

BIOPAMA Action Component

Guidelines for Applicants

Small Technical Grants for Assessment for
improved protected areas management and
governance

2020

Open-Ended Call
until **29 January 2021** at 23:59
(Brussels date and time)

(to convert to local time please click [here](#))

Donors & Implementing Partners



www.biopama.org

Notice

This guidance document provides useful information on how to apply for BIOPAMA Action Component (hereafter BIOPAMA AC) funding earmarked for Small Technical Grants for Assessment (STGA).

The objective of this call for proposal is to **increase the use of quantified management and governance assessment tools (PAME, PAGE)**, including IMET, METT, RAPPAM, the IUCN Green List¹, Enhancing our Heritage (EoH), SAGE, GAPA or equivalent, in ACP countries' protected and conserved areas to **define or update priorities for action to improve management and governance of these protected and conserved areas**. The findings of the assessments, including proposed priority actions and potential risks of these will be shared with the BIOPAMA Regional Observatories for protected areas and biodiversity and the global database on protected areas management effectiveness (GD-PAME).

It is strongly recommended that all possible applicants for forthcoming BIOPAMA AC funding opportunities carry out a management and governance assessment that identifies such priorities for actions with associated enhancement plans. **Only priorities identified by these decision-support tools will be eligible for funding for the BIOPAMA AC grant calls to be organised in 2021.**

Applicants are strongly recommended to read this document in full before completing and submitting a proposal for a Small Technical Grant for Assessment.

The BIOPAMA AC STGA call for proposals is an **open-ended call**. **Proposals will be reviewed on a rolling basis in order of their receipt.**

The provisional closing date for the call is 29 January 2021 but the call may be closed before this based on demand.

1. Overview of BIOPAMA Action Component

1.1 Background

The Biodiversity and Protected Areas Management (BIOPAMA) Programme is an initiative of the Organisation of African, Caribbean and Pacific States (OACPS) 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 the loss of biodiversity and ecosystem services, and is implemented jointly by the International Union for Conservation of Nature and Natural Resources (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 a central role to play in preserving the biodiversity and ecosystem services that the majority of rural communities depend on for sustainable livelihoods.

¹ The Green List is first and foremost a process for assessing the performance of protected areas, with registration being the ultimate phase. It is based on a three steps process, including assessments during the application and the candidate phases. Committed sites benefit from ongoing technical support from a mentor and expert guidance (Expert Assessment Group for the Green List) to achieve a level of performance that meets the IUCN Green List Standard's. Action plans can be elaborated to support and guide the needed improvements. Sites are regularly assessed and reviewed against a set of criteria.



Map of ACP Regions

The BIOPAMA Action Component provides funding opportunities for tangible on the ground actions to address key management and governance result-oriented priorities identified by management and governance assessment tools and associated enhancement plans in ACP protected and conserved areas.

1.2 Specific objectives of BIOPAMA Action Component

- ⇒ **Enhance** the management and governance of priority areas by addressing existing limitations (supporting new PAME/PAGE assessment tools, strengthening on-site infrastructure/equipment for patrolling, poaching control, developing capacity of staff);
- ⇒ **Strengthen** the legal framework required to achieve effective biodiversity conservation targets;
- ⇒ **Support** local communities' initiatives aiming to enhance the livelihoods of local people whilst effectively contributing to protected areas management.

2. Specific objective of the Small Technical Grants for Assessment

The purpose of BIOPAMA Small Technical Grants for Assessments (STGA) is to identify or update result-oriented priority actions for improved protected and conserved areas 'management and governance, through new or updated quantified management and governance assessments (see 3.2.1) and their associated enhancement plans.

The STGA aims are:

- 1) To enhance or update the content of management and work plans for improved effectiveness and governance of ACP protected and conserved areas;
- 2) To support the conservation targets achievement in ACP countries and the national, regional and global reporting to CBD.

The assessments and the identified result-oriented priority actions will be shared with the BIOPAMA Regional observatories for protected areas and biodiversity and the global database on protected areas management effectiveness (GD-PAME). The selected applicants will be also requested to complete a basic data form (key species, habitats, threats, ecosystem services, etc) which – within the common reporting template for PAME and PAGE assessments to be shared with the Regional Reference Information System (RRIS).

The access to the detailed information (specific data of the individual assessments) will be granted to entitled persons on the base of agreed access rights.

STGA funds assessments as defined in 3.2.1 below, exclusively up to the amount of EUR 20,000.

A STGA can fund one or several assessments (for instance within a Key Landscape of Conservation, a PAs network or a national PA system).

1.4 Financial allocation

The overall indicative amount made available for the 2020 Small Technical Grant for Assessment call for proposals is **eight hundred thousand euros (EUR 800 000)**.

2 Size of grants

Any grant requested under this call for proposals should not exceed the following maximum amount:

- **Maximum amount: EUR 20 000**

2.1 Percentage of costs eligible

BIOPAMA will provide up to a maximum of **100 % of the total eligible costs** of the project.

Warning: NO co-financing is required.

Financial reporting will be required for all costs.

BIOPAMA grants are based on the actual costs incurred by the beneficiaries, simplified cost option (e.g. unit costs, lumpsum, flat-rate) or a combination thereof.

3 Eligibility criteria

There are three sets of eligibility criteria, related to:

1) The actors:

- the **lead applicant**, i.e. the entity submitting the application form;
- if any, its **co-applicant(s)** (*the lead applicant and its co-applicants are jointly referred to as “applicants”*).

2) The actions for which a grant may be awarded (see section 3.2 below).

3) The costs:

- The types of costs that may be taken into account to determine the size of the grant. (see section 3.3. below).

3.1 Eligibility of the applicants (i.e. applicant and co-applicant(s))






The lead applicant may act individually or with co-applicant(s).

