

BEST

VOLUNTARY SCHEME
FOR BIODIVERSITY AND
ECOSYSTEM SERVICES
IN TERRITORIES OF
EUROPEAN OVERSEAS



BEST 2.0

Promoting conservation and sustainable use of
Biodiversity and Ecosystem Services in Overseas
Countries and Territories

OPERATIONAL MANUAL

(2017)



The BEST 2.0 Programme Operational Manual is a compendium of operating policies and procedures that cover all stages of the project cycle, i.e. approval, implementation, completion and evaluation. It mainly focuses on grant-making, grant management, financial management, conflicts of interest, risk assessment, cash flow, and monitoring processes.

BEST 2.0 grants are awarded according to the BEST 2.0 Operational Manual - validated by the European Commission - to ensure that suitably qualified grant beneficiaries are chosen without bias and that the best value for money is obtained, with the full transparency that is appropriate for the use of public funds.

The Operational Manual may only be amended with the approval of the European Commission.



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1. BEST 2.0 Programme

1.1. BEST 2.0 Programme overview

1.1.1. Context

A programme of the scale and design of BEST 2.0 is essential to address the conservation and sustainable development needs in the European Overseas. Already in 2008, the conference *“The European Union and its Overseas Entities: Strategies to Counter Climate Change and Biodiversity Loss”* held in La Réunion underlined the need for a dedicated mechanism to better support actions and ease access to the available European funds. This statement has been renewed in 2014 in the message from the international conference on *“Biodiversity and Climate Change: from Strategies to Actions”* held in Guadeloupe.

As a follow-up to a key recommendation from the conference in 2008, the development of a "Voluntary Scheme for Biodiversity and Ecosystem Services in the Territories of EU Overseas" – the BEST Initiative – was started. In 2009 the European Commission DG Environment developed an initial concept for the scheme in open collaboration with the concerned Member States i.e. those with a constitutional link with the Outermost Regions (ORs) and Overseas Countries and Territories (OCTs). The BEST Preparatory Action, adopted by the European Parliament in 2010, provided seed money of € 2 million which enabled an open call for proposals (BEST-2011). The strong response to this first call and the support for the initiative in the ORs and OCTs led to an additional call under the BEST Preparatory Action in 2012 with a budget of € 2 million (BEST-2012). The third and final year of the BEST Preparatory Action has been concentrated into a single action with the purpose of consolidating and structuring the BEST Initiative beyond the lifetime of the BEST Preparatory Action.

1.1.2. What is it?

The BEST 2.0 Programme (hereafter BEST 2.0), which is part of the EU Biodiversity for Life (B4Life) flagship, aims to pilot an innovative financing mechanism for biodiversity conservation and sustainable development in the EU OCTs by setting up a funding facility for small-scale and medium-scale field actions on the ground. It aims to support the objectives of the BEST Initiative, the 2013 Overseas Association Decision (OAD), particularly Article 16, and the implementation of relevant territorial, national and local strategies.

The high relevance of the OCTs with regard to the biodiversity of Europe is now clearly recognised. So is the unique opportunity they represent for the EU to assume a leadership role in the collective efforts to achieve EU and global biodiversity targets, not only as a committed group of developed country parties to the CBD, but also as a host of globally important ecosystems. The majority of Europe's biodiversity is found in its overseas entities (OCTs and ORs). The OCTs span the globe from the Arctic to the Antarctic, the Caribbean, the Atlantic, Pacific, and Indian Oceans. They are set in unique environments, include recognized key biodiversity areas, and most are critical to ecosystem services of local, regional and global importance. Several OCTs are located in global biodiversity hotspots,

while some are found in Polar regions (e.g. Greenland, the Falkland Islands, Terres Australes et Antarctiques Françaises (TAAF) etc.) where some of the world's major fish stocks remain.

The conservation and sustainable use of EU overseas biodiversity and ecosystem services is crucial for the achievement of EU and global biodiversity targets (e.g. EU Biodiversity Strategy to 2020 and CBD Aichi Targets) and to enable the EU to be a key player and leader in global biodiversity conservation.

Despite this growing acknowledgment, OCT stakeholders struggle to access financial support for biodiversity conservation and the sustainable use of ecosystem services. Thus far, still too little is being done to finance biodiversity actions in these regions. The funding procedures of EU instruments often require substantial bureaucratic capacity, whereas the availability of more easily accessible and manageable small grant schemes remains limited. In addition, the support provided by Member States to their respective OCTs is insufficient to meet all of their needs.

OCTs are eligible for EU development cooperation financing instruments such as the European Development Fund (EDF) and the Development Cooperation Instrument (DCI), including the Global Public Goods and Challenges (GPGC) programme. GPGC and EDF are the main sources of external funding for OCTs in support of their development objectives, including conservation of biodiversity and ecosystem services. Conversely, the ORs, although they benefited from the BEST Preparatory Action, are not eligible for EU development cooperation instruments and therefore cannot be considered within the BEST 2.0 Programme.

The high volume of applications in response to the two open calls for proposals during the first two years of the BEST Preparatory Action – a total of 84 proposals were submitted – clearly demonstrates the willingness, readiness and motivation of the ORs and OCTs to engage in the protection of biodiversity and sustainable use of ecosystem services. A tailored grant programme has proven to be an appropriate and efficient way to achieve such involvement, while maintaining the advantage of being flexible and easily accessible. BEST 2.0 provides strategic assistance to engage non-governmental organizations (NGOs), community groups, other civil society partners as well as local governments in conserving and sustainably managing the ecosystems and ecosystem services in the OCTs.

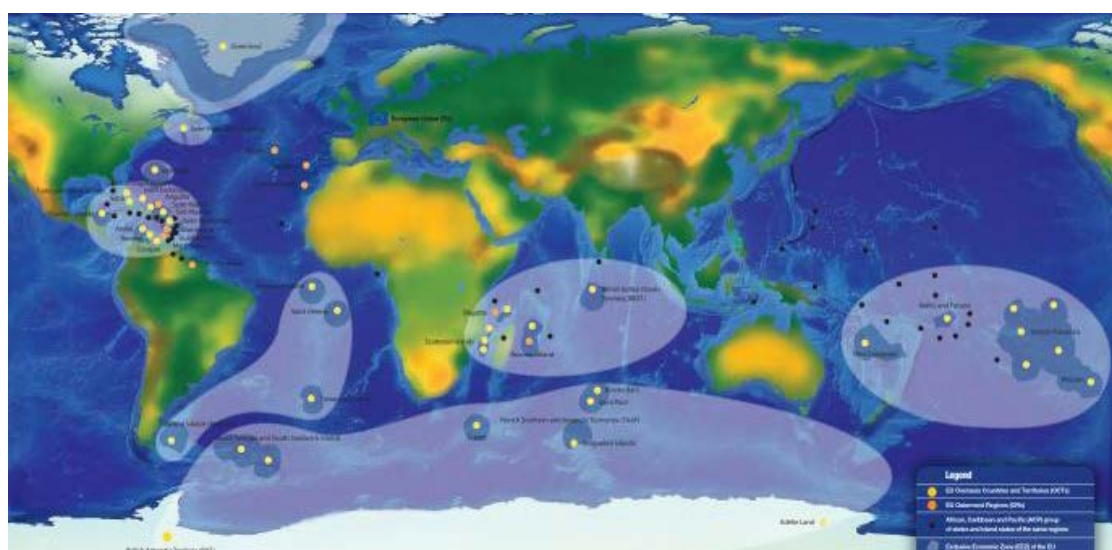
1.1.3. Geographical scope and whom is it open to?

