



# Global EbA Fund

## Grant Procedures Manual



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## About this Manual

This Grant Procedures Manual details the requirements and procedures for each step of the grant-making process of the Global EbA Fund. Section 1 introduces the Global EbA Fund grant programme. Section 2 provides details on eligibility of projects and applicants. Section 3 details the grant screening and selection criteria. Section 4 details the administrative and legal requirements for applicant organisations. Finally, Section 5 outlines the process and timelines of applying for a grant and includes all relevant documentation.

The Manual will be reviewed and amended to reflect any new requirements, criteria or practices of the Global EbA Fund. The most up to date version will be the one available on the Global EbA Fund website at [www.GlobalEbAFund.org](http://www.GlobalEbAFund.org).

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*DISCLAIMER: The document provides general information only and may not be completely accurate in every circumstance, does not purport to be legal advice, and is not intended to be legally binding on the Global EbA Fund in a particular case.*

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## Acronyms and Abbreviations

BMU	Federal Ministry for the Environment, Nature Conservation and Nuclear Safety
CBD	Convention on Biological Diversity
CfP	Call for Proposals
CN	Concept Note
EbA	Ecosystem-based Adaptation (aka Nature-based Solutions for Adaptation)
FEBA	Friends of EbA
FPIC	Free, Prior and Informed Consent
Fund, The	Global EbA Fund
GAN	Global Adaptation Network
GCA	Global Commission on Adaptation
GCF	Green Climate Fund
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
IKI	International Climate Initiative
IUCN	International Union for Conservation of Nature
MEL	Monitoring, Evaluation and Learning
NAPs	National Adaptation Plans
NbS	Nature-based Solutions
NDCs	Nationally Determined Contributions
ODA	Official Development Assistance
SC	Steering Committee
SDGs	Sustainable Development Goals
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
ZUG	Zukunft - Umwelt - Gesellschaft GmbH

# 1. About the Global EbA Fund

## 1.1. Introduction and focus of the Fund

Globally, there is more appetite for scaling up the use of Ecosystem-based Adaptation (EbA)<sup>1</sup> than ever before. Not only is there increasing recognition of the importance of adaptation, as evidenced by the adoption of the Global Goal on Adaptation in the Paris Agreement and subsequent initiatives such as the Global Commission on Adaptation (GCA), but there is also unprecedented attention to the fundamental role of natural ecosystems in supporting climate change adaptation.

The role of nature-based solutions (NbS) for the world's pressing issues, including climate change, are increasingly gaining attention. In 2019, the IPBES [Global Assessment Report on Biodiversity and Ecosystem Services](#) demonstrated that nature is declining at unprecedented rates and species extinctions continue to accelerate, threatening the functioning of ecosystems as the foundations of human livelihoods, economies, food security and more. The report also highlighted the fundamental role of natural ecosystems in reducing vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters. In parallel, the findings of the IPCC Special Reports [Climate Change and Land](#) and [The Ocean and Cryosphere in a Changing Climate](#) both addressed the need to ramp up climate action overall as well as the role of ecosystems and biodiversity in building climate resilience. The leaders of governments, communities, corporations and other coalitions increasingly acknowledge that healthy, resilient ecosystems lay the foundation for sustainable economic development, food and water security, disaster risk reduction and climate action. Identifying, implementing and scaling up these solutions and maximising their co-benefits will be key to solving the climate crisis.

Implemented by IUCN and UNEP with funding from the International Climate Initiative (IKI) of the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU), the **Global EbA Fund** is a quickly deployable mechanism for supporting innovative approaches to EbA. By supporting catalytic climate change adaptation initiatives, the Fund will help overcome barriers to upscaling EbA, address knowledge gaps, pilot innovative EbA approaches, engage in strategic EbA policy mainstreaming, and incentivise innovative finance mechanisms and private sector EbA investment.

## 1.2. Rationale

Climate change is one of the greatest threats we all face all over the world. The latest climate and biodiversity assessments<sup>2</sup> have showcased the interlinkages between climate, ecosystem degradation, biodiversity, and human land use, with clear impacts on agricultural productivity, food security, extreme weather events, and land degradation, made more urgent by changes in populations and food demand. Often, people who contributed the least to cause the

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<sup>1</sup> EbA is defined as the use of biodiversity and ecosystem services as part of an overall adaptation strategy to help people to adapt to the adverse effects of climate change (CBD, 2009 & 2010).

<sup>2</sup> Including, among others, the 2019 IPBES [Global Assessment Report on Biodiversity and Ecosystem Services](#), the IPCC Special Reports [Climate Change and Land](#), [The Ocean and Cryosphere in a Changing Climate](#), and [Global Warming of 1.5°C](#).

problem—especially those living in poverty and in vulnerable areas—are the most affected by environmental changes and thus most at risk.

Natural ecosystems play a fundamental role in reducing vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters. The broad set of approaches that involve the management of ecosystems and their services to reduce the vulnerability of human communities to the impacts of climate change are known as Ecosystem-based Adaptation. IUCN has been advocating for the use of EbA since 2008 and it has been a core part of UNEP’s work since 2010, when the term was adopted by the CBD. In the decade since, governments, non-governmental organisations, community-based and Indigenous Peoples organisations and research institutes have made great strides with the development and implementation of EbA initiatives. These initiatives have provided a robust evidence base for the effectiveness of EbA in strengthening the resilience of communities and ecosystems to the impacts of climate change and in supporting countries to meet their targets under a variety of international agreements.<sup>3</sup>

Despite the powerful case for working with nature to reduce climate risks, few governments have adopted these approaches widely, and only 3 percent of nearly 2,000 companies reported using natural ecosystems as part of their climate adaptation strategies. A recent analysis found that only about 15% of the Adaptation Fund’s<sup>4</sup> allocated funding since 2016 has gone to ecosystem-related activities. Only USD 15 million, or 4% of the total Adaptation Fund portfolio, is designed primarily for ecosystem resilience.<sup>5</sup> The relatively low proportion of Adaptation Fund activities which focus on ecosystem resilience is emblematic of the wider gaps in understanding, planning and investment that hinder the wider uptake of nature-based solutions. These barriers can be summarised as follows:

- Lack of awareness of the critical role of natural assets in underpinning resilience, and limited availability of knowledge and evidence to help make the case for working with nature.
- Policy and regulatory environments and governance challenges that limit the attractiveness and feasibility of using these approaches.
- Limited access to finance for applying and scaling up nature-based approaches

### 1.3. Objectives

The Fund seeks to (1) backstop identified gaps within or relevant to on-going adaptation and resilience projects using ecosystem-based adaptation approaches and (2) support the integration of EbA approaches into traditional conservation or development projects. In this context, the Global EbA Fund will prioritise filling in resource and knowledge gaps with a broad thematic focus on **innovation and urgency**, thus encouraging creative solutions and partnerships among funding applicants and the wider EbA and climate change adaptation community. By supporting **catalytic** interventions, the Fund will **address knowledge gaps**,

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<sup>3</sup> Reid H, Hou Jones X, Porras I, Hicks C, Wicander S, Seddon N, Kapos V, Rizvi A R, Roe D (2019) *Is ecosystem-based adaptation effective? Perceptions and lessons learned from 13 project sites*. IIED Research Report. IIED, London. <https://pubs.iied.org/17651IIED/>

<sup>4</sup> The Adaptation Fund was established under the Kyoto Protocol of the UN Framework Convention on Climate Change. <https://www.adaptation-fund.org/>

<sup>5</sup> <https://www.weadapt.org/knowledge-base/climate-finance/finance-for-the-adaptation-of-ecosystems-to-climate-change> Accessed 24/10/2019

**pilot innovative EbA approaches, engage in strategic EbA policy mainstreaming, and incentivise innovative finance mechanisms and private sector EbA investment.**

All proposed interventions must clearly contribute to one or more of the Global EbA Fund Strategic Objectives:

*Strategic Objective 1:* To build awareness and understanding of the critical role of natural assets in underpinning resilience, expand the knowledge and evidence base to help make the case for working with people and nature, and enhance institutional capacities for mainstreaming EbA into national plans and policy frameworks and vertical integration and alignment of EbA across sectors.

*Strategic Objective 2:* To address planning and other governance gaps in policy and regulatory environments to increase the attractiveness and feasibility of using and upscaling ecosystem-based approaches for climate change adaptation.

*Strategic Objective 3:* To expand access to sustainable short- and long-term finance mechanisms for applying and scaling up ecosystem-based approaches for climate change adaptation, including the incentivisation of private sector investment in EbA and reducing EbA's dependence on high management capacity and continuous financial input.

The following are some examples of the types of interventions that the Global EbA Fund would consider to have catalytic impact. This list is hardly exhaustive.

