### **CONCEPT STAGE CHECKLIST**

Please make sure your application at the concept note stage includes all the following documents at submission:

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*](https://www.iucn.org/sites/dev/files/global_eba_fund_grant_procedures_manual.pdf) *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](https://www.iucn.org/sites/dev/files/annex_i_grantee_esms_screening_questionnaire.docx) (Table 1)

Signed Applicant Declaration Form

Completed [Online Submissions Form](https://globalebafund.org/submissions/)

Please email the complete application packet to [submit.EbAFund@iucn.org](mailto:submit.EbAFund@iucn.org). The cut-off dates for consideration in 2022 will be **23:59 UTC+2 on 28 February 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.

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 not required.

## **INITIAL SCREENING CRITERIA**

The Global EbA Fund is structured to support catalytic, innovative and urgent initiatives to help to overcome identified barriers to upscaling EbA. The initial screening criteria included below seek to identify projects which align with the Strategic Objectives of the Fund. These criteria will be applied equally to all applications received regardless of project type, size or requested funding and they will determine basic eligibility. **Please only select Yes or No for the questions and for #6 select one Strategic Objective which most closely aligns with your proposed project.**

*For Questions 1-5 please refer to FEBA EbA Qualification Criteria and Quality Standards (*[*EN*](https://www.iucn.org/sites/dev/files/feba_eba_qualification_and_quality_criteria_final_en.pdf) *|* [*FR*](https://www.iucn.org/sites/dev/files/feba_eba_qualification_and_quality_criteria_final_fr.pdf) *|* [*ES*](https://www.iucn.org/sites/dev/files/feba_eba_qualification_and_quality_criteria_final_es.pdf)*) 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.*

1. 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.*

1. 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.*

1. If the intervention has a regional or country-specific focus, is it targeted to one or more countries eligible for [official development assistance (ODA)](https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC-List-ODA-Recipients-for-reporting-2021-flows.pdf), as defined by the OECD? Yes / No
2. 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.*

1. 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
2. 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

# 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](https://www.iucn.org/sites/dev/files/global_eba_fund_grant_procedures_manual.pdf);
* 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](https://www.iucn.org/sites/dev/files/global_eba_fund_standard_contract_for_grantees.docx);
* 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: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Concept Note Template**

The Concept Note (CN) is the first step in the application process. If Concept Notes are approved, applicants will be asked to prepare a full project proposal for further evaluation. Please complete **ALL** sections of this form and attach the required documents. Applicants *must* also complete the [online submission form](https://globalebafund.org/submissions/). 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 (notarised translation 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](http://www.globalebafund.org/) 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 date for consideration in the next round of funding will be **23:59 UTC+2 on 28 February 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** | | |
| **Applicant Organisation Legal Name:** |  | |
| **Short Name/Acronym:** |  | |
| **Country/ countries of operation:** |  | |
| **Total Permanent Staff:** |  | |
| **Organisation Type:**  *Mark with an X one option only.* |  | Non-governmental organisation (NGO) |
|  | International non-governmental organisation (INGO) |
|  | Inter-governmental organisation (IO) |
|  | Community-based organisation (CBO) |
|  | Indigenous People’s Organisation |
|  | University or other academic institution |
|  | Research institute or think tank |
|  | Private sector company |
|  | Other, please explain: |
| **Year Organisation Established:** |  | |
| **Purpose/Mission:** |  | |
| **Organisation Yearly Budget:** |  | |
| **Organisation Address:** |  | |
| **Website Address:**  *(If available, please also provide relevant organisational social media accounts)* |  | |
| **Contact Person Name:** |  | |
| **Contact Person Position:** |  | |
| **Contact Person Email:** |  | |
| **Secondary Person Email:**  *Note: This individual will be copied on any email communication.* |  | |
| **Telephone** *(with country code)***:** |  | |

|  |  |  |
| --- | --- | --- |
| **Consortium Partner(s)**  *If applicable* | **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)** |
|  |  |  |  |  |  |
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**2. Project Description**

|  |  |
| --- | --- |
| **Project Description** | |
| **Project Title:** |  |
| **Country:**  *List the country/countries of implementation as applicable, and as listed in the* [*DAC ODA recipient list*](https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC-List-ODA-Recipients-for-reporting-2021-flows.pdf) |  |
| **Geographic Area:**  *Country(ies), state, district, sub-region, basin, protected areas, corridor, etc. If possible, give an estimated size in hectares.* |  |
| **Proposed duration (in months):** |  |
| **If proposed project duration is longer than 24 months, please provide an explanation. [100 words]** |  |
| **Proposed budget (USD):** |  |
| **Project Summary:**  *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* [online submission form](https://globalebafund.org/submissions/).  *[300 words]* |  |

|  |  |
| --- | --- |
| **Problem statement:**  *Explain what the main vulnerabilities of the project area are regarding climate change risks and effects. Justify selection of project area.* |  |
| **Project Approach:** |  |

