

BIOPAMA Action Component

Guidelines for Applicants

Small Technical Grants
2019

Deadline for submission of proposals:
4 February 2020 at 23:59 (Brussels date and time)

(In order to convert to local time click [here](#))

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www.biopama.org

Notice

This guidance document provides useful information on how to apply for BIOPAMA Action Component (hereafter BIOPAMA AC) funding. It relates to applications for Small Technical Grants. Applicants are strongly recommended to read this document in full before completing and submitting a Small Technical Grant proposal.

1. Overview of BIOPAMA Action Component

1.1 Background

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 **jointly implemented 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 indeed a central role to play in preserving the biodiversity and ecosystem services that the majority of rural communities depend on for sustainable livelihoods.



Map of ACP Regions

The BIOPAMA Action Component provides funding opportunities to address protected and conserved areas, sustainable use of biodiversity, natural resources **priorities for actions on the ground** in Africa, the Caribbean and the Pacific (ACP) countries.

1.2 Specific objectives of BIOPAMA Action Component

- ⇒ **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 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.

1.3 Specific objective of the Small Technical Grants

The purpose of BIOPAMA Small Technical Grants (STGs) is to **address pressing and straightforward needs that are already clearly identified**.

STGs fund exclusively supplies and equipment, works or services for a maximum value of ≤ EUR 50, 000 for a simple proposal addressing one need or EUR 100 000 for a combined proposal addressing two or several needs.

1.4 Financial allocation

The overall indicative amount made available for the 2019 Small Technical Grant call for proposals is **two million euros (EUR 2 000 000)**.

2 Size of grants

Any grant requested under this call for proposals must respect the following maximum amounts:

- **Minimum amount:** EUR 50 000
- **Maximum amount:** EUR 100 000

Warning: The **maximum amount of EUR 100,000** can be requested **only if** the proposal addresses two or several different eligible needs, such as the purchase of equipment and the organisation of a training workshop.

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.**

Technical and financial reporting will be required for all project costs, including those covered by co-financing.

BIOPAMA grants are based on the actual costs incurred by the beneficiaries and simplified cost options (e.g. unit costs, lumpsum).

3 Eligibility criteria

There are three sets of eligibility criteria, relating 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 in setting the amount 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

<p>In order to be eligible for a BIOPAMA AC Grant, applicants must:</p> <ul style="list-style-type: none"> • be a public or private legal entities (e.g. a registered/incorporated company or organisation) registered as a separate legal entity in an eligible ACP country¹; • be in charge of protected and conserved areas management at the national, sub-national or site level, or be in charge of a transboundary conservation area. • be directly responsible for the preparation and management of the grant; not acting as an intermediary; • not be a beneficiary of a grant funded by the European Union (including EDF funds) for the same activities.
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The eligible organisations for BIOPAMA Small Technical Grant as follows:

Applicant	Small Technical Grant
National/Sub-national agencies, authorities, organisations in charge of protected and conserved areas	●
Protected and conserved Areas (including ICCAs ²) represented by its legal representative	●

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.

¹ 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 - 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 - Swaziland - 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.

² Some protected areas might be managed by local organisations, indigenous people and local communities (ICCAs), or private organisations.

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 situations listed in the PRAG 2018 ([Practical Guide- Section 2.6.10.1.1](#)).

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 applicable to 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 Definition

An **action** is composed of a **set of activities**.

3.2.2 Duration

Small Technical Grant proposals submitted in response to this call can have a **maximum duration of 12 months**.

3.2.3 Start and End Dates

Start Date: The project start date must be in **May 2020 or later**.

End date: with a **maximum duration of 12 months**, the Small Technical Grant must end in **May 2021 or before**.

All project activities and deliverables **must** be completed by the project end date.

3.2.4 Location

Actions **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, where their importance is justified by diagnostic tools or strategic documents in ACP Countries, including SIDS.

3.2.5 Types of action

For being eligible activities **must**:

- **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**;
- **Be consistent with the specific objectives of BIOPAMA II**;
- 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 System³** (ESMS- see Annex 4).
- Enable data and information sharing from the project with the BIOPAMA Regional Observatories and RIS;
- 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.

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

- **Be supported and justified by a diagnostic tool***.
 ***Diagnostic tools** encompass, for the purpose of the BIOPAMA Action Component, quantified management and governance assessment tools -including IMET, PAME tools – e.g. METT, RAPPAM, the IUCN Green List, Enhancing our Heritage (EoH), or equivalent.
Only in justified cases, where such quantified tools are not available, applicants may use strategic documents at the protected area levels, national and regional levels and studies validated by PA management authorities.
- Exception:**
 When the Small Technical Grant proposal is submitted for **applying a quantified management or governance assessment tool**, no prior justification is needed by a diagnostic tool.

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

Sectors and/or themes covered by eligible activities:

- Law enforcement, particularly to control wildlife trafficking.
- Mitigation of threats in priority areas.
- Improvement of protected and conserved areas management, including through supporting local communities' livelihoods, improvement of visitor management and hospitality.

