cost must be included in the project budget. All expenditure verification reports will be reviewed after receipt. The recommendations and conclusions of the auditors will be shared with the Steering Committee. Should there be material audit findings wherein the expenditures failed to comply with the provisions of the Grant Contract, the Grantee shall reimburse BIOPAMA AC the expenditure(s) disallowed by the auditors.

The results of the expenditure verification reports will serve as the basis for calculating the final instalment of the Medium Grants.
To achieve cost-effectiveness, the BIOPAMA Global Team appoints as a result of a tender an audit firm to perform the expenditure verification of all BIOPAMA Medium Grants. Medium Grant beneficiaries are responsible for contracting and paying the pre-selected audit firm to undertake an expenditure verification of their project.

4.3. For the purposes of verification of the expenditure incurred by the Grantees for BIOPAMA annual Bank account

IUCN maintains the BIOPAMA funds in a pooled EUR bank account. The application of dimensions, such as award code, project number code, project activity and donor reporting code enables the accurate identification of the revenues and expenditures of the BIOPAMA Programme. The bank account is reconciled on a monthly basis according to the Accounting Policies of IUCN.

4.4. Donor reporting

Consolidated interim financial reports and a final financial report will be prepared, audited and submitted to the donor according to the provisions of Article 2 and Art. 15.1 of the General Conditions to the Grant Contract between IUCN and the EU.

Each reporting period will consist of 12 months. An interim financial report accompanied by an expenditure verification report will be provided to the donor within 60 days from the end of the reporting period. A final financial report, accompanied by an expenditure verification report, will be submitted within six months from the end of the final reporting period.

4.5. Procurement

The BIOPAMA AC Global Team will follow the provisions of Annex IV to the Grant Contract "Procurement by Grant beneficiaries in the context of EU external actions". In cases where IUCN procurement policies impose stricter requirements for the purchase of goods and services than Annex IV, the BIOPAMA AC Global Team will comply with IUCN procurement policies.

The Grantees will follow the rules of a specially developed Procurement Policy attached to the Grant Contracts. It is expressly stated that the rules of origin and nationality are not applicable to the Grantees.

4.6. Financial procedures: accounting for grants

The BIOPAMA AC Global Team will follow IUCN financial procedures when accounting for Grants:

1. Requirements

The main requirements are to be able to:

1. Distinguish expenditure incurred by Grantees from those incurred directly by IUCN.
2. Measure in monetary terms the amount of work implemented by individual Grantees and by all the Grantees combined.
3. Report to donors in the event that they require separate reporting on expenditure incurred by the Grantees.
4. Track and control outstanding advances to the Grantees.

2. Grants – advances mechanism

The ERP system includes a grants management module (Award Vision) which provides functionality to track sub-awards (grants). Each sub-award is assigned a unique number. This sub-award is linked to a vendor (implementing partner) code.

Transfers to Grantees are first booked as an advance and recorded as a receivable on the balance sheet. Advances are then cleared and expenditure charged to GL expenditure accounts at the point when the expenditure reports are received from the Grantees.

The ERP system auto-generates a unique Sub-Award number which is linked to the fund at the point when a Sub-award is created.

The advance should be recorded against account 16051 together with relevant dimensions, including the Sub-Award dimension.

When the advance is cleared, actual expenditure incurred by the Grantees should be booked against the same GL account codes as those used for IUCN expenditure, i.e. travel costs to travel, telephone costs to telephone etc. Exception: personnel costs of implementing partners should be booked against GL account 50500 "Implementing Partner Staff Costs".

In terms of reporting, the ERP set up allows:

- Expenditure reporting by sub-award
- Roll up of expenditure incurred through sub awards
- Analysis of sub-award expenditure by implementing partner (Grantee)

4.7. Grant level financial management

This section contains a description of the detailed procedures for financial management of individual grants. All staff involved in BIOPAMA AC monitoring receive training on the Operational Manual's policies and provisions within 90 days of appointment.

4.7.1. Financial management of BIOPAMA grants

4.7.1.1. Proposal submission stage

Due diligence, financial and operational capacity: the BIOPAMA AC Global Team in close collaboration with Regional Teams carries out due diligence procedures prior to all grant awards. This includes reviewing due diligence questionnaires and screening of grant applicants.

The Secretariat in close collaboration with BIOPAMA Regional Teams carries out an analysis of the financial and operational capacity and performs a financial risk assessment of grantees. The financial risk assessment process determines the level of financial monitoring by the BIOPAMA AC Global Team.

These due diligence procedures and financial and operational capacity check are part of the initial screening of the proposals detailed under section 2.6.2.2. (iv) for Medium Grants and section 2.10.3 for Small Technical Grants.

4.7.1.2. Selection and grant award stage

The BIOPAMA AC Global Team in close collaboration with the BIOPAMA AC Regional Teams review the budgets of all submitted proposals to ascertain whether the applicants have:

- Drawn up a reliable, plausible, transparent and realistic budget that is in line with the project's objectives, activities and duration.

- Explained in the justification sheet are the assumptions used to draw up the budget, and the methods and sources used to:

  o Quantify the project inputs (e.g. the number of assets to be acquired, the number of staff to be employed /allocated and time period).
  o Value the project inputs (e.g. prices of assets to be acquired, salaries of staff, fee rates for consultants).

4.7.1.3. Checklist for reviewing a budget

- The justification sheet of the budget should describe how the budget has been established and any assumptions and principles used by the grantees to draw up the budget should be plausible and realistic. Hence, it is essential to have or obtain a good understanding of the objectives and activities of the Project. The first step is to identify the activities. Next resources and inputs should be listed in order to review qualitative, quantitative and financial data.

- The budget should be clear, transparent and comprehensive.

- The budget should be realistic. Rough estimates and amounts which are not explained cast doubt on the reliability of the budget and involve a high risk of over- and underestimates.

- Quantitative and qualitative data should be clear and plausible taking into account the project objectives and activities. Examples: type and number of assets / items to be acquired (e.g. vehicles, equipment), qualifications and number of staff and time required (hours, weeks, months), types, units and measures of materials to be acquired (e.g. weight, distance, content etc.).

- Cost and price data should be plausible and verifiable with appropriate supporting documents and other sources, both internal (grant beneficiary) and external.

- Budgeted expenditure should be properly classified to avoid overruns which may result in ineligible expenditure.

- Budgetary principles, in particular cost allocation principles and keys, should be coherent with existing accounting policies (if applicable) and be based on plausible assumptions.

- The arithmetical accuracy of the budget should be checked.

- Budgeted expenditure should be eligible in accordance with applicable contractual conditions. See section 2.5.1.2.c for details about cost eligibility.

ALL budget cost categories : sub categories		
1	Verify the arithmetical accuracy of the figures in the cost budget and supporting schedules, if necessary / appropriate on a sample basis.	Specific cost budget and supporting schedules, tables and breakdowns of costs. It is a good and common practice to include these schedules in annexes to the budget and/or to integrate them in the Justification Sheet
2	Contact the Grantee to obtain clarification and/or additional information if necessary / appropriate.	

3	**Lump sums (if applicable)**	
	Lump sums for financing the cost budget or parts of it can be accepted if: - total budgeted costs concerned are plausible; - activities and resources financed by lump sums are clearly defined	When budgeted costs are used as a basis for lump sums, unit costs or flat rates this means that actual costs incurred (and related to these budgeted costs) will not be made subject to verification.
4	**Unit costs (if applicable)** Unit costs for financing the cost budget or parts of it can be accepted if: - total budgeted costs concerned are plausible; - quantitative data concerned are plausible; - unit costs are properly and consistently calculated; and - activities and resources financed by unit costs are clearly defined	In this case budgeted costs are subject to ex-ante assessment.
5	**Flat rates (if applicable)** Flat rates (e.g. percentage rates) for financing the cost budget or parts of it can be accepted if: - total budgeted costs concerned are plausible; - quantitative data concerned are plausible; - Flat rates (%) are properly and consistently calculated; and - activities and resources financed by flat rates are clearly defined	

4.7.1.4.   Grant contracting stage

The BIOPAMA AC Global Team carries out budget validation and verify financial terms and conditions of the grant contract under negotiation. The budget validation process is tailored to match the type of budget: (1) simplified costs option budget (2) actual costs option budget and (3) a combination of simplified costs and actual costs budget.

The BIOPAMA AC Global Team is responsible for setting up and finalising Grant Contracts. The financial terms and conditions of the Grant Contracts are fine-tuned through active interaction with grantees.

Once a Grant Contract is finalised a sub-award is created in the Award Vision module of the Enterprise Resource Planning (ERP) system. Each sub-award is linked to an IP Vendor (Grantee) set up in the Vendors Sub-ledger. An electronic copy of the Grant Contract is attached in NAV to each sub-award.

4.7.1.5.   Grant implementation stage

Co-funding

- **BIOPAMA Medium Grants** require a minimum of **5% co-funding**. The co-funded costs must comply with the cost eligibility rules. In-kind contributions are not considered eligible. Personnel costs of lead beneficiaries and partners are not considered as in-kind contributions.

Payments to Grantees

The BIOPAMA AC Global Team is responsible for making and accounting for all disbursements to grantees. The schedule for payment of the BIOPAMA financial contribution to projects is dependent on the type of grant awarded. In all cases the total amount of pre-financing will not exceed 90% of the approved maximum BIOPAMA contribution to the project; the balance of 10% will be paid following the approval of the final report.

Medium Grants

Maximum BIOPAMA contribution of > EUR 100 000 and ≤ EUR 400 000

- An initial pre-financing payment of 100% of the part of the estimated budget for the first reporting period financed by BIOPAMA is calculated applying the percentage of co-financing stated in Article 4.2. and is made to a Grantee no later than 30 days after IUCN's receipt of this Agreement executed by both Parties, together with Grantee's Payment Request.

- Further pre-financing payment(s)* of the part of the estimated budget financed by BIOPAMA AC will constitute up to 90% of the remaining Grant budget and will be paid to the Grantee no later than 30 days after the approval of the Medium Grant Technical and Financial Progress Reports accompanied by a corresponding Payment Request, and the receipt of documentation supporting the use of the initial pre-financing payment that will enable the application of Article 16 to be met in any future audit.

- The amount of each further pre-financing instalment will be based on the cash forecast provided by the Grantee, and the receipt of the required documentation for the previous period.

- The balance of 10% will be paid to the Grantee no later than 45 days after the approval of the Final Medium Grant Technical and Financial Report, including all documentation required, accompanied by an external expenditure verification report and a corresponding Payment Request.

  * The total sum of pre-financing payments may not exceed 90 % of the total BIOPAMA contribution to the project.

All payments to Grantees are considered as pre-financing payments until the BIOPAMA AC Global Team has approved the final technical and financial reports and has transferred the final payment to the Grantee.

4.7.2.   Monitoring, reporting and review

The BIOPAMA financial monitoring approach is described in detail in section 3.2.

4.7.2.1.   *Financial reporting by Grantees and review of reports*

The financial reporting schedule for projects is determined by the type of grant awarded and aligned with the technical reporting schedule. Financial reports must be submitted at the same time as the associated technical report. They must be prepared in the currency stated in the Grant Contract and show the level of expenditure against the budget. For projects implemented by a partnership or consortium, the project coordinator shall collect all the necessary information and draw up a consolidated report.

The financial report consists of:

- A detailed list of transactions which includes all the costs incurred on the project during the current reporting period;
- A summary report by cost category showing the expenditure incurred against the approved budget;
- A forecast of project expenses for the next reporting period.

There are two types of financial report: Interim Financial Report and Final Financial Report; templates for each report detailing the information required to be included are available on the BIOPAMA AC portal. Interim reports include current reporting period expenses, total reported expenses up to date, budget balance, projected expenses for the next period and variances in % and absolute values as compared with the total approved budget. The following table sets out the reporting schedule for each type of grant.

Report/Type of Grant	Medium Grant
1st Interim Report	To be submitted within **30 calendar days** from the end of the first year of the grant implementation period

2nd Interim Report	To be submitted within **30 calendar days** from the end of the second year of the grant implementation period *(if the total project duration exceeds 30 months)*
Final Report	To be submitted within **60 calendar days** from the end of the grant implementation period

Any deviation from the standard schedule is expressly stated in the individual Grant Contract.

A higher reporting frequency may be put in place depending on the specific regional requirements, namely quarterly or bi-annual interim reports.

All project financial reports are reviewed at a double level, first by the BIOPAMA AC Regional Teams and then the Global Team to analyse financial reports for accuracy and reasonableness in light of the project's progress to date (see section 3.2.1).

4.7.3. Grant close-out

At project completion, after reviewing the Final Technical and Financial Reports, BIOPAMA grants will be closed upon verification that all deliverables have been completed, all progress, financial, and expenditure verification reports have been reviewed and approved and that the total grant amount has been reconciled. Reconciliation includes verification that all advances have been accounted for, the final payment has been issued, and any unspent funds have been returned and credited back to the portfolio for future grants.

After the grant is closed, BIOPAMA AC will officially notify the grantee in a Close-Out Letter that the grant is complete and all deliverables are approved. If applicable, a final payment or refund request will be processed at this time. Any unused funds received by the grantees should be refunded, and subtracted from the reported eligible expenditure. These funds are then available for other grants if the refund is received during the period of calls for proposals.

4.8. Conflict of interest and BIOPAMA funding

IUCN is committed to ensuring that its transactions, engagements, and relationships are transparent and do not inappropriately benefit interested persons and organizations. As the administrator of BIOPAMA AC, IUCN aims to ensure the same high standards are applied to all BIOPAMA operations and funding decisions. BIOPAMA has transparent and globally consistent eligibility criteria and decision-making processes that are approved by the European Commission and widely publicized. The investments adhere to environmental and social policies of IUCN[8]. as implementation agency of the Global Environment Facility and the European Commission, as detailed in the BIOPAMA Operational Manual.

All grant recipients also agree to adhere to specific ethical standards pertaining to the use of BIOPAMA AC grant agreements. Additional measures put in place for BIOPAMA AC operations and decision making that may present an actual or apparent conflict of interest are detailed below.

To avoid conflict of interest:
- the organizations of the BIOPAMA consortium are not eligible for grants (IUCN, JRC and Regional Observatories).
- the Regional Advisory Committee experts are not eligible.

A special conflict of interest declaration will be completed by IUCN BIOPAMA AC Global and Regional Teams and members of the BIOPAMA AC Regional Advisory Committees. Grant applicants will also

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[8] http://iucn.org/about/values/

provide conflict of interest declarations in order to reduce the risk that any relation to IUCN or BIOPAMA partners or any of the external reviewers goes undetected.

5. Safeguard policies

BIOPAMA Action Component appraises projects not only on their technical merit, but also reviews them for their potential to address negative environmental and social impacts, or to foster best practices in this regard. This is in accordance with IUCN's Environmental and Social Management System (ESMS). The IUCN ESMS provides systematic steps and operational tools for identifying and managing environmental and social risks of projects implemented or supported by IUCN. The system ensures that all IUCN projects are screened for negative environmental or social impacts and suitable measures developed to avoid, minimise, or compensate for these impacts. It also ensures that the implementation of mitigation measures and their effectiveness are monitored and that new impacts emerging during project implementation are addressed.

The ESMS is guided by eight overarching principles and four standards that reflect key environmental and social areas that are at the heart of IUCN's conservation approach – see figure 1 illustrating IUCN's ESMS Policy Framework. Thematic coverage of the ESMS, however, is wider than the issues covered in the principles and standards and also requires taking other negative environmental and social impact and risk issues into consideration as indicated in the grey outer frame (by examples).

Figure 1: ESMS Policy Framework
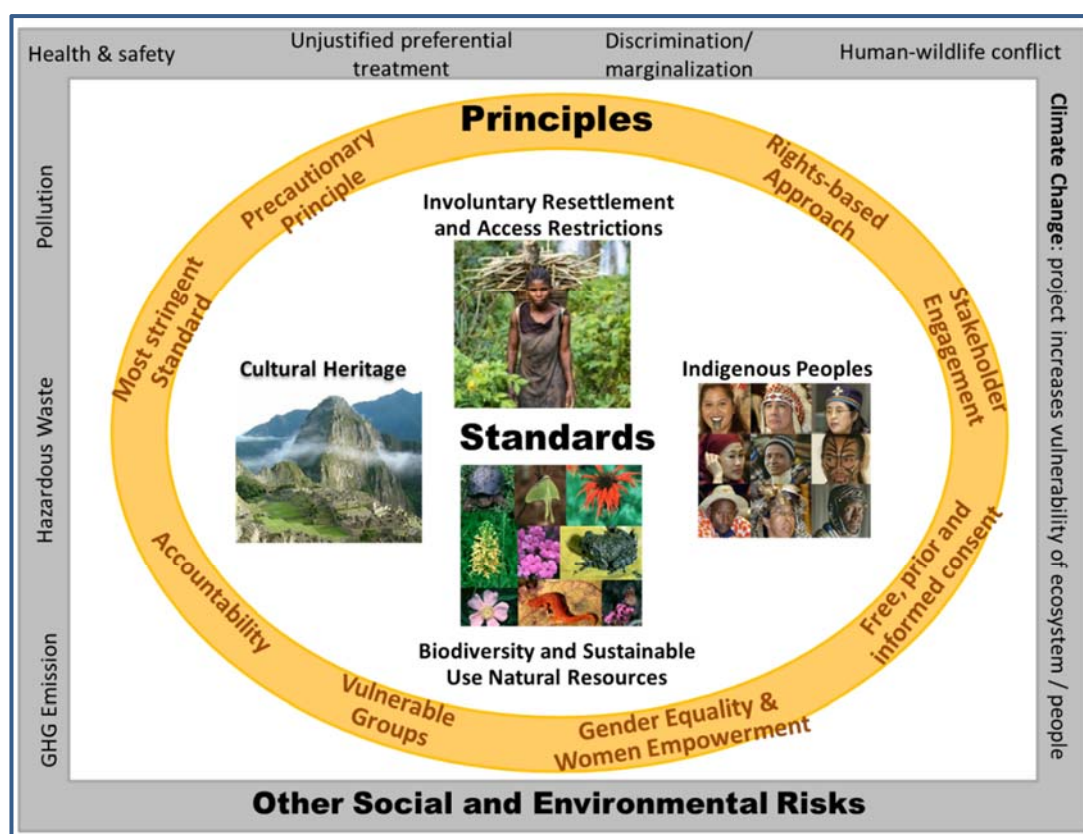
The ESMS risk identification and management procedure has been adapted to the needs and specificities of the BIOPAMA AC and has been made an intrinsic part of the BIOPAMA AC project cycle management process.