BEST 2.0 is open to actors of the European OCTs as well as actors of the Members States active in the OCTs.

The OCTs are located in five important regions across the world:

- Pacific
- Caribbean
- South Atlantic
- Indian Ocean
- Polar and Sub-Polar.

Map of the five BEST 2.0 regions



Legend: ● OCTs

The OCTs are countries and territories which have special links with one of the following Member States: Denmark, France, the Netherlands and the United Kingdom.

Greenland, New Caledonia, French Polynesia, Wallis et Futuna, Saint Barthelemy, Saint-Pierre et Miquelon, Terres Australes et Antarctiques Françaises (TAAF), Aruba, Bonaire, Curaçao, Saba, St-Eustatius, St-Maarten, Anguilla, Montserrat, Turks et Caicos, Pitcairn, Falkland Islands, South Georgia and South Sandwich Islands, Saint Helena, Ascension, Tristan da Cunha, British Virgin Islands, Cayman Islands, Bermuda, British Indian Ocean Territory, British Antarctic Territories.

BEST 2.0 funding is available to local stakeholders based in the OCTs, organisations based in an EU Member State as well as Regional Organisations and International Organisations that are active in the OCTs. Full details of the eligibility criteria for the different types of BEST 2.0 grants can be found in sections 2.7 and 2.8 of the Operational Manual.

Grants are awarded according to the criteria set out in the Guidelines for Applicants for each call for proposals and detailed in section 2 of this Operational Manual. Specific attention is paid to avoid an unbalanced distribution of grants between the OCTs of different geographic regions and juridical dependence through the selection of the highest scoring proposals from each region (see section 2.9) and targeted capacity building activities.

1.1.4. What are the objectives?

- The overall objective of BEST 2.0 is to **promote the conservation of biodiversity and sustainable use of ecosystem services, including ecosystem-based approaches to climate change adaptation and mitigation, as a basis for sustainable development in OCTs.**
- The specific objective is to **enable, empower and strengthen local authorities and civil society organisations which are committed to local development, biodiversity conservation and sustainable use of ecosystem services in OCTs.**
- BEST 2.0 is designed to provide **substantive and effective support for actions** at the **local as well the regional level**, regional cooperation being key in the regions where the OCTs are located. BEST 2.0 will also catalyse the efforts and will constitute

a key contribution to the achievement of global objectives and goals in terms of biodiversity, sustainable development and climate change.

1.1.5. What are the expected results?

- **Constituting a facility** that provides swift and easy access to resources, and is flexible enough to adapt to the varying conditions and situations encountered in OCTs.

Efficiency of the efforts for biodiversity protection and sustainable use of ecosystem services requires local involvement as well as concrete actions on the ground. The budgets required for successful activities individually are often comparatively modest, however, the needs are numerous and access to funds is difficult. A smart small grant programme has proven to be an appropriate and efficient way to achieve such involvement while maintaining the advantage of being flexible and easily accessible. For these reasons the BEST 2.0 Programme gives priority to small grants.

- **Supporting the implementation of projects in the OCTs** that have a positive impact on the needs and priorities of the OCTs, as identified in the Overseas Association Decision (OAD) and further oriented through the regional ecosystem profiles.
- **Increasing the visibility of OCTs** as key contributors to the achievement of EU and global biodiversity targets (e.g. EU Biodiversity Strategy to 2020 and CBD Aichi Targets) through the maintenance and restoration of biodiversity and sustainable use of ecosystem services and as demonstrators of ecosystem-based approaches to climate change mitigation and adaptation and low-carbon economy through genuine partnerships.

1.1.6. Method of implementation

These tasks are executed in close coherence with the activities that are being carried out by the BEST III Consortium under the 3rd phase of the BEST Preparatory Action, namely, the development of regional ecosystem profiles and investment strategies, and the development of interactive information exchange mechanisms, including on fund-raising opportunities. In this regard, capitalising the participative process of the BEST ecosystem profiles, BEST 2.0 will not only ensure cost-efficiency but also the greatest incremental value for the investments.

BEST 2.0 activities and funding priorities are guided by the current knowledge of the OCT's biodiversity as well as the socioeconomic, policy, and civil society context and current investments. BEST 2.0 uses, when available, the regional ecosystem profiles and regional investment strategies and draws information from a number of sources, including experts, governmental partners, local organizations, and communities in the focal areas. The utilisation of the regional ecosystem profiles, developed using a multi-tiered, consultation-based approach, to inform the BEST 2.0 investments helps to ensure that the program provides the greatest incremental value per euro spent.

1.2. What are the guiding principles?

1.2.1. Openness and transparency

BEST 2.0 operates following the principles of openness, transparency, and partnerships as part of its commitment to strengthen and empower local stakeholders. This approach ensures the avoidance of potential conflicts of interest. All groups seeking funding from

BEST 2.0 and implementing projects with BEST 2.0 support are required to fulfil the defined protocols and methodologies established for the programme.

Non-proprietary information associated with projects and activities supported by BEST 2.0, including the monitoring assessments, are made available to the public. In particular, information such as awarded grants, project designs, results, best practices, and lessons learned are posted on the BEST 2.0 Portal (<https://portals.iucn.org/best>).

1.2.2. Consultation and participation

Applicants are recommended to make use of the outcomes of the regional ecosystem profiles work and regional investment strategies, when available, as well as other relevant territorial, national and local strategies, in order to address as far as possible the needs identified in each of the regions targeted by BEST 2.0. The grant mechanism and capacity-building activities are implemented taking account of the latest information on the priorities and needs as defined in collaboration with the relevant stakeholders.

Collaborative engagement among the BEST 2.0 Secretariat, BEST 2.0 Regional Teams, project implementers, and stakeholders during project design, implementation, and evaluation activities enables grant applicants to make full use of the opportunity provided through BEST 2.0.

The impact of individual projects and the overall global programme are improved through the shared accountability, collaboration, and sensitivity to social, economic, and cultural needs that result from the sustained engagement of key stakeholders.

Information Dissemination – accessibility and sharing of information in relation to the BEST 2.0 investment strategy, projects, results, and lessons learned are the cornerstone of the Programme's approach to avoid duplication of effort as well as to foster transparency, learning, and replication within and across ecosystems, regions, and at the global level.

These principles of the BEST 2.0 approach to stakeholder involvement are fundamental to achieving the Programme's objectives and enhancing the benefits to ecosystems, threatened species, their critical habitats, and the local communities and others they support.

Complementary guidelines are:

- The BEST 2.0 Regional Teams shall ensure stakeholder involvement at the local and regional levels. Grantees are responsible for ensuring stakeholder involvement at the project level.
- The adequacy of a project's consideration and involvement of relevant stakeholders, including the extent and quality of stakeholder consultation during the development of the project, the maintenance of stakeholder participation over time, and the degree to which stakeholder involvement enhances sustainability are criteria against which all project proposals are assessed. These factors are also considered during implementation.
- Different requirements for public involvement will exist across project types; appropriate stakeholder engagement will vary among projects depending on the specific circumstances. For example, a project that affects local communities, lands or impacts the livelihoods of local communities will require a more extensive approach to consultation and participation than one that provides technical

assistance to a government agency to improve its ability to implement its commitments under an international convention.