Types of interventions:

- **Purchase of essential supplies and equipment** for management, patrolling, anti-poaching operations, visitors' management (car, boat.....)⁴ to ensure the effective implementation of field operations. Rent, lease are not eligible;

³ <https://www.iucn.org/resources/project-management-tools/environmental-and-social-management-system>

⁴ Lethal equipment is not eligible to EFD funds.








- **Creation of essential infrastructure** for management, patrolling, anti-poaching operations, visitor management, livelihoods of local communities living in and around protected areas in priority conservation landscapes when it will bring positive effects for protected areas management
- **Training;**
- **Quantified management and governance assessment tools**, such as IMET or PAME tools (e.g. METT, RAPPAM, Green List, EoH, or equivalent)⁵.

Examples of activities that could be supported by BIOPAMA Small Technical Grants⁶:

- Promoting ecotourism, including construction of small scale infrastructure e.g. visitor track, small eco-lodge, bird-watching tower, arboretum, visitors' centre, small pier for boats, basic scuba diving equipment;
- Small/medium scale reforestation including replanting;
- Small scale aquaculture;
- Small-scale community agroforestry and animal husbandry for visitors and local consumption;
- Small-scale irrigation or drainage systems requiring minor infrastructure and civil works;
- Vehicles, boat for protected and conserved areas surveillance, patrolling, visitation;
- Communication devices (two-way radios, mobile phones, radar, information board,....);
- Mapping, navigation tools and wildlife tracking (GPS);
- Boundaries and zoning demarcation tools (buoy, fence, board,....);
- Training for visitor eco-guide and visitor management;
- Training for anti-poaching control;
- Training for wildlife tracking and monitoring;
- Conducting assessments of management or governance assessment using Protected Areas Management Effectiveness tools and/or Protected Areas Governance Effectiveness tools.

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

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.

⁵ In this particular case, no prior identification by a diagnostic tool is needed.

⁶ This list is just indicative not exhaustive.

Warning: Rent, lease of equipment are not eligible.

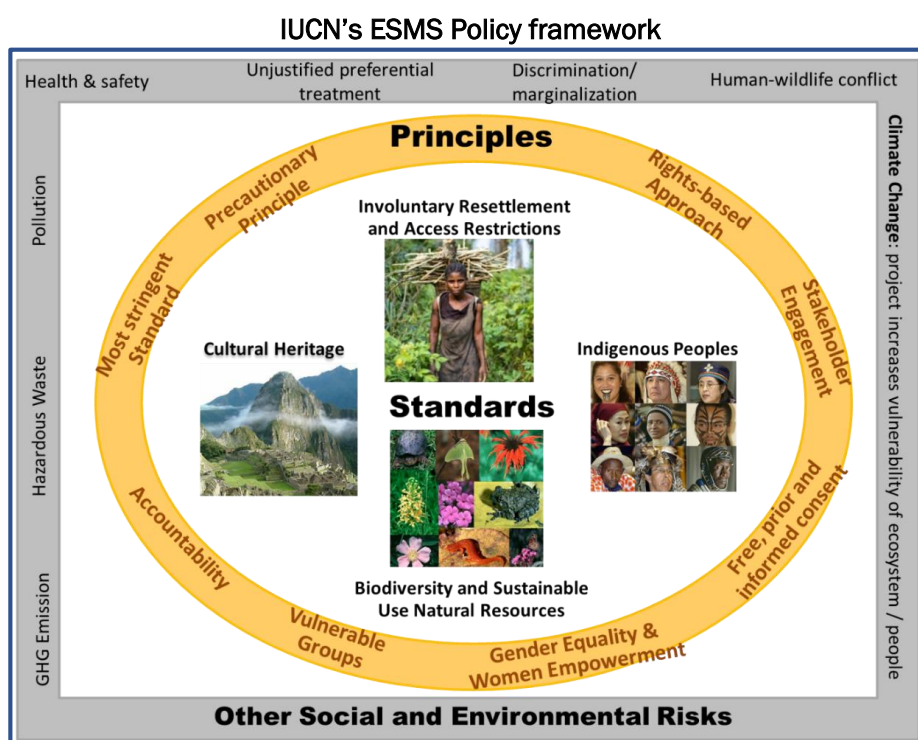
In addition, applicants **should not** propose financial support to third parties through sub-grants.

3.2.7 Environmental and social screening

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).

Small technical Grants proposals have to comply with the obligation to complete an ESMS questionnaire (Annex 4).

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 (see the complementary ESMS guidelines for Medium Grants).



As part of their application, applicants to BIOPAMA AC Small Technical Grant have to answer a series of questions including ESMS issues in order to **provide useful and relevant ESMS information** about the activities context. BIOPAMA STG applicants have to understand and assess likely **environmental and social risks** of their projects already when they are designing their proposal and come up with appropriate ways to avoid, manage risks and to meet the requirements of relevant ESMS Standards.