The objective of this chapter is to guide Applicants, BIOPAMA AC Global and Regional Teams in the application of the ESMS review and risk management procedure to ensure that environmental and social risks are effectively addressed in the design and implementation of grant-projects funded by the BIOPAMA AC. It should be used to supplement IUCN's safeguard policy articulated in the IUCN Environmental and Social Management System (ESMS).

5.1. Management of Environmental and Social Risks for BIOPAMA Medium Grants

The application of ESMS review and risk management procedures for Medium Grant (MG) includes the following main steps and considerations:
- Providing clear guidance about safeguard requirements in the Call for Proposals including emphasising the applicant's responsibility to identify risks and develop appropriate mitigation measures;
- A project template which makes reference to the ESMS and requires grantees to provide ESMS-relevant context information;
- Providing support on risk identification and development of mitigation measures during the design of the project proposal;
- Screening the project proposal on potential risks, deciding about the risk category (low, moderate or high) and deciding whether the project can be cleared, only cleared under conditions or not recommended for funding;
- Updating the project proposal to meet the specified conditions - e.g. adding ESMS review steps to the project such as conducting a risk assessment, the identification of mitigation measures or the development other ESMS tools;
- Implementing the ESMS actions and monitoring the Environmental and Social Management Plan (ESMP)
- Supervision of ESMP implementation

The diagram below visualizes how these ESMS steps are integrated into the different decision points of the BIOPAMA MG project cycle.
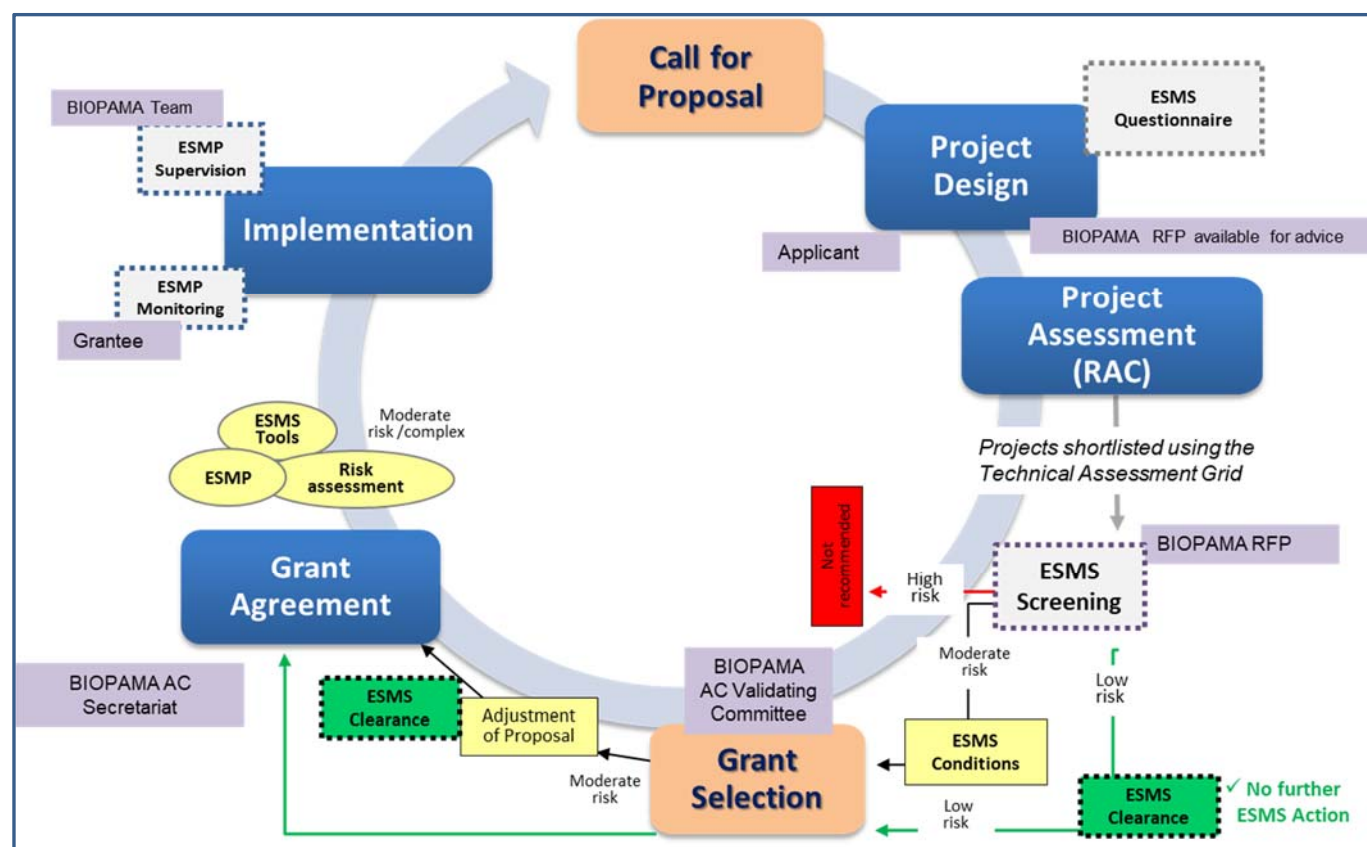
Fig.7: ESMS Review Steps for Medium Grants (MG)

The different steps of ESMS application and roles and responsibilities are further summarized in table below. Each step is then explained in full detail and with methodological guidance in the sections that follow.

ESMS Review Steps, Roles and Guidance

ESMS steps within BIOPAMA Cycle	Project category	Responsible Party	Supporting Party	Guidance/ templates
Project Design				
1. Familiarize with IUCN Environmental and Social Management System (ESMS) as explained in Call for Proposal and on BIOPAMA website	all projects	BIOPAMA AC Applicant		ESMS Guidance
2. Complete ESMS Screening Questionnaire that is part of the BIOPAMA AC Application Form	all projects	BIOPAMA AC Applicant		BIOPAMA Screening Questionnaire As part of the Application Form
3. Assess risks, prepare risk mitigation measures and relevant ESMS tools and consult with communities/ affected peoples – seek support from BIOPAMA Focal Point on any questions	all projects	BIOPAMA AC Applicant	BIOPAMA AC Regional Focal Point (RFP)	ESMS Guidance
Project Assessment				
4. Perform an ESMS scan on the basis of the information provided by the applicants to inform the completion of the technical assessment grid during the RAC meeting	all projects	BIOPAMA AC RFP		
5. Screen on environmental and social risks, assign risk category and analyse applied ESMS tools and level of consultation with affected peoples; **ESMS Screening** applies a tiered approach: • no further steps for projects considered *low risks,* • *moderate risk* projects require adjustment of proposal • *high risk* projects are not recommended for selection	projects shortlisted using the technical assessment grid	BIOPAMA AC RFP	BIOPAMA AC Global Team, ESMS / Safeguard Experts	Template ESMS Screening Report
6. Integrate Screening results into the evaluation of MGs proposals	projects shortlisted using the technical assessment grid	BIOPAMA AC RFP	BIOPAMA AC Global Team	
Grant Selection				
7. Decide selection of the proposal on the basis of the RAC Report and the ESMS Screening Report which might imply that selection is conditional on completing required ESMS actions	low and moderate risk projects	BIOPAMA AC Validating Committee		
Gap Closure prior to Grant Agreement				
8. Adjust project proposal to reflect the ESMS Screening conditions; depending on the significance of risks this requires to: (a) Undertake an E&S assessment or community consultations,	moderate risk projects	BIOPAMA AC Applicant		

develop an ESMP with mitigation measures (appropriately budgeted for) [9] or (b) Include E&S assessments or the development of other ESMS tools as project activity (appropriately budgeted for)[10]				
9. Review whether all conditions from the ESMS Screening were incorporated into the Proposal and issue ESMS Clearance to enable Grant Agreement	moderate risk projects	BIOPAMA AC Global Team	BIOPAMA AC RFP, ESMS / Safeguard Experts	
Implementation: Monitoring and Supervision				
10. Implement ESMP as specified under 8 (a) or develop and implement E&S assessments and other ESMS tools specified under 8 (b) and document mitigation measures in form of an ESMP[11]	moderate risk projects	BIOPAMA AC Grantee	BIOPAMA AC RFP, ESMS / Safeguard Experts	ESMP template
11. Report on ESMP implementation - as part of project reporting	moderate risk projects	BIOPAMA AC Grantee		ESMP template
12. Supervise implementation of ESMP and, if needed, update risk category and/or mitigation measures	low and moderate risk projects	BIOPAMA AC RFP	ESMS / Safeguard Experts	
13. Inclusion of ESMS implementation in interim and final BIOPAMA AC project reporting as well as any lessons learned and emerging risks	moderate risk projects	BIOPAMA AC Global Team	BIOPAMA AC RFP, ESMS / Safeguard Experts	
14. Inform the EC DEVCO and ACP Secretariat about project implementation and ESMS issues (including cases of Grievance)		BIOPAMA AC Global Team	BIOPAMA RFP, ESMS / Safeguard Experts	

5.1.1   Project Design

- *Call for Proposal - ESMS Guidance*

The instructions included in the Call for Proposal will give basic information about the need to comply with the requirements of the ESMS. It will further refer the applicant to the BIOPAMA AC portal where further guidance on the ESMS can be found. This guidance explains the objectives and requirements of the ESMS Standards and clarifies under what conditions the Standards are triggered. This information is important as this will determine whether they need to follow the requirements laid out in the Standard including the need to develop specific tools such as an Indigenous Peoples Plan (IPP) or a Process Framework for mitigating impacts from Access Restrictions.

The guidance will further explain the need to adhere to the ESMS principles in particular ensuring meaningful stakeholder consultation, give particular attention to vulnerable groups within the project site, seek opportunities for improving gender equality and empower women.

The main point is that the applicant understands that his project proposal will not only be judged on the technical quality but also on the ability to identify and manage environmental and social risks and fully comply with requirements of the Standards that have been triggered.

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[9] Option (a) is selected for projects with few potential adverse social and environmental risks that require limited social and environmental assessment to determine how the identified potential impacts will be avoided or when avoidance is not possible, minimized, mitigated and managed, typically through application of good practice, mitigation measures and stakeholder engagement during project implementation;

[10] Option (b) is selected for more complex projects with numerous and/or varied potential adverse social and environmental risks; in particular if the Standard on Involuntary Resettlement and Access Restrictions or the Standard on Indigenous Peoples is triggered and the development of respective ESMS tools is required;

[11] Environmental and Social Management Plan (ESMP)

- *ESMS Questionnaire as part of the MG Application Form*

All BIOPAMA AC MG applicants have to complete the ESMS Screening Questionnaire which forms part of the application form. It is important to stress that the **answers in the Questionnaire forms the basis of the ESMS screening and as such is critical for the assessment of the proposal.**

- *Support during project design*

IUCN is aware that the concept of safeguards may be new for some of the applicants. This is why applicants are encouraged to seek support from the BIOPAMA Regional Focal points during the proposal design phase stage. While the formal risk assessment and risk classification is undertaken by the BIOPAMA Regional Focal Points during the ESMS Screening (see section below), **it is expected that the BIOPAMA MG applicants use the ESMS Questionnaire in order to assess the likely environmental and social risks of their projects already when they are designing their projects and come up with appropriate ways to avoid or manage risks and to meet the requirements of relevant ESMS Standards**. Assessment of risks, solutions and mitigation measures should be part of the proposal design and is the responsibility of the applicant. The proposal clearly and tangibly integrating the above will significantly contribute to the quality of the proposal.

More importantly, **stakeholder consultation and engagement** should be an integral part of project design and implementation in order to ensure that communities have provided broad support to project activities and have been able to raise any concerns. Having effectively integrated the above will significantly contribute to the quality of the proposal.

The regional focal points will be available to answer any general query about the ESMS Standards, ESMS principles and ESMS procedures along the project cycle. They will also be able to provide targeted support on the proposal under development and can help grantees with the identification of risks, the development of mitigation measures, the determination whether of a Standard is triggered and whether this would require the development of specific ESMS tools.

5.1.2   Project Assessment and Selection

- *ESMS Screening*

Completing the ESMS Questionnaire

As part of the project appraisal procedure BIOPAMA MG proposals will be screened by the BIOPAMA Regional Focal Points on environmental and social risks. This will happen before completing the RAC technical assessment.
The **screening will be based on the information provided by the grantees** in the application form and the dedicated ESMS screening questionnaire (annex 7). The screening will be guided by the ESMS Questionnaire and checks the following areas:
-   Stakeholder engagement: Have stakeholders been engaged during project design (in particular women)? Have they been able to raise any concerns?
-   Identification of potential adverse social and environmental impacts
-   ESMS Standards: Are any of the four standards triggered by the project activities? What are the respective risk issues?[12]
-   Climate Change: does the project fail to take effects of climate change appropriately into considerations and as such might increase vulnerability of ecosystems or of communities or jeopardizing the effectiveness of project activities or sustainability of intended changes?

As illustrated in figure 8 the Screening concludes in the **assignment of a risk category** and in the **judgment whether environmental or social risks are already addressed sufficiently by the proposed project design or whether assessments are needed to better understand the risks** (or further

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[12] The four Standards are available as stand-alone documents on the IUCN ESMS website. The Standards are further described in the ESMS Manual for applicants available on the BIOPAMA AC portal.

consultations with affected groups). It also determines whether the additional measures are needed to further mitigate identified risks.
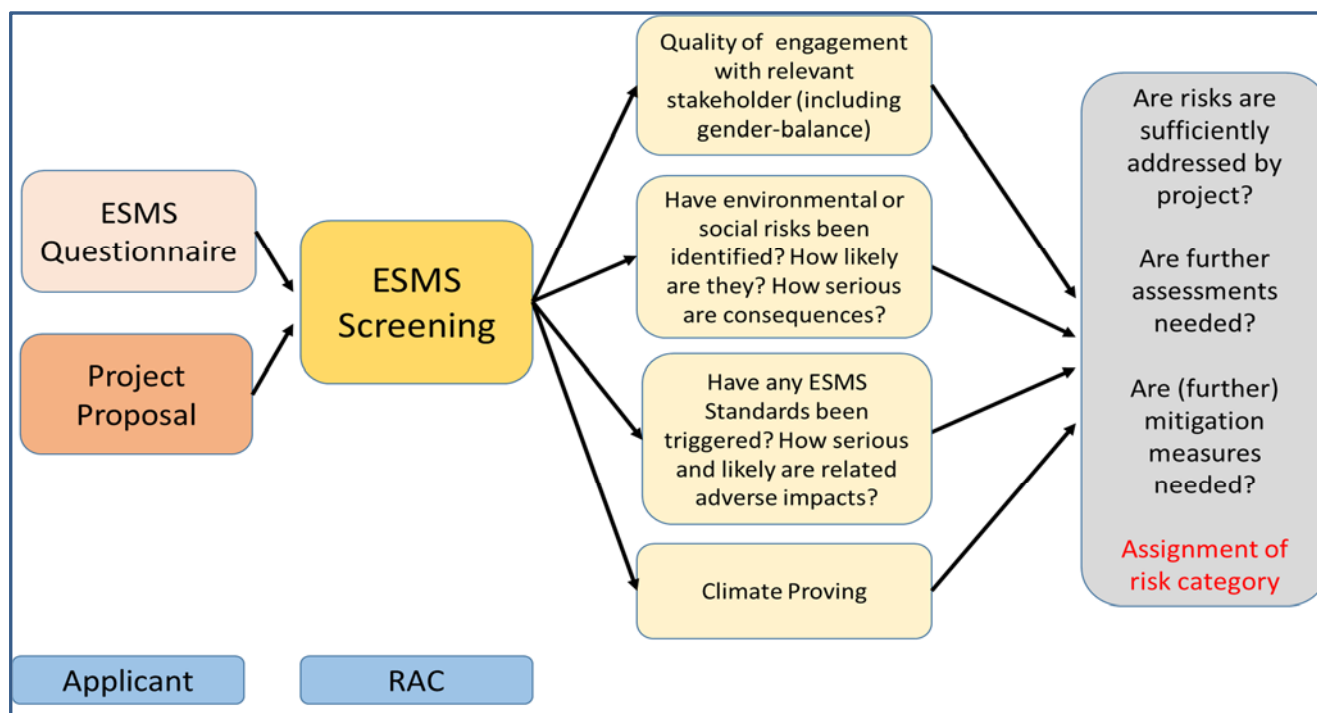
Fig.8: ESMS Screening

An important element of the screening is assigning an appropriate risk category to the project as this will guide the steps that the applicant and BIOPAMA AC Global Team will take in response. The two main questions that guide the risk categorization and the determination of significance:

- What are all the potential (plausible) negative impacts that may arise as a result of project implementation and what is the **likelihood** of these impacts arising?
- How serious would be the **consequence** or **magnitude** of each impact? Taking into account the expected duration and scale of the impact, whether it is reversible or not, whether cumulative negative impacts are expected, and the sensitivity of the receptor. The latter require answering the following questions:
  - What is the "receptor" for each of these impacts? i.e. who or what would be negatively affected?
  - How sensitive is each of these receptors? i.e. how easily can they be significantly affected by project activities?