3.1.1 Lead applicant

To be eligible for a BIOPAMA AC STGA, applicants must:

- be public or private legal entities (e.g. a registered/incorporated company or organisation) registered as a separate legal entity in an eligible ACP country²;
- be in charge of or be involved³ in the protected and conserved area(s) management and/or governance at the national, sub-national or site level;
- be in charge of or be involved in the management of a transboundary conservation area ;
- be directly responsible for the preparation and management of the grant, and not acting as an intermediary;
- not be a beneficiary of any other grant funded by the European Union (including EDF funds) for the same activities, in the same protected and conserved area(s), network or system of protected area or transboundary conservation area.

The categories of eligible organisations for BIOPAMA STGA are as follows:

Applicant	Small Technical Grant for Assessment
National/Sub-national agencies, authorities, organisations in charge of the management of protected area(s) at the national, sub-national or site level	
Organisations involved in protected and conserved area(s) management and/or governance at the national, sub-national or site level including: Country-based Non-Governmental Organisations, International Non-Governmental Organisations*, Regional Organisations	 *
Protected and conserved Areas, including ICCAs	
National/regional network of protected areas	
Transboundary areas	

Warning: *special conditions apply to organisations established in an OECD country. These organisations are eligible in the case of contracts that are implemented in a Least Developed Country (LDC) or a Highly Indebted Poor Country (HIPC), as included in the list of Official Development Assistance (ODA) recipients.

² The ACP countries eligible to the BIOPAMA Action Component encompass 78 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 - Eswatini - 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 - São Tomé and Príncipe - Senegal - Seychelles - Sierra Leone - Somalia - South Africa* - Sudan - South Sudan** - Suriname - Tanzania - Timor Leste - Togo - Tonga - Trinidad and Tobago - Tuvalu - Uganda - Vanuatu - Zambia - Zimbabwe.

*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.

**Transboundary activities involving South Sudan are eligible.

³ Organisations with no official management mandate of the protected and conserved area can apply. Support letter from management authority; co-management agreement will be requested upon selection to verify involvement in management.

3.1.1. a Conflict of interest

- BIOPAMA II consortium organisations are not eligible: IUCN Secretariat, JRC and hosting organisations of BIOPAMA Regional Observatories.
- 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 BIOPAMA grants provided they fulfil the eligibility criteria and can demonstrate their legal and structural independence from the IUCN Secretariat.

3.1.1. b Exclusion criteria

- Applicants may not participate in calls for proposals or be awarded grants if they are in any of the exclusion situations listed in the Applicant declaration.

Applicants must sign a dedicated declaration (see annex 2).

3.1.2 Co-applicant(s)

Co-applicants participate in designing and implementing the action, and the costs they incur are **eligible in the same way** as those incurred by the lead applicant.

Co-applicants **must satisfy the same eligibility criteria** as for the lead applicant. Co-applicants **must sign** the mandate included as Annex 3 to these guidelines. If awarded the grant contract, the co-applicant(s) (if any) will become beneficiary(ies) in the project (together with the Coordinator).

3.2 Eligible actions: actions for which an application may be made

3.2.1 Assessments

The **eligible assessments** encompass, for the purpose of the BIOPAMA AC STGA, **quantified management and governance assessments (PAME, PAGE)** - including IMET, METT, RAPPAM, the IUCN Green List, Enhancing our Heritage (EoH), SAGE, GAPA or equivalent - that identify the **necessary enhancement plans with result-oriented priority actions**, including the assessment of potential environmental and social risks of these.

3.2.2 Duration

Proposals for Small Technical Grants for Assessments submitted in response to this call may have a **maximum duration of five months**.

3.2.3 Start and End Dates

Start Date: The STGA start date must follow the grant signature and be **no later than February 2021**.

End date: with a **maximum duration of five months**, the STGAG end date must be **no later than July 2021**.

Warning: The assessment(s) must be completed by the grant end date. The final document(s), and the electronic copy of the quantified management and governance assessment tools that identify the necessary enhancement plans and result-oriented priority actions, and their potential environmental and social risks must be submitted as deliverables and be able to be uploaded into the Regional Reference Information System (RRIS).

3.2.4 Location

Assessments must take place in **one or several eligible ACP countries, and within priority areas** as defined below:

Priority Areas, in wider conservation landscapes, include inter alia, key landscapes for conservation (where identified in ACP Countries), Key Biodiversity Areas (KBAs), Marine Managed Areas or other protected and conserved areas, networks and systems of protected areas.

3.2.5 Types of action

To be eligible **assessments** must:

- Achieve **tangible analysis with clear recommendations**;
- **Identify clear result-oriented actions** in terms of protected and conserved areas: Assessments must examine the effectiveness of management and/or the quality of governance, the conservation targets, the sustainable use of natural resources and the livelihood enhancement of surrounding local communities. The assessment tools must examine potential environmental and social risks as part of the process;
- **Be consistent with the specific objectives of BIOPAMA STGA**;
- **Be cost-efficient**;
- **Be publicly available and shared** with the BIOPAMA RRIS/RIS⁴.