- Directed research addressing how to overcome specific constraints for EbA and address gaps in knowledge (e.g. economic valuation, gender integration, capturing mitigation co-benefits, incentives for private sector investment, trade-offs and limits for EbA, etc)
- Strategic pilot or demonstration actions, specifically where the Fund identifies high potential for up-scaling through multilateral funds (e.g. GCF) and other adaptation finance options, for which the Fund would directly build capacity of the grantee(s)
- Piloting innovative approaches for EbA, where monitoring of impacts can build knowledge based on costs and benefits (impact)
- Integrating EbA methods and approaches into traditional infrastructure projects
- Removing barriers from up-scaling EbA interventions at the policy or landscape levels
- Support for strategic and focused EbA policy mainstreaming (e.g. integrating EbA approaches into a municipal plan)
- Innovative finance mechanisms for EbA (e.g. community incentive schemes, payments for ecosystem services, etc.)
- Incentivising private-sector investment in EbA and de-risking lending for EbA approaches (e.g. through agricultural lending)

## 2. Global EbA Fund Eligibility Requirements

### 2.1. What we fund

The Global EbA Fund grant selection criteria concern both the proposed project and the wider context for its implementation. Global EbA Fund grants should be complementary to and add value to existing work, by filling a gap in an existing project, enhancing the impact of an investment in EbA, contributing to policy upscaling of EbA, and/or serving to develop a larger proposal to another funding mechanism.

In summary, the Global EbA Fund **supports projects that...**

- **Contribute to the implementation of ecosystem-based adaptation** to climate change and aligns with the FEBA [EbA Qualification Criteria & Quality Standards](#).
- **Result in catalytic impact**, such as by piloting innovative approaches for EbA, removing barriers from upscaling EbA interventions at the policy or landscape levels, strategic and focused EbA policy mainstreaming, supporting innovative finance mechanisms for EbA, incentivising private sector investment in EbA, and supporting unlikely matches between partners.
- **Add value to or upscale existing work**. Projects should fill a gap in existing work, address a knowledge gap, contribute to policy upscaling, enhance the impact of an investment in EbA, and/or serve to develop a larger proposal to another funding mechanism. Projects should leverage existing knowledge, standards, partnerships, experiences, and best practices or filling gaps therein to facilitate increased uptake and/or impact of EbA. Global EbA Fund projects should not be standalone interventions. As such, projects should not focus primarily on field implementation of a new intervention in the scope of the proposal, though field implementation may be a component.
- Create impact with a Global EbA Fund contribution of USD 50,000 to USD 250,000 **and are either global, thematic, or targeted to one or more countries which are [eligible for official development assistance \(ODA\)](#).**

### 2.2. Applicant Eligibility

The Global EbA Fund seeks to catalyse new partnerships and collaborations and *unlikely matches* between new and non-traditional partners. The Fund seeks to reach out beyond traditional actors and constituencies to attract all actors and constituencies relevant to EbA and climate change adaptation. The Fund seeks diverse applicants with relevant experience and local partnerships and presence, and who support addressing specific gaps in technical knowledge and understanding among government actors. The Fund will consider private sector applicants under certain conditions, for example no funding of sector-specific obligations nor compensatory or replacement measures, for-profit activities, etc. Overall, common public interest will be a top priority. While not required, co-financing from the applicant would demonstrate an institutional investment in the project.

Categories of eligible recipients are:



- A. Non-governmental organisations (NGOs)
- B. International non-governmental organisations (INGOs)
- C. Intergovernmental organisations (IGOs)
- D. Community-based organisations (CBOs)
- E. Indigenous People’s Organisations
- F. Universities and other academic institutions
- G. Research institutes and think tanks
- H. Private sector companies
- I. Consortia of organisations that promote collaboration and greater impact around EbA. However, there should be a clearly defined lead agency, the “Applicant Organisation”, as detailed in the concept note template. This agency, if successful, would be the responsible contract party.

UNEP country and regional offices and IUCN offices are not currently eligible to apply for funding from the Global EbA Fund.

In line with current IKI policies, the Fund will not grant directly to government partners but will provide grants to organisations working directly with national, sub-national and local governments to create an enabling environment for EbA and support implementation of strategic partnerships.

Eligible recipients must have sufficient capacity to allow for professional and timely implementation of proposed projects. Applicants will be asked to complete IUCN’s Due Diligence Questionnaire which covers some of the following topics. As part of the full proposal package, eligible recipients may be asked to provide certain information including, but not limited to:

- Basis for legal establishment or recognition and legal right to work in targeted country/countries, if any
- Governance structure, including names of governing body members, officers and key personnel
- Description of at least three recent relevant programs/projects/activities
- Publications
- Annual budget (last completed year, current year)
- Sources of revenues
- Audited financial statements for most recently completed fiscal year
- Administration, accounting and control procedures
- Current auditing arrangements or equivalent (tax documents)
- Procurement practices for purchasing goods, works and services
- Environmental and social safeguard policies
- Years of experience with the proposed EbA intervention
- Presence or local partnerships in targeted geographic region, if any

### **2.3. Geographic Eligibility**

Projects may have a global, thematic, regional and/or country-specific focus.

If the project has a country-specific focus, it must be targeted to one or more countries which are [eligible for official development assistance \(ODA\)](#) based on the Organisation for Economic

Co-operation and Development's Development Assistance Committee (OECD-DAC) list at the time of application.

Regional/multi-country projects, particularly projects designed to foster regional exchange and achieve regional-scale impacts, are eligible. For multi-country projects, which are projects involving activities in more than one country, all of the countries must be ODA-eligible.

Projects with a global or thematic focus, not targeted to a specific region or country, are also eligible.

## **2.4. Project Duration and Grant Size**

The projects financed by the Global EbA Fund may be implemented in a maximum period of three (3) years, unless indicated differently in the grant agreements. The Fund encourages project durations of up to 24 months. Additional justification is required for projects seeking longer than 24 months but up to 36 months.

Grants issued will be in the range of USD 50,000 to USD 250,000 (of maximum three years in duration). In exceptional circumstances of project need, a grant up to a maximum amount of USD 500,000 may be issued. The total funds disbursed will amount to around USD 14,000,000 over five years.

If the budget for a project exceeds USD 250,000, the applicant must clearly justify the exceptional circumstances of project need where appropriate in the concept note and subsequently, if selected, the full proposal.

## **3. Grant Screening and Selection Criteria**

The Fund will accept and review applications year-round that align with the general grant selection criteria outlined below. Furthermore, at any stage the Fund may also launch specific Calls for Proposals that may set a strategic and/or geographic focus that will need to be considered *in addition to* the general grant selection criteria. Any Calls for Proposals will be posted on the Global EbA Fund website at [www.GlobalEbAFund.org](http://www.GlobalEbAFund.org).

### **3.1 Initial Screening Criteria**

*For Questions 1-5 please refer to FEBA EbA Qualification Criteria and Quality Standards ([EN](#) | [FR](#) | [ES](#)) for more information.*

1. Does this intervention reduce social and environmental vulnerabilities to climate change? Yes / No
2. Does this intervention generate societal benefits in the context of climate change adaptation? Yes / No
3. Does this intervention restore, maintain and/or improve ecosystem health? Yes / No

4. Is this intervention supported by policies at multiple levels? Yes / No
5. Does this intervention support equitable governance and enhance capacities? Yes / No
6. Does the project align with one or more of the Global EbA Fund's Strategic Objectives? Yes / No **Please select only one.**

*Strategic Objective 1: To build awareness and understanding of the critical role of natural assets in underpinning resilience, expand the knowledge and evidence base to help make the case for working with nature, and enhance institutional capacities for mainstreaming EbA into national plans and policy frameworks and vertical integration and alignment of EbA across sectors.*

*Strategic Objective 2: To address planning and other governance gaps in policy and regulatory environments to increase the attractiveness and feasibility of using and upscaling ecosystem-based approaches for climate change adaptation.*

*Strategic Objective 3: To expand access to sustainable short- and long-term finance mechanisms for applying and scaling up ecosystem-based approaches for climate change adaptation, including the incentivisation of private sector investment in EbA and reducing EbA's dependence on high management capacity and continuous financial input.*

7. Is the requested funding amount between USD 50,000 and USD 250,000? Yes / No

*In rare cases, with full justification in the concept note, projects over USD 250,000 but less than USD 500,000 could be considered.*

8. Is the project duration 36 months or less? Yes / No

*The Fund encourages project durations of 24 months but this duration could be extended up to 36 months in unusual circumstances. If the proposed project is for longer than 24 months, please provide justification in the concept note.*

9. If the intervention has a regional or country-specific focus, is it targeted to one or more countries eligible for [official development assistance \(ODA\)](#), as defined by the OECD? Yes / No

10. Will government partner(s), if any, receive any funding through the proposed project? Yes / No

*The Fund will not grant directly to government partners but will provide grants to organisations working directly with national, sub-national and local governments to create an enabling environment for EbA and in support of the implementation of strategic partnerships.*

11. If a UNEP or IUCN programme/regional/country office is involved in the project, will they receive any funding through the proposed project? Yes / No

12. Is the applicant legally able to operate in the country/-ies of the project and provide supporting documentation (MoU or endorsement from a relevant government agency)? Yes / No

### **3.2 Grant Selection Criteria**

The Global EbA Fund grant selection criteria concern both *the proposed project* and *the wider context for its implementation*. Global EbA Fund grants should be complementary to and add value to existing work, by filling a gap in an existing project, enhancing the impact of an investment in EbA, contributing to policy upscaling of EbA, and/or serving to develop a larger proposal to another funding mechanism. Applicants should consider the wider context for implementation in addressing the selection criteria detailed below.

**3.2.1. Contributes to the implementation of ecosystem-based adaptation to climate change** and aligns with the FEBA EbA Qualification Criteria & Quality Standards ([EN](#) | [ES](#) | [FR](#)).