The overall risk category assigned to a project is established by assessing the significance of each of the identified impacts (also referred to as risk factors). The significance is considered a product of the likelihood of the impact arising, and its likely consequence/magnitude as demonstrated in the matrix in figure 9. Unlikely impacts that would have only minor consequences are considered low risk; very likely impacts that would have major consequences are considered high risk; unlikely impacts that would have major consequences are considered moderate risk; very likely impacts that would have only minor consequences are considered moderate risk.

Likelihood	Consequence / Magnitude		
	Minor	Medium	Major
Very Likely	Moderate	High	High
Likely	Moderate	Moderate	High
Possible	Low	Moderate	Moderate
Unlikely	Low	Low	Moderate

Fig.9: Matrix for establishing significance of risk factors

The exercise is done for each of the identified risk factors. **The highest rating would generally guide the risk classification of the project as a whole.** For example, if a project has five risk factors, three of which are considered of low significance and two of which are considered moderately significant, the project will be classified as a moderate risk project.

The final decision about a project's risk category should also take into consideration the **potential for posing a reputational risk for BIOPAMA AC and/or for the grantee**, as well as the **experience and capacities of the grantee in managing social and environmental risks and implementing ESMS tools**.

In addition to the risk factor based assessment approach described above also the following, widely accepted definition for the three risk categories will be taken into consideration:

- Projects considered to be of <mark>high risk</mark> have the potential to cause <u>significant adverse environmental and/or social impacts</u>. Their impacts may be related to sensitive receptors (humans, biodiversity, etc.), may severely affect the health of the receptor, have a long duration, be diverse, may go far beyond the project's area of influence, be unprecedented, may not be reversible, and may be very controversial among stakeholders.
- Projects considered to be of <mark>moderate risk</mark> have the potential to cause only <u>medium adverse environmental and/or social impacts</u>. These impacts may be few in number, or be very site-specific. Their extent can be determined with a reasonable degree of certainty. Few if any of them are irreversible, and mitigation measures can be easily designed. A rating of moderate risk, however, should only be used if the grantee is expected to be capable to conduct or commission a risk assessment and to subsequently manage the identified risks diligently through a suite of appropriate mitigation measures.
- Projects considered to be of <mark>low risk</mark> generally have <u>no or only</u> <u>minimal negative environmental or social impacts</u>. The risks remain low because the impact issues are well-known and are already adequately mitigated by project activities as part of the project design. These mitigation strategies are based on established and readily available good practices. A rating of low risk, however, should only be used if the grantee has a good track record in applying these practices, and can demonstrate a good knowledge about the project site(s) and local socio-economic conditions.

  - *ESMS Clearance*

The ESMS Screening and risk classification guides the steps that the applicant and BIOPAMA AC Global Team will take in response following a three-tiered approach:

- <mark>Low Risk</mark>: Projects considered to be of low risk <u>do not require any further actions</u> to be taken prior to the grant contract being signed. Therefore, the Screening Report acts as an **ESMS Clearance**. From the ESMS perspective, the project can proceed straight to award if any and contracting, and implementation can commence. Potential minor impacts identified during the ESMS Screening that are already being mitigated by project activities should be monitored, though, during project implementation in order to determine if existing project activities are sufficient to address them. <u>Monitoring</u> should also check if any unexpected impacts have occurred.

- <mark>Moderate Risk</mark>: Projects considered to be of moderate risk <u>will require action in response</u>. Usually it implies the need to undertake a dedicated assessment of the identified environmental or social risk issue(s) and to develop appropriate mitigation measures. The scope and depth of such assignment will depend on the nature and scale of the identified risks and be determined by the BIOPAMA Regional Focal Point as part of the ESMS Screening. For the BIOPAMA AC there are two scenarios:
  - Projects with <u>few</u> potential adverse social and environmental risks that require only <u>limited social and/or environmental assessment</u> to determine how the identified potential impacts will be avoided or when avoidance is not possible, minimized, mitigated and managed,: The Screening will instruct the applicant on necessary steps to adjust the project proposal such as undertaking a targeted environmental and/or social assessment or conducting further

community consultations in order to develop adequate mitigation measures to be documented in form of an Environmental and Social Management Plan (ESMP) and appropriately budgeted for in the project proposal. The adjusted proposal is reviewed and if all conditions of the Screening are addressed the **ESMS Clearance** is issued.

- o <u>More complex</u> projects with numerous and/or varied potential adverse social and environmental risks: these projects will require a more comprehensive assessment process, in particular if the Standard on Involuntary Resettlement and Access Restrictions or the Standard on Indigenous Peoples is triggered and the development of respective ESMS tools is required. As this will require time and funding, it is not likely that the grantee will be able to complete these steps prior to the award of the grant. The applicant needs to include the required environmental and/or social assessments and/or the development of other ESMS tools as project activity into the proposal and its budget. A **Conditional ESMS Clearance** will be issued and the grantee is contractually obliged to complete the required ESMS actions during the project implementation.

- High Risk: Projects considered to be of high risk would <u>require carrying out a full environmental and social impact assessment (ESIA)</u>. They are unlikely to be recommended for funding, especially for medium grants, as time and resources required to conduct a full ESIA may be prohibitive. The Screening Report will underline a **Negative ESMS Clearance**. However, if the BIOPAMA Validating Committee decides that their conservation objectives outweigh the risks, are a priority for funding, and should proceed, applicants would first have to undertake a full ESIA. The project would only be awarded after the applicant having completed the ESIA and the BIOPAMA AC Global Team having rated the ESIA and respective mitigation measures as adequate. .

The results of the ESMS Screening and required action and conditions (where applicable) are recorded in the same file as the ESMS questionnaire in the dedicated section of the MG proposal assessment grid filled by the Regional BIOPAMA Focal Point.

For the ESMS Screening to be effective, it is essential that the project is properly designed and sufficient information is included in the project proposal (socio-economic profile of the project site, indigenous peoples present, local peoples' dependency on natural resources, etc.). **The lack of information might result in the project being assigned a higher risk category**.

5.1.3 Gap closure: modifying the proposal to integrate required ESMS actions

Risk Assessment and Environmental and Social Management Plan (ESMP)

All projects assessed as being of moderate or high risk must undertake some form of environmental and/or social risk assessment, and produce an Environmental and Social Management Plan (ESMP).

High risk projects (if the BIOPAMA AC Validating Committee decides they are to proceed to contracting) must carry out a full Environmental and Social Impacts Assessment (ESIA). For transparency and clarification, detailed instruction for the full ESIA is available on the BIOPAMA AC portal.

For moderate risk projects it will likely be sufficient to conduct only a targeted assessment of the specific social and/or environmental risks issues that have been identified in the Screening. The scope and depth of such assignment will be determined by the BIOPAMA Regional Focal Point as part of the ESMS Screening. Such an assignment should achieve the following:

- Identify and analyse the risks and verify their significance;
- Discuss ways to avoid risks (e.g. by changes of project design);
- Where avoidance is not (fully) possible, come up with measures for minimizing or compensating for these impacts;
- Develop ESMS tools required by the Standard(s) triggered, as applicable.

All of the above steps need to be carried out with meaningful and culturally appropriate consultation of relevant stakeholders and in particular with affected groups. Further guidance on stakeholder engagement is provided in chapter 5.3.

The results of the risk assessment and consultations should be described in a brief and succinct assessment report and the mitigation measures documented in the form of an Environmental and Social Management Plan (ESMP). The ESMP specifies the mitigation measures, their respective implementation schedule and arrangements, required resources (budget), responsibilities as well as provisions for monitoring. Were relevant, capacity building measures might need to be considered. Detailed guidance for developing the ESMP including templates for the ESMP itself and for monitoring implementation of the ESMP is provided in the ESMP Guidance Note available on the BIOPAMA AC portal.

For some risk issues, grantees might be able to conduct the risk assessment themselves, without external input. However, it will often be necessary for the grantee to hire a specialist consultant. This may particularly be the case for social elements, as biodiversity conservation organizations often do not include staff members with specialist skills and experience in this topic. Consultants should have a background in social sciences, on-the-ground experience in the country where the project is to be implemented including being fluent on vernacular language(s) (and ideally at the target site(s)), and relevant experience in safeguard application, stakeholder consultation, gender-analysis, and gender-responsive project design.

Other ESMS Tools required when Standards are triggered

While a targeted risk assessment and corresponding ESMP is necessary for all moderate risk projects (and an ESIA for high risk projects), other ESMS tools are only required if specific standards are triggered as concluded by the Screening. The tools are depicted in figure 10 below. The ESMS Screening will have also appraised the expected significance of risks and determined whether a full-fledged tool is needed or whether an abbreviated form of the respective tool is sufficient. Where the proposal does not contain sufficient context information, the risk will be assumed higher for precautionary reasons.
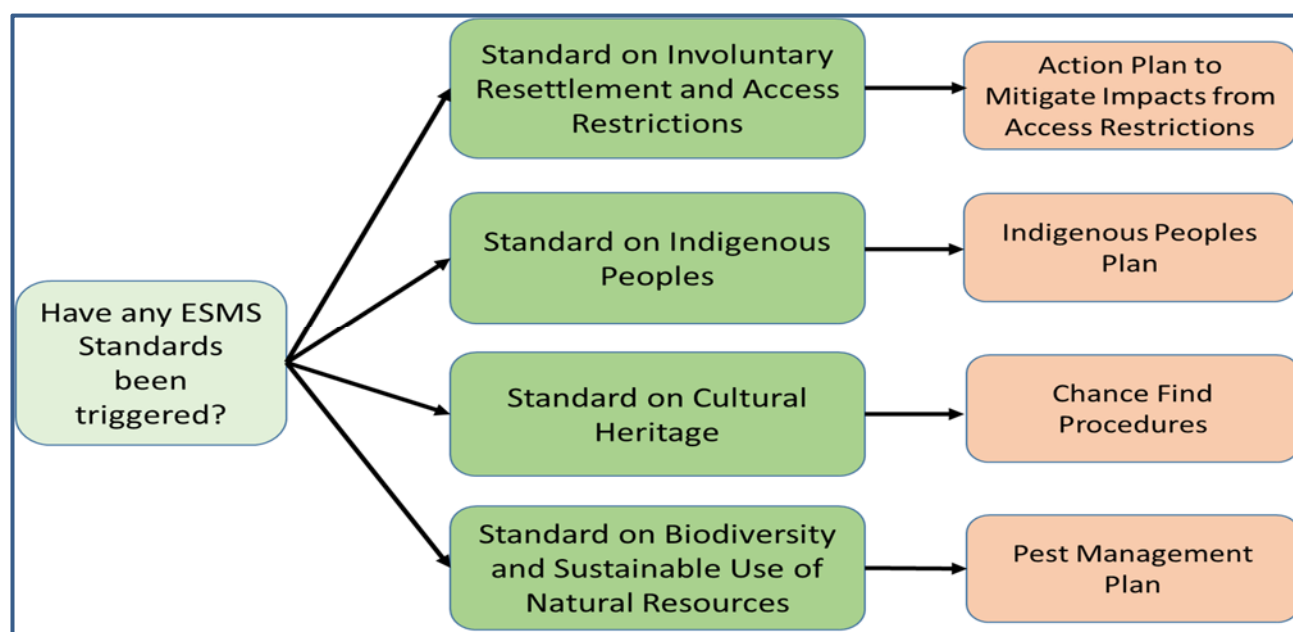

Fig.10: ESMS Tools in Response of Standards Being Triggered

More detailed guidance for the steps taken in response in relation to each standard is given in the below sections.

Standard on Involuntary Resettlement and Access Restrictions

If the ESMS Screening determines that the Standard on Involuntary Resettlement and Access Restrictions has been triggered by the project (due to the potential for restrictions on access to natural resources)[13], the BIOPAMA AC Regional Focal Points and Global Team will request the grantee to produce an **Action Plan to Mitigate Impacts from Access Restrictions**. This document describes the expected restrictions, the negative impacts that are likely to result (disaggregated by affected groups) and the measures that will be put in place in order to avoid, mitigate or compensate for these impacts, and establishes the basis for an agreement with the affected parties on these measures to be provided. A detailed Guidance Note on the Action Plan will be available to the applicant and on the BIOPAMA AC portal.

Standard on Indigenous Peoples

If the ESMS Screening determines that the Standard on Indigenous Peoples has been triggered and that negative impacts are likely, the BIOPAMA AC Regional Focal Point will request the applicant to produce an **Indigenous Peoples Plan**. If the standard has been triggered but negative impacts are likely to be minimal, a stand-alone IPP is not needed and mitigation measures can instead be included in the ESMP. An exception to this is a situation where project sites are home to a variety of different ethnic groups, and there is a risk that one or more of these groups may be disadvantaged or discriminated against. In this situation, even if negative impacts are expected to be minimal, it is good practice to still produce an IPP. A detailed Guidance Note on Indigenous Peoples Plan will be available to the applicant and on the BIOPAMA Portal.

Standard on Cultural Heritage

If the ESMS Screening identifies that risks of damages to cultural resources are likely and the Standard on Cultural Heritage has been triggered, the BIOPAMA AC Regional Focal Points and the Global Team will request a **targeted impact study**. Such a study should involve competent professionals with expertise on these resources, relevant project-affected groups, government authorities, and traditional knowledge holders, and should document the cultural resources, provide a comprehensive understanding of their significance, assess potential impacts on them, and suggest strategies for mitigating these impacts. If the project involves small-scale civil works, such as construction or improvement of small infrastructure (watch towers, visitor centres, access roads, etc.), and the impact study has confirmed that the impacts are of moderate or high significance, suitable mitigation measures (identified by the impact study) should be included in the ESMP. In addition, the BIOPAMA AC Regional Focal Points and Global Team will request the applicant to prepare **Chance Find Procedures** (CFP) that describe what the grantee or agencies executing the works should do if they unexpectedly encounter cultural resources as a result of their work. The latter will also be applicable as precautionary measure in situations where risks are possible but not necessarily likely and no impact study is conducted. A Guidance Note will be available to the applicant and on BIOPAMA Portal.

Standard on Biodiversity Conservation and Sustainable Use of Natural Resources

If the ESMS Screening identifies that the project triggers the Standard on Biodiversity Conservation and Sustainable Use of Natural Resources due to risks of negative impacts, the BIOPAMA AC Regional Focal Points and Secretariat will request a targeted risk assessment. If the project involves actions to control or eradicate biological pests (including physical control, the use of bait, biological control, or the use of pesticides), then the BIOPAMA Regional Focal Points must evaluate the level of risk, and ensure that the management technique is appropriate to the level of risk. All projects that include some kind of pest management must include a description of the proposed management technique in the project document. If there is a risk that the management technique could potentially cause more than very minor and temporary impacts, then a **Technique Risk Assessment** (TRA) should be undertaken. If the TRA concludes that the planned pest management techniques potentially have significant impacts, including beyond the immediate site of application, then a **Pest Management Plan** (PMP) is required. A detailed Guidance Note on TRA and PMP will be made available to the applicant and on the BIOPAMA portal.

5.1.4 Grant Agreement

As explained earlier IUCN will by means of the ESMS Screening Report make a recommendation to the BIOPAMA AC Validating Committee whether a project should be:
- cleared on safeguard issues (low risk projects);

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[13] It is unlikely that any project funded by BIOPAMA will involve resettlement of communities.

- cleared after having closed gaps through targeted risk assessments and ESMP (<mark>moderate risk</mark> with only <u>few</u> potential adverse social and environmental risks)
- conditionally cleared after having incorporated the required ESMS actions as project activities into the proposal (more <mark>complex</mark> <mark>moderate risk</mark> projects with numerous and/or varied potential adverse social and environmental risks) or
- whether clearance is rejected and the project not recommended for funding (<mark>high risk</mark>).

For projects that have been assessed as being <mark>moderate</mark> risk projects the grant agreement will not be signed until the BIOPAMA AC Regional Focal Points and Global Team have verified that the applicant has undertaken required assessments and established an ESMP with mitigation measures appropriately budgeted for.

For projects that have been assessed as being <mark>moderate</mark> with more <mark>complex</mark> risk issues, it is generally necessary for the applicant to undertake a comprehensive environmental and/or social assessment, develop an ESMP and potentially other ESMS tools as demanded by the respective Standards. These ESMS actions are formulated as a condition in the ESMS Clearance. In this case, the grant agreement will not be signed until the BIOPAMA AC Regional Focal Points and Global Team have verified that the applicant has incorporated these actions as project activities into the project proposal and the budget. The verification should also take the grantee's capacity to implement or commission the prescribed risk assessment and mitigate the risks appropriately into account.

5.1.5 Implementation: Monitoring and Supervision

The required ESMS actions to be performed by the grantee during project implementation depend on the project's risk category and will also differ for each project. As described above complex moderate risk projects will require steps to finalize the ESMS review process such as a dedicated risk assessment and the identification of mitigation measures (to be documented in an ESMP) or the development of specific tools to meet requirements of the Standards triggered. Second, the ESMP and other tools need to be implemented. Both, the ESMS review steps and the actual implementation of the tools will need to be monitored and reported.

Low risk projects on the other hand, do not require further ESMS review steps. However, potential minor impacts identified during the ESMS Screening that are already mitigated by project activities should be monitored to determine if existing project activities are sufficient to address them. Monitoring should also check if any unexpected impacts have occurred.

There are two key mechanisms by which BIOPAMA Regional Focal Points and/or BIOPAMA AC Global Team supervises grantees' compliance with ESMS processes – by reviewing monitoring reports prepared by the grantee and through supervision missions.