More importantly, **stakeholder consultation and engagement should be an integral part of activities 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.

Warning: Information provided by the applicant to the questions and their quality is critical for the assessment of the proposal. It is compulsory to complete the ESMS questionnaire. In the absence of ESMS questionnaire or too scarce information, the application will be rejected.

As part of the project appraisal procedure BIOPAMA Small technical Grant proposals will be indeed screened by the BIOPAMA Regional Focal Points on environmental and social risks. The screening will be based on the information provided by the grantees in the application form. The screening will be guided by the ESMS Questionnaire (see annex 4) and checks the following areas:

- Stakeholder engagement: Have stakeholders been engaged during activities definition (in particular women)? Have they been able to raise any concerns?
- ESMS Standards: Are any of the four standards triggered by the activities? What are the respective risk issues?
- Other social and environmental impacts: including risk of aggravating gender imbalance and risks to vulnerable groups;
- 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?

Screening concludes in the assignment of a risk category and in the judgment whether project risks are already sufficiently addressed by the proposed project design or whether assessments are needed to better understand the risks (or further consultations with affected groups). It also determines whether the additional measures are needed to further mitigate identified risks.

The BIOPAMA AC team can provide targeted advice on proposals in order to help applicants with the identification of risks, the development of mitigation measures, the determination whether a Standard is triggered and whether this would require the development of specific ESMS tools.

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 Grant (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.
- ✓ Equipment and supplies for the project, provided that the purchases are made in accordance with BIOPAMA II Procurement Policy and are in line with the national procurement regulations, if applicable.
- ✓ Local office costs.
- ✓ 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.

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 personnel⁷;
- costs leading to personal or private profit

3.3.3 Simplified costs option.

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

Types of costs	Simplified costs option to be used in the budget (see the budget template annex 5)
1. Vehicles, equipment and supplies	mandatory use of UNIT COSTS option
2. Works/lightweight construction	mandatory use of LUMPSUM COSTS option on the basis of the quote and contract signed
3. Workshops, trainings, seminars	mandatory use of LUMPSUM COSTS option on the basis of the quote and contract signed
4. PAGE/PAME assessment	mandatory use of REIMBURSEMENT OF REAL COSTS
5. Personnel costs	mandatory use of FLAT RATE COSTS option up to 10% of the direct eligible costs listed above.
6. Indirect costs.	up to 7% of the total direct costs.

⁷ 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.

Simplified costs option – unit rate method:

- ✓ A unit value is established at the budget stage.
- ✓ A unit value is based on statistical data/historical data provided by the applicant.
- ✓ A unit value is fixed and cannot be changed in the course of project implementation.
- ✓ Budgeted costs are calculated as a unit value multiplied by the number of units.
- ✓ 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 a **realistic and cost-effective budget**.

For the Small Technical Grant proposals it is **compulsory to provide with the application form the quotes** for supporting and justifying the unit costs or the lump sums.

Warning:

In the absence of justification or quote, the proposal will be rejected as they are key for the assessment and selection of the Small Technical Grant proposal.

The quotes have to be realistic and in line with the price markets. This last point is highly important for the applicants as no change will be possible further to the contract signature. In other words if the quote hasn't been properly prepared and the final cost is higher, it will be at the expenses of the grantee as no change will be possible. The applicants have to pay attention to the realism of the quote and ask to their provider to take into account the fact that the contract might be sign several weeks/months after the date of the quote.