3.2.7 Environmental and social screening

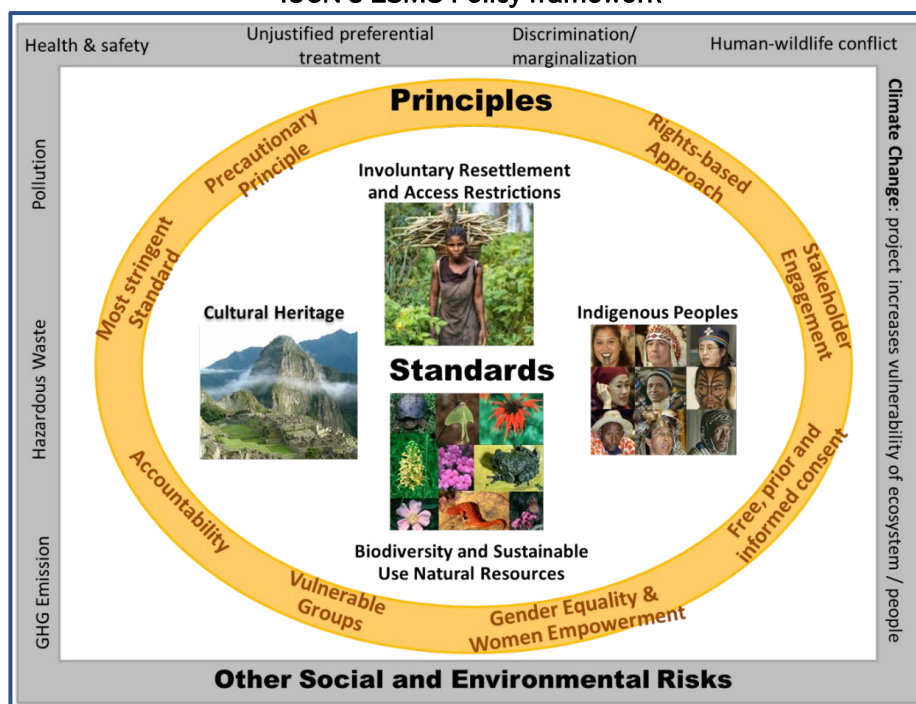
The STGA will fund the **definition or update of priority actions to improve management and governance of ACP countries' protected and conserved areas through new or updated quantified management and governance assessments and their associated enhancement plans.**

The BIOPAMA Action Component appraises proposals 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). STGA proposals have to comply with this obligation in completing ESMS questions.

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 below illustrating IUCN's ESMS Policy Framework.

⁴ In the case of sensitive data, the summary document with the key recommendations should be publicly available and shared with the RRIS/RIS.

IUCN's ESMS Policy framework



As part of their application, applicants to BIOPAMA AC STGA should answer a series of questions to **provide useful and relevant information** regarding potential ESMS considerations that apply to their assessments. Provision should be made as part of the assessment to ensure that any proposed priority activities also do not trigger ESMS safeguards.

The ESMS Principle of Stakeholder Engagement must be an integral part of the assessments.

Warning: Information provided by the applicant to the questions and the quality of their responses is critical for the assessment of the STGA proposal, and failure to address these will result in the rejection of the proposal.

As part of the project appraisal procedure BIOPAMA STGA proposals will be screened by the BIOPAMA Regional Focal Points. The screening will be based on the information provided by the grantees in the application form. Screening concludes with the assignment of a risk category and by the conclusion whether risks are sufficiently understood and addressed by the STGA proposal

3.3 Eligibility of costs: costs that can be included

3.3.1 Eligible costs:

Only eligible costs will be funded by BIOPAMA AC. The eligible costs **must be:**

- necessary for the implementation of the activities;
- reasonable and justified and consistent with the principles of sound financial management, in particular in terms of value for money and cost-effectiveness;
- generated on the basis of the BIOPAMA Small Technical Grants for Assessments (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;

- identifiable and verifiable;
- compliant with the national procurement rules,
- compliant with the requirements of the applicable tax and social legislation.

3.3.1.a Categories of eligible costs:

- ✓ Human resources. The costs of personnel working under an employment contract with the beneficiary or an equivalent appointing act and assigned to the action, provided that these costs are in line with the beneficiary's usual policy on remuneration. Those costs include actual salaries plus social security contributions and other statutory costs included in the remuneration.
- ✓ Travel. Costs of travel and related subsistence allowances, provided that these costs are in line with the beneficiary's usual practices on travel and needed for the activities.
- ✓ Other costs, services. Costs derived from subcontracts, provided that that the purchases are made in accordance with BIOPAMA II Procurement Policy and are in line with the national procurement regulations, if applicable. This can include the costs of mobilization of IMET Coaches, Green List Mentors, EAGL members and/or of PAME/PAGE experts/facilitators. The BIOPAMA Regional Observatory, the Green list team can provide information and contacts of coaches and experts if needed.

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

3.3.2 Ineligible costs:

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 personnel⁵;
- costs leading to personal or private profit

3.3.3 Simplified costs option.

Reimbursement of costs for **Small Technical Grants for Assessment** is based on simplified costs options and real costs as follows:

Types of costs	REIMBURSEMENT of actual costs or Simplified costs option to be used in the budget (see the budget template annex 5)
1. Assessment	REIMBURSEMENT OF REAL COSTS

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.

2. Personnel costs	Mandatory use of FLAT RATE COSTS option up to 5% of the direct eligible costs listed above.
3. Travel costs necessary for assessments	REIMBURSEMENT OF REAL COSTS.

Simplified costs option – flat rate method:

- ✓ Up to 5% of total direct eligible costs can be budgeted to cover the personnel costs required for project implementation.
- ✓ Eligible costs are paid subject to reaching concrete inputs/outputs in the approved budget.

Expenditure verification - Auditors will not check supporting documents to verify the actual costs incurred but they will verify the correct application of the method and formula for the calculation of the cost based on related inputs and relevant quantitative and qualitative information.