- *Grantee Monitoring and Reporting*

Grantees are required to submit periodic progress and financial reports according to the schedule specified in their grant agreement. These reports must be submitted using a prescribed reporting format, which includes reporting about ESMS issues. The details of what information is reported depends depending on the risk category as described below:

Low risk projects

Generally, low risk projects <u>do not need to report on ESMS issues other than explaining what they have undertaken to spot any unexpected impacts that might have emerged</u> since the project start. For projects where minor risks had been identified during the ESMS Screening the grantee should provide a brief explanation whether they are effectively addressed by project activities.

Moderate risk projects

As mentioned in the introduction above, complex moderate risk projects generally will <u>first need to finalize a risk assessment, the development of mitigation measures (and respective ESMP) and potentially other ESMS tools. The progress of implementing these needs to be described in the first periodic report; the</u>

respective results (e.g. risk assessment report) and tools (ESMP, Indigenous Peoples Plan etc.) should be annexed to the report.

The ESMP and other ESMS tools, where required, need to be approved by the BIOPAMA AC Regional Focal Points and BIOPAMA AC Global Team in order to continue project implementation. Detailed guidance for developing the ESMP including templates for the ESMP itself and for monitoring implementation of the ESMP is provided in the ESMP Guidance Note available on the on the [IUCN website](#). Reporting will include:

- Progress of implementing mitigation measures, including providing evidence, where relevant;
- Indication of effectiveness of mitigation measures[14];
- Updates on implementation of any other ESMS tools;
- Changes to the project context since the ESMS Screening (including emerging risks),
- Any grievances that have been raised and how these grievances were handled by the project team.

- *Supervision and Field Missions*

BIOPAMA MG funded projects should be subject to periodic calls and field missions. These missions will be prioritized based on ESMS risk category, and on other risks such as technical/operational risks, and financial risks. Grantees are contractually obliged to cooperate with the supervision mission team, and provide access to the project sites, and other relevant information, as requested. In most cases, supervision missions will be conducted by the BIOPAMA AC Regional and Global Teams.

In addition to assessing technical performance and financial management, checking ESMS compliance will form a key element of all field missions. For projects that have been assessed as being of low risk, this may simply be confirming that the project continues to adhere to the ESMS principles, assessing whether any minor negative impacts are sufficiently addressed through project activities, and that no other risks have emerged.

For projects that have been assessed as being of moderate or high risk, this element of the field mission should be more comprehensive, and include an assessment of the grantee's progress with implementation of the ESMP and other required ESMS tools, consultation with affected groups, and an assessment of the effectiveness of the mitigation measures.

If IUCN believes that a project is causing non-expected, significant negative risks for local communities or the environment, the organization is entitled to plan and conduct a safeguards' supervision mission. If the mission findings confirm such negative impacts are occurring and are being generated by the BIOPAMA AC activity, IUCN will propose corrective measures, including adjustments in project design and/or new mitigation measures. If the grantee is not able to mitigate the identified negative impacts (or if IUCN has reason to believe that the grantee will not be able to do so), IUCN will recommend project suspension to prevent further irreversible damage. Temporary suspension is also an option where severe impacts are suspected, even without having completed a safeguard mission.

5.2   Grievance Mechanism

In order to ensure that projects are not only screened on environmental and social risks but also that risk management is actually effective, IUCN requires projects to put a grievance mechanism in place. A grievance mechanism is a system by which local stakeholders (such as local communities, individual members of the community or civil society organizations) are given the opportunity to raise concerns and submit complaints if they are suffering or fearing adverse impacts as a result of the project failing to respect

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[14] Mitigation measure often require time to become effective. In the first year(s) of implementation it will often not be possible to provide more than a first indications of effectiveness. Nevertheless, it is important to monitor this in order to be able to make adjustments if there are any doubts about the effectiveness of the measures.

ESMS principles, standards, and procedures. The mechanism will give them assurance that the causes of these concerns will be analysed and appropriate steps taken to mitigate them or provide for redress.

The BIOPAMA AC will use the IUCN Project Complaints Management System (PCMS) which is described in a Guidance Note available on the IUCN website as an institution-wide ESMS complaint management mechanism – with one light adjustment. The system suggests that resolution of complaints should be sought at the lowest possible level following a three-stage process.

- First, complainants should bring up the issue with the project management of the executing agency (grantee) to try to resolve the issue together (stage 1).
- If this is not effective, the concern should be escalated to the nearest IUCN office (stage 2). For the BIOPAMA Action Component an adjustment is made at this stage as illustrated in figure 11 below – instead of the IUCN office the grievance should be escalated to the BIOPAMA AC Regional Focal Points or the BIOPAMA AC Global Team, who can act as a neutral party mediating between the complainant and the grantee.
- If neither of the two stages have been successful, a formal complaint can be escalated to the IUCN Project Complaints Management System.
- If the concern is highly sensitive or the complainant needs confidentiality or fears retaliation, the first two stages can be skipped and the complaint can be submitted directly to the Project Complaints Management System.
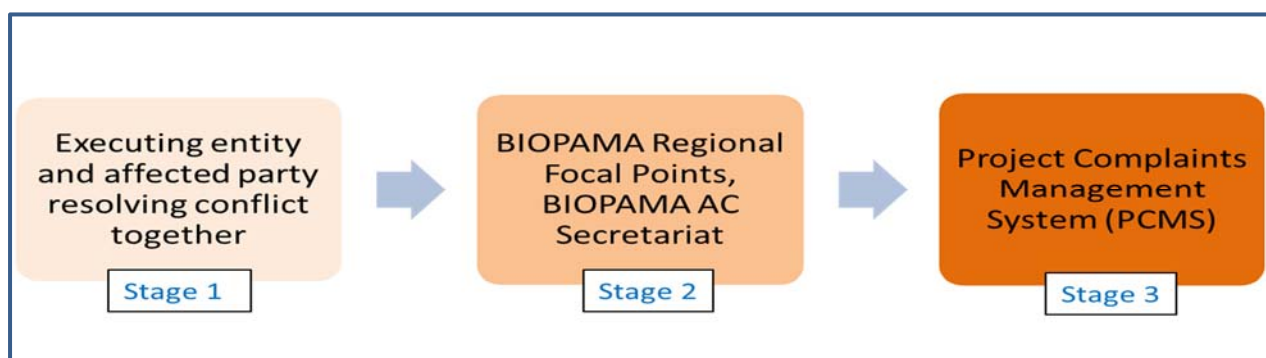
Fig.11: Stages of the ESMS Grievance Mechanism (adapted to BIOPAMA AC)

Complaints submitted to the PCMS can be sent by post, email or telephone[15], and should include:

- the name and contact details of the complainant;
- a description of the project concerned;
- the harm that is resulting (or is likely to result);
- the ESMS principle, standard, or process that is alleged to have been breached (if known);
- any actions that have been taken to attempt to resolve the issue; and
- relevant supporting documents.

While anonymous complaints are not accepted, PCMS provides for confidential and discreet submission of complaints if the concern is highly sensitive, including situations where the complaint is regarding the conduct of local project staff or management staff of the grantee.

All grievances received will be registered in form of a complaint log by the grantee (stage 1), BIOPAMA Regional Focal Point (Stage 2) or through the PCMS (stage 3). The register also documents the response actions and status of the complaints (solved/not solved). The grantee is mandated to attach a copy of the complaint register to the annual technical report to enable the supervision of the complaint processes by the BIOPAMA AC Regional Focal Points and BIOPAMA AC Global Team.

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[15] Contact details are provided in the ESMS Grievance Mechanism Guidance Note.

For the grievance mechanism to be effective and accessible, the grantees must inform all relevant project stakeholders of the existence of the mechanism. This should ideally be done during the project design phase but no later than within the first quarter of project implementation. Stakeholders need to know the issues eligible for the grievance mechanism, the three-stage process, contact information and the mechanism for complaint submission. The information should be delivered in a culturally appropriate form assuring that all relevant groups are reached, including women, indigenous peoples and vulnerable groups. It can be communicated verbally (in consultation meetings or through media) or in writing. Evidence of having provided adequate information to all relevant stakeholders about the existence of the Grievance Mechanism needs to be included in the first progress report.

Grantees are further encouraged to add project-level structures or mechanisms to tailor it more effectively to the local customs and conditions and to proactively prevent grievances from building up. Stakeholder engagement during the design phase is critical as well as regular stakeholder contact and consultation during the implementation. Maintaining a constructive relationship with stakeholders helps the project managers identify and anticipate potential issues early. Grantees should also consider asking a local, respected individual to assume the role of an ombudsperson. Involving a person who is respected and trusted by the affected parties can be an effective and unthreatening way for communities and project management to resolve differences. This and any other measures aimed at tailoring the grievance mechanism to the socio-cultural specificities of the project context should be described in the project's ESMP.

5.3 Stakeholder Engagement

BIOPAMA will follow the ESMS Principle of Stakeholder Engagement by **ensuring that individuals and communities who might be affected (positively or negatively) by BIOPAMA projects are provided with the opportunity to participate in a genuine and meaningful way in the formulation and implementation of the projects**. To this end, stakeholder engagement processes put in place during the design of funded projects should ensure that stakeholders are informed, that concerns are captured, and that potential risks are identified and adequately addressed through avoidance, minimization, or compensation.

The intensity of stakeholder engagement should be proportional to the concerns expressed or expected from stakeholders, and the consequence of potential risks (level of impacts):

- All stakeholders at a project site should be provided with general relevant information about the project;
- Stakeholders who could potentially be affected by project activities must be consulted during project design to verify and assess the significance of adverse impacts;
- If risks and negative impacts are confirmed and judged as significant, affected stakeholders should not only be consulted, but be thoroughly involved in project design, including in the development of mitigation measures, and later in monitoring their implementation;
- If project activities affect indigenous people (positively or negatively) or lead to restrict access to the natural resources of local communities with customary or formal natural resources or tenure rights, a process for achieving Free Prior Informed Consent (FPIC) is needed.

The quality of stakeholder consultation during project design and the engagement strategy planned for the implementation phase will be evaluated by the Regional Assessment Committee (RAC) using the technical assessment grid.

List of annexes

Annex 1: Rules on nationality and origin for public procurement, grants and other award procedures financed under the ACP-EC Partnership Agreement.
Annex 2 Written Declaration for BIOPAMA Action Component Third Party.
Annex 3 Exclusion criteria for BIOPAMA Grants and Small Technical Grant.
Annex 4 RIS Indicators
Annex 5 BIOPAMA Action Component Regional Advisory Committee Terms of reference.
Annex 6 BIOPAMA MG template.
Annex 7 BIOPAMA MG ESMS questionnaire.
Annex 8: BIOPAMA MG Budget worksheet.
Annex 9 BIOPAMA MG Due Diligence and Financial Capacity Questionnaire
Annex 10 BIOPAMA MG assessment grid.
Annex 11 BIOPAMA Abbreviated Environmental and Social Management Plan (ESMP) Impacts Assessment and Management Table
Annex 12 BIOPAMA Grievance Mechanism Monitoring Table

Annex 1: Rules on nationality and origin for public procurement, grants and other award procedures financed under the ACP-EC Partnership Agreement.

Participation in procedures for the award of procurement contracts or grants financed from the multi-annual financial framework of cooperation under the ACP-EC Partnership Agreement is open to international organisations and all natural persons who are nationals of, or legal persons who are effectively established in:

- *an ACP State* (appendix 12);
- *a Member State of the European Union* (appendix 1);

- *Beneficiaries of the Instrument for pre-accession assistance* (appendix 2);

- *a Member State of the European Economic Area* (appendix 3);

- *Overseas Countries and Territories* (appendix 8);

- developing countries and territories, as included in the OECD-DAC list of ODA Recipients, which are not members of the G20 group, without prejudice to the status of the *Republic of South Africa*, as governed by Protocol 3 of the partnership Agreement (appendices 4, 5, 6 and 7);

- countries for which Commission has adopted a decision approving the request for r*eciprocal access* to external assistance in agreement with ACP countries; Currently there are no such countries.

- *a* Member *State of the OECD* (appendix 9), in the case of contracts implemented in a Least Developed Country (LDC)[16] or a Highly Indebted Poor Country (HIPC)[17], or in the case of contract implemented in regional or global programmes which include at least one LDC or HIPC country.

APPENDIX 12*: ACP Countries*

Africa: South Africa[18], Angola, Benin, Botswana, Burkina Faso, Burundi, Central African Republic, Cameroon, Cabo Verde, Chad, Comoros Islands, Congo, Côte d'Ivoire, Democratic Republic of the Congo, Djibouti, Eritrea, Ethiopia, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Equatorial Guinea, Kenya, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritius, Mauritania, Mozambique, Namibia, Niger, Nigeria, Uganda, Rwanda, Sao Tome and Principe, Senegal, Seychelles, Sierra Leone, Somalia, Sudan, Swaziland, Tanzania, Togo, Zambia and Zimbabwe.

Caribbean: Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago.

Pacific: Cook Islands, East Timor, Fiji, Kiribati, Marshall Islands, Micronesia, Nauru, Niue, Palau, Papua New Guinea, the Solomon Islands, Western Samoa, Tonga, Tuvalu, Vanuatu.

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[16] **LDCs** are: Afghanistan, Angola, Bangladesh, Benin, Bhutan, Burkina Faso, Burundi, Cambodia, Central African Republic, Chad, Comoros, Democratic Republic of the Congo, Djibouti, Equatorial Guinea, Eritrea, Ethiopia, Gambia, Guinea, Guinea-Bissau, Haiti, Kiribati, Lao People's Democratic Republic, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritania, Mozambique, Myanmar, Nepal, Niger, Rwanda, Sao Tome & Principe, Senegal, Sierra Leone, Solomon Islands, Somalia, Sudan, South Sudan, Tanzania, Timor-Leste, Togo, Tuvalu, Uganda, Vanuatu, Yemen, Zambia.

[17] **HIPCs** are: Bolivia, Cameroon, Republic of the Congo, Côte d'Ivoire, Ghana, Guyana, Honduras, Nicaragua

[18] While natural and legal persons established in South African are eligible to participate in procedures financed by the 10th/ 11th EDF, South Africa cannot be a beneficiary of contracts financed by the 10th/11th EDF.

APPENDIX 1 : EU MEMBER STATES
Austria, Belgium, Bulgaria, Czech Republic, Croatia, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom (in case of no Brexit).

APPENDIX 2 : IPA II BENEFICIARIES
Albania, Bosnia and Herzegovina, Kosovo*, Montenegro, Serbia, Turkey, the former Yugoslav Republic of Macedonia.
* This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence.

APPENDIX 8 : OVERSEAS COUNTRIES AND TERRITORIES
Anguilla (UK), Aruba (NL), Bermuda (UK), British Indian Ocean Territory (UK), British Virgin Islands (UK), Cayman Islands (UK), Curaçao (NL), Falkland Islands (UK), French Polynesia (FR), French Southern and Antarctic Territories (FR), Greenland (DK), Montserrat (UK), New Caledonia and Dependencies (FR), Pitcairn (UK), Saba (NL), Saint Barthelemy (FR), Saint Helena Ascension Island Tristan da Cunha (UK), Sint Eustatius (NL), Sint Maarten (NL), South Georgia and South Sandwich Islands (UK), St. Pierre and Miquelon (FR), Turks and Caicos (UK), Wallis and Futuna Islands (FR).

APPENDIX 4 : LEAST DEVELOPED COUNTRIES (LDCs)
Afghanistan, Angola, Bangladesh, Benin, Bhutan, Burkina Faso, Burundi, Cambodia, Central African Republic, Chad, Comoros, Democratic Republic of the Congo, Djibouti, Equatorial Guinea, Eritrea, Ethiopia, Gambia, Guinea, Guinea-Bissau, Haiti, Kiribati, Lao People's Democratic Republic, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritania, Mozambique, Myanmar, Nepal, Niger, Rwanda, Sao Tome & Principe, Senegal, Sierra Leone, Solomon Islands, Somalia, Sudan, South Sudan, Tanzania, Timor-Leste, Togo, Tuvalu, Uganda, Vanuatu, Yemen, Zambia.

APPENDIX 5: OTHER LOW INCOME COUNTRIES
Kenya, Democratic People's Republic of Korea, Tajikistan, Zimbabwe.

APPENDIX 6 : LOWER MIDDLE INCOME COUNTRIES AND TERRITORIES
Armenia, Bolivia, Cabo Verde, Cameroon, Congo, Côte d´Ivoire, Egypt, El Salvador, Georgia, Ghana, Guatemala, Guyana, Honduras, India, Indonesia, Kosovo, Kyrgyzstan, Micronesia, Moldova, Mongolia, Morocco, Nicaragua, Nigeria, Pakistan, Papua New Guinea, Paraguay, Philippines, Samoa, Sri Lanka, Swaziland, Syrian Arab Republic, Tokelau, Ukraine, Uzbekistan, Vietnam, West Bank and Gaza Strip.

APPENDIX 7 : UPPER MIDDLE INCOME COUNTRIES AND TERRITORIES
Albania, Algeria, Antigua and Barbuda, Argentina, Azerbaijan, Belarus, Belize, Bosnia and Herzegovina, Botswana, Brazil, Chile, China (People's Republic of), Colombia, Cook Islands, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, Fiji, Former Yugoslav Republic of Macedonia, Gabon, Grenada, Iran, Iraq, Jamaica, Jordan, Kazakhstan, Lebanon, Libya, Malaysia, Maldives, Marshall Islands, Mauritius, Mexico, Montenegro, Montserrat, Namibia, Nauru, Niue, Palau, Panama, Peru, Saint Helena, Saint Lucia, Saint Vincent & the Grenadines, Serbia, Seychelles, South-Africa, Suriname, Thailand, Tonga, Tunisia, Turkey, Turkmenistan, Uruguay, Venezuela, Wallis and Futuna.