- All project stakeholder consultations and plans for mitigating adverse impacts and ensuring that environmental and social safeguards are adequately met should be documented by the grantee and are reviewed and archived by the BEST 2.0 Secretariat.

1.2.3. Complementarity

All grantees are encouraged to undertake stakeholder consultations with other conservation agencies and government departments to ensure that projects are complementary and avoid duplication of on-going conservation efforts. Grant portfolios are made available to partner organizations, the conservation community and governments in a timely fashion via the BEST Portal and newsletters. The ACP Secretariat and CEPF Regional Implementation Team representatives are apprised of relevant BEST 2.0 grants on a regular and timely basis via a formal communication, helping to ensure complementarity with local and regional ACP Secretariat and CEPF actions.

1.3. What kind of projects?

BEST 2.0 provides funding to projects supporting, thanks to tangible actions, the achievement of the objectives of the BEST Initiative, the priorities identified in the BEST III Regional Ecosystem Profiles including priority Key Biodiversity Areas (KBAs) where available, the Overseas Association Decision, the updated OCT environmental profiles¹, where validated by the local government, and relevant territorial, national and local strategies (see section 2.10).

All grant proposals are carefully reviewed in terms of the relevance of their conservation actions with regard to the above mentioned objectives, the potential effectiveness of the actions, the long-term sustainability of conservation gains and the ability of the grantee to implement a successful project.

1.3.1. BEST 2.0 niche

The [18 projects](#) supported by the BEST Preparatory Action have shown that external funding from the EU has a highly beneficial effect on the ability of local actors to leverage complementary funding, as well as strengthening their institutional capacity. ORs and OCTs are not eligible for international funds such as the Critical Ecosystem Partnership Fund (CEPF) which is supporting projects in the regions where the ORs and OCTs are located. In this regard the BEST Initiative is a highly complementary scheme dedicated to the EU Overseas with a high potential to catalyse and leverage the effects of actions since the ORs and OCTs host ecosystems of global importance.

Having been designed as a funding facility for small-scale and medium-scale field actions in the OCTs, BEST 2.0 provides a great opportunity to continue piloting new action oriented support. BEST 2.0 funding will enable the programme to broaden existing partnerships and further strengthen the devolution of roles and responsibilities to OCT level, to strengthen capacity, and to build greater ownership and sustainability of conservation efforts. BEST 2.0 projects will provide support to local governments to address conservation priorities

¹ The OCT environmental profiles are available on the EC website: https://ec.europa.eu/europeaid/overseas-countries-and-territories-environmental-profiles-2015_en

identified in their strategies and action plans as well contribute to the achievement of European and global biodiversity targets, in particular the Aichi targets of the Convention on Biological Diversity (CBD) but also the sustainable development goals.

Expected global benefits will arise from the increased participation and capacity of governments and civil society groups to manage and deliver added-value conservation initiatives and to better integrate biodiversity conservation into development and landscape planning in regions of recognised global importance. These interventions will lead to the generation, adoption, adaptation, and application of lessons for improved outcomes relevant to BEST, European and broader conservation and development communities.

Synergy with and leveraging complementary actions by Member-States or other cooperation channels or financial instruments of the EU will be sought, not only in the OCTs but also in neighbouring ACP countries and EU Outermost Regions (ORs). BEST 2.0 represents a credible, secure, coordinated, and effective vehicle for other donors to apply their investments. It also provides a common platform and framework for national and regional cooperation to address some of the key challenges to targeted threatened species and ecosystem conservation.

The BEST Preparatory Action has been a critical step to enhance policy awareness towards promoting biodiversity conservation as an essential component of development in the EU ORs and OCTs. The BEST Initiative is referred to in Commission Communications and has benefited from a large political support from EU Member-States, the EU Parliament and Council and on an international level.

Such support has been confirmed by a statement of the Commission accompanying the Council and European Parliament Regulation of 11 December 2013 on the LIFE Programme: "The BEST Preparatory Action has been a successful initiative that has been embraced by OCTs and has delivered tangible results for biodiversity and ecosystem services. The Commission is favourably considering following up on it under one of the new instruments, namely the Global Public Goods and Challenges programme under the Development Cooperation Instrument."

The EU adopted the Council Decision of 25 November 2013 on the association of the overseas countries and territories with the European Union (Overseas Association Decision), in which it established environmental issues, including biodiversity and climate change as potential areas of cooperation. It also emphasises the linkage to sustainable development, which is at the heart of the BEST Initiative and BEST 2.0.

1.4. BEST 2.0 Programme components

1.4.1. Four overarching and interlinked components

The BEST 2.0 programme includes four **overarching and interlinked components**:

1. **A grant programme** providing funding for projects in OCTs through small and medium sized grants.
2. **Capacity building** activities supporting local actors during the preparation of proposals, thus facilitating their access to European funds.
3. **Monitoring** to inform investments and promote capitalisation of the lessons learnt.
4. **Programme execution and management.**

1.4.2. Indicators of success

Key indicators of success include:

- At least 5 Medium Grant projects are funded.
- At least 50 Small Grant projects are funded.
- At least 80% of OCTs benefit from at least one BEST 2.0 project on their territory.
- At least 40 different small-scale organisations, including local government bodies are awarded a BEST 2.0 sub-grant.

The programme level objective and purpose for BEST 2.0 are expressed in the Logical Framework (see section 1.4.4).

1.4.3. BEST 2.0 monitoring and evaluation approach

The BEST 2.0 monitoring and evaluation framework is designed to track and assess performance and impacts at three levels – programme, regional, and individual projects. These three levels are closely integrated: the monitoring of individual projects feeds into the higher regional and programme level monitoring to build clear and tangible links between the objectives of the individual projects and their contribution to relevant territorial, national and local strategies, the priorities identified in the regional ecosystem profiles and the overall objective of BEST 2.0.

The principle goals of the framework are to assess the efficacy of interventions funded in relation to the objectives of BEST 2.0, the regional ecosystem profiles and relevant territorial, national and local strategies; to inform the future delivery and direction of the individual projects and the Programme as a whole through the process of adaptive management; and to identify best practices, innovative approaches, lessons learned, and results.

1.4.4. BEST 2.0 Logical Framework

The four-year implementation BEST 2.0 Logical Framework provides the conceptual underpinning for the Programme's monitoring approach and its strategic allocation of grant funding. The framework captures the highest level conservation targets set for the programme and also incorporates related socioeconomic, policy, and civil society targets.

The BEST 2.0 Secretariat is responsible for monitoring the performance of the overall program and ensuring that all activities are carried out in line with this Operational Manual. The Regional Teams support program-level monitoring by supervising the collection and analysis of performance data at the regional and project levels.

The BEST 2.0 Secretariat compiles performance data at the program level and conducts analyses to identify trends, key accomplishments, performance strengths and weaknesses, and lessons learned.