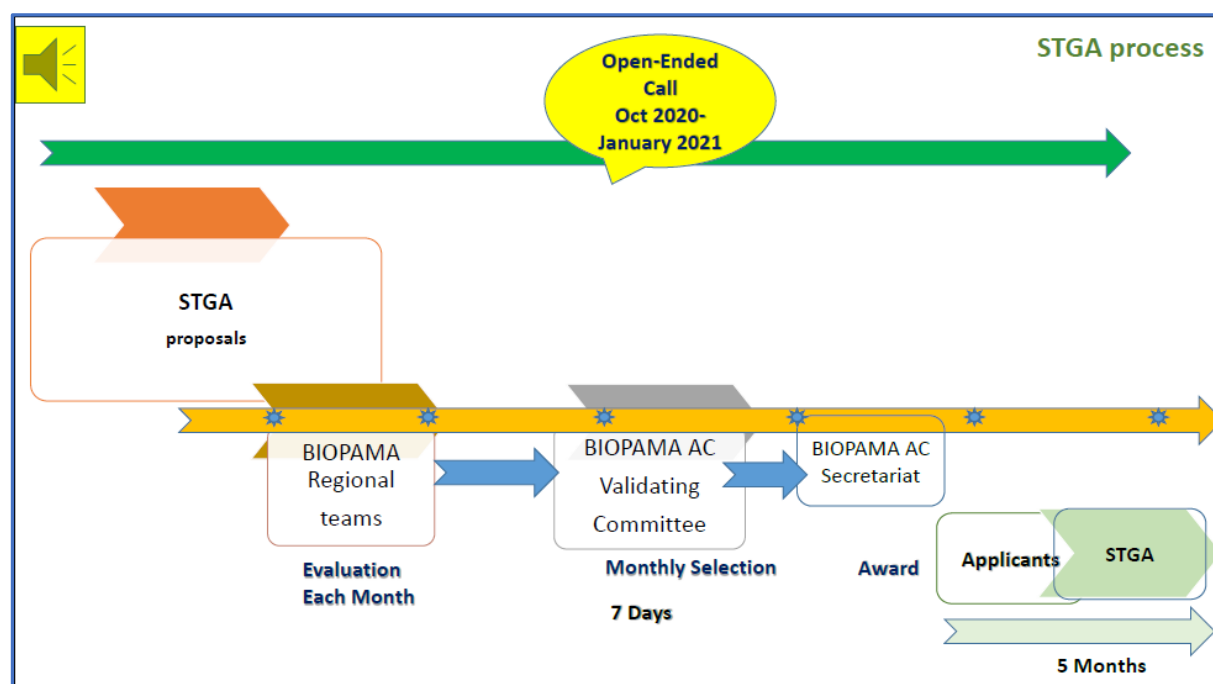
Recommendations to award a grant are always subject to the condition that the checks preceding the signing of the grant contract do not reveal problems requiring substantial changes to the budget (such as arithmetical errors, inaccuracies, unrealistic costs and ineligible costs). The checks may give rise to requests for clarification and may lead IUCN to impose modifications or reductions to address such mistakes or inaccuracies. It is not possible to increase the grant amount as a result of these corrections.

It is therefore in the applicants' interest to provide an accurate, **realistic and cost-effective budget**.

4 How to apply and the procedure to follow

The grant application process for BIOPAMA Small Technical Grants for Assessments (≤20 000 €) is a **single stage with the submission of a full proposal** for assessment, ranking, evaluation and selection.

BIOPAMA STGA Proposal Cycle



The STGA call for proposals is an open-ended one. Proposals will be reviewed upon submission.

4.1 Proposal applications

Applicants may apply in either English or French.

The application form has to be submitted on the [BIOPAMA AC Portal](#) using your account and login. An offline function allows the applicant to work on the proposal without a continuous internet connection.

Some information must be entered directly on the portal and the prescribed forms must be completed, and the required associated documents uploaded.

Hand-written proposals will not be accepted.

Warning: in case of technical difficulties related to internet or electrical failure, applicants may exceptionally submit their application via email (see the lists below). Evidence of the technical issue will be requested to allow verification of the need to submit the application by email in exceptional cases.

Please note that the proposal must be submitted using **the Small Technical Grant Proposal for Assessments application form template and the official additional documents (budget, simplified logframe, ESMS questions, mandate, declaration, due diligence) must be completed to allow their evaluation. Lead applicants must verify that their proposal is complete using the checklist for proposals. Incomplete proposals and missing documentation will render the application ineligible.**

Warning: Incomplete proposals will be rejected. Any error or major discrepancy related to the points listed in the instructions in the application form, any missing document or any major inconsistency in the proposal (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application. Clarifications will only be requested when the information provided is unclear and therefore prevent IUCN from conducting an objective assessment.

4.2 Support during project design

All applicants are encouraged to consult widely to ensure the complementarity of proposed projects and to avoid duplication as well as to prepare for the successful implementation of the project if awarded.

The BIOPAMA Action Component team is available to answer any general query about the application process for Small Technical Grant for Assessments. **Applicants should send their questions to the following email distribution lists** (questions on the STGA sent to individual email addresses will not be addressed):

Caribbean BIOPAMA AC info contact: biopama.ac.info.caribbean@iucn.org

Pacific BIOPAMA AC info contact: biopama.ac.info.pacific@iucn.org

Western and Central Africa BIOPAMA AC info contact: biopama.ac.info.wca@iucn.org

Eastern and Southern Africa BIOPAMA AC info contact: biopama.ac.info.esa@iucn.org

4.3 Deadline for submission of proposals

The BIOPAMA AC call is an open-ended call. Proposals will be evaluated on a rolling basis in the order they are submitted. The ultimate deadline for the submission of proposals for BIOPAMA AC STGA is **29 January 2021**.

	DATE	TIME*
Launch of the STGA call	November 2020	
Deadline for clarification request to the BIOPAMA AC Regional Teams	19 January 2021	23:59 CET
Closure of the STGA call	29 January 2021	23:59 CET

Warning: All times are in the time zone of Belgium. Please pay attention to the time difference between your time zone and CET. The hour of the deadline is CET.

4.4 Further information about proposals

In case of difficulties that cannot be solved by reference to the Frequent Asked Questions (FAQs) available on the BIOPAMA AC portal, questions may be sent by email to the same email distribution lists indicated above before **no later than 19 January 2021**, indicating clearly the reference of the call for proposals.

Please note that questions that may be relevant to other applicants, together with answers will be published on the [BIOPAMA AC portal](#) along with other important notices. Please check the BIOPAMA AC portal prior to submitting your proposal.

4.5 Number of applications and grants per applicant

An organisation may submit **a maximum of two proposals per call** as a lead applicant and/or as co-applicant. Nonetheless, **an organisation can only be awarded one STGA as a lead applicant**. If two proposals where an organisation is a lead applicant successfully pass the assessment steps, only the proposal with the highest score will be retained for the award of a grant.

A single entity may be awarded both a grant as lead and one as a co-applicant; **provided** it can demonstrate sufficient human and technical resources to successfully implement both projects.