APPENDIX 9 : OECD MEMBER STATES
Austria, Belgium, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Luxembourg, Netherlands, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden, United Kingdom.
Australia, Canada, Chile, Iceland, Israel, Japan, Korea, Mexico, New Zealand, Norway, Switzerland, Turkey, United States of America.

ACP Countries	LDCs	HIPCs
Western Africa		
• Benin	X	
• Burkina Faso	X	
• Cape Verde		
• Cote d'Ivoire		X
• Gambia		
• Ghana		X
• Guinea	X	
• Guinea Bissau	X	
• Liberia		
• Mali	X	
• Mauritania	X	
• Niger	X	
• Nigeria		
• Senegal	X	
• Sierra Leone	X	
• Togo	X	
Central Africa		
• Burundi	X	
• Cameroon		X
• Chad	X	
• Central African Republic	X	
• Congo	X	X
• Democratic Republic of Congo	X	
• Gabon		
• Equatorial Guinea	X	
• Sao Tome and Principe	X	
Eastern Africa		
• Djibouti	X	
• Eritrea	X	
• Ethiopia	X	
• Kenya		
• Rwanda	X	
• Somalia	X	
• South Sudan	X	
• Sudan	X	
• Tanzania	X	
• Uganda	X	
Southern Africa		
• Angola	X	
• Botswana		
• Comoros	X	
• eSwatini		
• Lesotho	X	
• Madagascar	X	
• Malawi	X	
• Mauritius		

• <mark>Mozambique</mark>	X	
• Namibia		
• Seychelles		
• South Africa		
• <mark>Zambia</mark>	X	
• Zimbabwe		
Caribbean		
• Antigua and Barbuda		
• Bahamas		
• Barbados		
• Belize		
• Dominica		
• Dominican Republic		
• Grenada		
• <mark style="background:red">Guyana</mark>		X
• <mark>Haiti</mark>	X	
• Jamaica		
• Saint Kitts and Nevis		
• Saint Lucia		
• Saint Vincent and the Grenadines		
• Suriname		
• Trinidad and Tobago		
Pacific		
• Fiji		
• Cook Islands		
• <mark>Kiribati</mark>	X	
• Marshall Islands		
• Federates States of Micronesia		
• Nauru		
• Niue		
• Palau		
• Papua New Guinea		
• Samoa		
• <mark>Solomon Islands</mark>	X	
• Timor-Leste		
• Tonga		
• <mark>Tuvalu</mark>	X	
• <mark>Vanuatu</mark>	X	

Annex 2 Written Declaration for BIOPAMA Action Component Third Party

The applicant, represented by the undersigned, being the authorised signatory of the applicant, in the context of the present BIOPAMA call for Medium Grant proposals, representing any co-applicant(s) in the proposed action, hereby declares that:

- the applicant and each co-applicant (if any) are eligible in accordance with the criteria set out in the Guidelines for Applicants;
- the applicant has sufficient financial capacity to carry out the proposed action or work programme;
- the applicant certifies the legal statues of the applicant and of the co-applicant(s) as reported in the application;
- the applicant and the co-applicant(s) have the professional competences and qualifications specified in the Guidelines for Applicants;
- the applicant undertakes to comply with the principles of good partnership practice;
- the applicant is directly responsible for the preparation, management and implementation of the action with the co-applicant(s), if any, and is not acting as an intermediary;
- the applicant and the co-applicant(s) accept and comply with the obligation to share data and information for feeding the BIOPAMA RIS and the relevant regional observatory,
- The applicant and the co-applicant(s) are not in any of the situations excluding them from participating in contracts which are listed hereafter:

  (1) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

  (2) they have been convicted of an offence concerning their professional conduct by a judgment which has the force of *res judicata*;

  (3) they have been guilty of grave professional misconduct proven by any means which the Beneficiary can justify;

  (4) they have not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the Beneficiary or those of the country where the contract is to be performed;

  (5) they have been the subject of a judgment which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;

  (6) they are currently subject to an administrative penalty referred to in section 2.3.5 of the Practical Guide to contract procedures for EC external actions.

- The authorised signatory of the third party must certify that he is not in one of the situations listed above and signed on behalf of the third party.
- Furthermore, it is recognised and accepted that if the applicant and co-applicant(s) (if any) participate in spite of being in any of these situations, they may be excluded from other procedures;
- The applicant acknowledges that according to Article 131 (5) of the Financial Regulation of 25 October 2012 on the financial rules applicable to the general budget of the Union (Official Journal L 298 of 26.10.2012, p.

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1) and Article 145 of its Rules of Application (Official Journal L 362, 31.12.2012, p.1) applicants found guilty of misrepresentation may be subject to administrative and financial penalties under certain conditions.

- if recommended to be awarded a grant, the applicant, the co-applicant(s) accept the contractual conditions as laid down in the Standard Contract annexed to the Guidelines for Applicants;
- the applicant and the co-applicant(s) are aware that, for the purposes of safeguarding the financial interests of the EU, their personal data may be transferred to internal audit services, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti-Fraud Office.
- The applicant is fully aware of the obligation to inform without delay the BIOPAMA Action Component to which this application is submitted if the same application for funding made to other European Commission departments or European Union institutions has been approved by them after the submission of this grant application.

Signed on behalf of the applicant

Name of the Organisation	
Address	
Contact details	
Name of the Responsible Person (Block capital)	
Position	
Signature + Stamp	
Date	

Annex 3 Exclusion criteria for BIOPAMA Grants and Small Technical Grants

The following exclusion criteria are applied for both BIOPAMA medium grants and Small Technical Grants. All applicants must provide a signed declaration with their proposal that they do not fall into any of the exclusion criteria mentioned below. **Omitting to sign and/or date this form will result in the exclusion of the proposal**. The European Commission may request at any time further evidence for the correctness of the declaration.

Exclusion criteria applicable prior to participation in grant procedures:

A proposal will be excluded if the applicant or a partner is in any of the situations mentioned below:

   a. they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

   b. they, or persons having powers of representation, decision making or control over them, have been convicted of an offence concerning their professional conduct by a judgment of a competent authority of a Member State which has the force of res judicata; (i.e. against which no appeal is possible);

   c. they have been guilty of grave professional misconduct proven by any means which the contracting authority can justify, including by decisions of the European Investment Bank and international organisations;

   d. they are not in compliance with their obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the contracting authority or those of the country where the contract is to be performed;

   e. they, or persons having powers of representation, decision making or control over them, have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such an illegal activity is detrimental to the EU's financial interests;

   f. they are currently subject to an administrative penalty referred to in Article 109(1) of the EU Financial Regulation (for programmes funded by the EU budget and the 11th EDF) and in Article 99 of the 10th EDF Financial Regulation (for programmes funded by the 10th EDF).

Points (b) and (e) do not apply when the candidates, tenderers or applicants can demonstrate that adequate measures have been adopted against the persons having powers of representation, decision making or control over them who are subject to the judgement referred to in points (b) or (e).

The cases referred to in point (e) are the following:

1) cases of fraud as referred to in Article 1 of the Convention on the protection of the European Communities' financial interests drawn up by the Council Act of 26 July 1995;12

2) cases of corruption as referred to in Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of Member States of the European Union, drawn up by the Council Act of 26 May 1997;13

3) cases of involvement in a criminal organisation, as defined in Article 2 of Council Framework Decision 2008/841/JHA14

4) cases of money laundering as defined in Article 1 of Directive 2005/60/EC of the European Parliament and the Council15;

5) cases of terrorist offences, offences linked to terrorist activities, and inciting, aiding, abetting or attempting to commit such offences, as defined in Articles 1, 3 and 4 of Council Framework Decision 2002/475/JHA16

Exclusion criteria applicable during the grant procedures:

Contracts may not be awarded to candidates, applicants or tenderers who, during the procurement or grant award procedures:

- are subject to a conflict of interest;

- are guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in the contract procedure or fail to supply this information;

- find themselves in one of the exclusion situations for the procurement or grant award procedure.

Information on the ownership/management, control and power of representation of the entity and a certification that they do not fall into the relevant exclusion situations must be provided where specifically requested by the BIOPAMA Secretariat.

Annex 4 RIS Indicators

Please visit the [RIS](#) for getting the latest indicators and browse the Response table.

Policy	Target	Indicator
		Deforestation between 2001 and 2016 inside and outside protected areas
		DOPA Monthly climate statistics
		DOPA Agricultural Pressure Indicator (API)
		DOPA Road Pressure Indicator (RPI)
		DOPA Change in Population Pressure Indicator (CPPI)
		DOPA Population Indicator Pressure (PPI)
		Land Cover (up to 2005)
		Land Cover (up to 2000)
Convention on Biological Diversity	Target 11 on Protected Areas	Marine Protected Area coverage (Km2)
Convention on Biological Diversity	Target 11 on Protected Areas	Terrestrial Protected Area coverage (Km2)
Convention on Biological Diversity	Target 11 on Protected Areas	Marine Protected Area coverage (%)
Convention on Biological Diversity	Target 11 on Protected Areas	Terrestrial Protected Area coverage (%)

Policy	Target	Indicator
Framework for Nature Conservation in the Pacific	Objective 5: Manage threats to biodiversity	Deforestation in protected areas between 2001 and 2016
Sustainable Development Goals	15.5: Take urgent and significant action to reduce the degradation of natural habitats, halt the loss of biodiversity and, by 2020, protect and prevent the extinction of threatened species	Red List Index
Sustainable Development Goals	15.2: By 2020, promote the implementation of sustainable management of all types of forests, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation globally	Proportion of forest area within legally established protected areas (%)
Sustainable Development Goals	15.4: By 2030, ensure the conservation of mountain ecosystems, including their biodiversity, in order to enhance their capacity to provide benefits that are essential for sustainable development	Average proportion of Mountain Key Biodiversity Areas (KBAs) covered by protected areas (%)
Sustainable Development Goals	15.1 By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements	Average proportion of Terrestrial Key Biodiversity Areas (KBAs) covered by protected areas (%)
Sustainable Development Goals	15.1 By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements	Average proportion of Freshwater Key Biodiversity Areas (KBAs) covered by protected areas (%)
Sustainable Development Goals	15.1 By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements	Trend in permanent surface water extent
		Permanent surface water area in 2015
Framework for Nature Conservation in the Pacific	Objective 5: Manage threats to biodiversity	Area of Intact Forest Landscapes logged
BIOPAMA Project Targets	Undertake 400 management effectiveness assessments	Number of assessments in GD-PAME database
Sustainable Development Goals	Goal 15. Protect terrestrial ecosystems	Forest area as a proportion of total land area (%)

Policy	Target	Indicator
Sustainable Development Goals	14.5 By 2020, conserve at least 10 per cent of coastal and marine areas, consistent with national and international law and based on the best available scientific information	Average proportion of Marine Key Biodiversity Areas (KBAs) covered by protected areas (%)
Sustainable Development Goals	14.4 By 2020, effectively regulate harvesting and end overfishing	Proportion of fish stocks within biologically sustainable levels (not overexploited) (%)
Sustainable Development Goals	14.4 By 2020, effectively regulate harvesting and end overfishing	Proportion of fish stocks that are not fully exploited (%)
Sustainable Development Goals	14.4 By 2020, effectively regulate harvesting and end overfishing	Proportion of fish stocks that are fully exploited (%)
Sustainable Development Goals	14.4 By 2020, effectively regulate harvesting and end overfishing	Proportion of fish stocks that are overexploited (%)
BIOPAMA Project Targets	1.3.2 At least 200 PAs have at least one management assessment available by 2023	Number of PAs with at least one IMET assessment
Framework for Nature Conservation in the Pacific	Objective 5: Manage threats to biodiversity	Number of Intact Forest Landscapes logged

Annex 5 BIOPAMA Action Component Regional Advisory Committee

Terms of Reference

The BIOPAMA Action Component Regional Advisory Committees - comprising independent experts with specific expertise and knowledge of ACP Biodiversity - have an important role during the proposal assessment, evaluation, final selection and award stage of the BIOPAMA grant process. They are responsible for ensuring that the process is robust, fair, impartial, transparent and independent.

The size of each Regional Advisory Committee is determined by the number of ACP in the region and the volume of applications expected. Each region will have a minimum of three reviewers to ensure an objective assessment process. Each proposal will be assessed by two reviewers minimum.

The BIOPAMA Action Component Regional Advisory Committee experts will be required to sign a declaration of no conflict of interest for each call for proposals.

The RAC independent experts are involved at two important steps of the BIOPAMA Action Component:

1) Proposal assessment

BIOPAMA Grant proposals:

- Ensuring the absence of conflict of interest if not openly informing the BIOPAMA AC Secretariat
- Assessing Grant proposals against agreed selection criteria;
- Completing a scoring grid and providing clear and articulated comments as well as recommendations for each proposal.

2) Support to BIOPAMA Action Component Secretariat

BIOPAMA Grant agreements:

- Supporting the BIOPAMA Action Component Secretariat at the stage of the grant agreement negotiation in providing explanation on the comments and recommendations in order to ease the improvement of the proposal if needed.

6 RAC are foreseen to be set up for the following regions:

- Central Africa
- Western Africa
- Eastern Africa
- Southern Africa
- Caribbean
- Pacific

1. RAC members' responsibilities

In accordance to the Action Component objectives, the RAC experts have the following responsibilities:

(a) Review the BIOPAMA action component applications for their region using and complying with the special guidance developed for the matter;
(b) Assess BIOPAMA AC Grant proposals against agreed selection criteria;
(c) Completing a scoring grid and providing detailed comments and clear recommendations for each proposal, in English/ French;
(d) Compiling a ranking list;

(e) Attending the RAC meeting and sharing findings with the other assessors (at least two experts will review each proposals) in a constructive dialogue;

(f) Provide scientific, technical and operational recommendations s/he believes to be necessary or useful for the implementation of the proposed projects;

(g) Assess whether the proposals have adequate measures for mitigating impacts on environment and society and are in line with IUCN's ESMS;

(h) Provide recommendations regarding modifications and alternatives for the development of mitigation plan;

(i) Supporting the BIOPAMA Action Component Secretariat at the stage of the grant agreement negotiation in providing explanation on the comments and recommendations in order to facilitate the improvement of the proposals if needed

2. Qualifications and requirements

Specific technical requirements of the expert positions IUCN is seeking to fill:

- **Biodiversity, protected and conserved Areas**: specific knowledge of terrestrial and marine protected and conserved areas' challenges in ACP countries; experience and expertise in equitable management of protected and conserved areas, experience and expertise in ecosystem services management; general understanding of the ACP regions' conservation targets; good understanding of the links between climate change and ecosystem degradation (including relevant mitigation actions).

- **Project cycle**: experience in analysing project proposals and formulation of sound recommendations for their improvement; experience developing and evaluating mitigation measures; experience in project and/or program monitoring and evaluation; Experience translating scientific information into practical mitigation and management advice; Experience in designing and developing multi partner projects.

- **Environmental and social safeguards**: experience in cumulative impact assessment and quantitative risk assessment; experience in conducting EIAs; familiarity with IUCN's ESMS Policy and/or other ESMS policy framework and standards; experience in measuring and evaluating cumulative effects of human activities on the environment and social patterns.

General requirements:

- MSc or higher degree (or equivalent) in a field relevant to the subject area described above;
- At least 10 years of relevant experience and knowledge of protected and conserved areas and biodiversity especially in the cultural and political context of one ACP region;
- Track record of relevant publications is a significant advantage;
- Membership in relevant scientific and technical networks is an advantage;
- Knowledge of the governance, social and management effectiveness assessments in one ACP region is a significant advantage;
- Proven experience analysing and assessing project proposals;
- Experience working in a similar context and/or setting of a technical and advisory panel or expert review process;
- Proven ability to work well as part of a diverse, multi-cultural and geographically dispersed team; under time constraints and in European Union funded projects;
- Experience working with Stakeholders at the local, national and regional level in one ACP Region;
- Proven ability to write and edit scientific material in English, and French or Spanish or Portuguese - for the ACP regions hosting French or Spanish or Portuguese-speaking countries.

3. Eligibility, selection criteria and process

The eligible candidates must be:

- available to allocate sufficient time for Panel work;

- independent from, and free from any conflict of interest (whether actual, potential or reasonably perceived). The selected experts will be required to sign a declaration of no conflict of interest for each call for proposals before taking part to the RAC.
- able and willing to serve in an individual expert capacity and provide the best scientific and technical advice, irrespective of views that may be held by any organization s/he may be affiliated with;
- not impose any additional conditions on his/her participation.

The selection criteria are:

Experience
• Proven experience and in analysing project proposals in the ACP Region and formulation of sound recommendations for their improvement (references should be given with the number of proposal assessed)
• Specific knowledge of terrestrial and marine protected areas' challenges in ACP Countries of the region and field experience in management and governance of Protected Areas in ACP Countries of the Region (reference of activities and projects should be given)
• General good understanding of the region's conservation targets;
• General good understanding of the region's livelihoods challenges
• Good understanding and experience in project ESMS requirements

The eligible candidates will be scored and evaluated based on the information and evidence provided in the application as well as the General requirements outlined above and in accordance with relevant IUCN Policies and Procedures. Additional considerations will be given to ensure a balanced selection of the final Panel team, again in line with relevant IUCN Policies and Procedures.

The Expert applications will be analysed by the BIOPAMA regional coordinator in collaboration with the BIOPAMA AC Secretariat. The results of the call for interest and the most suitable applications will be shared with the EU DG DEVCO and the ACP Secretariat. The selected RAC experts will be then contracted.