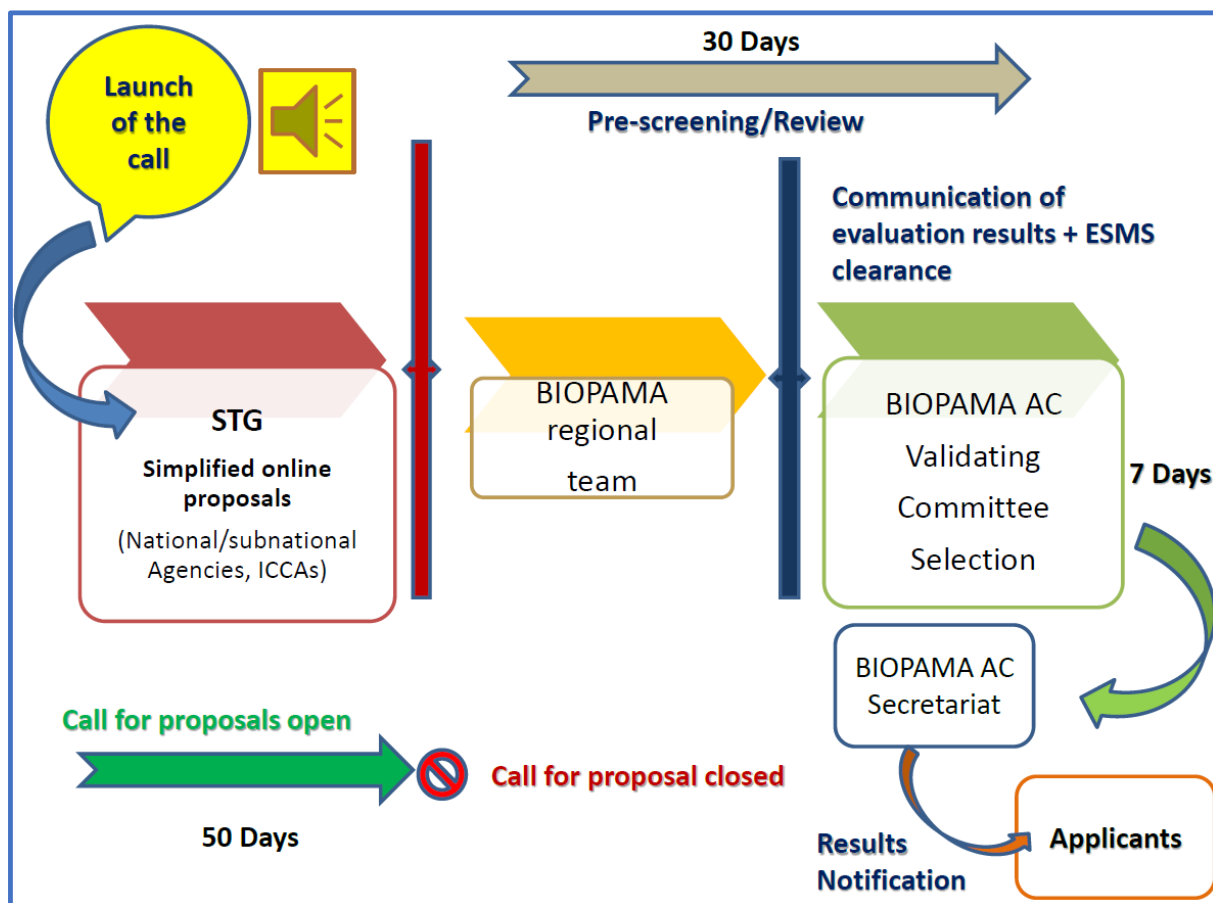
3.3.5 Eligible indirect costs

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding, up to **7 %** of the estimated total eligible direct costs. Indirect costs must not include costs assigned to another budget heading as direct costs. The lead applicant may be asked to justify the percentage requested before the grant contract is signed. However, once the flat rate has been fixed in the Special Conditions of the grant contract, no supporting documents need to be provided.

4 How to apply and the procedure to follow

The grant application process for BIOPAMA Small Technical Grants (**≤50 000 or 100,000 €**) is a **single stage with the submission of a full proposal** for assessment, ranking, evaluation and final selection.

BIOPAMA STG Proposal Cycle



4.1 Proposal applications

Applicants must apply in English or French.

The application form has to be submitted on the [BIOPAMA AC Portal](#) using your account and login. An off line function allow to work without internet connection.

Some information have to be inserted directly into the portal and forms have to be completed and uploaded with associated documents.

Hand-written proposals will not be accepted.

Warning: in case of technical difficulties related to internet or electric failure, applicants can exceptionally submit their application via email (see the list below). Evidence of the technical issue will be then requested for allowing exceptionally the application by email.

Please note that only the Small Technical Grant Proposal application form template and the official additional documents (budget, logframe, ESMS questionnaire, mandate, declaration, due diligence) have to be filled for being evaluated. It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action. Lead applicants must verify that their proposal is complete using the checklist for proposals.

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 as well to the rejection of the application. Clarifications will only be requested when the information provided is unclear and thus prevents the IUCN from conducting an objective assessment.

4.2 Support during project design

All applicants are encouraged to consult stakeholders in view of ensuring the complementarity of proposed projects and avoid duplications as well as to ensure a good and successful implementation.

The BIOPAMA Action Component team is available to answer any general query about the Small Technical grant application. **Applicants should send their questions to the following email distribution lists** (questions on the Small Technical Grant sent to individuals' email 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 deadline for the submission of proposals for 2019 BIOPAMA AC Medium Grants is **4th February 2020**.

	DATE (110 calendar days)	TIME*
Launch of the STG call	16 December 2019	
Deadline for requesting any clarifications from the BIOPAMA AC Regional Focal points Teams	24 January	23:59 CET
Deadline for submission of STG proposals (50 days)	4 February 2020	23:59 CET
Consolidated Evaluation reports sent to the Validating Committee	5 March 2020*	-
Selection of projects by the Validating Committee to be awarded a BIOPAMA Small Technical Grant	12 March 2020*	-
Notification to applicants of the results	16 March 2020*	
Signature of Grant Agreements	30 March 2020*	-

* Provisional dates, time is 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 thanks to the Frequent Asked Questions (FAQs) available on the BIOPAMA AC portal, questions may be sent by email to the same email distribution lists before **no later than 10 calendar days before the deadline for the submission of full proposals**, indicating clearly the reference of the call for proposals.