BEST 2.0 Logical Framework

	Project description	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Overall objective	To promote the conservation of biodiversity and the sustainable use of ecosystem services including ecosystem-based approaches to climate change adaptation and mitigation as a basis for sustainable development in the EU's Overseas Countries and Territories	Biodiversity status indicators: <ul style="list-style-type: none"> • Region-based UICN Red List of Endangered Species • Status of protected areas in OCT • The number and proportion of different ecosystems targeted by projects each year and over the calls for proposals 	<ul style="list-style-type: none"> • IUCN red-list • WDPA (UNEP-WCMC) • Member-State national reports to CBD • Reports from several sources on OCTs' biodiversity 	
Programme purpose	To enable, empower and strengthen local authorities and civil society organisations which are committed to local development and biodiversity conservation and sustainable use of ecosystem services in OCTs	<ul style="list-style-type: none"> • By 2018, at least 80% of OCTs have benefited from at least one BEST 2.0 project on their territory • By 2018, at least 40 different small-scale organisations, including local government bodies, have been awarded a BEST 2.0 grant 	<ul style="list-style-type: none"> • Intermediate and end-of-programme reports • BEST 2.0 grant database 	OCT governments contribute to creating an enabling environment for ensuring sustainable impact of the actions carried out by civil society organisations
Expected results	Result 1: BEST 2.0 Facility set up and provides swift and easy access to resources, and is flexible enough to be adapted to the varying conditions and situations encountered in the OCTs	<ul style="list-style-type: none"> • Tentatively, at least 4 calls for proposals are launched during the project lifetime • Training is organised in each of the 5 regions • At least 200 small local organisations from the OCTs are reached by the training and submit proposals for a BEST 2.0 grant 	<ul style="list-style-type: none"> • Intermediate and end-of-programme progress reports • BEST 2.0 grant database • Training event participants lists 	Exposure to BEST 2.0 increases the capacity of organisations to contribute to local development and biodiversity conservation and sustainable use of ecosystem services in OCTs

	<p>Result 2: A significant number of projects will be implemented in all OCTs, having a positive impact on the needs and priorities of the OCTs, as identified in the Overseas Association Decision and further oriented through the regional ecosystem profiles delivered through the BEST III contract.</p>	<ul style="list-style-type: none"> • At least 50 Small Grants are awarded to small local actors in at least 80% of OCT • At least 5 Medium Grants are awarded to bigger local or international actors, covering at least 2 OCTs each or matching complementary actions in neighbouring ORs, ACPs or SIDS 	<ul style="list-style-type: none"> • Intermediate and end-of-programme progress reports • BEST 2.0 grant database 	<p>Learning from the BEST 2.0 projects is utilised by local authorities and civil society organisations which are committed to local development and biodiversity conservation and sustainable use of ecosystem services in OCTs</p>
	<p>Result 3: The visibility of OCTs will be increased as key contributors to the achievement of EU and global biodiversity targets (Aichi Targets) through the maintenance and restoration of biodiversity and sustainable use ecosystem services and as demonstrators of ecosystem-based approaches to climate change mitigation and adaptation and of a low-carbon economy through genuine partnerships.</p>	<ul style="list-style-type: none"> • Side-events² will be organised as appropriate at four internationally relevant meetings related to biodiversity, climate change or sustainable development • Two high profile events³ will be organised to take advantage of the exposure of the CBD COP and World Conservation Congress • At least 4 case studies produced for EuropeAid's communication data base • Social media will be used to maximise visibility 	<ul style="list-style-type: none"> • Reports of the respective meetings. • Official publication of decisions on the CBD and/or UNFCCC web site. • Case studies search engine of the EuropeAid's intranet. • References in Council Conclusions and other policy documents • Number of followers and posts/tweets 	<p>Increased visibility of OCTs as key contributors to the achievement of EU and global biodiversity targets leads to a commitment to increased support and resources.</p>

² If feasible and appropriate side-events will be held together with BEST III

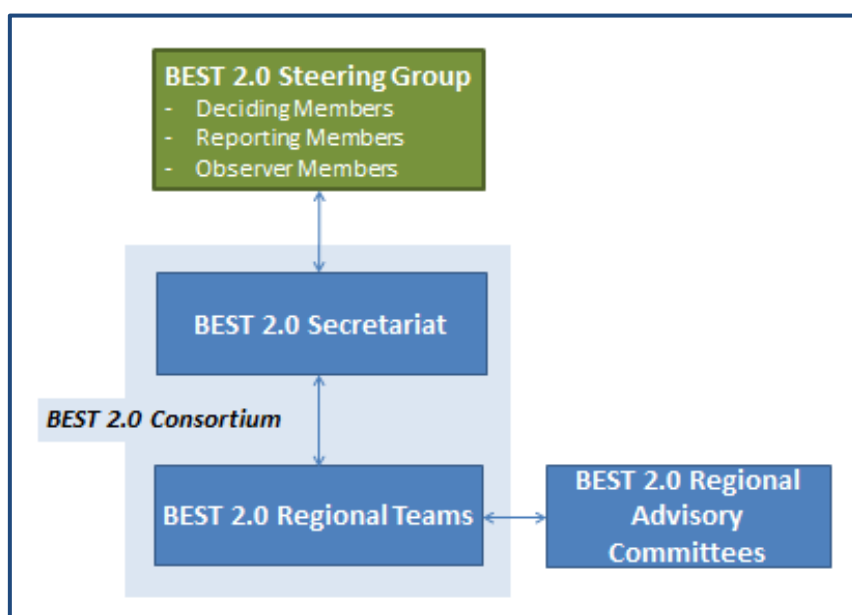
³ If feasible and appropriate the high profile events will be organised together with BEST III

1.5. Programme management structure and governance

The governance of BEST 2.0 comprises a number of structures, namely the Secretariat, Regional Teams, Regional Advisory Committees and Steering Committee. Their respective roles and responsibilities are described below.

IUCN is responsible for administering and executing the BEST 2.0 Programme. This includes hosting the BEST 2.0 Secretariat, employing Secretariat staff, and ensuring that all funds are managed with due diligence and efficiency on behalf of the Programme.

BEST 2.0 management structure



BEST 2.0 Secretariat

The BEST 2.0 Secretariat is responsible for strategic and financial management, oversight, and reporting for the Programme. This includes supervision of the BEST 2.0 Programme implementation, monitoring and reporting to ensure that all activities and the financial management are carried out in accordance with the BEST 2.0 Operational Manual, as well as the training and management of Secretariat staff. Component 1 of the Programme finances the Secretariat so that it can carry out its responsibilities, including financial management and annual audits, organizing independent evaluations, communications and outreach, including management of the program's global online portal (<https://portals.iucn.org/best>), and publication production, training for participatory monitoring, documentation of lessons learned, and facilitating opportunities for sharing of information and best practices among grantees and partners, including the development of a capitalisation document. Direct financing of fundraising and communications activities is also derived from Component 3.

The Roles and Responsibilities of the BEST 2.0 Secretariat

- Supervising the implementation of all BEST 2.0 activities.
- Developing the overall programme in collaboration with the regional partners.

- Developing the BEST 2.0 Operational Manual and supporting documents for the calls for proposals, including the guidelines for applicants, application forms etc.
- Managing the BEST 2.0 Secretariat staff.
- Monitoring and reporting to ensure that all BEST 2.0 activities and financial management are carried out in compliance with the European Commission rules as well as the BEST 2.0 Operational Manual.
- Creating, managing and updating the webpages of the existing EC BEST website dedicated to BEST 2.0 (<http://ec.europa.eu/best>).
- Creating and managing an internal online portal for the submission of proposals.
- Organising the calls for proposals in collaboration with the BEST 2.0 Regional Teams.
- Providing the secretariat for the BEST 2.0 Steering Committee.
- Issuing and managing the grants.
- Supporting annual audits.
- Developing international promotion, communication and outreach materials.
- Documenting the lessons learnt, thereby facilitating knowledge sharing and the transfer of best practices.