Working for IUCN means joining a dedicated and diverse team of experts based all over the world. IUCN is an equal opportunity employer and does not discriminate in its recruitment practices, welcoming applications from all qualified people.

4. Conditions

Working language
The working language in the context of the Action component's implementation is English. However, since ACP Regions are hosting French, Spanish and Portuguese-speaking countries, sound knowledge of French, Spanish or respectively Portuguese is also a requirement as project proposals might be in French or Spanish or Portuguese.

Independence and conflict of interest
RAC experts should be independent from, and free from any conflict of interest (whether actual, potential or reasonably perceived). The selected experts will be required to sign a declaration of no conflict of interest for each call for proposals before taking part to the RAC.

Contractual conditions
IUCN is not bound in any way to enter into any contractual or other arrangement with any candidate as a result of issuing this call for applications. IUCN reserves the right to terminate the selection process at any time prior to contract award.

Annex 6 BIOPAMA MG template

BIOPAMA Medium Grant Proposal

Application Template[20]

1	Title of the project:	Insert project title
2	Region[21]:	Insert targeted ACP region
3	ACP(s)[22]:	Insert targeted ACP Country name(s)
4	Priority area(s) targeted[23]:	Insert name of the targeted Key conservation landscape(s) or Protected and Conserved Area(s), or Marine Managed area(s)
5	Registration number of the PA(s)	Insert PA(s) reference(s) in Global and Regional information systems (such as WDPA ID RIS, RRIS etc.)
6	PA(s) supervisory authority	Insert the name of the supervisory authority and upload the acknowledgement of receipt
7	Name of lead organisation:	Insert lead applicant name
8	Name of Co-applicant(s)	Insert co-applicant(s) name(s)
9	Starting date: Click here to enter a date	End date: Click here to enter a date
10	Duration:	Insert number of months months
11	Total annual budget of the PA(s) if grant is for a PA	Enter amount in Euros €
12	Total budget of the proposed project:	Enter amount in Euros €
13	Total funding requested:	Enter amount in Euros €
14	Total Co-funding:	Enter amount in Euros €

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[20] The BIOPAMA AC MG application template is on-line and has to be completed on the BIOPAMA AC portal. It should be no longer than **25 pages**.

[21] West Africa, Central Africa, Eastern Africa, Southern Africa, Caribbean, Pacific.

[22] They encompass 79 countries (in alphabetical order): Angola - Antigua and Barbuda - Belize - Cape Verde - Comoros - Bahamas - Barbados - Benin - Botswana - Burkina Faso - Burundi - Cameroon - Central African Republic - Chad - Congo (Brazzaville) - Congo (Kinshasa) - Cook Islands - Côte d'Ivoire - Cuba - Djibouti - Dominica - Dominican Republic - Eritrea - Ethiopia - Fiji - Gabon - Gambia - Ghana - Grenada - Republic of Guinea - Guinea-Bissau - Equatorial Guinea - Guyana - Haiti - Jamaica - Kenya - Kiribati - Lesotho - Liberia - Madagascar - Malawi - Mali - Marshall Islands - Mauritania - Mauritius - Micronesia - Mozambique - Namibia - Nauru - Niger - Nigeria - Niue - Palau - Papua New Guinea - Rwanda - St. Kitts and Nevis - St. Lucia - St. Vincent and the Grenadines - Solomon Islands - Samoa - Sao Tome and Principe - Senegal - Seychelles - Sierra Leone - Somalia - South Africa - Sudan - Suriname - Swaziland - Tanzania - Timor Leste - Togo - Tonga - Trinidad and Tobago - Tuvalu - Uganda - Vanuatu - Zambia - Zimbabwe .

[23] Priority areas include inter alia, for the purpose of the Action, key landscapes for conservation (where identified in ACP Countries), KBAs, Marine Managed Areas or other protected and conserved areas, where their importance is justified by diagnostic tools, strategic documents or validated studies in ACP Countries, including SIDS.

	% of the total budget *(this must be **at least 5%** of the total)*:	%
15	**BIOPAMA Action Component objective(s) to which the project and its activities will contribute:** *(more than one can be selected)*	☐ Enhance the management and governance of priority protected areas by addressing existing limitations; ☐ Enforce the legal framework required to achieve effective biodiversity conservation in PAs; ☐ Support local communities' initiatives aiming to enhance the livelihoods of local people whilst effectively contributing to protected areas management.
17	**Diagnostic tools used to identify the project priority(ies) for action:** *(please delete the non-relevant option and specify the reference of the document)*	☐ **quantified management and governance assessment tools** (including IMET, PAME tools – e.g. METT, RAPPAM, Green List, EoH, or equivalent)**;** or, and only if not available ☐ **Strategic documents** at the protected and conserved area, national and regional levels such as management or operational plans, KBAs and key landscapes for conservation analysis (where identified in ACP Countries); or, if not available ☐ **Studies validated** by PA(s) management authorities. *Please indicate here the reference of the document Please indicate here the reference of the document*
18	**Priority(ies) for action that the project is aiming to address:**	*Please specify here the targeted priority(ies) for action (not more than 2) Please specify here the targeted priority(ies) for action (not more than 2)*
19	**Project enables data sharing with RRIS and RIS**	☐ **yes** ☐ **no** *(project is not eligible)*

2) Organisational Information of Lead Applicant

Organisation legal name: Click here to enter text

Organisation short name / Acronym *(if any)***:** Click here to enter text

Web site address *(if any)***:** Click here to enter text

Mailing address:
Click here to enter text

Physical address *(if different from mailing address above)***:** Click here to enter text

Project Lead Contact	Organisation Chief Executive
(This individual will be the contact point for the BIOPAMA regional Focal point and Secretariat)	*(or other person authorised to sign contracts on behalf of your organisation)*
Name: Click here to enter text	**Name:** Click here to enter text
Email: Click here to enter email	**Email:** Click here to enter email
Telephone: Click here to enter number	**Telephone:** Click here to enter number

Organisation type of the applicant:

(select the one which applies to your organisation, see the Guidelines for Applicants for further details)

☐ Government Agency (at national, bub-national and local level)

☐ Protected and Conserved Area

☐ Civil society organisation/non-profit organisation (NGO)

☐ Local community-based organisation (CBO)

☐ Small and Medium Enterprise (SME)

☐ European Member State organisation **

☐ OECD Member State organisation **

☐ Regional organisation **

☐ International organisation **

☐ Other (*Please specify*)

** *Requires the fulfilment of eligibility criteria (see guidelines)*

Organisation's history and mission statement: (provide a brief description of your organisation's history and, mission statement, please add a copy your status)

Please indicate in which information system the organisation is registered and presented.

3) Organisational Information of Co-applicant(s)

Does the proposal include co-applicants? ☐ Yes   ☐ No

If yes, please add their details below.

- **Co-applicant 1**

Organisation Name: Click here to enter text.

 Short description of the organisation: (relevant to the project). Indicate in which information system the organisation is registered and presented.

Role in the project:

Amount and % of the total project budget:

4) Organisational Capacity

Please describe your organisation and co-applicant organisation(s)'experience relevant to the proposed project activities and demonstrate your capacity to deliver it including, the foreseen division of work, best practices and innovation (roles and responsibilities, project management tools).

Please also attach your organisation's latest activity report and indicate in which information system the organisations reports are registered and presented.

Please indicate details of the individuals from both the applicant and co-applicants that will be involved in the project implementation (please include a short 1-page CV for each individual involved in the technical implementation of the project (administrative and support staff do not need to be included, additional rows can be added to the table if required)

Name	Organisation	Current position/job title

Is your organisation (or any of the co-applicants in this proposal) involved as an applicant or co-applicant on any other proposal submitted in response to this call?

☐ Yes   ☐ No

If yes please provide details below *(title of proposal, role (e.g. applicant or co-applicant) - if you are involved as a co-applicant in another BIOPAMA project proposal please demonstrate that you have sufficient capacity to fulfil your role on both projects.*

Title	Role	Partners

Please note that if you have submitted two proposals as lead applicant a maximum of one may be selected for funding.

5) Reminder on the PA

Please provide a brief background on the PA or the Conservation landscape with description information and an online reference.

6) Detailed Description of the Project

6.1 Problem and context analysis

Describe and explain the environmental and socio-economic context where the project will take place, the particular needs and constraints. Justify the selection of priorities for action.

For the socio-economic context, please describe local communities living adjacent to the protected area, main social groups (including indigenous peoples, ethnic groups and vulnerable groups) and their socio-cultural characteristics, their livelihood activities, sources of income and dependence on natural resources. Provide relevant quantitative data (e.g. # of communities, # of households etc.

6.2 Objectives and activities

Explain how the project will contribute to the BIOPAMA AC objectives. Describe the project objectives, expected results and main activities according to the S.M.A.R.T. method (Specific, Measurable, Achievable, Relevant and Time bound), or similar. Explain what the project aims to achieve with its activities and the changes that should take place as a result of the project.

6.3 Methodology

Please describe the methods and approach you will use to achieve your intended outcomes and impact. Provide information on how you will undertake the work (materials and methods). Give details of any innovative techniques or methods or best practices used. Describe any partnership planned for the implementation of the project.

6.4 Intervention logic and monitoring

Please add separately a logical framework (use the template) describing for each result, indicators of achievement (both qualitative and quantitative) and the baseline. State the key deliverables that each activity should achieve.

Describe the monitoring system the project will establish to track the progress towards expected results, and how this monitoring system will be connected to at least one of the information systems where the protected area is registered.

6.5 Stakeholders of the project

Please provide details on the project's stakeholders, how they have been involved or consulted during the design of the project, what support they will provide during its implementation and how the project will engage with them taking into account their capacities. In particular, provide evidence that the protected area's regulatory authority has been informed of the project, and a commitment on honour that this authority has not raised any objections as of the date of submission (see "Applicant declaration").

7) Environmental and Social Management System (ESMS)

Projects supported by IUCN are screened on environmental and social risks. With the dedicated ESMS Questionnaire (see template below), please explain how the project addresses issues regarding ESMS Standards and ESMS Principles describing mitigating measures that should also be reflected in the budget.

The ESMS screening questionnaire is very important for the evaluation of the project. The information will be used for identifying the risk level of your project, please pay a special attention when you complete it by relying on transparent information systems.

Please upload with your completed ESMS Questionnaire any relevant study, assessment you have prior conducted for assessing any risk in regards to ESMS standards and principles.

8) Sustainability and capitalisation of the project

Please explain the project's approach for ensuring the sustainability of the project activities beyond the end of the project and promoting replication.

Please explain how the project's data and information will usefully feed the BIOPAMA Reference Information System (RIS) and the relevant regional observatories.

9) Complementarity, synergy of the project with other initiatives

Please indicate what are, if any, the complementarity of the project and its activities with existing EU funded projects in the targeted ACP country(ies) or the neighbouring countries and territories.

10) Communication, visibility of the project

Please describe the planned communication and outreach activities of the project for promoting its results and contribution to the BIOPAMA objectives, especially the EU and BIOPAMA AC's financial support.

11) Project's timeline and milestones

Please include and complete a project timeline according to the duration of your project, showing the scheduling of the proposed project activities. This can be submitted as a separate document.

Example

Month	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
Result 1																								
Activity 1																								
Activity 2																								
Activity 3																								
Result 2																								
Activity 1																								

Please identify the project milestones – these should mark major progress points and should be limited in number. Additional rows can be added to the table if required

Milestone	Date

1) Budget

Please complete the budget of the project, using the MG template available on-line on the BIOPAMA AC portal and then upload it on the portal.

The applicant, represented by the undersigned, being the authorised signatory of the applicant, in the context of the present BIOPAMA call for Medium Grant proposals, representing any co-applicant(s) in the proposed action, hereby declares that:

− the applicant and each co-applicant (if any) are eligible in accordance with the criteria set out in the Guidelines for Applicants;
− the applicant has provided the Managing Authority and the Protected Area Regulatory Authority with all the necessary information on the project in good time and has not received any objections to date;
− the applicant has sufficient financial capacity to carry out the proposed action or work programme;
− the applicant certifies the legal statues of the applicant and of the co-applicant(s) as reported in the application;
− the applicant and each co-applicant (if any) undertake to comply with good practices of non − abusive use, care and maintenance of the equipment, infrastructures funded by the project;
− the applicant and the co-applicant(s) have the professional competences and qualifications specified in the Guidelines for Applicants;
− the applicant undertakes to comply with the principles of good partnership practice;
− the applicant is directly responsible for the preparation, management and implementation of the action with the co-applicant(s), if any, and is not acting as an intermediary;
− the applicant and the co-applicant(s) accept and comply with the obligation to share data and information with the BIOPAMA RIS and the relevant regional observatory,
− The applicant and the co-applicant(s) are not in any of the situations excluding them from participating in contracts which are listed hereafter:

(1) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

(2) they have been convicted of an offence concerning their professional conduct by a judgment which has the force of *res judicata*;

(3) they have been guilty of grave professional misconduct proven by any means which the Beneficiary can justify;

(4) they have not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the Beneficiary or those of the country where the contract is to be performed;

(5) they have been the subject of a judgment which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;

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[24] The applicant declaration is on-line and has to be completed on the BIOPAMA AC portal.

(6) they are currently subject to an administrative penalty referred to in section 2.3.5 of the Practical Guide to contract procedures for EC external actions.

- The authorised signatory of the third party must certify that he is not in one of the situations listed above and signed on behalf of the third party.
- Furthermore, it is recognised and accepted that if the applicant and co-applicant(s) (if any) participate in spite of being in any of these situations, they may be excluded from other procedures;
- The applicant acknowledges that according to Article 131 (5) of the Financial Regulation of 25 October 2012 on the financial rules applicable to the general budget of the Union (Official Journal L 298 of 26.10.2012, p. 1) and Article 145 of its Rules of Application (Official Journal L 362, 31.12.2012, p.1) applicants found guilty of misrepresentation may be subject to administrative and financial penalties under certain conditions.
- if recommended to be awarded a grant, the applicant, the co-applicant(s) accept the contractual conditions as laid down in the Standard Contract annexed to the Guidelines for Applicants;
- the applicant and the co-applicant(s) are aware that, for the purposes of safeguarding the financial interests of the EU, their personal data may be transferred to internal audit services, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti-Fraud Office.
- The applicant is fully aware of the obligation to inform without delay the BIOPAMA Action Component to which this application is submitted if the same application for funding made to other European Commission departments or European Union institutions has been approved by them after the submission of this grant application.

Signed on behalf of the applicant

Name of the Organisation	
Address	
Contact details	
Name of the Responsible Person (Block capital)	
Position	
Signature + Stamp	
Date	

Please ensure that you have done all of the following prior to submitting your BIOPAMA MG Proposal

	Check
Have you read the Guidelines for Applicants and followed the instruction included in the template?	☐
Have you checked the BIOPAMA Action Component Portal prior to submission to ensure there are no late updates?	☐
Have you informed and transmitted on paper the information relating to the project to the management and supervisory authorities of the protected area, and included the acknowledgement of receipt in the file?	☐
Have you completed the Due Diligence and Financial Capacity Questionnaire?	☐
Have you completed and uploaded the ESMS questionnaire?	☐
Have you provided actual start and end dates for your project and is the project within the maximum duration stated in the Guidelines for Applicants?	☐
Have you completed the logical framework?	☐
Have you completed and uploaded a project budget?	☐
Have you checked that your budget is complete, correctly adds up and that you have included the correct final total on the top page of the application? Is the requested BIOPAMA contribution within the maximum allowed?	☐
The budget is in balance, presented in the format requested, and stated in €.	☐
Has the Applicant Declaration been signed by a suitably authorised individual? (clear electronic or scanned signatures are acceptable)	☐
Have you included a 1-page CV for all the individuals involved in the implementation of the project?	☐
Have you included a copy of the stakeholders consultation report or any supporting document?	☐
Have you included a copy of your organisation's legal status?	☐
Have you included your organisation's latest activity report?	☐

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[25] The check-list is on-line and has to be completed on the BIOPAMA AC portal.

BIOPAMA Action Component Project Logical Framework for MG*(Please upload this document separately)[26]

Project Title:	
Lead Organisation:	

BIOPAMA Action Component specific objective(s) to which the project and its activities will contribute to in the medium/Long term: *(more than one can be selected)*

☐ Enhance the management and governance of priority protected areas by addressing existing limitations (strengthening on-site infrastructure/equipment for patrolling, poaching control, developing capacity of staff);

☐ Enforce the legal framework required to achieve effective biodiversity conservation;

☐ Support local communities' initiatives aiming to enhance the livelihoods of local people whilst effectively contributing to protected areas management.

Priority for action(s) identified by diagnostic tools that the project and its activities will address:

Results *(the direct/tangible results that the project will deliver)* EC PCM Guidelines (2004): https://ec.europa.eu/europeaid/sites/devco/files/methodology-aid-delivery-methods-project-cycle-management-200403_en_2.pdf	Indicator(s) *The evidence (quantitative or qualitative) that will be used to judge the achievement of the purpose or results. Indicators should be SMART i.e. **Specific, Measurable, Available, Relevant** and **Time-bound**. See EC PCUM guidelines P.80*	Baselines (Including reference year)	Targets (Including reference year)	Source of Verification *Sources of information & methods used to collect and report it (incl. who and when/how frequently). See EC PCM guidelines P.82*
Result 1.				
Result 2.				

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[26] For enabling easier information sharing with the RIS and Regional Observatories, the BIOPAMA MG logframe is on-line and has to be completed on the BIOPAMA AC portal as part of the application.

Result 3.				