**3.2.1. a) Reduces social and environmental vulnerabilities to climate change (EbA Criterion 1)**

*EbA must explicitly address current and future climate change and climate variability. It is based on assessments of climatic vulnerability, hazards and risks to people, as well as the adaptation benefits derived from ecosystem services. A combination of climate information (based on the best available scientific data and models and local knowledge) and vulnerability assessments should form the basis for implementation. EbA measures need to reduce climate vulnerability for people at an appropriate scale (e.g. at least local scale but ideally ecosystem or landscape/seascape scale).*

**Projects should:**

- *Make clear use of climate risk and vulnerability assessments.* Projects should draw on existing local, national and/or regional climate risk and vulnerability assessments including drawing from IPCC assessments. Projects should incorporate best available baseline information and studies, when available, covering the proposed project location(s).
- *Draw on the best available science and use of traditional and local knowledge.* Projects should draw on the best available science where applicable and financially feasible. Examples of tools to be used include: analytical models and related tools (e.g. vulnerability assessments, climate risk screening including projections of climate change impacts, natural capital assessments), inclusive community participation methodologies, gender analyses, and prioritisation techniques. In addition, projects should draw on and use relevant traditional knowledge, when applicable.

**3.2.1. b) Generates societal benefits in the context of climate change adaptation (EbA Criterion 2)**

*EbA reduces vulnerabilities of people through the use of biodiversity and ecosystem services and by producing societal benefits in a fair and equitable manner. It addresses the needs of people, especially those who directly depend on or use natural resources and who are particularly vulnerable to climate change impacts. EbA delivers direct or indirect benefits that increase peoples' resilience to climate change, including enhanced food security, shelter, risk reduction, provision of fresh water and medicine, and local climate regulation. It also often generates additional benefits essential for sustainable development including carbon sequestration, habitat provision or medicinal resource provision. In order for EbA to support adaptive capacities it needs to distribute short-, medium- and long-term benefits. Comparative analyses on the extent and scale of adaptive capacity and resilience benefits should clarify whether EbA measures are economically feasible and can complement or substitute other adaptation options. Benefits should be distributed fairly among a representative percentage of the target group.*

**Projects should:**

- *Clearly describe tangible climate adaptation benefits.*
- *Consider how the project affects stakeholders across scales, including outside of the targeted intervention area, communities, and/or organisations, and considering direct and indirect costs and benefits.*

**3.2.1. c) Restores, maintains or improves ecosystem health (EbA Criterion 3)**

*EbA restores, maintains and improves ecosystems, land- and seascapes in line with the Ecosystem Approach. It is applied at a scale that addresses the challenge of, and integrates the trade-offs resulting from climate change, meaning it supports the stability, resilience, connectivity, and multiple roles of ecosystems as part of larger land- and seascapes. EbA encompasses measures such as ecosystem management, reinforcement and restoration of natural infrastructure, as well as the management of*

*threats associated with the effects of climate change or anthropogenic activities. Because climate change can force changes in ecosystem composition and structure, it is important that the health and stability of ecosystem services are maintained, improved, and monitored. EbA fosters appropriate land and water management practices that support climate change adaptation, prioritise the management of key ecosystem services, and foster the sustainable use of land and coastal and marine resources (e.g. by conservation and climate-smart agriculture, soil conservation, use of water retention areas, low impact fishing). It supports the diversification of land and marine use and livelihood options such as multi-cropping, agroforestry, and the use of appropriate species and varieties. For example, this can include the introduction of species that are better adapted to climate change, as long as they do not endanger the existence of native species or become invasive. Co-management approaches that involve stakeholders from communities, government and private sector should be supported.*

#### **3.2.1. d) Is supported by policies at multiple levels (EbA Criterion 4)**

*As part of a larger adaptation strategy, EbA operates at one or more levels (i.e. local, national, regional, landscape, and sectoral levels), and can involve supporting sectoral adaptation and multi-sectoral approaches at multiple geographic scales. It is, or becomes, an integral part of key policies and implementation frameworks targeted towards sustainable development, agriculture, land use, poverty reduction, natural resource management, climate change adaptation, and disaster risk reduction. EbA should be integrated into existing policy frameworks so that interventions can be sustainable and scalable, rather than short-term and stand-alone.*

##### **Projects should:**

- *Have clear policy linkages to national, sub-national, regional, and/or global policies and strategies.* Projects should be supportive of national policies and strategies to the extent possible (e.g., national adaptation plans (NAPs), nationally determined contributions (NDCs), National Communications under UNFCCC, national biodiversity strategies and action plans (NBSAPs), etc.) including actions planned in regional, national or local level documents with a climate change adaptation focus. In addition to these, projects should also include links to other global and national policy priorities including but not limited to Sendai Framework, Land Degradation Neutrality targets under UNCCD and social development targets (such as gender, poverty, health). Further, proposals should identify the potential to influence these policies or, where possible, include a plan to influence these policies.
- *Have clear replicability to other areas and communities;* upscaling potential of the model or practice to support ecosystem-based adaptation. Projects should consider the prospect of replicability in other communities, countries, ecosystems, and/or other sectors with context-specific adaptations/modifications as necessary, thereby enabling successful effects to be achieved beyond the framework of the individual project.

#### **3.2.1. e) Supports equitable governance and enhances capacities (EbA Criterion 5)**

*EbA enhances governance of natural resources with respect to the use of biodiversity and ecosystem services, by following a community-centred, participatory and gender-sensitive approach; it embraces transparency, empowerment, accountability, non-discrimination and active, meaningful and free participation at the local level. It should support fair and equitable sharing of user access, rights and responsibilities. The ability to adapt to climate change hinges on the ability of local people (comprising different groups, genders, customary bodies, etc.) to take on their rights and responsibilities and to be represented by officials who are accountable to them. Ownership by the people responsible for ecosystem management and by people who are using and benefiting from biodiversity can ensure that benefits emerge and are sustainable. Strong local governance needs to be embedded in higher level governance structures, which can facilitate and stimulate local action through the right policies and enabling environment.*

### **Projects should:**

- *Mainstream a gender responsive approach to project design and implementation.* The project should conduct gender analyses and apply key issues and recommendations identified to inform gender-responsive project design, budgeting, staffing, implementation, monitoring and evaluation; and to analyse the risks that the project may experience or pose, put measures in place to ensure activities do not exacerbate existing gender-related inequalities, including gender-based violence; and seize opportunities to address gender gaps and support empowerment of women.
- *Be participatory and inclusive.* Diverse stakeholders should be effectively consulted and involved in decision-making processes, including marginalised/disadvantaged groups (especially women, youth, Indigenous Peoples) and people who may be adversely affected by the project, where applicable. Overall, projects should ensure that benefits are equitably distributed. Projects with direct and indirect impact on Indigenous Peoples must uphold the right of Indigenous Peoples to Free, Prior and Informed Consent (FPIC)<sup>6</sup>.

**3.2.2. Results in catalytic impact**, such as by piloting innovative approaches for EbA, removing barriers from upscaling EbA interventions at the policy or landscape levels, strategic and focused EbA policy mainstreaming, supporting innovative finance mechanisms for EbA, incentivising private sector investment in EbA, and supporting unlikely matches between partners.

### **3.2.3. Projects add value to or upscale existing work.**

Projects should fill a gap in an existing project, address a knowledge gap, contribute to policy upscaling, lead to systematic changes and/or behavioural changes of decision makers or a significant number of individuals or institutions, enhance the impact of an investment in EbA, and/or serve to develop a larger proposal to another funding mechanism. Proposed projects should not be standalone interventions, but rather be explicitly designed to achieve synergies with other projects and initiatives. Projects should not focus primarily on field implementation

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<sup>6</sup> Learn more about Free, Prior and Informed Consent (FPIC) from FAO at this website, including a *Manual for Project Practitioners*, a toolkit and e-learning materials: <http://www.fao.org/indigenous-peoples/our-pillars/fpic/en/>

of a new intervention in the scope of the proposal, though field implementation may be a component.

**Projects should:**

- *Prioritise project sustainability and financial continuity.* The project should have a clear plan for how results will be maintained and developed past the end of the funding period. This should include environmental, infrastructural, institutional, social and financial sustainability considerations as applicable. If follow-up(s) to the proposed project will require a budget and/or time frame outside of that offered by the Fund - for instance, if the project will develop a larger project proposal to a different funding mechanism - the applicant should clearly articulate anticipated funding options, including any market-based, private sector, or public sector funding opportunities.

**3.2.4. The Global EbA Fund is open to global and thematic projects as well as those targeted to ODA-eligible countries.** If a project has a regional or country-specific focus, all countries targeted must be eligible for official development assistance ([ODA](#)).

### 3.3 Desirable Project Design Characteristics

The following project design elements are not mandatory. However, the Fund could give preferential treatment to projects that incorporate one or more of these (*ceteris paribus*) during full proposal evaluation. These desirable project design characteristics will be regularly reviewed and may be modified by IUCN and UNEP based on evidence gathered and strategic decisions of the Fund. These include potentially targeting specific areas of focus in future years to best meet the strategic objectives of the Fund.