The BEST 2.0 Secretariat comprises the BEST 2.0 Coordinator, BEST 2.0 Officer, BEST 2.0 Senior Finance Officer and BEST 2.0 Communication Officer. The BEST 2.0 Secretariat is supported by the BEST 2.0 Regional Teams (hereafter, Regional Teams) and the BEST 2.0 Regional Advisory Committees.

1.5.1. BEST 2.0 Regional Teams

In order to ensure the most efficient synergies between BEST III and BEST 2.0, the BEST III Regional Teams act as regional contact points for the BEST 2.0 Programme in the five BEST 2.0 regions.

Caribbean - coordinated by SPAW-RAC and the Natural Reserve of Saint Martin

South Atlantic - coordinated by SAERI

Polar and Sub Polar - coordinated by TAAF

Indian Ocean - coordinated by the French Committee of UICN

Pacific - coordinated by the French Committee of IUCN

Located in all of the five regions targeted by BEST 2.0, the Regional Teams ensure important proximity to the stakeholders and are available to provide information and explanation about the Programme as well as delivery capacity-building.

They also ensure that the ecosystem profiles work is capitalised by the BEST 2.0 Programme, particularly for informing and supporting the assessment of proposals by providing the BEST 2.0 Regional Advisory Committees with useful insights and advice on the proposals regarding their accordance with the ecosystem profiles work.

In addition, based on learning from the former BEST Preparatory Action calls, the Regional Teams contribute to the monitoring of the projects funded and to the capitalisation exercise. Their knowledge and networks are instrumental in this respect.

The Regional Teams consist of a BEST 2.0 Regional Officer supported by the BEST 2.0 and BEST III Regional Hub Coordinator to facilitate synergies. The terms of reference for the Regional Teams can be found in [Annex 3](#).

1.5.2. BEST 2.0 Regional Advisory Committees

The BEST 2.0 Regional Advisory Committees bring together independent experts to assist in the assessment of proposals by providing an independent technical review. The members comprise independent experts with a sound knowledge of and experience in the respective region to ensure a fair and impartial review. IUCN and its partners will mobilize their respective expert networks to this end. The terms of reference for the Regional Advisory Committee experts include provisions to prevent any risk of conflict of interest between the regional experts and potential applicants from the same regions. The experts comprising the Regional Advisory Committees are validated by the European Commission. The terms of reference for the Regional Advisory Committees can be found in [Annex 4](#).

The BEST 2.0 Regional Teams convene and ensure the secretariat of the BEST 2.0 Regional Advisory Committees.

1.5.3. BEST 2.0 Steering Committee

The Steering Committee is a platform for information exchange and for sharing advice and recommendations on the overall strategic, operational and financial direction of all phases of the programme between the Contracting Authority (the European Commission, DG DEVCO), other Commission services, the contractors (IUCN and consortium members) and other interested parties. The Steering Committee will be invited to express opinions on, *inter alia*, work programmes, draft call for proposals, thematic priorities, reports on the results of the calls on an annual basis. It may also introduce and discuss amendments to the BEST 2.0 Operational Manual, which contains the specific operating policies and procedures of BEST 2.0. The terms of reference for the Steering Committee can be found in [Annex 5](#).

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

- Deciding members:

- 1 representative of DG DEVCO C2 (chair)
- 1 representative of DG DEVCO 0.7 (Relations with Overseas Countries and Territories)
- 1 representative of DG ENV B2.

- Reporting members:

- Up to 4 representatives of IUCN-headquarters (secretariat): Coordinator; Project Officer; Senior Finance Officer; Communication Officer.
- 1 representative of each of the 5 regional teams (SAERI; TAAF; SPAW-RAC; IUCN-France/Indian Ocean; IUCN-France/Pacific).

- Observer members:

- 6 representatives of the OCTs under the coordination of OCTA.

- 1 representative per member of the BEST III consortium that is not involved in the BEST 2.0 consortium: CEPF/CI; WWF-France; FRC.
- Representatives of other European Commission DGs: RTD; CLIMA; REGIO.
- Representatives of EU Member-States that have a constitutional link with the OCTs (FR; UK; NL; DK).

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

Steering Committee meetings are held annually after each call for proposal and conclusion of the review process. The meetings will be organised during the same week as the BEST III consortium meeting when possible. The BEST 2.0 Secretariat elaborates an agenda for each meeting and sends invitations to participants. The Secretariat also elaborates the minutes of all the meetings.

1.6. Programme implementation

The BEST 2.0 implementation arrangements are designed to build on the lessons learned from the BEST Initiative and on-going major conservation initiatives to enable continued expeditious, efficient support to stakeholders of the OCTs, and to establish a clear and effective chain of accountability for results. The approach allocates authority, responsibility, and accountability purposefully among the different partners, while ensuring important linkages between the different levels of the programme.

IUCN administers the programme through the BEST 2.0 Secretariat. The organization hosts the Secretariat and ensures that all funds are managed with due diligence, efficiency, and the same degree of care it uses in the administration of its other public funds. The BEST 2.0 Coordinator reports to the BEST 2.0 Steering Committee and is part of the EU Overseas Programme of the IUCN Secretariat.

The Secretariat administers the BEST 2.0 Programme, including grant management, reporting, financial management, monitoring and evaluation, risk and safeguards management, and donor relations, and is also responsible for external relations, communications, including the BEST 2.0 Portal. The BEST 2.0 Secretariat will incorporate specific steps approved by the deciding members of the Steering Committee to ensure further transparency and effective decision-making, particularly in regard to the award of BEST 2.0 grant funds. The objective is to ensure the BEST 2.0 commitment to further strengthen and empower local NGOs and governments.

The Regional Teams are responsible for conducting project monitoring in collaboration with grantees, governments, specialists, and local stakeholders.

The Regional Advisory Committees provide an independent review of submitted proposals.

Summary of core roles and responsibilities

Activity	BEST 2.0 Secretariat	Regional Teams	Steering Committee	European Commission (Contracting Authority)
Call for proposal	<p>Develops the materials, procedures and tools for the calls for proposals</p> <p>Updates and manages the call for proposal process</p> <p>Develops and manage the BEST 2.0 Portal</p>	<p>Assist the Secretariat in validating the strategic directions and draft Calls for Proposals</p> <p>Promote the calls in each region and sub-region</p>	<p>Reviews and advises on the call for proposal materials, procedures and strategic direction</p>	<p>Approves the materials for each call for proposals.</p>
Proposal preparation	<p>Provides technical support and advice to applicants</p>	<p>Provide technical support and advice to applicants and capacity building to Small Grant applicants</p> <p>Provide technical support to applicants in designing projects</p>		
Proposal evaluation, selection and award	<p>Ensures due diligence, supports review and decision-making for all proposals regarding eligibility, compliance and operational capacity</p> <p>Contracting, risk assessment processing, agreement preparation, legal review coordination,</p>	<p>Support the technical review and selection of grant proposals regarding the ecosystem profile work</p> <p>Convene and ensure the secretariat of the Regional Advisory Committee tasked to provide an independent review of the proposals</p>	<p>Advises on the Operational Manual and Strategic Framework that guide the project selection criteria and processes.</p> <p>Informed of the outcome of the selection process.</p>	<p>Approves the outcome of the application review process and selects the projects to be awarded a grant.</p>