List of BIOPAMA regional focal points:

BIOPAMA Regions	Contact Names	Contact Email
Caribbean	Regional BIOPAMA AC Coordinator: Hyacinth Armstrong Vaughn	biopama.ac.info.caribbean@iucn.org
Pacific	Regional BIOPAMA AC coordinator: Paul Van Nimwegen	biopama.ac.info.pacific@iucn.org
Western and Central Africa	Regional BIOPAMA AC coordinator: Tanya Merceron	biopama.ac.info.wca@iucn.org
Eastern and Southern Africa	Regional BIOPAMA AC Coordinator: Sue Snyman	biopama.ac.info.esa@iucn.org

Please note that questions that may be relevant to applicants, together with answers are 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 can submit **a maximum of two proposals per call** as a lead applicant and/or a co-applicant. Nonetheless, **an organisation can only be awarded one Small Technical Grant 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 a grant as lead and as a co-applicant too, **provided** it can demonstrate that it has sufficient human and technical resources to successfully implement both projects.

In addition to a **BIOPAMA Medium Grant**, an applicant can be awarded a **BIOPAMA Small Technical Grant**.

4.5 Award criteria for BIOPAMA STG

See full Evaluation grid (Annex 6).

1. Technical coherence and understanding	Max. 30 points
2. Financial coherence justification and capacity	Max. 15 points
3. Sustainability of the activities and replication potential	Max. 5 points
Total	Max. 50 points

Only STG proposals with a final total score above the **threshold of 35** will be submitted to the BIOPAMA AC validating Committee for the final award decision.

Funding is awarded to the top ranking proposals in each region according to the total score. 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, or proposals including in-kind contribution will be given priority.

4.6 Notification of applicants

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 and will be provided with an explanation from the relevant Regional BIOPAMA Team.

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 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:

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 safeguards.

Useful links:

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

Annexes

- 1 STG application form
- 2 Applicant declaration
- 3 Co-Applicant Mandate
- 4 ESMS Questionnaire and Summary report
- 5 Due Diligence questionnaire
- 6 Evaluation grid

Annex 1: Small Technical Grant application Form

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

The application should be short but informative enough⁸.

This application form has to be completed and uploaded on the [BIOPAMA AC portal](#).

1) General information

1.	Title:	Insert title of the action to be funded
2.	Region⁹:	Insert targeted ACP region
3.	ACP¹⁰ Country:	Insert targeted ACP name
4.	Priority Area targeted:	Insert name
5.	Duration (12 months maximum):	Insert number of months months
6.	Total funding requested:	Enter amount in Euros €
7.	BIOPAMA Action Component objective(s) to which the project and its activities will contribute: <i>(more than one can be selected)</i>	<input type="checkbox"/> Enhance the management and governance of priority protected areas by addressing existing limitations; <input type="checkbox"/> Enforce the legal framework required to achieve effective biodiversity conservation in PAs; <input type="checkbox"/> Support local communities' initiatives aiming to enhance the livelihoods of local people whilst effectively contributing to protected areas management.
8.	Diagnostic tool used to identify the project priority(ies) for action: <i>(please delete the non-relevant option and specify the reference of the document)</i>	<input type="checkbox"/> Quantified management and governance assessment tools (including IMET, PAME tools – e.g. METT, RAPPAM, Green List, EoH, or equivalent); or, and only if none of the above is available

⁸ Equivalent to 10 pages maximum in a word document

⁹ West Africa, Central Africa, Eastern Africa, Southern Africa, Caribbean, Pacific.

¹⁰ 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 - 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 - Swaziland - 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.

		<input type="checkbox"/> 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 <input type="checkbox"/> Studies validated by PA(s) management authorities. <input type="checkbox"/> Not applicable , the application is for developing a quantitative management and governance assessment tool diagnostic tool. <div style="background-color: red; color: black; padding: 5px;"> WARNING: Please INSERT here a clear reference of the diagnostic tool (title) and upload the document. Without a clear reference, the application will not be eligible unless the application is for implementing a quantitative assessment tool, it is the ONLY exception. </div>
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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) managing a protected and conserved areas

Don't forget to upload your constitution or the mandate showing clearly your role for management of the protected and conserved area.

☐ Protected and Conserved Area (including ICCAs)

Don't forget to upload the constitutive documents of the Protected and conserved area or the mandate for managing the protected and conserved area.

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 registered and 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 project). Indicate in which information system the organisation is registered and presented.

Role in the project:

Amount and % of the total project budget:

4) Priority Action(s), activities and approach

Reminding the priority action(s) (no more than two), please specify the foreseen activities for addressing them. Please indicate how you will implement the STG. Please provide information on how you will undertake the Small Technical Grant (activities, materials and methods) in order to adequately address the priority action(s).

5) Expected results

What results do you want to achieve?