Activities **(The actions/tasks needed to achieve each of the results)**	**Deliverables/products**			**Source of Verification** *Sources of information & methods used to collect and report it (incl. who and when/how frequently). See EC PCM guidelines P.82*
Result 1 **Activity 1.1:** **Activity 1.2:** **Activity 1.3:**				
Result 2 **Activity 2.1:** **Activity 2.2:** **Activity 2.3:**				
Result 3 **Activity 3.1:** **Activity 3.2:** **Activity 3.3:**				

* This is a simplified version of the Logical Framework. For guidance on how to complete it please visit the following link:
http://ec.europa.eu/europeaid/sites/devco/files/methodology-aid-delivery-methods-project-cycle-management-200403_en_2.pdf

Annex 7 BIOPAMA MG ESMS questionnaire and summary report

This template has been designed to support the screening of negative environmental and social impacts of BIOPAMA Medium Grant projects. The questionnaire is completed by applicant and reviewed by the BIOPAMA AC Regional Focal Point on the basis of the information provided in the application. The summary report completed by the BIOPAMA AC Regional Focal Point.

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[27] This important part of the application has to be completed and uploaded on the BIOPAMA AC portal.

B. Potential Impacts Related to ESMS Standards

B1. Involuntary Resettlement and Access Restrictions

		Reviewer comment

1. Does the project include activities that might **restrict peoples' access** to land or natural resources and as such might impact livelihoods?
 	
Potential activities include:
  - *designating new Protected Areas or enlarging the boundaries of existing ones;*
  - *developing Protected Area management plans that include use restrictions;*
  - *improving enforcement of Protected Area regulations (e.g. training guards, providing monitoring and/or enforcement equipment, providing training/tools for improving management or anti-poaching effectiveness);*
  - *constructing physical barriers that prevent people accessing certain places;*
  - *changing how specific natural resources are managed – to a management system that is more restrictive on how the resources are used;*
 	
If you answered Yes to Questions 1, please answer the questions in the rows below.
If you answered No, please skip to Section B2.
	☐ Yes / ☐ No	Standard Triggered? ☐ Yes / ☐ No / ☐ TBD
		
		Comment:
		If possible indicate probability (unlikely, likely, almost certain) and magnitude (minor, moderate, major) of the identified impacts.
		
		Are further assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?
		
		Have measures for avoiding impacts already been considered? Are they sufficient?
		
		Action(s) required:

Explain whether assessments have been undertaken to understand potential impacts on the livelihood of local communities. Please specify the groups affected by restrictions (including women and ethnic/indigenous groups) and provide details.		
2. Are there any groups in the project's area whose tenure and access rights to natural resources (e.g. customary rights) are not legally recognized?	☐ Yes / ☐ No	
If yes please provide details.		
3. If impacts have been identified and it is not possible to avoid restrictions, will the project include measures to minimize negative impacts and appropriate measures for mitigation or compensation (e.g. access to alternative resources or support to develop alternative livelihood/ income sources)?	☐ Yes / ☐ No	

Please describe the measures paying a special attention on their feasibility, cultural appropriateness, gender inclusiveness and indicating if they will be accessible to all groups affected by the restrictions*.		
B2. Indigenous People		

1. Will the project activities be implemented in an area inhabited by or used by indigenous peoples, tribal peoples, or other traditional peoples?
 These peoples include:
     a. People who identify themselves as being indigenous;
     b. Tribal peoples whose social, cultural, and economic conditions distinguish them from other sectors of society, and whose status is regulated by their own customs/traditions, or by special laws/regulations;
     c. Traditional peoples not necessarily called indigenous or tribal, but who share the same characteristics (see b., above), and whose livelihoods are closely connected to ecosystems and ecosystem goods and services.
 	
 If Yes, go to Question 3.
 	
 If No, go to Question 2.
	☐ Yes / ☐ No	**Reviewer comment**
		 Standard Triggered? ☐ Yes / ☐ No / ☐ TBD
		
		 Comment:
		 If possible indicate probability (unlikely, likely, almost certain) and magnitude (minor, moderate, major) of the identified impacts.
		
		 Are further assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?
		
		 Have measures for avoiding impacts already been considered? Are they sufficient?
		
		 Action(s) required:

2. Even if indigenous peoples are not found at the project site, is there still a risk that the project could affect the rights and livelihoods of indigenous peoples? *If Yes, go to Question 3.* *If No, go to Section B3*	☐ Yes / ☐ No	
3. Describe the indigenous groups that are found at the project site, or likely to be affected by the project giving particular attention to sub-groups that are especially vulnerable (for example women, girls, or elders). Include information on: - their geographic distribution		

- their use of (and dependency on) natural resources; - their characteristics that qualify them to be considered indigenous peoples; - the terminology used to refer to them by their host country's Government (i.e. indigenous peoples, minorities, tribes, etc.); and - how they identify themselves.		
4. Have you already consulted with the relevant indigenous peoples to discuss the project and its activities with them and support a better understanding of potential impacts upon them?	☐ Yes / ☐ No	
Please provide details		
5. Is there a risk that project activities might affect the livelihood of the indigenous peoples/local communities?	☐ Yes / ☐ No	
If Yes, how will you avoid or mitigate these impacts?		
5. Have you considered opportunities for providing benefits to indigenous peoples/local communities?	☐ Yes / ☐ No	
If Yes, how will you make sure that this is done in a culturally appropriate and gender-inclusive way? *Please provide details*		
B.3 Cultural Heritage		
1. Will the project be implemented in an area that includes: - important* cultural resources such as burial sites, buildings, or monuments of archaeological, historical, artistic, religious, spiritual, or symbolic value? - any natural features or resources that are of cultural, spiritual, or symbolic significance (such as sacred natural sites, ceremonial areas, or sacred species)? (**as recognized either through an official designation, or through the perception of local communities*)	☐ Yes / ☐ No	**Reviewer comment** Standard Triggered? ☐ Yes / ☐ No / ☐ TBD Comment: If possible indicate probability (unlikely, likely, almost certain) and magnitude (minor, moderate, major) of identified impact.

2. Will the project involve development of infrastructure (visitor track, fences etc.), construction of buildings, excavating/moving earth, or other physical changes to the environment that might affect known or unknown (buried) cultural resources? Is there a risk that the project will restrict access to cultural resources or natural features with cultural significance?	☐ Yes / ☐ No	Are further assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?
If yes please provide details and explain how these risks will be managed		Have measures for avoiding impacts already been considered? Are they sufficient?
3. Will the project promote the use of (or the development of economic benefits from) cultural resources or features? *Relevant activities might include:* - *promoting traditional medicinal knowledge;* - *promoting sacred or traditional techniques for processing plants, fibres, or metals;* - *promoting traditional arts, music, etc.*	☐ Yes / ☐ No	Action(s) required:
If Yes, please provide details and describe how equal sharing of benefits will be ensured		

B4. Biodiversity Conservation and Sustainable Use of Natural Resources		
1. If the project will establish/expand a Protected Area, is there a risk of negative impacts on biodiversity in areas outside the PA?	☐ Yes / ☐ No	**Reviewer comment** Standard Triggered? ☐ Yes / ☐ No / ☐ TBD
If Yes please provide details		Comment: If possible indicate probability (unlikely, likely, almost certain) and magnitude (minor, moderate, major) of identified impacts.
2. If the project will develop infrastructure for Protected Area management or visitor use, is there a risk of negative impacts on biodiversity (for example on threatened species) during its construction and use?	☐ Yes / ☐ No	
If Yes please provide details and explain how these risks will be managed		Are further assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?
3. If the project will promote ecotourism, is there a risk of negative impacts on biodiversity (e.g. due to waste disposal, disturbance, etc.)?	☐ Yes / ☐ No	Have measures for avoiding impacts already been considered? Are they sufficient?
If Yes please provide details and explain how these risks will be managed		

		Action(s) required:
4. Will the project include the use of non-native species or the production of living natural resources (e.g. agriculture, aquaculture etc.) where non-native species might be introduced by accident?	☐ Yes / ☐ No	
If Yes please explain how you will manage the risk of non-native species developing invasive behaviour		
5. Is there a risk that the project negatively affects water flows (including water dynamics, river connectivity, and the hydrological cycle) and/or water quality at the project site, or downstream?	☐ Yes / ☐ No	
If yes please provide details and explain how these risks will be managed		
6. Does the project promote the use of resources from natural habitats (such as timber or non-timber forest products) within the project area? Will the project procure natural resource commodities (e.g. timber for watch tower construction) that might affect areas of high biodiversity value outside the project area?	☐ Yes / ☐ No	
If Yes, please explain how you will ensure that harvest rates are controlled/monitored to ensure that the use is sustainable.		
7. Does the project expect to use pesticides, fungicides, herbicides or biological pest management techniques?	☐ Yes / ☐ No	
If Yes, please provide details, including whether alternatives have been considered, and how risks of adversely affecting biodiversity and human health are avoided.		

C. Other Social and Environmental Impacts

C1. Other social impacts

| 1. Will the project influence land tenure arrangements or community-based property rights to land or resources and is there a risk that this might adversely affect peoples' rights and | ☐ Yes / ☐ No | **Reviewer comment**
 Standard Triggered? ☐ Yes / ☐ No / ☐ TBD |

livelihoods? Consider in particular impacts on transhumant pastoralist, vulnerable groups, different gender etc.?		Comment: If possible indicate probability (unlikely, likely, almost certain) and magnitude (minor, moderate, major) of identified impacts.
If Yes please provide details and explain how these risks will be managed		
2. Is there a risk that the project could have impacts on people, that are inequitable or discriminatory (i.e. through unjustified preferential treatment of certain groups or by negatively affecting certain parts of society more than others)? *Consider people living in poverty, marginalized/excluded individuals and groups. Explain how you avoid that privileged groups may capture benefits unfairly.*	☐ Yes / ☐ No	Are further assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed? Have measures for avoiding impacts already been considered? Are they sufficient? Action(s) required:
If Yes please provide details and explain how these risks will be managed		
3. Is there a risk that the project could create (or worsen) conflicts between communities, groups, or individuals?	☐ Yes / ☐ No	
If Yes please provide details and explain how these risks will be managed		
4. Is there a risk that the project could create (or worsen) inequalities between women and men, or negatively impact the situation or livelihoods of women or girls, including through gender-based violence?	☐ Yes / ☐ No	
If Yes please provide details and explain how the project will avoid risks of exacerbating existing gender-related inequalities, including gender-based violence, and seize opportunities to address gender gaps or support women empowerment.		
5. Is there a risk that the project might negatively affect a community's health and safety? *Consider risks of spreading diseases, human-wildlife conflict, exposure to hazardous substances, provision of equipment/machinery without appropriate safety instructions or through accidental hazards caused by structural elements built by the project (eg. new infrastructure or buildings such as watch towers, canals, water reservoirs) being accessible and could result in injury or death*	☐ Yes / ☐ No	

If Yes please provide details and explain how these risks will be managed		
6. Is the project (or project partners) engaging or working with law enforcement personnel including collaboration with government forest guards, Protected Area rangers and community rangers)?	☐ Yes / ☐ No	
If Yes please explain how the project will ensure that potential safety risk for communities and/or individuals (in particular women) are avoided? Consider impacts from inappropriate use of force or weapons, including physical confrontation, torturing, threatening, abuse of power, sexual harassment or violence against women.		
7. Is there a risk that the project (or project partners) might be directly or indirectly involved in forced labour and/or child labour? *Consider situations where the project engages with agricultural or forest commodities where child labour is common (e.g. cocoa production) and which could interfere with the child's education or be harmful to the child's health or physical, mental, spiritual, moral, or social development.*	☐ Yes / ☐ No	
If Yes please provide details and explain how these risks will be managed		
C2: Other environmental impacts		
1. Is the project likely to create waste pollution, to cause pollution or degradation of soil, soil erosion, siltation or to produce other nuisances such as dust, traffic, noise, or odour??	☐ Yes / ☐ No	
If Yes please provide details and explain how these risks will be managed		
2. Is there a risk that the project might conflict with existing national environmental regulations?	☐ Yes / ☐ No	
If Yes, please provide details.		
D. Climate change		

1. Is the project site prone to any specific climate-related hazards (floods, droughts, landslides, etc.)?	☐ Yes / ☐ No	**Reviewer comment** Is there any risk identified? ☐ Yes / ☐ No / ☐ TBD
If Yes please provide details		Comment: If possible indicate probability (unlikely, likely, almost certain) and magnitude (minor, moderate, major) of identified impacts.
2. Is there a risk that climate variability, temperature increases or climate hazards might affect the effectiveness of project activities?	☐ Yes / ☐ No	
If Yes please provide details and explain how these risks will be managed		Are further assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?
3. Is there a risk that project activities could increase the vulnerability of local communities or of the local ecosystem to climate variability, temperature increases or climate hazards?	☐ Yes / ☐ No	
If Yes please provide details and explain how these risks will be managed		Have measures for avoiding impacts already been considered? Are they sufficient? Action(s) required:

ESMS summary Report (*to be completed by the BIOPAMA AC Regional Focal Points on the basis of the screening questionnaire*)		
Risk category:	☐ <mark>low risk</mark> ☐ <mark>moderate risk</mark> ☐ <mark>high risk</mark>	
Rationale: Summarize findings from the questionnaire and explain the rationale of risk categorization		
Required assessments or tools	☐ Full Environmental and Social Impact Assessment (Full ESIA) ☐ Partial Environmental and Social Impact Assessment (Partial ESIA) ☐ Social Impact Assessment (SIA) ☐ Environmental and Social Management Plan (ESMP) ☐ Environmental and Social Management Framework (ESMF) ☐ Other:	
Required actions for right based approach		
ESMS Standards	**Trigger**	**Required tools or plans**
Involuntary Resettlement and Access Restrictions	☐ yes ☐ no ☐ TBD	☐ Resettlement Action Plan ☐ Resettlement Policy Framework ☐ Action Plan to Mitigate Impacts from Access Restriction ☐ Access Restrictions Mitigation Process Framework
Indigenous Peoples	☐ yes ☐ no ☐ TBD	☐ Indigenous Peoples Plan ☐ Indigenous Peoples Process Framework
Cultural Heritage	☐ yes ☐ no ☐ TBD	☐ Chance Find Procedures
Biodiversity Conservation and Sustainable Use Natural Resources	☐ yes ☐ no ☐ TBD	☐ Pest Management Plan

Annex 8 BIOPAMA MG Budget worksheet

Please see the excel table.

Annex 9 BIOPAMA MG Due Diligence and Financial Capacity Questionnaire

Due Diligence and Financial Capacity Questionnaire[28]

In order that BIOPAMA AC Secretariat may ascertain each partner's and grantee's capacity to administer funds received, you are kindly requested to complete all questions contained within this due diligence and financial capacity questionnaire. All information submitted will be treated confidentially and will not be disclosed to any third parties unless required by law.

Title of the project:	Insert project title
Region[29]:	Insert targeted ACP region
ACP(s)[30]:	Insert targeted ACP name(s)
Priority areas targeted:	Insert name and reference
PA(s) targeted:	Insert PA(s) name(s)
Name of organisation:	Insert Lead/ co-applicant nameInsert Lead/ co-applicant name
Name of Co-applicant(s)	Insert co-applicant(s) name(s)
Total funding requested:	Enter amount in Euros €

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[28] The Due diligence questionnaire is on-line and has to be completed on the BIOPAMA AC portal.

[29] West Africa, Central Africa, Eastern Africa, Southern Africa, Caribbean, Pacific.

[30] The ACP Countries targeted by BIOPAMA encompass the following countries (in alphabetical order): Angola - Antigua and Barbuda - Belize - Cape Verde - Comoros - Bahamas - Barbados - Benin - Botswana - Burkina Faso - Burundi - Cameroon - Central African Republic - Chad - Congo (Brazzaville) - Congo (Kinshasa) - Cook Islands - Côte d'Ivoire - Djibouti - Dominica - Dominican Republic - Eritrea - Ethiopia - Fiji - Gabon - Gambia - Ghana - Grenada - Republic of Guinea - Guinea-Bissau - Equatorial Guinea - Guyana - Haiti - Jamaica - Kenya - Kiribati - Lesotho - Liberia - Madagascar - Malawi - Mali - Marshall Islands - Mauritania - Mauritius - Micronesia - Mozambique - Namibia - Nauru - Niger - Nigeria - Niue - Palau - Papua New Guinea - Rwanda - St. Kitts and Nevis - St. Lucia - St. Vincent and the Grenadines - Solomon Islands - Samoa - Sao Tome and Principe - Senegal - Seychelles - Sierra Leone - Somalia - South Africa - Sudan - Suriname - Swaziland - Tanzania - Timor Leste - Togo - Tonga - Trinidad and Tobago - Tuvalu - Uganda - Vanuatu - Zambia - Zimbabwe .

Due Diligence and Financial Capacity Questionnaire

In order that IUCN may ascertain your capacity to administer funds received, you are kindly requested to complete all questions contained within this due diligence and financial capacity questionnaire. All information submitted will be treated confidentially and will not be disclosed to any third parties unless required by law.

If your organisation is a public body, please ignore questions marked with an asterisk (*).

1. ORGANISATION INFORMATION

a. Official name of organisation

b. Type of organisation:

Please tick most appropriate option in each column below:

☐ For profit ☐ Incorporated company
☐ Not-for-profit / NGO ☐ Limited liability company
☐ Government agency ☐ Sole proprietary company
☐ Partnership
☐ Registered charity
☐ Community Network
☐ Other *(please specify below)*

c. Founding documents:

i. In what country is your organisation constituted by an appropriate instrument of national law? Please provide copy of statutes or similar founding document, for example a decree for public bodies.

Country	Title of founding document

ii. Please confirm that you are able to operate in the country/-ies of the project and provide supporting documentation (e.g. MoU or letter of endorsement from a relevant government agency)[31]

Country	Title of founding document

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[31] Please note that if you expect to be working with IUCN on other projects than the current one, you may wish to add countries not relating to this project, and the relevant documentation, in order to avoid having to update the form each time.

d. Ownership details (applicable to "For Profit" organisations only).