- **Connecting on-the-ground with higher-level activities.** Projects that combine and connect on-the-ground activities and data with higher-level decision-making work (e.g. policy action by governments, business practice changes by companies, sustainable finance mechanisms) to foster structural and sustainable change.
- **Leverage of other resources.** Projects with the potential to leverage other financial and technical resources. In cases where additional funding is leveraged, the funding sources should be identified. Other funding provided by the German government will not be considered as leveraged financing. Please note that leveraged financing is not mandatory.
- **Gender and Youth.** Projects that focus on gender and youth perspectives, including their involvement in conservation, education, vulnerability and adaptive capacity to climate change, alternative livelihoods, among other topics.
- **Strengthening of Civil Society Organisations (CSOs).** Projects that create and strengthen capacity in local CSOs.
- **Contribution to NDCs.** The Fund has chosen not to identify specific target regions or countries (though it will be limited to [ODA-eligible countries](#)), aiming to focus its efforts instead wherever it is most needed and where requests arise. More specifically, however, the Fund is seeking to support innovative actions and catalytic interventions to leverage the performance of EbA into the countries' NDCs in the various geographies over its lifetime.
- **Clear climate change mitigation co-benefits.**



### **3.4 Environmental and Social Management System (ESMS)**

The Global EbA Fund Environmental and Social Management System (ESMS) is developed based on IUCN's Environmental and Social Management System. The Fund has established the procedures for screening future grants on environmental and social risks and their respective risk categories (including the tool to be employed for screening) as well as additional procedures for managing and monitoring such risks. The Global EbA Fund ESMS follows this systematic procedure to screen projects for potential adverse environmental and social impacts to ensure that negative impacts are avoided or minimised while positive impacts are stimulated. The ESMS also ensures that the implementation and effectiveness of mitigation measures are monitored and that any impacts arising during execution of grantee projects are addressed.

At the concept stage, all grant applicants are required to complete the Initial ESMS Screening. Selected applicants invited to submit a full proposal will complete further ESMS steps, if applicable. The Initial ESMS Screening integrates pre-screening on legal and financial risks while the more extensive evaluation at the full proposal stage will assess social and environmental risks.

The Fund Secretariat will be responsible for screening these risks based on technical knowledge and safeguard experience. Where necessary, targeted risk assessments for grant proposals will be required (social assessment, targeted environmental studies etc.). In certain cases, the Fund will provide capacity-building support to organisations and work to develop targeted plans of actions such as Environmental and Social Management Plan, Indigenous People Plan, Access Restrictions Mitigation Process Framework, specific stakeholder consultations, disclosure requirements and grievance mechanisms.

Overall, the procedures will be specific to the geographic context, objectives and proposed activities of the applicant and be designed proportional to the expected risks. The Fund will define an exclusion list to control the risk level of the grants.

The most up to date version of the [Global EbA Fund ESMS](#) is available on the Global EbA Fund website.

## **4. Administrative and Legal Requirements**

Grant recipients are required to adhere to administrative and legal requirements, including completion of the [Due Diligence questionnaire](#), which encompasses many of the following topics, and adherence to the [Procurement Policy and Procedure for Grant Recipients](#).

### **4.1. Legal Entity / Judicial Person Status**

The direct beneficiary of the grant must be a recognised legal entity. The recipient must have the legal capacity to conclude contracts in its own name. Individuals and partnerships or associations that do not have legal capacity cannot be taken into consideration as direct recipients of financing, even if they sometimes act as executing agencies for public-benefit projects. This requirement applies to both the lead applicant organisation and any consortium partners who will receive funding from the Global EbA Fund are subject to these requirements.

Register extracts, statutes, or articles of association, but also other proofs according to the respective requirements of the relevant legal regulations of the country of registration can serve as evidence of legal status. For example, laws, foundation deeds, registration information, decrees and tax numbers may be submitted. In these cases, which differ from country to country, it may be necessary for IUCN to obtain an extract from the relevant statutory regulation.

Applicants must also indicate in the relevant section of the Due Diligence Questionnaire if they are a non-profit organisation. The Fund classifies a non-profit organisation (NPO, generally also known as a not-for-profit organisation, charitable institution, or non-business entity), as an organisation dedicated to the promotion of a particular social cause. Economically, it is an organisation which uses the surplus of its income to promote its objective, rather than distributing its income to the shareholders, managers or members of the organisation.

The Fund will consider private sector/ for-profit applicants only under certain conditions, and for-profit organisations must clearly demonstrate that the proposed project pursues strictly non-profit objectives and does not generate any income.

Finally, we ask applicants to specify through which law(s) their organisation has been registered. This information can be found in most cases in the founding/registration documents themselves.

#### **4.2. Accounting**

All recipients must keep accounting records. Their bookkeeping must enable a third-party expert to gain an overview of the company's business transactions and financial situation within a reasonable amount of time.

Organisations must use a software-based accounting system that meets their respective national standards. In addition, dedicated accounting staff should be employed by the organisation. Alternatively, the accounting tasks can be outsourced. In this case, the requirements for accounting would have to be met by the contracted company.

One requirement for organisations applying for a grant is the ability to clearly assign employee working hours to respective projects. Therefore, an electronic or manual time recording system is required. If no traceable time recording exists, the recipient must sign and submit a self-commitment to create one before the grant agreement can be signed.

#### **4.3. Eligibility of expenditures**

Expenditures must be indispensable for project performance and achievement of project results. All expenditures must be incurred within the eligibility period of the project, as defined in the grant agreement.

Expenditures must be identifiable and verifiable; grant recipients should be prepared to present documentation in the case of a financial audit. Expenditures must be detailed in accounting records, backed by supporting evidence (e.g. invoices, receipts, contracts, time

sheets, etc.) and in accordance with the accounting standards of the country of registration of the recipient and its usual accounting practices. Expenditures must be reasonable, justified and in line with the principle of sound financial management.

The actual eligibility of expenditures will only be determined by the Global EbA Fund at the liquidation stage (winding down phase) of the project. All expenditures that do not meet the eligibility conditions will be declared ineligible and disallowed accordingly. The grant recipient will need to reimburse the overpaid amount.

The following are examples of expenditures are not eligible:

- Expenditures, which cannot be supported by original supporting evidence,
- Expenses without proof of payment,
- Unused discounts and rebates,
- Expenditures incurred outside the period covered by the grant,
- Insurance not required by law,
- Expenditures that cannot be clearly attributed to the project,
- Expenses that result in later refunds (e.g. rent deposit),
- Expenses for first-class flights.

This list of ineligible expenditures is not exhaustive.

#### **4.4. Internal and External Controls**

Internal controls are processes that ensure the achievement of an organisation's objectives in terms of operational effectiveness and efficiency, reliable financial reporting, and compliance with laws, regulations, and policies. As a broad concept, internal control involves everything that minimises risks for an organisation. It serves to avert damage that might be caused by the organisation's own staff or malicious third parties. Measures may be undertaken independently of the internal control process in the form of retrospective controls, for example by an internal auditing unit. Alternatively, they may take the form of preventive rules as an integral part of the internal control process. More information on the specific requirements is included in Section 6 of the [Due Diligence Questionnaire](#).

External controls describe an auditing procedure in which external auditing firms examine the quality assurance systems of auditees. External control is not performed by an internal staff member, i.e., one who works at the organisation to be audited, but by an external third party.

#### **4.5. Compliance with the law and anti-corruption**

Compliance with the law means that the potential recipient has not violated any laws (as far as is known) for example, by evading tax payments or encouraging undeclared work.

Corruption is the misuse of public or private sector positions of power or influence for private benefit. This may take the form of bribery, dispatch money, embezzlement, nepotism, blackmail, fraud, kickbacks, the exertion of unlawful influence, secret arrangements, and insider dealing. Anti-corruption covers all activities designed to prevent and combat corruption wherever and whenever it occurs.

All grantees will adhere to IUCN's Code of Conduct and Professional Ethics and IUCN's Anti-Fraud Policy as part of their contractual obligation to the Fund.

Once the grant agreement has been concluded, IUCN reserves the right to audit or evaluate a project at any time (at its own expenses). Regular financial and technical reporting during project implementation is mandatory. The Global EbA Fund promotes the transparent handling of funding: relevant project information, including financial information, will be published on the Global EbA Fund website.

The Global EbA Fund, operates an ESMS Grievance Mechanism which can be used to submit information on corruption and bribery along with any other concerns about the executing entity's failure to respect IUCN ESMS principles, standards or procedures: [Environmental and Social Management System | Global EbA Fund](#).

#### **4.6. Contract Award Procedure for supplies and services**

If the beneficiary of a grant agreement contracts external staff or purchases supplies and/or services financed in whole or in part by the grant agreement, the grantee must comply with the specific terms outlined in the grantee contract and with IUCN's [Policy and Procedure on Procurement of Goods and Services](#).

#### **4.7. Selection of grantees**

Applicants will submit a concept note providing a detailed summary of their project context, approach, outcomes and outputs and the required documentation. A short list of applicants who qualify will be invited to submit a proposal within six weeks elaborating on their concept note and will begin a due-diligence process. Please note that the final decision for funding will be based on due diligence and fulfilment of all of IUCN's policies, procedures, procurement, and legal requirements.

## **5. Application and Award Process**

This section serves as a general guideline for applicants to the Global EbA Fund (hereafter "The Fund"). It provides information and explanations for various components of the application process.