6) Stakeholder involvement and risks

Please provide details on the project stakeholder involvement.
Was there any information and consultation before the submission of this Small Technical Grant?
Will they be informed and involved during the implementation of the Small Technical Grant?
How will local communities benefit from the Small Technical Grant?

WARNING: It is compulsory to complete the ESMS questionnaire. The ESMS questionnaire is fully part of the STG application. Without an ESMS questionnaire correctly completed, the application will not be accepted.

Please complete and upload the ESMS questionnaire and the documents of any social, cultural and environmental analysis that supports your answers to the ESMS questionnaire.

If you have identified a social or environmental risk, please detail here the mitigation measures as part of your proposal.

7) Financial coherence

Please complete and upload the template for Small Technical Grant simplified budget and the quotes. The budgets must include the justification for each line and supporting documents (quotes) must be uploaded.

Please pay special attention to respect the market prices and upload here 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.

8) 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 investment implementation

Name	Organisation	Current position/job title

Please upload here the 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).

9) Capitalisation and monitoring of the Small Technical Grant

Please provide details on how the monitoring will be carried out, and how lessons learned will be documented.

Please explain how the monitoring will be used for data and information sharing with the BIOPAMA RIS and Regional Observatory (indicators selected, periodicity, ...).

Don't forget to complete on-line the simplified logframe.

10) Sustainability

Please indicate measures that you will put in place to ensure the results of the Small Technical Grant will be sustained in the future?

11) Timeline of the action

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

Activity/Month	1	2	3	4	5	6	7	8	9	10	11	12



BIOPAMA Action Component Simplified Project Logical Framework for STG*(Please complete this document online)

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: <i>(more than one can be selected)</i>			
<input type="checkbox"/> 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);			
<input type="checkbox"/> Enforce the legal framework required to achieve effective biodiversity conservation;			
<input type="checkbox"/> Support local communities' initiatives aiming to enhance the livelihoods of local people whilst effectively contributing to protected areas management.			
	EC PCM Guidelines (2004): https://ec.europa.eu/europeaid/sites/devco/files/methodology-aid-delivery-methods-project-cycle-management-200403_en_2.pdf		
Priority for action(s) that the project and its activities will address:			
Results	Indicators (number of trained people, number of visitors of a lodge or visit centre, number of patrolling missions supported,)	Verifiable targets/	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

1. ...			
2. ...			
Proposed monitoring and mitigation measures	Indicators	Verifiable target	Source of verification
1.....			
2.....			

* 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

Submission Checklist

Please ensure that you have done all of the following prior to submitting your BIOPAMA Small Technical Grant

	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 Small Technical Grant budget table and is the requested BIOPAMA contribution within the maximum allowed (\leq €100,000)?	<input type="checkbox"/>
Have you explained the rationale of the budget lines and uploaded appropriate supporting documents?	<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 one- page CV for all the individuals involved in the implementation of the Small Technical Grant ?	<input type="checkbox"/>
Have you included your organisation's legal status and latest activity report?	<input type="checkbox"/>
Have you included the logframe with key indicators?	<input type="checkbox"/>
Have you completed the ESMS STG questionnaire?	<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, 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;



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- 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	



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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: ESMS questionnaire (to be completed and uploaded) *(Please insert here the reference number of your application)*

This template has been designed to support the screening of negative environmental and social impacts of BIOPAMA AC Small Technical Grants. The questionnaire has to be completed by the applicant. The assessor will complete a summary report on the basis of the information provided by the applicant.

Instructions

- Please answer all the questions, except when instructed to skip to a question or to the next section.
- When answering a “Yes / No” question, please tick the box.
- If yes, please give as much detail as you feel is appropriate (the ESMS reviewer may ask you to provide additional detail if necessary).
- If you have any difficulty answering any questions, please contact the BIOPAMA AC team.

Potential Impacts Related to ESMS Standards (to be completed by the applicant and uploaded on the portal)

1. Involuntary Resettlement and Access Restrictions

<p>1. Does the project include activities that might restrict peoples' access to land or natural resources, and as such might impact livelihoods?</p> <p><i>Potential activities include:</i></p> <ul style="list-style-type: none"> - 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. <p>If you answered Yes to Question 1, please answer the questions in the rows below. If you answered No, please skip to Section 2.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Reviewer comment</p> <p>Standard triggered? <input type="checkbox"/> Yes / <input type="checkbox"/> No / <input type="checkbox"/> TBD</p> <p>If possible, indicate probability (unlikely, likely, almost certain) and magnitude (minor, moderate, major) of the identified impacts.</p> <p>Are further assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?</p> <p>Have measures for avoiding impacts already been considered? Are they sufficient?</p> <p>Action(s) required:</p>
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2. Indigenous Peoples