A BIOPAMA Small Technical Grant for Assessment can be awarded to entities even if they have also been awarded a BIOPAMA **Medium Grant**, a BIOPAMA **Small Technical Grant**, or a BIOPAMA **Rapid Response Grant**.

4.5 Award criteria for BIOPAMA STGA

See full Evaluation grid (Annex 5).

1. Technical coherence and understanding	Max. 20 points
2. Financial coherence, justification and capacity	Max. 15 points
3. Sustainability of the activities and use of the assessment outputs	Max. 15 points
Total	Max. 50 points

Only STGA proposals achieving a final total score above the **threshold of 31** will be submitted to the BIOPAMA AC validating Committee for the final award decision.

4.6 Notification of applicants

Successful applicants will be notified of their award within five days of the BIOPAMA Validating Committee's decision.

4.7 Grievance mechanism

The BIOPAMA AC Global Team, through the BIOPAMA Regional Teams, will provide an explanation to all applicants whose proposals are unsuccessful as part of its focus on building capacity. Applicants are encouraged to contact the relevant Regional Team and/or the Secretariat if they have further queries regarding any 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:

Biopama.Grant.Secretariat@iucn.org

or by mail to the following address:

*BIOPAMA Action Component Secretariat
IUCN
28, Rue Mauverney
1197 Gland
Switzerland*

BIOPAMA 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 social and environmental safeguards.

Useful links:

BIOPAMA AC Portal: <https://action.biopama.org/>

Annexes

- 1 STGA application form
- 2 Applicant declaration
- 3 Co-Applicant Mandate
- 4 Due Diligence questionnaire
- 5 Evaluation grid

Annex 1: Small Technical Grant for Assessment application form

BIOPAMA STGA application template *(Please insert here the reference number of your application)*

The application should be short but informative enough⁶. This application form has to be completed and uploaded on the [BIOPAMA AC portal](#).

1) General information

1.	Title:	Insert title of the assessment to be funded
2.	Region⁷:	Insert targeted ACP region
3.	ACP⁸ Country:	Insert targeted ACP name When relevant insert the key conservation landscape
4.	Priority Area targeted:	Insert name Insert WDPA number
5.	Duration (5 months maximum):	Insert number of months months
6.	Total funding requested:	Insert figures €
7.	BIOPAMA STGA objective	Specify the type of assessment you want to undertake and tick the relevant box(es) below <input type="checkbox"/> IMET <input type="checkbox"/> METT <input type="checkbox"/> RAPPAM <input type="checkbox"/> IUCN Green List, application and or candidate phases analysis ⁹ <input type="checkbox"/> Enhancing our Heritage (EoH) <input type="checkbox"/> Equivalent : Please specify ¹⁰

⁶ Equivalent to 10 pages maximum in a word document

⁷ West Africa, Central Africa, Eastern Africa, Southern Africa, Caribbean, Pacific.

⁸ The ACP countries eligible to the BIOPAMA Action Component encompass 78 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 - Eswatini - 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 - South Sudan - Suriname - Tanzania - Timor Leste - Togo - Tonga - Trinidad and Tobago - Tuvalu - Uganda - Vanuatu - Zambia - Zimbabwe.

*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.

**Transboundary activities involving South Sudan are eligible.

⁹ <https://iucngreenlist.org/wp-content/uploads/2020/04/IUCN-Green-List-User-Manual-Version-1.2.pdf>

¹⁰ For more details please consult [GDPAME](#) Appendix 4 (p27/28)

	<input type="checkbox"/> SAGE (Site Assessment of Governance & Equity) <input type="checkbox"/> GAPA (Governance Assessment of Protected Areas) <input type="checkbox"/> Equivalent: Please specify ¹¹
--	---

2) Organisational Information of 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 <i>(This individual will be the contact point for the BIOPAMA Regional Focal point and Secretariat)</i>	Organisation Chief Executive <i>(or other person authorised to sign contracts on behalf of your organisation)</i>
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/Authority/Organisation (at national and sub-national levels) in charge of protected and conserved areas at the national, sub-national or site level.

Do not forget to upload your constitution and the mandate showing clearly your role for management of the protected and conserved area.

☐ Protected and Conserved Area (including ICCAs)

Do not forget to upload the constitutive documents of the Protected and conserved area.

☐ Organisation in charge of transboundary conservation areas

Do not forget to upload your constitution or the mandate showing clearly your role for management of the transboundary conservation area.

☐ Organisations involved in protected and conserved area management and/or governance at the national, sub-national or site level.

Do not forget to upload your constitution and the document showing clearly your role and involvement in the targeted protected and conserved area(s) management and/or governance at the national, sub-national or site level.

¹¹ See IUCN WCPA CBD Best Practice Guidelines No. 20 Governance of Protected Areas and [Management Effectiveness, Governance, and Social Assessments of Protected and Conserved Areas in Eastern and Southern Africa: A rapid inventory and analysis to support the BIOPAMA programme and partners](#).

☐ Network of protected areas.

Do not forget to upload the constitutive documents of the network of protected areas.

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 here relevant web link(s) where your organisation is presented.

3) Organisational Information of Co-applicant(s)

Delete this part if there is no co-applicant.

- **Co-applicant 1**

Organisation Name: Click here to enter text.

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

Role in the STGA:

Amount and % of the total STGA budget:

4) Need for assessment and methodology

4.1 Please indicate whether former assessments have been conducted, list them (with their title and date) and specify the need for further assessment(s).

4.2 Please indicate how you will implement the STGA and apply the assessment method/s.

5) STGA objectives and use of the outputs

STGA objective is the identification or update of priority for action in protected and conserved areas through assessment that also identifies potential risks. Please explain how you align with this objective, describe the expected outputs and what they will be used for.

Don't forget to complete the simplified logframe (see below).

6) Stakeholder involvement

Please provide details on stakeholder involvement.

Was there any information and consultation before the submission of this STGA?

☐ YES, if yes indicate the approach and upload the report of the consultation

☐ NO

Will they be informed and involved during the implementation of the STGA?

☐ YES, if yes specify how?

☐ NO

How will local communities benefit from the STGA? Please specify.