The Fund will accept and review applications year-round and make biannual funding decisions. The cut-off dates for consideration will be published on the Global EbA Fund website under [How to Apply](#). Any changes to these dates will be communicated via the [Announcements](#) page. In 2022, the cut-off dates for consideration are 28 February 2022 (23:59 UTC+2) and 15 July 2022. Applications received after the cut-off dates will be considered for the next round.

Successful applicants will be invited to submit a full proposal, including due diligence processes. Further information is available in section 5.1.2. below. These applicants will then have six weeks to submit their full proposal.

Concept note stage applications and supporting documents must be submitted via email to [Submit.EbAFund@iucn.org](mailto:Submit.EbAFund@iucn.org). Please avoid linked file sharing methods, such as WeTransfer or OneDrive. Beginning 16 September 2021, applicants *must* complete the online submissions form on <https://globalebafund.org/submissions/> in addition to emailing their complete concept stage application packet.

Applications must be submitted in English. All supporting documents that are not in English must be accompanied by an English translation. Notarised translations are not required at the concept note application stage. At the full proposal stage, all documents in a language other than English should be accompanied by an English translation.

Please follow the guidelines carefully when developing and drafting a proposal, in order to ensure the highest possible quality of the project concept and consequently improve your chances of being selected for funding from the Global EbA Fund.

Questions can be directed to [Contact.EbAFund@iucn.org](mailto:Contact.EbAFund@iucn.org).

## 5.1. Application documents

### 5.1.1. Concept stage checklist

Please make sure your application at the concept note stage includes all the following documents at submission. These documents are available as an editable [Concept Stage Application Packet](#).

- Completed Initial Screening Criteria
- Completed Concept Note Template, **max 10 pages**
- Certificate of registration of the applicant organisation (*see 4.1 Legal Entity / Judicial Person Status in the [Grant Procedures Manual](#) for details*)
- Audited financial statements from the last fiscal year (and for the last 2 fiscal years, if available)
- Completed [Initial ESMS Screening: Concept Note Stage](#) (Table 1)
- Signed Applicant Declaration Form (Annex 1)
- Completed [Online Submissions Form](#)

Submissions lacking these documents will be disqualified. All application templates are complemented with instructions and examples in order to provide as much guidance as possible in their compilation. At the concept note application stage, all documents in a language other than English should be accompanied by an English translation; a notarised translation is not required.

### 5.1.2. Full proposal stage checklist

Please make sure your application at the full proposal stage includes all the following documents at submission:

- Completed Full Proposal Template

- Completed Budget Template ([Annex 5](#))
- Completed Activities & Timelines Template ([Annex 6](#))
- Full Proposal Monitoring, Evaluation and Learning Template ([Annex 7](#))
- Applicant organisation bylaws or equivalent
- Applicant organisation institutional structure (organogram)
- CVs of key staff (optional)
- Completed [Due Diligence Questionnaire](#)
- Completed [Final ESMS Screening Questionnaire](#) (Table 2)
- Signed Applicant Declaration Form
- Signed Co-applicant Mandate, if applicable (Annex 2)
- Certificate of registration for each partner organisation that will receive funding, if applicable (see 4.1. *Legal Entity / Judicial Person Status in the [Grant Procedures Manual](#) for details)*

Submissions lacking these documents will be disqualified. All application templates are complemented with instructions and examples in order to provide as much guidance as possible in their compilation. At the full proposal stage, all documents in a language other than English should be accompanied by an English translation.

Additional documentation such as images, maps, baseline studies or letters of support or endorsement may also be attached to the Full Proposal submission.

## 5.2. Submission process

### 5.2.1. Submission

Concept Stage Application documentation will only be accepted via email to [Submit.EbAFund@iucn.org](mailto:Submit.EbAFund@iucn.org). The maximum file size per email is **15MB**. Please avoid linked file sharing methods, such as WeTransfer or OneDrive.

The subject heading of the email shall be:

- For concept note applications: **[CN Proposal– [Organisation Name]]**, with additional **[Abbreviated project name]** if organisation is submitting more than one proposal.
- For full proposals: **[Full Proposal – [Project Number] - [Organisation Name]]**.

Proposers may submit multiple emails (with the same subject line, suitably annotated – e.g. Email 1 of 3) if attached files are deemed too large to suit a single email transmission.

Applicants must also complete the [Online Submissions Form](#).

Please visit the [Global EbA Fund website](#) to view the FAQs. Any and all questions that arise should be sent to [Contact.EbAFund@iucn.org](mailto:Contact.EbAFund@iucn.org).

### 5.2.2. Data protection

The Global EbA Fund Secretariat takes data protection and management seriously and is committed to safeguarding and protecting Personal Data of private individuals. The Fund Secretariat is aware of the risks involved, and of the importance of having appropriate data protection standards in place.

In the scope of the mission of the Global EbA Fund, the Fund Secretariat will need to gather and use certain information about individuals.

Safeguarding the personal data of all these persons is an essential aspect of protecting people's lives, integrity and dignity. The Processing of Personal Data touches all areas of the Fund's activity, whether operational or administrative.

As such, the entirety of the Global EbA Fund, including the application submission process, is in accordance with the [IUCN Data Protection Policy](#).

### 5.3. Guidance on intervention logic

This section provides guidance<sup>7</sup> on structuring the intervention logic, which should guide the overall design of the project and is specifically needed to develop the project intervention logic section in the concept note and the theory of change, logical framework, and monitoring and evaluation plan in the full proposal. The theory of change functions as a results chain of hypotheses or assumptions that link various levels, and forms the basis for the logical framework and the monitoring and evaluation plan. The project activities contribute to the outputs, which in turn contribute to the outcome, which result in the long-term impact. In order to demonstrate how the project will achieve results, the intervention logic must be sound and coherent throughout these various levels. Applicants should also consider and identify under what conditions and assumptions the results chain is correct.

The **impact** refers to the intended long-term contribution of the project.

The **outcome** describes the intended change that can be directly attributed to the project and that result from achieving the planned outputs. The outcome is the overarching project goal: the main effect expected to happen as a result of project intervention, especially on the target group of intended beneficiaries. While the project cannot completely control the achievement of the outcome, it can steer toward it and demonstrate how the activities and outputs contribute to the attainment of the outcome.

**Activities** encompass what will be done to deliver the outputs. The **outputs** are concrete products, goods and services created through the project activities and used by the target groups. The outputs are the specific project goals – the main products or results expected to be delivered by project activities. Typically, several activities correspond to each distinctive output. The activities and outputs are implemented and achieved directly by the project.

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<sup>7</sup> This guidance is adapted from section 5 of the IKI Small Grants International Call 2020/2021 Application Guidelines: [IKI Small Grants Application Guidelines Call 2020-2021.pdf \(international-climate-initiative.com\)](#)



Outputs are not limited to the creation of products, goods and services but rather encompass their use by partners, target groups and other beneficiaries as well.

Indicators must be developed for the project outcome and outputs and must fulfil the SMART criteria (see box below) so that they can be easily monitored throughout project implementation and provide meaningful information. Effective project monitoring is key to evaluate the project’s progress and success and/or the need to possibly adapt the project implementation.

Furthermore, a baseline must be established for all indicators. A baseline describes an initial situation at the beginning of the project which would persist without project implementation, or the expected conditions that would prevail in the absence of the project (“business-as-usual”).

#### Criteria for SMART Indicators

Indicators for the outcome and outputs must be:

- **Specific** – defined unambiguously and precisely.
- **Measurable** – provide measurement constructs (quantitative measures or descriptions of qualitative conditions) and methods of data collection / sources of verification.
- **Achievable** – it should be possible to reach the target value of the indicator with the available resources and under the prevailing conditions.
- **Relevant** – the information provided by the indicator should be of relevance to describe the outcome and outputs.
- **Time-bound** – equipped with a timeframe and achieved no later than by the end of the project.

**Note:** Changes to defined goals (outcome and outputs) and project-specific indicators after the grant agreement has been signed require prior approval by the Global EbA Fund Secretariat.

#### 5.4. Glossary

This glossary contains definitions of terms used in this document. It is also available on the [Global EbA Fund website](#). This is hardly an exhaustive list.