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

|  |  |
| --- | --- |
| **Relevance to the Global EbA Fund Strategic Objectives** | |
| **How does the project contribute to the Global EbA Fund Strategic Objectives?**  *Refer to the Strategic Objectives in the initial screening checklist in your answer* |  |
| **Does the project involve a field component?**  *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.* |  |

|  |  |
| --- | --- |
| **Implementation details** | |
| **Key Stakeholders and Beneficiaries who will be impacted by the project:** |  |

**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](https://www.iucn.org/sites/dev/files/feba_eba_qualification_and_quality_criteria_final_en.pdf) | [ES](https://www.iucn.org/sites/dev/files/feba_eba_qualification_and_quality_criteria_final_es.pdf) | [FR](https://www.iucn.org/sites/dev/files/feba_eba_qualification_and_quality_criteria_final_fr.pdf)). | |
| **(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 but will 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)** |  |  |
| **Consultants & Professional Fees** |  |  |
| **Publication and Materials** |  |  |
| Printing and binding |  |  |
| **Workshop and Events** |  |  |
| **Travel** |  |  |
| **Sub-total** |  |  |
| Administrative costs (12% overhead) |  |  |
| **TOTAL** |  |  |

*Main budget items normally include personnel (staff), consultants and professional fees, publication and materials, workshop and events, travel, and administration costs (max. 12% overhead costs). Please add or delete categories and rows as needed. Import duties cannot be paid with Global EbA Fund grant funds. The maximum administrative overhead cost is 12%.*

**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*

**Grantee ESMS Screening Questionnaire**

**Table 1: Initial ESMS Screening: Concept Note Stage**

|  |  |  |
| --- | --- | --- |
| **Exempted Activities** | | |
| **Does the project fall *exclusively* into the following categories?** *Projects that are comprised entirely of one or more of the following may be exempt from further ESMS screening if selected to advance to the full proposal stage.* *Projects are not required to fall into one or more of these categories for consideration*. See “excluded activities” below for projects which will not be considered. | **Yes** | **No** |
| * Preparation and dissemination of knowledge products and communication materials? |  |  |
| * Organisation of an event, workshop, training? |  |  |
| * Strengthening capacities of partners to participate in international or national negotiations and conferences? |  |  |
| * Partnership coordination and management of networks? |  |  |
| * Global/regional/national project with no field-level activities (e.g. activities such as knowledge management, inter-governmental processes)? |  |  |
| **Excluded Activities** | | |
| **Could the project activities:** | **Yes** | **No** |
| 1. Contravene major international and regional conventions on environmental issues? |  |  |
| 1. Propose to create or facilitate significant degradation and/or conversion of natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.) including those that are legally protected, officially proposed for protection, identified by authoritative sources for their high conservation value, recognised as protected by traditional local communities, or have significant negative socioeconomic and cultural impacts that cannot be cost-effectively avoided, minimised, mitigated and/or offset? |  |  |
| 1. Involve adverse impacts on critical natural habitats, including forests that are critical natural habitats, including from the procurement of natural resource commodities, except for adverse impacts on a limited scale that result from conservation actions that achieve a net gain of the biodiversity values associated with the critical natural habitat? |  |  |
| 1. Propose to carry out unsustainable harvesting of natural resources -animals, plants, timber and/or non-timber forest products (NTFPs)- or the establishment of forest plantations in critical natural habitats? |  |  |
| 1. Propose the introduction of species outside their natural range (non-indigenous) that can potentially develop invasive characteristics and become harmful to the environment? |  |  |
| 1. Involve physical displacement of people (relocation or loss of shelter), either involuntary (where people may not be able to refuse) or forced (through coercion and/or undue influence)? |  |  |
| 1. Contravene major international and regional conventions on human rights, including rights specific to indigenous peoples? |  |  |
| 1. Propose activities that result in the exploitation of and access to outsiders to the lands and territories of indigenous peoples in voluntary isolation and in initial contact? |  |  |
| 1. Propose the use and/or procurement of materials deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international phase-outs or bans, such as: 2. ozone depleting substances, polychlorinated biphenyls (PCBs) and other specific, hazardous pharmaceuticals, pesticides/herbicides or chemicals; 3. wildlife or products regulated under the Convention on International Trade in Endangered Species or Wild Fauna and Flora (CITES)? |  |  |
| 1. Propose the use and/or procurement of pesticides and hazardous materials that are unlawful under national or international laws, the generation of wastes and effluents, and emissions of short- and long-lived climate pollutants? |  |  |
| 1. Involves the removal, alteration or disturbance of any non-replicable or critical cultural heritage, or the use of any intangible cultural heritage without the Free, Prior and Informed Consent of the communities who it belongs to? |  |  |