Activity	BEST 2.0 Secretariat	Regional Teams	Steering Committee	European Commission (Contracting Authority)
	etc.	Collates the results and informs about the proposals selected for funding		
Grant making	<p>Develops documentation and agreements, and directly award grants</p> <p>Provides guidance to grantees on financial management and reporting</p> <p>Coordinates and manages external audit of medium grants.</p>	<p>Support review and decision-making for all proposals regarding the Ecosystem profiles</p>		
Monitoring	<p>Analyses project management and implementation effectiveness; monitors overall grantee performance against project proposal using project reports and site visits.</p> <p>Supports grantees by providing technical and financial advice incl. related to safeguard compliance</p>	<p>Assist the Secretariat in project monitoring and analysis of project management and implementation effectiveness</p> <p>Support grantees by providing technical and financial advice incl. related to safeguard compliance</p>	Reviews monitoring results on an annual basis	

Activity	BEST 2.0 Secretariat	Regional Teams	Steering Committee	European Commission (Contracting Authority)
Capitalisation	Leads the elaboration of the capitalisation document which summarises the lessons learnt, best practices and innovative approaches of the BEST 2.0 funded projects	Contribute to the capitalisation document through the extraction of lessons learnt, best practices and innovative approaches from projects implemented in their region	Reviews the capitalisation document	Approves the capitalisation document.
Annual financial and progress report	Elaborates	Provide inputs to	Reviews the annual progress reports	Approves the annual reports.



2. Grant management procedures

2.1. General principles

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

These principles are integrated in the procedures, rules and criteria of the grant-making system in accordance with the overarching principle of proportionality. Principles are not absolute and a limited number of exceptions are foreseen, in such cases these exceptions are clearly stated, reasonable and justified.

2.2. Procedures applicable to all types of grants

Publication of call for proposals

- wide publication
- easy access
- clarity and completeness of documentation and rules
- support and information to applicants.

Submission of proposals

- acknowledgement of receipt and registration
- integrity of information, availability and confidentiality
- compliance with deadlines
- invalidation of late proposals.

Checking admissibility

- arrival
- completeness.

Checking eligibility

- applicants
- project activities.

External review

- roles, functions, composition and operating rules of Regional Advisory Committees
- conflict of interest and confidentiality
- reporting and documentation.

Review and selection

- checks of design and content of proposals
- review summary reports of the proposals
- ranking list of proposals recommended for funding.

Awarding of grants

- segregation of duties in decision making process
- evaluation reports/decision templates ([Annex 19](#) and [Annex 20](#))
- notifications to the applicants
- publication of grant award results.

Grant contracts

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

2.3. Types of grants

There are two main types of grants under the BEST 2.0 Programme based on the amount of funding requested, small grants and medium grants.

Type of Grant		BEST 2.0 Funding	Typical Duration*
Small Grants	Swift Small Grants	≤ €50 000	12-18 months
	Small Grants	> €50 000 and ≤ €100 000	12-24 months
Medium Grants		> €100 000 and ≤ €400 000	Up to 36 months

** Restriction on the maximum duration for projects may be set in the guidelines for applicants in relation to individual calls.*

Taking into account the lessons learnt from the BEST Preparatory Action, in order to ease the administrative workload of beneficiaries and simplify the management of grants, **Swift Small Grants** are subject to less intensive reporting requirements and can be based in full on a combination of simplified cost options (e.g. unit costs, lump sums and/or flat-rates).

Medium Grants and **Small Grants** are funded on the basis of the actual costs incurred by the beneficiary(ies).

The following rules apply to BEST 2.0 grants:

- The maximum BEST 2.0 contribution cannot exceed €400 000.
- A minimum of 5% co-funding is required for Medium Grants.
- No co-funding is required for Small Grants.
- For Swift Small Grants the no-profit rule does not apply.

2.4. Publication of calls for proposals

Calls for proposals are announced via the EC BEST website, the IUCN website, the EU Overseas Forum, the Regional Teams' websites and the BEST 2.0 Portal which are accessible and open to all applicants. Other appropriate means may also be used to disseminate the calls e.g. the OCTA website. A call for proposals is easily accessible via the internet and consists of:

- Guidelines for applicants.
- Application templates
 - Small Grant concept note ([Annex 6](#))
 - Small Grant full proposal ([Annex 7](#))
 - Medium Grant proposal ([Annex 8](#))
 - Swift Small Grant budget ([Annex 9](#))
 - Small Grant budget ([Annex 10](#))
 - Medium Grant budget ([Annex 11](#))
 - Logical framework ([Annex 12](#))
- Annexes
 - Model Grant Agreement – Swift Small Grants ([Annex 21](#))
 - Model Grant Agreement – Small Grants ([Annex 22](#))
 - Model Grant Agreement Medium Grants ([Annex 23](#))
 - Safeguards Policy Aspects ([Annex 32](#)).

2.5. Concept note and proposal submission

All applications (concept notes and proposals) should be submitted electronically on the BEST 2.0 Portal.

However, in case of technical difficulties applicants can submit via email to the relevant Regional Team focal points (see the list below) copying the BEST 2.0 Secretariat (BEST2.0secretariat@iucn.org).

Submissions on paper are not accepted.

BEST 2.0 Region	Contact Name	Contact Email
Caribbean	Romain Renoux Elise Queslin	romain.renoux@rnsn.org elise.queslin.carspaw@guadeloupe-parcnational.fr
South Atlantic	Paul Brickle Tara Pelembe Daniela Baigorri	pbrickle@env.institute.ac.fk TPelembe@env.institute.ac.fk bestadministrator@env.institute.ac.fk
Polar and Sub-Polar	Cedric Marteau Anne-Gaëlle Verdier Claire-Sophie Azam	cedric.marteau@taaf.fr anne-gaelle.verdier@taaf.fr claire-sophie.azam@taaf.fr
Indian Ocean	Anne Caillaud Tanguy Nicolas	anne.caillaud@uicn.fr tanguy.nicolas@uicn.fr
Pacific	Anne Caillaud Elena Gorchakova	anne.caillaud@uicn.fr elena.gorchakova@uicn.fr

The BEST 2.0 Portal allows applicants to save their application as a draft and make changes prior to the submission of an application.

Applicants have the possibility to contact the Regional Teams or the Secretariat staff to ask questions and request clarifications regarding the application process. Questions must be sent by e-mail no later than **10 working days** before the deadline for the submission of concept notes or proposals, and should clearly indicate the reference number of the call for proposals. Questions that are relevant to other applicants, together with answers and other important notices, are published on the BEST 2.0 Portal.

The submission of an application (concept note or proposal) is acknowledged by an automatically generated e-mail to the applicant. The system also generates individual registration numbers for each submitted application. A register of submitted applications along with all the documents uploaded with the applications are stored electronically in a centralized storage area with access restricted to authorized personnel to ensure the security and confidentiality of proposals.

2.5.1. Maximum number of applications

An applicant can submit a maximum of 2 proposals/concept notes per call as lead applicant and/or co-applicant.

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

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

2.6. Grant process

One of the lessons learnt from the BEST Preparatory Action is that the grant process needs to be tailored to the needs and capacities of potential applicants, particularly in the case of small local organisations that are targeted by the small grants. To this end BEST 2.0 has differentiated processes for small grants and medium grants.

2.7. Small Grants (SGs)

The grant application process for SGs (BEST 2.0 funding of \leq € 100 000) consists of two steps:

Step 1: Open call for project concept notes.

Step 2: Submission of full project proposals, by invitation only.

Only applicants that pass the initial concept note selection stage are invited to submit a full proposal.