Term	Definition	References
Added value	An improvement or addition to something that makes it worth more; an increase in the value of a resource, product, or service as the result of a particular process. Projects should draw on and improve the EbA knowledge base and body of experiences and practices. Projects supported by the Fund should fill a gap in an existing project, address a knowledge gap, contribute to policy upscaling, lead to systematic changes and/or behavioural changes of decision makers or a significant number of individuals or institutions, enhance the impact of an	Adapted from <a href="#">Cambridge Dictionary</a>



Term	Definition	References
	investment in EbA, and/or serve to develop a larger proposal to another funding mechanism.	
Catalytic	A catalytic project will leverage existing knowledge, standards, partnerships, experiences, and best practices or fill gaps therein to facilitate increased uptake of EbA globally, regionally, and nationally. In particular, The Fund will deploy technical and financing support to concepts that help implement NDC commitments and scale up EbA ambition in three areas: i) building awareness and understanding, ii) planning and other governance gaps and the potential for scaling up, and iii) seeking solutions to financing gaps. This could include, but is not limited to: increasing scalability or replicability of EbA interventions, shifting social or behavioural norms, strengthening the case for economic viability or feasibility of EbA interventions, expanding the evidence base for EbA effectiveness, integrating EbA into complementary climate adaptation strategies, creating synergies between EbA initiatives, or mainstreaming EbA into policies, institutions, or other sectors.	
Compliance with the law	Compliance with the law means that the potential recipient has not violated any laws (as far as is known) for example, by evading tax payments or encouraging undeclared work.	IKI (2020)
Corruption	Corruption is the misuse of public or private sector positions of power or influence for private benefit. This may take the form of bribery, dispatch money, embezzlement, nepotism, blackmail, fraud, kickbacks, the exertion of unlawful influence, secret arrangements, and insider dealing. Anti-corruption covers all activities designed to prevent and combat corruption wherever and whenever it occurs.	IKI (2020)
Ecosystem-based adaptation	The use of biodiversity and ecosystem services as part of an overall adaptation strategy to help people to adapt to the adverse effects of climate change.	CBD ( <a href="#">2009</a> )
Innovative	An idea or project that introduces new ideas or methods based on original, creative or advanced thinking.	<a href="#">Oxford Languages</a>
Marginalised groups	Different groups of people within a given culture, context and history at risk of being subjected to multiple discrimination due to the interplay of different personal characteristics or grounds, such as sex, gender, age, ethnicity, religion or belief, health status, disability, sexual orientation, gender identity, education or income, or living in various geographic localities.	European Institute for Gender Equality ( <a href="#">2021</a> )
“No regret” options	No-regret actions include measures taken by communities and/or facilitated by organisations which do not worsen vulnerabilities to climate change or which increase adaptive capacities and measures that will always have a positive impact on livelihoods and ecosystems regardless of how the climate changes.	IUCN ( <a href="#">2014</a> )
Outcome	The actual goal of the project, i.e. the intended changes related to adaptation to the effects of climate change that can be directly causally attributed to the project. Moreover,	IKI Small Grants Application

Term	Definition	References
	this includes the transformation in processes that intermediaries and target groups undergo when using project results or outputs.	Guidelines (2020)
Outputs	Products, goods or services, and their use by project stakeholders/participants, produced or provided as a result of the implementation of project activities. The combined use of the project's outputs contributes to the attainment of the project outcome.	IKI Small Grants Application Guidelines (2020)
Scaling up	Enhancing or increasing the impact or extent of something (i.e. an action, mission, or strategy). In the context of the Global EbA Fund, scaling up refers to increasing the impact of knowledge, best practices, etc. drawn from previous work.	<i>Adapted from</i> <a href="#">Collins Dictionary</a>
Standalone	Intended, designed, or able to be used or to function alone or separately. Not connected to or requiring connection to something else in order to be used or to function. A standalone project operates independently of other initiatives and is not explicitly designed to achieve synergies with other projects and initiatives.	<a href="#">Merriam-Webster</a>

## Annex 1: Applicant Declaration

### APPLICANT DECLARATION

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

- the information given is true and correct at the time of submission;
- the applicant has sufficient financial capacity to carry out the proposed action or work programme;
- the applicant certifies the legal statutes of the applicant as reported in the application;
- the applicant is eligible in accordance with the criteria set out in the Grant Procedures Manual;
- the applicant undertakes to comply with the principles of good partnership practice;
- the applicant is directly responsible for the preparation, management and implementation of the action and is not acting as an intermediary;
- The applicant is not in any of the situations, which are listed below, excluding them from participating in contracts. Furthermore, it is recognised and accepted that if the applicant participates in spite of being in any of these situations, they may be excluded from other contracts:
  - they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
  - they, or persons having powers of representation, decision making or control over them, have been convicted of an offence concerning their professional conduct by a judgment of a competent authority of the country of the contracting authority, of the country in which they are established and of the country where the contract is to be performed, which has the force of res judicata (i.e. against which no appeal is possible);
  - they have been guilty of grave professional misconduct proven by any means which the contracting authority can justify, including by decisions of international organisations;
  - they are not in compliance with their obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the contracting authority or those of the country where the contract is to be performed;
  - they, or persons having powers of representation, decision making or control over them, have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity;
- if recommended to be awarded a grant, the applicant accepts the contractual conditions as laid down in the [Standard Grantee Agreement](#);

- the applicant is aware that, for the purposes of safeguarding the financial interests of the EU, their personal data may be transferred to internal audit services, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti-Fraud Office.

The applicant is fully aware of the obligation to inform without delay the Global EbA Fund Secretariat to which this application is submitted if the same application for funding made to the International Climate Initiative of the German Ministry for Environment, Nature Conservation and Nuclear Energy has been approved by them after the submission of this grant application.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## Annex 2: Co-applicant Mandate

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 grantee agreement 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 the Global EbA Fund. I undertake to comply with the principles of good partnership practice.

---

(Signature)

Name:

Position:

Date:

(Organisation Stamp)

## Annex 3: Concept Note Template



The Concept Note (CN) is the first step in the application process. This template is available as a downloadable, editable [Concept Stage Application Packet](#). Please complete **ALL** sections of this form and attach the required documents. Applicants *must* also complete the [online submission form](#). Remember to follow the guidance and the strategy of the Global EbA Fund described in the call for proposals and Grant Procedures Manual. Concept notes must be submitted in English. At the concept note application stage, all documents in a language other than English should be accompanied by an English translation; a notarised translation is not required.

You are welcome to provide additional supporting documents, such as maps or letters of community support, as attached files with the submission of this CN. If you have any questions about your project concept or how to complete this CN form, please review the FAQs on the [Global EbA Fund website](#) or contact the Global EbA Fund Secretariat at [Contact.EbAFund@iucn.org](mailto:Contact.EbAFund@iucn.org).

Please complete the template in **Calibri 10pt font, normal margins, and standard (1.15pt) line spacing**. Overall, the concept note template, excluding the checklist, initial screening criteria and other supporting documents should **not exceed** ten pages. Italicised instructions can be deleted. Please incorporate page numbers and headers that clearly identify the submission.

Please review the concept note stage checklist for all required documents. **Submissions not including all these documents will be disqualified.**

Please email the complete application packet to [submit.EbAFund@iucn.org](mailto:submit.EbAFund@iucn.org). The cut-off dates for consideration in the next rounds of funding will be **23:59 UTC+2 on 28 February 2022 and 15 July 2022**. The maximum file size per email is **15MB**. The subject heading of the email shall be [CN Proposal– [Organisation Name]], with additional [Abbreviated project name] if organisation is submitting more than one proposal. Proposers may submit multiple emails (suitably annotated – e.g. Email 1 of 3) if attached files are deemed too large to suit a single email transmission. Please avoid linked file sharing methods, such as WeTransfer or OneDrive.

## 1. Applicant Organisation

If your project will be implemented by a consortium of organisations, there must be one leading organisation that will be the applicant and sign the contract with the Global EbA Fund.

Applicant Information	
<b>Applicant Organisation Legal Name:</b>	
<b>Short Name/Acronym:</b>	
<b>Country/ countries of operation:</b>	
<b>Total Permanent Staff:</b>	
<b>Organisation Type:</b> <i>Mark with an X one option only.</i>	Non-governmental organisation (NGO)
	International non-governmental organisation (INGO)
	Intergovernmental organisation (IGO)
	Community-based organisation (CBO)
	Indigenous People's Organisation
	University or other academic institution
	Research institute or think tank
	Private sector company
	Other, please explain:
<b>Year Organisation Established:</b>	
<b>Purpose/Mission:</b>	
<b>Organisation Yearly Budget:</b>	
<b>Organisation Address:</b>	
<b>Website Address:</b> <i>(If available, please also provide relevant organisational social media accounts)</i>	
<b>Contact Person Name:</b>	
<b>Contact Person Position:</b>	
<b>Contact Person Email:</b>	
<b>Telephone (with country code):</b>	

Consortium Partner(s) <i>If applicable</i>	Organisation Type	Receiving budget from Global EbA Fund? (Yes/No)

Please list below past projects that the lead applicant organisation has managed (limit to the past 5 years), prioritising projects that are most relevant to the theme and/or budget of this call:

Project Title	Relevant goals and activities	Start (mm/YY)	End (mm/YY)	Donor(s)	Project budget (in USD)

## 2. Project Description

Project Description	
<b>Project Title:</b>	
<b>Country:</b> <i>List the country/countries of implementation as applicable, and as listed in the <a href="#">DAC ODA recipient list</a></i>	
<b>Geographic Area:</b> <i>Country(ies), state, district, sub region, basin, protected areas, corridor, etc. If possible, give an estimate size in hectares.</i>	
<b>Proposed duration:</b>	
<b>If proposed project duration is longer than 24 months, please provide more information.</b>	
<b>Proposed budget (USD):</b>	
<b>Project Summary:</b> <i>Provide a concise description of the entire project, including the aims and measures as well as multiplier effect. This must be the same project summary that will be added in the <a href="#">online submission form</a>. [300 words]</i>	

<b>Problem statement:</b> <i>Explain what the main vulnerabilities of the project area are regarding climate change risks and effects. Justify selection of project area.</i>	
<b>Project Approach:</b>	



Project Intervention Logic	
<b>Impact:</b> <i>Long-term contribution of the project.</i>	
<b>Expected Outcome:</b> <i>Main effect expected to happen with the project intervention</i>	
<b>Expected Outputs:</b> <i>Main products or results expected to be delivered by the project activities</i>	
<b>Activities:</b> <i>What will be done to deliver the outputs (main activities)</i>	

Relevance to the Global EbA Fund Strategic Objectives	
<b>How does the project contribute to the Global EbA Fund Strategic Objectives?</b> <i>Refer to the Strategic Objectives in the call for proposals in your answer</i>	
<b>Does the project involve a field component?</b> <i>Projects should not focus primarily on field implementation of a new intervention in the scope of the proposal. If yes, explain how the proposed addition complements existing field projects.</i>	

Implementation details	
<b>Key Stakeholders and Beneficiaries who will be impacted by the project:</b>	

### 3. Contribution to Global EbA Fund Criteria

In the section below, please summarise how the project approach contributes to each of the Global EbA Fund's criteria. For more information, please refer to the Grant Selection Criteria in the Grant Procedures Manual.