Please indicate name of owners and percentage (%) ownership below:

2. GOVERNANCE*

a. Governing Body:

Please indicate whether the organisation is governed by:

☐ Board of Directors ☐ Executive Committee
☐ Other ☐ No governing body
(please specify below)

b. Is the Governing Body responsible for financial oversight of the organisation?

☐ Yes ☐ No

3. LEGAL*

Regulatory filings:

Is the organisation currently fully compliant and up-to-date with all tax, registration and social security obligations?

☐ Yes ☐ No
If no, please provide details below:

NOTE: If the proposed contract is with one of the following IUCN offices, please provide certification of tax and social security compliance:

ORMACC – Regional Office for Mexico, Central America and the Caribbean;
SUR – Regional Office for South America

4. FINANCIAL

a. Audit:

Does the organisation have an annual audit performed by an independent external auditor or by internal auditor for public bodies?
☐ Yes ☐ No
If yes, please provide a copy of the latest auditor's annual report and management letter. *If the audit report does not relate to the most recent financial year please explain why.*

If you do not have an independent annual audit, or if your independent audit report does not include your Financial Statements:

 i. Does the organisation prepare annual financial statements?

☐ Yes ☐ No
If no, please provide explanation below:

ii. Please provide a copy of the organisation's annual financial statements covering the past two years.

b.   Financial principles and systems:

i. What computerized accounting software system does the organisation use?

ii. Does the organisation's accounting system separately record and track income and expenditure for each individual project, grant, or contract?

☐   Yes   ☐   No

iii. Does the organisation have written policies for the following – please provide copies or web link:

Accounting	☐	Yes	☐	No
Procurement	☐	Yes	☐	No
Code of conduct, ethics, bribery & corruption (including coverage of conflict of interest)	☐	Yes	☐	No

c.   Debt:*

Does the organization have any debt relating to:

Bank loans	☐	Yes	☐	No
Bank overdraft	☐	Yes	☐	No
Other debt	☐	Yes	☐	No

If yes, please provide details below:

d.   Insurance:*

Please tick the insurance policies and the level of coverage the organisation has below:

Third party liability	☐	Amount
Office building	☐	Amount
Vehicles	☐	Amount
Other insurance	☐	Please provide details:

e.   Bank accounts and funds control:*

i. Does the organisation have any bank accounts held in the name of individuals (instead of the name of the organisation)?

☐   Yes   ☐   No

If yes, please provide details below:

ii. Are at least 2 authorized bank signatories required on all payments above a certain value as determined by organisational policy?

☐   Yes   ☐   No

Please provide details below, including of any alternative bank and/or payment controls:

iii. Will any grant funds be kept outside a bank account?

☐ Yes ☐ No

If yes, please explain the amount of cash to be kept and the name and position/title of the person responsible for safeguarding cash.

f. Financial Capacity:

i. State below the operating budget for the past two financial years, and the estimate for the current year in your organisation's reporting currency.

This year		
Last year		
Two years ago		

ii. Has your organisation received funding from governments or multi-lateral institutions in the past two years?*

☐ Yes ☐ No

iii. What percentage of the organisation's annual income is provided by grant funding?*

☐ 0-50% ☐ 76-95%
☐ 51-75% ☐ >95%

iv. Please list your main donors for the past two years:* (amounts and for how long.)

5. MANAGEMENT and PERSONNEL

a. Financial personnel:

Are the organisation's financial transactions recorded into the company's financial system and overseen by:

☐ Qualified full-time finance personnel ☐ Non-finance personnel
☐ Qualified part-time finance personnel ☐ Other than staff (external)

b. Please indicate the total number of full-time staff employed by the organisation.

☐ >50 ☐ 1-5
☐ 6-50 ☐ 0

c. Personnel time management recordkeeping:

Does the organisation have a staff timesheet recordkeeping system?

☐ Yes ☐ No

If yes, please provide a copy of your organisation's timesheet form.

6. INTERNAL CONTROLS and RECORDS KEEPING

a. Do you have established prior approval procedures for major purchases?

☐ Yes ☐ No

b. Do you keep invoices and vouchers for all payments made out of grants funds?

☐ Yes ☐ No

c. Will your organisation be able to keep accounting records including invoices, vouchers and timesheets for at least ten years after the final financial report is submitted?

☐ Yes ☐ No

d. Briefly describe your organisation's system for filing and keeping supporting documentation.

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e. Does your organisation have adequate segregation of duties?

i. Does the person who makes entries into the accounting system also prepare the payments?

☐ Yes ☐ No

ii. Does the person who makes entries into the accounting system also approve the payments and is he or she a bank account signatory?

☐ Yes ☐ No

iii. Is the person who manages a procurement process sometimes also the recipient of the goods/services?

☐ Yes ☐ No

If your answer is 'yes' to any of the above, please provide an explanation of how your organisation mitigates the associated risks.

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7. RELATIONSHIPS

a. Is the organisation a member of IUCN?

☐ Yes ☐ No

b. Has the organisation previously worked with IUCN?

☐ Yes ☐ No

If yes, please provide details below:

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Checklist - Additional Documentation Requested

To assist in ensuring your due diligence submission is complete, the following checklist of additional documents that you may be required to provide is shown below for your benefit. Please check those boxes that apply regarding additional documents that will be submitted to accompany your completed Due Diligence and Financial Capacity Questionnaire.

☐   1(c)(i)   Articles of Incorporation, Constitution, Statutes, Government Decree, as appropriate,etc.

☐   1(c)(ii)   Organisation in-country registration certificate (if applicable).

☐   3   Certification of tax and social security compliance (if required).

☐   4(a)   Audit report and annual financial statements.

☐   4(b)(iii)   Accounting, Procurement and Code of Conduct Policies.

☐   5(c)   Timesheet form.

IUCN may request additional documents/information based on the nature of the action and the answers you have provided above.

CERTIFICATION STATEMENT:

"I, the undersigned, hereby certify that I am authorised to represent the organisation, and that all facts and information provided in this Due Diligence and Financial Capacity document are true and correct without omission, error, or mis-statement.

I understand and agree that should the information provided in this Due Diligence and Financial Capacity document subsequently change, IUCN shall be informed in writing of any such change.
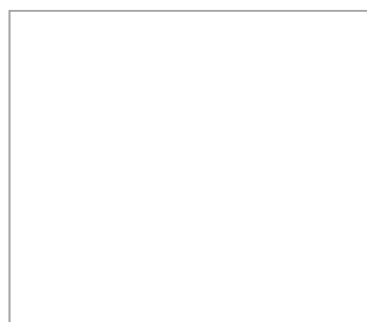
I further understand and accept that IUCN may at its sole discretion amend or terminate any grant or funding agreement awarded to the applicant if any information contained in this document is false or inaccurate."

_____
(Signature)

Name:

Position:

Date:

(Organisation Stamp)

Annex 10 BIOPAMA MG assessment Grid template

Medium Grant Proposal
Technical Assessment Grid

Grid completed by:	Insert assessor name
Date the grid was completed:	Click here to enter a date.
Title of the project:	Insert project title
Region	Insert targeted ACP region
ACP(s)[32]	Insert targeted ACP name(s)
Priority Area(s) targeted	Insert name of the targeted Key conservation landscape(s) or Protected and Conserved Area(s), or Marine Managed area(s)
Reference number of the proposal:	Insert project reference number
Name of lead organisation:	Insert lead applicant name
Risk Assessment: *To be done by the BIOPAMA Regional Focal point*	☐ LOW – ☐ MEDIUM – ☐ HIGH *On the basis of the ESMS screening questionnaire, Risk report and Clearance document*

Please note that the assessor comments and recommendations will be used to provide feedback to applicants and will be shared with the BIOPAMA AC Validating Committee, please ensure that they are comprehensive

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[32] The ACP Countries targeted by BIOPAMA encompass the following countries (in alphabetical order): Angola - Antigua and Barbuda - Belize - Cape Verde - Comoros - Bahamas - Barbados - Benin - Botswana - Burkina Faso - Burundi - Cameroon - Central African Republic - Chad - Congo (Brazzaville) - Congo (Kinshasa) - Cook Islands - Côte d'Ivoire - Djibouti - Dominica - Dominican Republic - Eritrea - Ethiopia - Fiji - Gabon - Gambia - Ghana - Grenada - Republic of Guinea - Guinea-Bissau - Equatorial Guinea - Guyana - Haiti - Jamaica - Kenya - Kiribati - Lesotho - Liberia - Madagascar - Malawi - Mali - Marshall Islands - Mauritania - Mauritius - Micronesia - Mozambique - Namibia - Nauru - Niger - Nigeria - Niue - Palau - Papua New Guinea - Rwanda - St. Kitts and Nevis - St. Lucia - St. Vincent and the Grenadines - Solomon Islands - Samoa - Sao Tome and Principe - Senegal - Seychelles - Sierra Leone - Somalia - South Africa - Sudan - Suriname - Swaziland - Tanzania - Timor Leste - Togo - Tonga - Trinidad and Tobago - Tuvalu - Uganda - Vanuatu - Zambia - Zimbabwe .

Criteria	Maximum score	Awarded score	Assessor Comments

1. Technical coherence and understanding *(max 55 points)*

- The proposal should **demonstrate an understanding of the rationale of BIOPAMA objectives** and **the** specific **objectives of the BIOPAMA Action Component**.
- The **activities should be implemented in one or several ACP countries.**
- The proposal must be **based on a diagnostic tool, a** quantified management and governance assessment tools (including IMET, PAME tools – e.g. METT, RAPPAM, Green List, EoH, or equivalent) or if not available, strategic documents at the protected area, national and regional levels, if not available validated studies by the PAs management authorities.
- **The proposal should address clear priority(ies) for actions**, selected from the **priorities listed in the diagnostic tool or strategic document** used by the applicant.
- The proposal's activities must be **very clear, coherent, detailed, realistic and feasible in regards to activities, timetable and expected results** (formulated in accordance to the SMART – specific, measurable, achievable, relevant, time bound – method, or similar).
- **The activities should have field application and be monitored.**
- The project should include a proper logical framework with **indicators** allowing an easy **capitalisation process** and **transfer of data and information to the RIS, Regional Observatories.**
- The proposal should demonstrate and document how the project addresses issues regarding **ESMS** Standards and ESMS Principles, in particular the stakeholder's consultation/ engagement both during the project design, implementation and monitoring phases.
- The proposal should clearly state how the project support **rights-based approach** and how the approach and activities are gender responsive.
- The proposal should state if potential **risks to people and environment** have been analysed and if appropriate assessments have been undertaken. In the case of one or several ESMS standard is triggered, the proposal has to specify and document the ESMS used for the proposal design or foreseen during the implementation phase of the project.
- The project has to include detailed **mitigations measures** and realistic budget for their implementation.

Criteria	Maximum score	Awarded score	Assessor Comments
1.1 Does the project activities address in a clear and articulated manner the BIOPAMA Action Component objectives and clear priority(ies) for actions? *These priorities for actions must be identified by:* ☐ **quantified management and governance assessment tools** (including IMET, PAME tools – e.g. METT, RAPPAM, Green List, EoH, or equivalent)**;** or, only if not available ☐ **Strategic documents** at the protected and conserved area, national and regional levels such as management or operational plans, KBAs and key landscapes for conservation analysis (where identified in ACP Countries);	Max 10 points if IMET or other quantitative diagnostic tools are used Max 5 points if no quantitative diagnostic tools are used		

Criteria	Maximum score	Awarded score	Assessor Comments
or, if not available ☐ **Studies validated** by PA(s) management authorities. *(Yes perfectly – yes – fairly – slightly – not at all) Please explain.*			
1.2 How **coherent** is the overall project design and approach**? Does it reflect the problem analysis and the context?** Are the activities and expected results feasible regarding the project timeline? *(Yes perfectly – yes – fairly – slightly – not at all) Please explain.*	10 points		
1.3 Is the proposed approach using best practices and/or innovation? *(Yes perfectly – yes – fairly – slightly – not at all) Please explain.*	5 points		
1.4 Does the project include an effective monitoring system with **objectively verifiable indicators** and a credible baseline? *(Yes, the indicators are well described and are objectively verifiable - indicators are provided but must be completed - No). Please explain.*	5 points		
1.5 Can the project indicators straightforwardly **support the data transfer to RIS and RRIS and capitalisation process**? *(Yes perfectly – yes – fairly – slightly – not at all) Please explain.*	5 points		
1.6 Does the project clearly explain and document how the **PA(s) Authorities have been informed**, and how the **stakeholders have been**	10 points		

Criteria	Maximum score	Awarded score	Assessor Comments
consulted during the design phase, and how they will be further **engaged during the implementation and monitoring phases** of the project? Is the approach realistic and reflect the capacities of the relevant stakeholders? *(Yes perfectly – yes – fairly – slightly – not at all) Please explain.*			
1.7 Does the project **support rights-based approach?** Are the project approach and activities gender-responsive? *(Yes perfectly – yes – fairly – slightly – not at all) Please explain.*	5 points		
1.8 Have potential **negative impacts** been analysed, either to the environment or to people (in particular to vulnerable groups)? If risks were identified, have **appropriate assessments** been undertaken to understand the risks and their significance? Does the project include **detailed measures** for mitigating environmental or social risks, with a realistic budget allocation? *(Yes perfectly – yes – fairly – slightly – not at all) Please explain.*	5 points		

2. Financial coherence and organisational capacities *(Max **20 points**)*

The proposal should demonstrate a financial coherence and sufficient quality of the proposed budget. It needs to be consistent with the technical proposal, to prove its cost-efficiency and value for money.

The proposal should demonstrate an efficient project management with a clear division of work, the availability of competent staff providing a sufficient input to achieve the project deliverables and ensuring an efficient project management.

Criteria	Maximum score	Awarded score	Assessor Comments
2.1 Is the budget adequate and cost-efficient: is the ratio between the estimated costs and the expected results satisfactory?	5 points		

Criteria	Maximum score	Awarded score	Assessor Comments
(Yes perfectly – yes – average – slightly – not at all) Please explain.			
2.2 Are all activities appropriately reflected in the budget? *(Yes perfectly – yes – average – slightly – not at all) Please explain.*	5 points		
2.3 Does the project demonstrate a good organisational capacity and clear division of work for supporting an efficient project management with competent staff? *(Yes perfectly – yes – average – slightly – not at all) Please explain.*	10 points		
3. Sustainability of the activities and replication potential *(Max. 10 points)* The proposal should include a clear sustainability plan beyond the end of the project and have a good replication potential.			
3.1. Does the project include a **clear sustainability plan with details on the foreseen means to be deployed for sustaining in the long term the project outcomes**? (covering financial, institutional, environmental aspects). Does the project have a **good replication potential**? *(Yes very strongly – strongly – average – weakly – not at all) Please explain.*	5 points		
3.2. Does the project demonstrate how **knowledge acquired will be shared with relevant information systems?** *(Yes very strongly – strongly – average – weakly – not at all) Please explain.*	5 points		
4. Complementarity, synergy of the project with other initiatives *(Max. 10 points)*			
4.1 Is the project supporting **complementarity with existing**	10 points		

Criteria	Maximum score	Awarded score	Assessor Comments
EU funded projects and other initiatives in the targeted ACP country(ies) and/or the neighbouring countries and territories? *(Yes very strongly – strongly – average – weakly – not at all)* *Please explain.*			
. 5. Communication (*Max.* ***5 points***)			
5.1 Has the project planned **relevant communication and outreach activities** for promoting its results and BIOPAMA's support? *(Yes very strongly – strongly – average – weakly – not at all)* *Please explain.*	5 points		
TOTAL	**100 points**		Threshold **65 points**

Annex 11 BIOPAMA Abbreviated Environmental and Social Management Plan (ESMP) Impacts Assessment and Management Table

ABBREVIATED ESMP ENVIRONMENTAL AND SOCIAL IMPACTS ASSESSMENT AND MANAGEMENT		
IUCN Environmental and Social Standards Triggered		
ESMS Standards	Triggered	Main issues & how they will be addressed
Involuntary Resettlement and Access Restrictions	☐ yes ☐ no ☐ TBD	
Indigenous Peoples	☐ yes ☐ no ☐ TBD	
Cultural Heritage	☐ yes ☐ no ☐ TBD	
Biodiversity Conservation and Sustainable Use Natural Resources	☐ yes ☐ no ☐ TBD	

Key Environmental and Social Impacts and related Mitigation Measures							
Activity	Environmental and Social Impacts	Proposed Mitigation Measures	Environmental and Social Indicators	Responsible Stakeholder	Cost	Schedule	Comments (e.g. indirect or cumulative impacts)

Mitigation Measures' Monitoring

Proposed Mitigation Measure	Indicators to be monitored	Location	Data collection (methods and sources)	Frequency of measurement	Responsible Stakeholders	Cost

Summary of Key Results of Consultations

Budget	
Mitigation Measure 1	
Mitigation Measure 2	
Mitigation Measure 3	
TOTAL	

Annex 12 BIOPAMA Grievance Mechanism Monitoring Table.

BIOPAMA Grievance Mechanism Monitoring Table								
Case number	**Means used to present complaint**	**Complaining party**	**Key issue(s)**	**Filing Date**	**Decision Date -if not status of the complaint**	**Key content of decision**	**Escalation of complaint to BIOPAMA RC/Sec**	**Key content of BIOPAMA RC/Sec Decision**
		☐ woman ☐ man ☐ group of people ☐ community ☐ NGO					☐ yes ☐ no	
		☐ woman ☐ man ☐ group of people ☐ community ☐ NGO					☐ yes ☐ no	
		☐ woman ☐ man ☐ group of people ☐ community ☐ NGO					☐ yes ☐ no	