Small Grant Proposal Cycle



2.7.1. Concept note

The SG concept note template (see [Annex 6](#)) requires applicants to respond to a series of eligibility questions, provide an overview of their project concept and select one or more of the objectives of the BEST Initiative to which it will contribute.

2.7.1.1. Submission of concept notes

The deadline for submission of concept notes is **20 working days** from the publication of the call for proposals for Small Grants. Every notice of a call for proposals clearly states the submission deadline. Only applications sent before the deadline stated in the description of the call will be accepted. Concept notes sent after the deadline are rejected by the on-line application portal. Section 2.5 of this Manual provides full details of the submission process.

2.7.1.2. Pre-screening review of concept notes

All of the submitted concept notes are subject to three reviews:

1. Admissibility and eligibility screening by the Secretariat.
2. A technical review performed by the Regional Advisory Committee and coordinated by the Regional Hub.
3. A due diligence and financial risk assessment by the Secretariat.

Only applications that pass review 1 are subjected to reviews 2 and 3, which are carried out concurrently.

Admissibility and eligibility screening

All concept notes received are subject to an initial screening to ensure that they comply with the admissibility criteria and that the applicant(s) are eligible to receive funding from BEST 2.0.

Admissibility criteria

- The application has been submitted via the online portal (or by email) before the deadline.
- The application is complete. Incomplete applications may be rejected.
- The application forms have been signed.
- The standard forms have been used (modifications of the content of the forms are not permitted; only minor changes in font, size and layout can be accepted).
- The application is not hand-written (except for dates and signatures).
- The BEST 2.0 funding requested is within the maximum amount for SGs (i.e. \leq € 100 000).

Eligibility criteria

(i) Eligibility of applicants

Applicants must be legal entities (e.g. a registered/incorporated company or organisation). Individuals are not eligible to receive a grant from BEST 2.0.

Small grant applicants (**including** any co-applicants) must be:

- public or private bodies, actors or institutions.
- registered/incorporated in one of the EU Overseas Country and Territories (OCTs) (*Special conditions apply for grants targeting uninhabited territories, see below*).
- directly responsible for the preparation and implementation of the grant project. Applications submitted by a body acting as an intermediary for a third party are not eligible.

BEST 2.0 small grants aim principally to support and ease access to appropriate resources for local actors that are based in the EU OCTs and involved in the conservation of biodiversity and sustainable use of ecosystem services, including ecosystem-based approaches to climate change adaptation and mitigation, as a basis for sustainable development in OCTs. As such the target beneficiaries for small grants are primarily:

- local non-governmental organisations (NGOs)
- local civil society organisations (CSOs)
- local community-based organisations (CBOs)
- local non-profit organisations
- local for-profit and socio-professional organisations that meet the criteria of a micro-enterprise as defined in EC recommendation of 06.05.2003 <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2003:124:0036:0041:en:PDF>
- local government bodies i.e. municipalities, cities of a territory, communal services

Government-owned enterprises or institutions must fulfil the following criteria:

- i) the enterprise or institution has a legal personality independent of any government agency or actor;
- ii) the enterprise or institution has the authority to apply for and receive private funds and
- iii) the enterprise or institution may not assert a claim of sovereign immunity.

Territories with a low population and limited civil society capacity

Exceptional access to small grants is allowed for OCT territorial governments and their services when **both** of the following criteria are met:

- The OCT has a population of < 20 000 permanent inhabitants.

And

- There is limited local civil society capacity within the OCT (i.e. there are few civil society organisations active in the territory) or the majority of organisations that are active in the territory are external (i.e. not permanently based in or registered in the territory).

In such cases the OCT territorial government can apply for funding (as lead applicant or co-applicant) **provided the project puts a strong emphasis in the territory on collaboration with local civil society, local community based organisations and/or local sub-government bodies, socio-professional organisations and includes capacity building activities.**

Uninhabited territories

In the case of **uninhabited territories** (i.e. OCTs with no permanent population) exceptional access to small grants is allowed for:







- Territorial governments and their services.
- Organisations that are based in the region⁴ where the uninhabited territory is located but are not regional organisations.
- Organisations based in an EU Member State that can demonstrate sufficient experience of working in the targeted territory.

Special condition:

- In the case of applications submitted by organisations based in the region or based in an EU Member States that do not include the relevant OCT authority as a co-applicant, the applicant must demonstrate that the proposed project has the **support of the OCT authorities** responsible for the target territory.

⁴ Registered in an EU Overseas Country or Territory or Outermost Region in the same geographical region.

The eligibility for small grant applicants is summarised in the table below:

Applicant	Small Grant
Local non-government organisations (NGOs), civil society organisations (CSOs), community-based organisations (CBOs), non-profit organisations.	
Small socio-professional organisations, small for-profit organisations (<10 permanent employees, annual balance or turnover < €2 million)	 **
Local sub-government bodies i.e. municipalities, cities of a territory, communal services etc.	
Territorial governments and their services	 *
Organisations based in the same region as uninhabited OCTs (see <i>section on uninhabited territories on the previous page</i>)	 *
Organisations based in an European Union Member State ⁵	 *
Regional Organisations	Not eligible
International Organisations	Not eligible

 * See conditions above

****** Individual consultants are **not eligible to be the lead applicant of a project**; they can only be involved in a project as a co-applicant in support of local organisations.

Grants will not be awarded to applicants whose staff includes an individual currently employed by IUCN, or closely related (i.e. immediate family) to an IUCN or BEST 2.0 employee.

Organisations that are a member of IUCN are eligible to apply for grants provided they can demonstrate their legal and structural independence from IUCN-HQ and IUCN French Committee.

(ii) Eligibility of project activities

⁵ Refers to organisations that are registered/incorporated in an EU Member State

All BEST 2.0 proposals for Small Grants are assessed against the following eligibility criteria for the proposed project activities:

- The project activities must be located in one or more of the OCT(s) and target environment benefits in the OCT(s).
- The proposed activities must observe all relevant safeguard and social policies.

The following activities are not eligible for funding by BEST 2.0:

- The purchase of land, involuntary resettlement of people, or activities that negatively affect physical cultural resources, including those important to local communities.
- Activities adversely affecting individuals and local communities or where these communities have not provided their broad support to the project activities.
- The removal or altering of any physical cultural property (includes sites having archaeological, paleontological, historical, religious, or unique natural values).
- Activities that duplicate work previously funded by BEST.

Compliance with the BEST 2.0 and IUCN environmental and social safeguard policies is also assessed during the admissibility and eligibility screening (see section 5.1)

Financial review

Applicants are required to complete and submit a Due Diligence and Financial Capacity Form ([Annex 13](#)) with their concept note. This is assessed by the Secretariat; a concept note may be eliminated if the applicant or co-applicants are not reliable from a financial point of view, namely:

- If the applicant does not possess the financial capacity to ensure their own existence and structure regardless of external funding. The applicant must prove stable and sufficient sources of finance to ensure the continuity of their organisation throughout the project.

In case the assessment of the financial capacity shows a risk that does not justify exclusion a more comprehensive financial monitoring approach will be adopted by the Secretariat.

To that end, any applicant with a "private" status must include in the proposal their annual accounts for the last financial year (i.e. balance sheet, profit and loss accounts).

To assess the financial and technical capacity of the applicant, the BEST 2.0 Secretariat may ask for additional information/documents and use all the information at its disposal.