7) Managing potential environmental and social risks

The purpose of the STGA is to enhance management effectiveness and/or governance quality of the protected and conserved areas, through the assessment of key issues. The assessments funded by the BIOPAMA AC may, in the course of the assessment, raise/highlight environmental and/or social risks.

The assessments must help to avoid or mitigate negative environmental and social risks and, where possible, stimulate positive impacts.

The below questions are to understand whether the planned assessment will raise issues that are contained within the IUCN Environmental and Social Management System (ESMS). Please confirm by answering the following questions, and note that if your proposal is selected, you may be requested to submit an ESMS questionnaire.

WARNING: It is compulsory to complete the ESMS questions that are fully part of the STGA application. Without ESMS questions correctly completed, the application will not be accepted.

1) Will the STGA be conducted on a territory or area of indigenous peoples¹²? (Please tick the relevant box)

☐ YES

¹² United Nations Permanent Forum on indigenous issues, Department of Public Information, Factsheet on indigenous peoples: Considering the diversity of indigenous peoples, an official definition of "indigenous" has not been adopted by any UN-system body. Instead the system has developed a modern understanding of this term based on the following:

- Self- identification as indigenous peoples at the individual level and accepted by the community as their member.
- Historical continuity with pre-colonial and/or pre-settler societies
- Strong link to territories and surrounding natural resources
- Distinct social, economic or political systems
- Distinct language, culture and beliefs
- Form non-dominant groups of society
- Resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities

Please indicate if any prior consultation/study on this subject has been held.

If yes, please list them below and provide their 1. Title, 2. Date of implementation 3. Authors.

If no prior consultation/study has been undertaken before, the STGA and more particularly the associated enhancement plans and result-oriented priority actions will have to include necessary mitigation measures, a stakeholder engagement plan and if needed the development of an Indigenous people plan.

☐ NO, not applicable.

- 2) Will the STGA focus on the enforcement of protected area regulations or the restriction of access to resources? (Please tick the relevant box)

☐ YES

Please indicate if any prior consultation/study on this subject has been held.

If yes, please list them below and provide their 1. Title, 2. Date of implementation 3. Authors.

If the STGA concludes that further restrictions or changes to the PA will be necessary, the STGA and more particularly the associated enhancement plans and result-oriented priority actions will have to include mitigation measures regarding potential impacts on the livelihood of local communities, indigenous peoples and if needed the development of an Action plan to mitigate impacts from access restrictions.

☐ NO, not applicable.

- 3) Will the STGA examine gender-related inequalities? (Please tick the relevant boxes)

☐ YES

If the assessment raises any risks for gender-based violence or issues (ie. The need to hold separate male and female interviews and focus group discussions), the STGA and more particularly the associated enhancement plans and result-oriented priority actions will have to include mitigation measures.

☐ NO

☐ *The STGA and more particularly the associated enhancement plans and result-oriented priority actions can actually stimulate positive impacts such as addressing gender gaps or supporting women's empowerment.*

☐ *Not applicable.*

- 4) Will the STGA be concerned with the use of pesticides, translocation of species, or involve forestry activities (for example: forest restoration and plantation, including the use of non-native species)? (Please tick the relevant box)

☐ YES

If the assessment recommends to introduce the use of pesticides, translocation of species, or involve forestry activities, the STGA and more particularly the associated enhancement plans and result-oriented priority actions will then have to include mitigation measures and if needed to refer to a pest management plan.

☐ NO, not applicable.

11) Logical framework

Please complete the logical framework and indicate appropriate outputs and activities to deliver the project objective.

Useful terminology:

- **Overall project objective (Impact):** the overarching rationale that drives the project and its activities in its entirety, it is the broader, long-term change to which the project contributes at country, regional or sector level.
- **Specific objective (Outcome):** the main medium-term effect of the intervention focusing on behavioural and institutional changes resulting from the intervention. **Only one** specific objective will be defined.
- **Output:** represent the tangible products, goods and services delivered by the project. Outputs are numbered.
- **Activity:** action taken or work performed by the project staff through which inputs, such as funds, technical assistance and other resources are mobilized to produce specific Outputs. Activities are numbered in accordance with the Output they refer to: A.1. A. 2 etc. In general, each Activity leads to an Output. The combination of several Outputs leads to the achievement of the Specific objective.
- **Indicators** should be expressed in a SMART format. **SMART** is an acronym that stands for: Specific, Measurable, Achievable, Realistic and Time-bound.
 - **(S)pecific** – The information captured measures appropriate change. The data collected clearly and directly relates to the achievement of a specific objective. If the information collected is specific, it can tell whether the change we seek to create is happening or not.
 - **(M)easurable** – Before starting monitoring, staff must make sure that the information required can be practically collected using measurable, robust indicators.
 - **(A)tttributable** – Any changes measured must be attributable to the intervention.
 - **(R)elevant** – Monitoring results must make a contribution to selected priorities, i.e. they must fit with the Results and timescale of the project.
 - **(T)ime-bound** – Monitoring is not open-ended but allows change to be tracked at the desired frequency for a set period of time and yields information at pre-specified periods.
- **Indicators:** are quantitative and/or qualitative variables that provide a simple and reliable mean to measure the achievement of the corresponding result (output, outcome, impact). It is a measurable entity related to a specific information need, such as the status of a species, the characteristic of a species population, and change in a threat.