**3.1 Proposed projects contribute to the implementation of ecosystem-based adaptation** and aligns with the five FEBA EbA Qualification Criteria & Quality Standards ([EN](#) | [ES](#) | [FR](#)).

**(a) Reduces social and environmental vulnerabilities to climate change (EbA Criterion 1)**

*Please describe how the proposed project reduces or contributes to reducing social and environmental vulnerabilities to climate change. [150 words]*

**(b) Generates societal benefits in the context of climate change adaptation (EbA Criterion 2)**

*Please describe how the proposed project generates societal benefits in the context of climate change adaptation. [150 words]*

**(c) Restores, maintains or improves ecosystem health (EbA Criterion 3)**

*Please describe how the proposed project contributes to restoring, maintaining or improving ecosystem health. [150 words]*

**(d) Is supported by policies at multiple levels (EbA Criterion 4)**

*Please describe how the proposed project is supported by policies at multiple levels. [150 words]*

**(e) Supports equitable governance and enhances capacities (EbA Criterion 5)**

*Please describe how the proposed project supports equitable governance and enhances capacities. [150 words]*

**3.2 Projects are designed to result in catalytic impact, such as by piloting innovative approaches for EbA, removing barriers from upscaling EbA interventions at the policy or landscape levels, strategic and focused EbA policy mainstreaming, supporting innovative finance mechanisms for EbA, incentivising private sector investment in EbA, and supporting unlikely matches between partners.**

*Please summarise how the proposed project is designed to result in catalytic impact [300 words]*

**3.3 Projects add value to or upscale existing work**

*Please summarise how the proposed projects fills an identified gap in an existing project, addresses a knowledge gap, contributes to policy upscaling, would lead to systematic changes and/or behavioural changes of decision makers or a significant number of individuals or institutions, enhances the impact of an investment in EbA, and/or serves to develop a larger proposal to another funding mechanism. [300 words]*

#### 4. Project Estimated Budget

What is the total amount being requested from the Global EbA Fund (in USD)?

Total amount (USD):	
If the budget exceeds USD 250,000, please clearly justify the exceptional circumstances of project need.	

Are there any other funders that will provide in-cash contributions to the project? List below, if any.

*In-cash contributions are not a requirement and will NOT contribute to the overall score.*

Please complete the estimated budget category amounts in the table below:

Main Budget Items	Global EbA Fund (USD)	Other funders If any (USD)
Personnel (staff salary and benefit)		
External services, including consultants & professional fees		
Literature and printing		
Events, including workshops and trainings		
Travel		
Equipment		
Supplies		
Subgrants		
Operating and Other Direct Costs		
<u>Sub-total</u>		
Overhead (Max 10%)		
<b>TOTAL</b>		

*Main budget items normally include personnel (staff), consultants and professional fees, publication and materials, workshop and events, travel, and administration costs (max. 10% overhead costs). Please do not add new budget categories. Import duties cannot be paid with Global EbA Fund grant funds. The maximum administrative overhead cost is 10%.*

Are there in-kind contributions from your organisation or from other supporters or partners?

*In-kind support may include labour, travel costs, equipment that is lent to the project, trainings, etc*

## Annex 4: Full Proposal Template



This template will be used by applicants whose Concept Notes have been approved and have been invited to prepare a Full Proposal (FP) for further evaluation. Information that was already provided in the Concept Notes may be repeated and expanded in the FP.

Please email the complete full proposal packet to [submit.EbAFund@iucn.org](mailto:submit.EbAFund@iucn.org) by the date specified in your invitation. The maximum file size per email is **15MB**. The subject heading of the email shall be [Full Proposal – [Project Number] - [Organisation Name]]. Proposers may submit multiple emails (with the same subject line, suitably annotated – e.g. Email 1 of 3) if attached files are deemed too large to suit a single email transmission. Please avoid linked file sharing methods, such as WeTransfer or OneDrive.

Applicants must complete the Full Proposal template in full, not exceeding the prescribed word count of each section nor 30 pages in total length (excluding 2.16 Logical Framework, which may be up to an additional 5 pages, and the Final ESMS Screening Questionnaire). The recommended font is **Arial 11pt font, normal margins and 1.15pt line spacing**. You can delete all instruction texts that are in italic. Please incorporate page numbers and headers that clearly identify the submission.

Contact the Global EbA Fund Secretariat at [Contact.EbAFund@iucn.org](mailto:Contact.EbAFund@iucn.org) if any questions arise about your project full proposal or how to complete this FP form. Please include your assigned project number in all communications.

Please review the full proposal checklist (Section 5.1.2 in the Grant Procedures Manual) for all required documents. **Submissions not including all these documents will be disqualified.** At the full proposal stage, all documents in a language other than English should be accompanied by an English translation.

Additional documentation, such as pictures, maps, baseline studies, support or endorsement letters, may also be attached to the FP submission.

## 1. Project summary

<b>Project Title:</b>	
<b>Project number:</b> <i>(as informed by the Global EbA Fund in the Request for Full Proposal letter)</i>	
<b>Applicant Organisation Legal Name:</b>	
<b>Short Name/Acronym:</b>	
<b>Organisation Type:</b> <i>Same category as marked in the Concept Note</i>	
<b>Organisation Address:</b>	
<b>Website Address:</b> <i>(If available, please include relevant professional social media accounts)</i>	
<b>Contact Person Name:</b>	
<b>Contact Person Position:</b>	
<b>Contact Person Email:</b>	
<b>Telephone (with country code):</b>	
<b>Project Country(ies):</b>	
<b>Project Goal:</b> <i>As stated in the logical framework</i>	
<b>Project Duration (In months)</b>  <i>If project duration is longer than 24 months, please provide justification.</i>	
<b>Total Project Budget (in USD):</b>	
<b>Total Amount Requested from the Global EbA Fund (in USD; it can be the same amount as the total amount):</b>	
<b>Abstract</b> <i>Summarise project, maximum 200 words</i>	

## 2. Project description

### 2.1. Background of the project and description of the problem

*Describe the context relevant to the project, including the main climate risks that need to be reduced and the factors that can increase or perpetuate the problem. Include in the description detailed information on the ecosystems and affected communities targeted for the proposed intervention, including but not limited to target region size and demographics (population, gender, socioeconomic status, Indigenous Peoples, etc.) if available. If land use management is planned, please also provide information on the land tenure situation (land rights, formal procedures to acquire or manage land etc.).*

*(maximum 350 words)*

## **2.2. Project location(s) and scope**

*Detail the project area(s) characteristics (e.g., global, national-level, specific site or sites to be targeted) and the criteria used to select geographic scope and the location(s), if any. Include the description of any climate risk assessments made for the area. List targeted ecosystems and the services they provide and describe how these ecosystems would support human welfare in the affected communities/populations. Maps and images can be used here or attached to the submission.*

*(maximum 300 words)*

## **2.3. Target group and beneficiaries**

*Detail the intended target group and beneficiaries of the project. The target group is composed of individuals or institutional stakeholders that the project intends to work with and reach with its activities or outputs. They may be beneficiaries at the same time if they benefit from the intended project impacts. There may be also cases where the target group is not the beneficiary of the impacts.*

*(maximum 300 words)*

## **2.4. EbA approach**

*Explain the project EbA approach and how it will reduce vulnerability and/or enhance resilience to climate change impacts by the conservation or restoration of natural resources/ecosystem services for human communities, including differentiation of benefits for vulnerable groups.*

*(maximum 500 words)*

## **2.5. Innovative contribution**

*Explain how the project will offer new or partially new solution(s) for the challenge of climate change adaptation, thereby increasing uptake of and/or improvement in EbA impact while leveraging existing resources. Please refer to the Project Design Requirements and Glossary for definitions of “catalytic” and “innovative.”*

*(maximum 300 words)*

## **2.6. Theory of Change**

*Please provide a summary narrative demonstrating how the interventions will generate the expected results presented in the Concept Note. Also use this section to detail, or adjust if necessary, the content provided in the CN regarding to: the expected long-term contribution of the project to climate change adaptation (impact); the main effects expected to happen with the project intervention (outcomes); and the main products or results expected to be delivered*