<p>1. Will the project activities be implemented in an area inhabited by or used by indigenous peoples, tribal peoples, or other traditional peoples?</p> <p><i>These peoples include:</i></p> <ol style="list-style-type: none"> People who identify themselves as being indigenous 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 	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>IUCN ESMS Reviewer Comments</p> <p>Standard triggered? <input type="checkbox"/> Yes / <input type="checkbox"/> No / <input type="checkbox"/> TBD</p> <p>If possible, indicate probability (unlikely, likely, almost certain) and magnitude (minor, moderate, major) of the identified impacts.</p>
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<p>c. <i>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.</i></p> <p><i>If Yes, please describe consultation and discussions held with representatives of indigenous communities. Explain whether assessments have been or will be undertaken to inform project design, as well as measures to address social issues and better understand potential impacts.</i></p> <p><i>If No, go to Question 2.</i></p>		<p>Are further assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?</p> <p>Have measures for avoiding impacts already been considered? Are they sufficient?</p> <p>Action(s) required:</p>
<p>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?</p> <p><i>If Yes, go to Question 3.</i></p> <p><i>If No, go to Section 3</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>3. Have you considered opportunities for providing benefits to indigenous peoples/local communities?</p> <p><i>If Yes, how will you make sure that this is done in a culturally appropriate and gender-inclusive way? Please provide details</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>3. Cultural Heritage</p>		

<p>1. Will the activities involve development of infrastructure (visitor track, tower, fences etc.), construction of buildings, excavating/moving earth, or other physical changes to the environment that might affect or restrict access known or unknown (buried)</p> <ul style="list-style-type: none"> - 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)? <p>(*as recognized either through an official designation, or through the perception of local communities)</p> <p><i>If Yes please provide details</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Reviewer comment</p> <p>Standard triggered? <input type="checkbox"/> Yes / <input type="checkbox"/> No / <input type="checkbox"/> TBD</p> <p>If possible, indicate probability (unlikely, likely, almost certain) and magnitude (minor, moderate, major) of identified impact.</p> <p>Are further assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?</p> <p>Have measures for avoiding impacts already been considered? Are they sufficient?</p>
<p>2. Will the project promote the use of (or the development of economic benefits from) cultural resources or features?</p> <p><i>Relevant activities might include:</i></p> <ul style="list-style-type: none"> - <i>promoting traditional medicinal knowledge;</i> - <i>promoting sacred or traditional techniques for processing plants, fibres, or metals;</i> - <i>promoting traditional arts, music, etc.</i> <p><i>If Yes, please provide details</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Action(s) required:</p>
<p>4. Biodiversity Conservation and Sustainable Use of Natural Resources</p>		
<p>1. If the activities will develop infrastructure for PA management, ecotourism or visitor use, is there a risk of negative impacts on biodiversity (for example on threatened species) during its construction and use?</p> <p><i>If Yes please provide details</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Reviewer comment</p> <p>Standard triggered? <input type="checkbox"/> Yes / <input type="checkbox"/> No / <input type="checkbox"/> TBD</p> <p>If possible, indicate probability (unlikely, likely, almost certain) and magnitude (minor, moderate, major) of identified impacts.</p>
<p>2. If the activities will promote ecotourism, is there a risk of negative impacts on biodiversity (e.g. due to waste disposal, disturbance, etc.)?</p> <p><i>If Yes please provide details and explain how these risks will be managed.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Are further assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?</p>

<p>3. Will the activities foresee the use of pesticides, translocation of species, use of non-native species, production of any living natural resources, please provide detailed justification and clarify how the project will manage any risks associated with these activities? <i>If Yes please provide details and explain how you will manage the risk of non-native species developing invasive behaviour.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Have measures for avoiding impacts already been considered? Are they sufficient?</p> <p>Action(s) required:</p>
<p>4. 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? <i>If Yes, please explain how you will ensure that harvest rates are controlled/monitored to ensure that the use is sustainable.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>5. Is there a risk that the activities affect negatively affects water flows (including water dynamics, river connectivity, and the hydrological cycle) and/or water quality at the project site, or downstream? <i>If yes please provide details and explain how these risks will be managed.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<h3>5. Other environmental impacts</h3>		
<p>1. Is the project likely to create waste pollution, or cause pollution or degradation of soil, soil erosion, siltation, or other nuisances, such as dust, traffic, noise, or odour? <i>If Yes, please provide details and explain how these risks will be managed.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Reviewer comment</p> <p>Is there any risk identified? <input type="checkbox"/> Yes / <input type="checkbox"/> No / <input type="checkbox"/> TBD</p>
<p>2. Is there a risk that the project might conflict with existing environmental regulations? <i>If Yes, please provide details</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Comment:</p> <p>If possible, indicate probability (unlikely, likely, almost certain) and magnitude (minor, moderate, major) of identified impacts.</p>
<p>3. Is there a risk that climate variability, temperature increases, or climate hazards might affect the effectiveness of project activities? <i>If Yes, please provide details and explain how these risks will be managed.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Are further assessments required to better understand the impacts and identify mitigation measures? What specific topics are to be assessed?</p> <p>Have measures for avoiding impacts already been considered? Are they sufficient?</p> <p>Action(s) required:</p>