Logical Framework (Excel table to be completed and uploaded)

Title						
Proposal ref: STGA XX - SAGE in Park X						
Overall Objective						
Example: Enhanced governance and ownership of the Park X regulation protected area Y and reduction of illegal poaching for food by the local communities.						
Specific Objective (Outcome)						
Example: Specify the current governance of the Park x and Understanding the current sources of income of the community X and provide recommendations for an enhanced involvement of the local communities in regulation definition and enforcement alternative livelihood						
Outputs (The direct/tangible products (infrastructure, goods and services) delivered/generated by the intervention)	Proposal Indicator(s) Each indicator should be defined by applying the SMART approach: Specific, Measurable, Achievable, Realistic and Timely. Please use BIOPAMA AC indicators	Relevant BIOPAMA AC indicator(s)	BIOPAMA AC indicator(s) Metric	BIOPAMA AC indicator(s) Unit	BIOPAMA AC indicator(s) Target/baseline	Means of verification Describe where, how and when the information about the indicator can be obtained and by whom.
Output 1. SAGE	1 SAGE assessment delivered with priority for actions	IGO.1.	# PCA(s) where governance has been clarified as a result of the BIOPAMA AC project	1	1 SAGE report delivered No former SAGE nor equivalent tool have been conducted	1 SAGE delivered with priority for actions and shared with the RRIS
Output 2. Consultation of <i>local communities Y and Z X</i>	Number of people involved.	IGO. 2.3#	# of Communities/people involved during the implementation of BIOPAMA AC projects.	2	A series of meetings held between the park authority, the rangers and the communities every month to assess situation. In total 9 meetings will take place. Agreed recommendations will be used for updating regulations	Pictures of discussions, minutes of the meetings.

1) Financial coherence

Please complete and upload the template for STGA simplified budget and the quotes. The budgets must be included the justification for each line and supporting documents (quotes) must be uploaded.

Please pay special attention to respect the market prices and upload the quote(s) supporting the information in your budget.

Warning: Without justification and quote that are critical supporting documents, the proposal will be considered as incomplete and thus rejected.

Please specify how you will comply with the national procurement regulations and BP II procurement policy.

If you have to go through a tender, please indicate if you have already completed it. If yes, indicate what is the legal framework applicable for procurement in your country and the legal text reference (hyperlink) and upload the document supporting the selection process. If not please indicate how you plan to implement it during the lifetime of the STG.

2) Capacity

Please explain how you will manage the activities (roles and responsibilities within the implementing team, procurement etc.).

Don't forget to complete and upload the Due Diligence and Financial Capacity Questionnaire.

Details of the individuals that will be involved in the implementation, including if possible the identified consultants or company.

Name	Organisation	Current position/job title

Please upload on the portal the CV for each individual involved in the technical implementation of the STGA (administrative and support staff do not need to be included, additional rows can be added to the table if required).

3) Timeline of the action (Max.5 months)

Please complete only the relevant number of months and delete the unnecessary columns.

Activity/Month	1	2	3	4	5

Submission Checklist

Please ensure that you have done all of the following prior to your BIOPAMA STGA submission.

	Check
Have you read the Guidelines for Applicants and followed the instruction included in the template?	<input type="checkbox"/>
Have you checked the BIOPAMA Action Component portal prior to submission to ensure there are no late updates?	<input type="checkbox"/>
Have you completed and uploaded the Due Diligence and Financial Capacity Questionnaire and supporting documents?	<input type="checkbox"/>
Have you completed and uploaded the appropriated STGA budget table and is the requested BIOPAMA contribution within the maximum allowed (\leq €20,000)?	<input type="checkbox"/>
Have you explained the rationale of the budget lines?	<input type="checkbox"/>
Have you checked that the budget is in balance, and costs in line with the market price and stated in €.	<input type="checkbox"/>
Has the Applicant Declaration been signed by a suitably authorised individual? (clear electronic or scanned signatures are acceptable)	<input type="checkbox"/>
Have you included a CV for individuals involved in the implementation of the STGA?	<input type="checkbox"/>
Have you included your organisation's legal status and latest activity report?	<input type="checkbox"/>
Have you completed the logical framework?	<input type="checkbox"/>
Have you completed the ESMS STGA questions?	<input type="checkbox"/>

Annex 2 Applicant declaration (to be signed and uploaded) (Please insert here the reference number of your application)

The applicant, represented by the undersigned, being the authorised signatory of the applicant, in the context of the present BIOPAMA call for Small Technical Grant proposals for Assessment, hereby declares that:

- the applicant is 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 planned activities in good time and has not received any objections to date;
- the applicant certifies the legal status of the applicant as reported in the application;
- the applicant undertakes to comply with good practices of non –abusive use, care and maintenance of the equipment, infrastructures funded by the project;
- the applicant is directly responsible for the preparation, management and implementation of the activities, and is not acting as an intermediary;
- the applicant accepts and comply with the obligation to share data and information with the BIOPAMA RIS and the relevant regional observatory (RRIS),
- The applicant is not in any of the situations excluding them from participating in contracts which are listed hereafter:
 - (1) being 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) have been convicted of an offence concerning their professional conduct by a judgment which has the force of *res judicata*;
 - (3) have been guilty of grave professional misconduct proven by any means which the Beneficiary can justify;
 - (4) 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) 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) being 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 participates in spite of being in any of these situations, he 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 accepts the contractual conditions as laid down in the Standard Contract annexed to the Guidelines for Applicants;

- the applicant is aware that, for the purposes of safeguarding the financial interests of the EU, his 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 Co-applicant mandate (to be signed and uploaded) *(Please insert here the reference number of your application)*

The co-applicant authorises the Applicant <insert the name of the lead applicant organisation> to submit on their behalf the present application form and to sign the standard grant contract with IUCN as well as, to be represented by the Applicant in all matters concerning this grant contract.

I have read and approved the contents of the proposal submitted to IUCN. I undertake to comply with the principles of good partnership practice.

(Signature)

Name:

Position:

Date:

(Organisation Stamp)

Annex 4 Due diligence questionnaire (to be completed and uploaded) *(Please insert here the reference number of your application)*

IUCN may ascertain your capacity to administer funds received, to that end 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:

- | | |
|---|--|
| <input type="checkbox"/> For profit | <input type="checkbox"/> Incorporated company |
| <input type="checkbox"/> Not-for-profit / NGO | <input type="checkbox"/> Limited liability company |
| <input type="checkbox"/> Government agency | <input type="checkbox"/> Sole proprietary company |
| | <input type="checkbox"/> Partnership |
| | <input type="checkbox"/> Registered charity |
| | <input type="checkbox"/> Community network |
| | <input type="checkbox"/> Other <i>(please specify below)</i> |

c. Founding documents:

- i. In what country is your organisation constituted by an appropriate instrument of national law? Please provide a 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).¹³

Country	Title of founding document

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

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

2. GOVERNANCE*

¹³ 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 related to this project, and the relevant documentation, to avoid having to update this form each time.