*by the project activities (outputs). Clearly describe the tangible climate change adaptation benefits in a way that reviewers will obtain a clear understanding of what is being proposed. The logic described here should be reflected in the logical framework below. In addition to the summary narrative, a diagram of the theory of change may be included but is not required.*

*(maximum 500 words)*

## **2.7. Added value**

*Explain if the project aims to fill a gap in an existing project, address a knowledge gap, contribute to policy upscaling, lead to systematic changes and/or behavioural changes of decision-makers or a significant number of individuals or institutions, enhance the impact of an investment in EbA, and/or serve to develop a larger proposal to another funding mechanism.*

*(maximum 300 words)*

## **2.8. Alignment of the project with national and international policies and commitments**

*Describe how the project contributes to achievement of major international commitments and global policy targets (e.g. UNFCCC, CBD, SDGs) and how the project will support relevant existing or potential national or regional-level EbA strategies, policies and plans. Describe the specific contribution of the project to the implementation of Nationally Determined Contributions (NDCs) and National Adaptation Plans (NAPs), specifically those of target countries if applicable.*

*(maximum 300 words)*

## **2.9. Synergies to other initiatives**

*Indicate possible synergies and links to other recent or current projects (especially EbA projects) and key economic sectors in the geographic scope of the project, specifically in the target country(ies), if applicable.*

*(maximum 300 words)*

## **2.10. Baseline information and climate risk and vulnerability assessments**

*Describe how the project incorporates baseline information and studies covering the proposed project location, when available, especially those regarding climate, social and ecosystem vulnerabilities. If available, disaggregated data for gender that you can collect about the project area should be included. Projects should draw on available local, national and/or regional climate risk and vulnerability assessments. Key information gaps should be identified. Please note that studies may be annexed and do not count towards the word limit.*

*(maximum 300 words)*



### **2.11. Best available science and use of traditional knowledge**

*Projects should draw on the best available science and provide details of tools, models and methodology that will be applied. These may include: analytical models and related tools (e.g. vulnerability, storm impacts, economic values of marine/coastal habitats), community participation methodologies, prioritisation techniques, advanced coral restoration techniques. In addition, please detail the relevant traditional knowledge that the project will draw on and use, when where applicable.*

*(maximum 300 words)*

### **2.12. Participation and inclusivity**

*Outline the stakeholders who will be consulted and involved in decision-making processes, including marginalised groups and people who may be indirectly and/or adversely affected by the project. If the project will have a direct or indirect impact on Indigenous Peoples, detail how the right to Free, Prior and Informed Consent (FPIC) will be upheld.*

*(maximum 300 words)*

### **2.13. Gender responsive approach**

*Explain how the project will conduct gender analyses and apply the key issues and recommendations identified to inform gender-responsive project design, budgeting, staffing, implementation, monitoring and evaluation; ensure gender-related inequalities, including gender-based violence, are not exacerbated by project activities; seize opportunities to address gender gaps and support empowerment of women; and promote gender equality.*

*(maximum 300 words)*

### **2.14. Sustainability**

*Outline how project results will be maintained and developed past the end of the funding period, including environmental, infrastructural, institutional, social, economic and financial considerations. If follow-up(s) to the proposed project will require a budget and/or time frame outside of that offered by the Fund, the applicant should clearly articulate anticipated funding options, including any market-based, private sector, or public sector funding opportunities.*

*(maximum 300 words)*

### **2.15. Potential for replication**

*Describe the potential for the replication of the project; if the project has a regional or country-specific focus, describe how the project could be replicated either within or outside of the target country(ies).*

*(maximum 100 words)*

## 2.16. Logical Framework

Complete the table below summarising the theory of change explained in the previous section. For each level of expected result, define a reasonable and balanced number of effect and performance indicators. Indicators should be “SMART,” that is, specific, measurable, achievable, relevant, and time-bound<sup>1</sup>. Indicators should be appropriate for the project outcomes, outputs, and activities. Specify how the suggested indicators are aligned with the Global EbA Fund objectives and indicators as detailed in the Call for Proposals. If the assumption being covered constitutes a risk, this should be reflected in the risk assessment in section 6 below.

<b>Impact:</b> <i>Expected long-term contribution of the project to climate change adaptation</i>			
<b>Intervention logic</b>	<b>Indicators</b>	<b>Sources and means of verification</b>	<b>Assumptions</b>
Outcome			
Output 1			
Activity 1.1			
Activity 1.n			
...			
Output 2			
Activity 2.1			
Activity 2.n			
...			
Output 3			
Activity 3.1			
Activity 3.n			
...			

## 2.17. Activities and timeline

In the Activities and Timeline document ([Annex 6](#)), please list the activities to be carried out under each output that is included in the logical framework. Add more rows, as needed, depending on the number of activities. Remember that for project activities longer than 24 months, additional justification must be provided in the project summary.

Download the template here: [Annex 6](#)

### **3. Monitoring, Evaluation and Learning Plan**

*Complete the table in [Annex 7](#) for the project's Monitoring, Evaluation and Learning Plan. This plan will be used to systematically capture and record progress, lessons and data from the project and help facilitate the mandatory regular financial and technical reporting during project implementation. Use the same indicators you included above in the logical framework. In the Definition column, explain how the indicator is calculated. In the Reporting Interval column, specify the measurement periodicity. In the Data Source column, use the same sources of information that you used in the logical framework. In the Responsible column, specify who will follow the indicator and inform the lead organisation about the measurements. Add as many lines as you need.*

Download the template here: [Annex 7](#)

### **3.1. Application of lessons learned**

*Outline how the learning and data captured from monitoring and evaluation will be applied to improve this and similar projects.*

*(maximum 300 words)*

### **3.2. Dissemination of project lessons**

*Outline a strategy and methods for documenting and sharing of best practices and lessons from the project to relevant audiences. Please also include a summary of the broader communications strategy (e.g. social media, website updates, media engagement).*

*(maximum 300 words)*

## **4. Budget**

*Complete the budget template ([Annex 5](#)) with a detailed budget, which must be coherent with the activities listed above.*

*Download the template here: [Annex 5](#)*

*In this section, provide a brief narrative description of your budget. Highlight if there is any other support to the project (in cash or in-kind). If consortium partners will receive funding, please indicate the activities and budget lines for each partner. Present your main budget categories explaining which represent the highest proportion from the total. The budget must be presented in United States Dollars (USD).*

*If your budget requested from the Global EbA Fund exceeds USD 250,000, please provide additional justification.*

*(maximum 100 words)*

## **5. Institutional arrangement**

### **5.1. Applicant organisation description**

*Describe the applicant organisation's purpose, history and current work.*

*(maximum 150 words)*

### **5.2. Applicant organisation relevant experience**

*Describe the previous experience of the organisation in managing grants of the same amount as requested to the Global EbA Fund and in working on EbA, and nature-based solutions.*

*(maximum 150 words)*

### **5.3. Applicant organisation current structure**

*Describe how many people are employed by the organisation (worldwide, regional, and in targeted countries).*

*(maximum 50 words)*

*Provide organogram with governance and operational structure.*

### **5.4. Applicant organisation's financial capacity**

*Include number of people dedicated to the financial functions, internal control systems, amounts managed, etc.*

*(maximum 50 words)*

### **5.5. Staff assigned to the project**

*Describe who will be involved in the project implementation, including name, full title, background and summarised role in the project.*

*(150 words per staff member)*

*CVs for lead personnel may be also submitted.*

### **5.6. Description of partners**

*If your organisation is partnering with other organisation(s) in the implementation of this project (consortium) please provide information for each partner. Copy the table below as many times you need depending on the number of partners involved. All partners must complete the co-applicant mandate (Annex 2). CVs for lead personnel to be involved in the project should also be submitted. Provide organogram with governance and operational structure among the consortium partners.*

<b>Full Legal Name:</b>	
<b>Country of Registration:</b>	
<b>Legal Status:</b> <i>(NGO, CBO, academic institution, etc.)</i>	
<b>Address:</b>	
<b>Contact Person:</b>	

<b>Contact Person Telephone Number</b> <i>(with country code):</i>	
<b>Contact Person Email Address:</b>	
<b>Role and involvement in preparing the proposal:</b>	
<b>Role and involvement in implementing the proposed project:</b>	
<b>Experience with similar project in relation to role in implementing this proposed project:</b>	
<b>History of cooperation with the applicant:</b>	
<b>Funding recipient of the Global EbA Fund:</b> <i>Will this partner organisation receive funding from the Global EbA Fund? [Yes/No]</i>	

## 6. Risk Management

As a part of the full proposal, applicants must complete the [Final ESMS Screening Questionnaire \(Full Proposal\)](#) to provide more robust Environmental and Social Risk-related information where applicable. These questions are specific to geographic context, grant applicant objectives and proposed activities and are designed proportional to the expected risks.

The Global EbA Fund Environmental and Social Management System conforms to the environmental and social safeguard requirements of IUCN. In general, IUCN’s institutional ESMS consists of four safeguard standards (i.e. Biodiversity and Sustainable use of Natural resources; Cultural Heritage; Indigenous Peoples; Involuntary Resettlement and Access Restrictions). IUCN’s ESMS is further guided by eight overarching principle, which are further outlined in the [Global EbA Fund Environmental and Social Management System](#) document.

Please review this document and complete the [Final ESMS Screening Questionnaire \(Full Proposal\)](#) below.

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