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

Annex 5 Due diligence questionnaire (to be completed and uploaded) *(Please insert here the reference number of your application)*

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:

- | | |
|---|--|
| <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).¹¹

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*

¹¹ 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 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 6 Small Technical Grant Evaluation Grid

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)¹²	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

¹² 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 - 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 - Swaziland - 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 30 points) <ul style="list-style-type: none"> The STG proposal must 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 ACP country. The proposal should adequately address one or several clear priorities for actions, selected from the priorities listed in the diagnostic tool or strategic document or validated studies used by the applicant. The STG proposal must be justified by 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, or if not available validated studies by the PAs management authorities; The STG proposal has to indicate how the activities will be implemented and the staff involved; The STG has to indicate how the activities will be monitored and how information and data will be shared with the RRI and RI; The activities should comply with the IUCN ESMS framework; The STG proposal should clearly state how the activities have taken into account and support a rights-based approach (despite their small amount STG activities can indeed trigger ESMS standards) and how the stakeholders have been or will be involved and informed; The STG ESMS questionnaire should be duly completed proposal in order to demonstrate that potential risks to people and environment have been foreseen and taken into account; In case of needed mitigations measures, the STG proposal should provision a realistic budget for their implementation. The cost should be consistent with the market prices, activities and demonstrate cost-efficiency and value for money. The tender framework and principles should be respected The STG proposal has to indicate how the sustainability of the activities have been planned and include an official declaration of good practices and maintenance after BIOPAMA funding. 			
1.1 the foreseen results and activity(ies) are clearly justified by a prior identified priority for action and are adequate for addressing it?	<p>Max 15 points if based on quantified management tools</p> <p>Max 10 if based on other diagnostic tools</p>		<input type="checkbox"/> YES <i>Yes, perfectly – yes – fairly – slightly</i> <input type="checkbox"/> NO <input type="checkbox"/> Not applicable, the application is for developing an assessment tool (15 points) <u>Comment:</u> <i>Please check the type of the Diagnostic tools, insert the name and link</i> <input type="checkbox"/> quantified management and governance assessment tools (including IMET, PAME tools – e.g. METT, RAPPAM, Green List, EoH, or equivalent); or, if not available <input type="checkbox"/> Strategic documents at the protected and conserved area, national and regional levels such as management or operational plans, KBAs and key

Criteria	Maximum score	Awarded score	Assessor Comments
			<p>landscapes for conservation analysis (where identified in ACP Countries);</p> <p>or, if not available</p> <p><input type="checkbox"/> Studies validated by PA(s) management authorities.</p>
<p>1.2 Is there a monitoring plan (Logframe) for the use of the equipment/the infrastructure/service?</p> <p>Is data sharing with RRIS and RIs planned?</p>	5 points		<p><input type="checkbox"/> YES</p> <p><i>Yes, perfectly – yes – fairly – slightly</i></p> <p><input type="checkbox"/> NO</p> <p><u>Comment:</u></p>
<p>1.3 Is the ESMS questionnaire duly informed that shows a good understanding of the risks and the ESMS standards?</p> <p>Are the mitigation measures identified and realistic budget foreseen?</p>	10 points		<p><input type="checkbox"/> YES</p> <p><i>Yes, perfectly – yes – fairly – slightly</i></p> <p><input type="checkbox"/> NO</p> <p><u>Comment:</u></p>
<p>2. Financial coherence justification and capacity (Max.15 points)</p> <p>The STG 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</p>			
2.1 Is the amount of the investment in line with the market prices?	5 points		<p><input type="checkbox"/> YES</p> <p><i>Yes, perfectly – yes – fairly – slightly</i></p> <p><input type="checkbox"/> NO</p> <p><u>Comment:</u></p> <p><i>Please check and review the supporting documents (quotes and/or signed contract)</i></p>

Criteria	Maximum score	Awarded score	Assessor Comments
3.2 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>
3.3 Does the STG proposal provide clear information on the staff involved, their training as well as on the contribution of the activities to local new positions or recruitments?	5 points		<input type="checkbox"/> YES <i>Yes, perfectly – yes – fairly – slightly</i> <input type="checkbox"/> NO <u>Comment:</u>
3.Sustainability (Max.5 points)			
3.1 Are there realistic measures foreseen to ensure the positive outcomes of the action will sustain in the medium and long term? (covering financial, institutional, environmental aspects)?	5 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 indicating “the applicant undertakes to comply with good practices of non –abusive use, care and maintenance of the equipment, infrastructures funded by the project” has been duly submitted and signed.</i>
TOTAL	50 Points		Threshold <u>35 points</u>
Activities with co-benefits beyond conservation (e.g. on human well-being or climate change mitigation and adaptation)		<input type="checkbox"/> YES <input type="checkbox"/> NO	