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 an 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 an 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	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Procurement	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Code of conduct, ethics, bribery, and corruption (including coverage of conflict of interest)	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

c. Debt:*

Does the organization have any debt relating to:

Bank loans	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Bank overdraft	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
Other debt	<input type="checkbox"/>	Yes	<input type="checkbox"/>	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	<input type="checkbox"/>	Amount
Office building	<input type="checkbox"/>	Amount
Vehicles	<input type="checkbox"/>	Amount
Other insurance	<input type="checkbox"/>	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 two 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 multilateral institutions in the past two years?*

☐ Yes ☐ No

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

- | | |
|---------------------------------|---------------------------------|
| <input type="checkbox"/> 0-50% | <input type="checkbox"/> 76-95% |
| <input type="checkbox"/> 51-75% | <input type="checkbox"/> >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:

- | | |
|--|--|
| <input type="checkbox"/> Qualified full-time finance personnel | <input type="checkbox"/> Non-finance personnel |
| <input type="checkbox"/> Qualified part-time finance personnel | <input type="checkbox"/> Other than staff (external) |

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

- | | |
|-------------------------------|------------------------------|
| <input type="checkbox"/> >50 | <input type="checkbox"/> 1-5 |
| <input type="checkbox"/> 6-50 | <input type="checkbox"/> 0 |

c. Personnel time management recordkeeping:

Does the organisation have a staff timesheet record-keeping system?

- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> 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?

- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|

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

- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> 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?

- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|

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

e. Does your organisation have adequate segregation of duties?

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

- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> 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?

- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|

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

- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|

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

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:

Checklist – Additional Documentation Requested

To assist in ensuring that 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

BIOPAMA Secretariat 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 5 Small Technical Grant for Assessment Evaluation Grid *(Please insert here the reference number of the application)*

This grid is completed by the assessors.

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)¹⁴	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: <i>To be done on the basis of the STG ESMS questionnaire by the BIOPAMA Regional Focal point</i>	<input type="checkbox"/> LOW – <input type="checkbox"/> MEDIUM – <input type="checkbox"/> HIGH

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

¹⁴ The ACP countries eligible to the BIOPAMA Action Component encompass 78 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 - Eswatini - 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 - South Sudan** - Suriname - Tanzania - Timor Leste - Togo - Tonga - Trinidad and Tobago - Tuvalu - Uganda - Vanuatu - Zambia - Zimbabwe.

*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.

**Transboundary activities involving South Soudan are eligible.

Criteria	Maximum score	Awarded score	Assessor Comments
1. Technical coherence and understanding (Max. 20 points) <ul style="list-style-type: none"> The STGA proposal must demonstrate an understanding of the rationale of BIOPAMA STGA objectives The activities should be implemented in eligible ACP country. The STGA proposal has to indicate how the activities will be implemented and the staff involved; The STGA has to indicate how the assessment will be implemented, the methodology and ensure that the assessment will be shared with the RRIS and RIs; The activities should comply with the IUCN ESMS framework; The STGA proposal should state how the activities have taken into account and support a rights-based approach (and how the stakeholders have been or will be involved and informed; The STGA ESMS questions should be duly completed proposal to demonstrate that potential risks to people and environment will be foreseen and taken into account; The STGA proposal should clearly indicate how output, the results will be used. 			
1.1 Is the assessment need(s) clearly explained?	5 points		<input type="checkbox"/> YES <i>Yes, perfectly – yes – fairly – slightly</i> <input type="checkbox"/> NO <u>Comment:</u>
1.2 Is the assessment methodology clearly presented and stakeholders involved?	5 points		<input type="checkbox"/> YES <i>Yes, perfectly – yes – fairly – slightly</i> <input type="checkbox"/> NO <u>Comment:</u>
1.3 Is the main contribution to BIOPAMA STGA objectives clearly articulated?	5 points		<input type="checkbox"/> YES <i>Yes, perfectly – yes – fairly – slightly</i> <input type="checkbox"/> NO <u>Comment:</u>
2. Financial coherence justification and capacity (Max. 15 points) <ul style="list-style-type: none"> The STGA proposal should demonstrate a financial coherence of the costs that have to be in line with the market prices to prove its cost-efficiency and value for money. Quotes and even signed contract have to be provided as supporting documents and information have to be given in the case of a tender on the selection process 			

Criteria	Maximum score	Awarded score	Assessor Comments
2.1 Is the amount of the investment in line with the market prices?	5 points		<input type="checkbox"/> YES <i>Yes, perfectly – yes – fairly – slightly</i> <input type="checkbox"/> NO <u>Comment:</u> <i>Please check and review the supporting documents (quotes and/or signed contract)</i>
2.2 Are the procurement rules and principles understood and respected?	5 points		<input type="checkbox"/> YES <i>Yes, perfectly – yes – fairly – slightly</i> <input type="checkbox"/> NO <u>Comment:</u> <i>If already done, please check and review the supporting documents related to the selection process.</i>
2.3 Does the STGA proposal provide clear information on the staff and, if possible, the consultant or company involved?	5 points		<input type="checkbox"/> YES <i>Yes, perfectly – yes – fairly – slightly</i> <input type="checkbox"/> NO <u>Comment:</u>
3. Sustainability/Use of the outputs (Max.15 points)			
3.1 Does the STGA proposal clearly indicate what the expected outputs are and what they will be used for?	15 points		<input type="checkbox"/> YES <i>Yes, perfectly – yes – fairly – slightly</i> <input type="checkbox"/> NO <u>Comment:</u> <i>Please check the declaration of the applicant has been duly submitted and signed.</i>
TOTAL	50 Points		Threshold 31 <u>points</u>