Technical review

The concept note template requires the applicant to provide an overview of the technical nature of the project concept and to demonstrate that they have the necessary technical and management capacity to successfully implement the project. The CV of the proposed project lead must be submitted and show adequate professional qualifications and experience.

The project concept note is assessed against a number of technical criteria:

- Alignment with the objectives of the BEST Initiative.
- Tangible impacts on biodiversity conservation/ sustainable use of natural resources/ climate change/ ecosystem services.
- Support to the implementation of the Overseas Association Decision.
- Relevance to the Regional Ecosystem Profile and Regional Investment Strategy.
- Support to the implementation of relevant territorial, national and local strategies.
- Feasibility of the proposed approach and the existence of any significant risks.
- Identification of all the relevant stakeholders and their involvement in the project design and implementation.
- Sustainability of the project and the potential for replication.

The concept note evaluation grid can be found in [Annex 17](#).

The proposals are ranked at this stage. The reviews are expected to be undertaken within **30 working days**.

2.7.2. Capacity building

The Regional Teams proactively disseminate information about the calls for proposals to as many potential applicants from their region as possible. They are also available to offer advice and guidance to applicants if required. The BEST 2.0 regional contact point may have direct contact with applicants and assist them with the development of their plans, including the formation of partnerships. Nonetheless they cannot in any case substitute themselves to applicants in designing and writing the proposal, and they cannot offer assistance that could create a competition distortion.

The BEST 2.0 contact points within the Regional Teams are:

BEST 2.0 Region	Contact Name	Contact Email
Caribbean	Romain Renoux Elise Queslin	romain.renoux@rnsn.org elise.queslin.carspaw@guadeloupe-parcnational.fr
South Atlantic	Paul Brickle Tara Pelembe Daniela Baigorri	pbrickle@env.institute.ac.fk TPelembe@env.institute.ac.fk bestadministrator@env.institute.ac.fk
Polar and Sub-Polar	Cedric Marteau Anne-Gaëlle Verdier Claire-Sophie Azam	cedric.marteau@taaf.fr anne-gaëlle.verdier@taaf.fr claire-sophie.azam@taaf.fr
Indian Ocean	Anne Caillaud Tanguy Nicolas	anne.caillaud@uicn.fr tanguy.nicolas@uicn.fr
Pacific	Anne Caillaud Elena Gorchakova	anne.caillaud@uicn.fr elena.gorchakova@uicn.fr

2.7.3. Full proposals

Applicants that pass the initial concept note selection step are invited to submit a full proposal. Applicants must complete the proposal template available on the BEST 2.0 Portal.

2.7.3.1. *Deadline for submission of proposals*

The deadline for submission of a Small Grant proposal is **40 working days** after notification of the invitation to submit a proposal. The invitation to submit a proposal will clearly state the submission deadline. Only applications sent before the deadline will be accepted. Proposals sent after the deadline are rejected by the on-line application platform. Section 2.5 of this Manual provides full details of the submission process.

2.7.3.2. *Proposal review*

At the proposal stage the eligibility of the costs included in the project budget are assessed. Only eligible costs will be funded by the BEST 2.0 grants; in order to be eligible costs must be:

- necessary for the implementation of the project;
- included in the estimated budget attached to the grant agreement;
- reasonable and justified and consistent with the principles of sound financial management, in particular in terms of value for money and cost-effectiveness;
- generated during the lifetime of the project;
- actually incurred by the beneficiary, be recorded in his accounts in accordance with the applicable accounting principles, and be declared in accordance with the requirements of the applicable tax and social legislation
- identifiable and verifiable.

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

Expenditure eligible for financing may not have been incurred before the signature of the grant agreement.

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme;
- purchases of land or buildings;
- currency exchange losses;
- credit to third parties;
- costs leading to personal or private profit, as stated in [Annex 2](#).

Once submitted, the completed BEST 2.0 Small Grant proposals are subject to the following technical review process ensuring equal treatment for all proposals:

- The BEST 2.0 Regional focal point convenes the BEST 2.0 Regional Advisory Committee to review the completed submitted proposals and to provide advice on the relevance with regard to the regional ecosystem profile and its strategic priorities and the identified Key Biodiversity Areas (when existing).
- The Regional Advisory Committee evaluates the proposals according to the criteria set out in this Operational Manual (see section 2.9).

- At the same time, an assessment of the budget is carried out by the BEST 2.0 Secretariat.
- A review report, compiling the BEST 2.0 Regional Advisory Committee evaluation results and ranking, the BEST 2.0 Regional Team's advice and the BEST 2.0 Secretariat Risk analysis, is elaborated for supporting the final decision to be made by the European Commission.

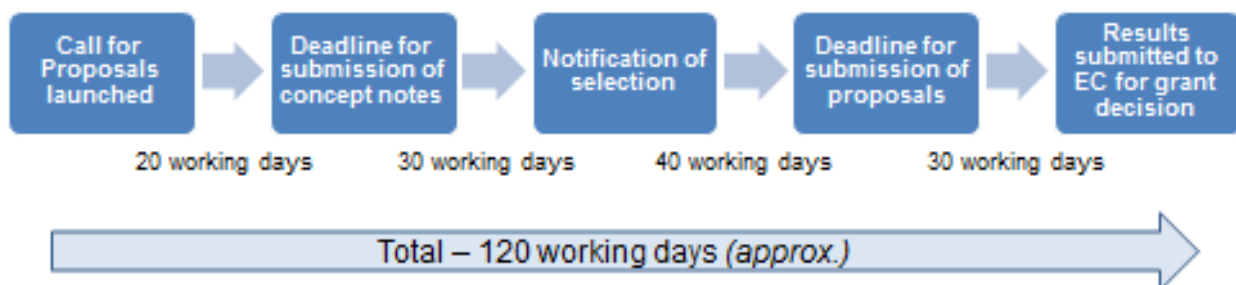
The duration of the review of the full proposals for small grant should be expected to last **30 working days**. This is to be specified in the guidelines to applicants.

SG proposal review process



If a project is approved for funding by the European Commission, a Grant Agreement is generated and signed by both the grantee and IUCN. Procedures for managing approved grants are summarized in Sections 3 and 4.

Timeline for small grants



2.8. Medium Grants (MG)

The grant application process for MGs (BEST 2.0 funding of > € 100 000 and ≤ € 400 000) comprises a single step consisting of the submission and assessment of a full proposal.

Medium Grant Proposal Cycle



2.8.1. Full proposals

Applicants should complete the Medium Grant proposal template available on the BEST 2.0 Portal (<https://portals.iucn.org/best>).

2.8.1.1. *Deadline for submission*

The deadline for submission of a Medium Grant proposal is **60 working days** from the launch of the call for proposals. Only applications sent before the deadline stated in the description of the call will be accepted. Proposals sent after the deadline are rejected by the on-line application portal.

2.8.1.2. *Review of proposals*

All of the submitted proposals are subject to three reviews:

1. Admissibility and eligibility screening by the Secretariat
2. A technical review performed by the Regional Advisory Committee and coordinated by the Regional Hub.
3. A due diligence and financial risk assessment by the Secretariat.

Only applications that pass review 1 are subjected to reviews 2 and 3, which are carried out concurrently.

Eligibility screening and financial assessment

All applications submitted are subject to an initial screening to ensure that they comply with the admissibility criteria and that the applicant(s) are eligible to receive funding from BEST 2.0. A list of proposals which do not pass this check is submitted to the European Commission for validation. Proposals are assessed against the following criteria.

Admissibility criteria

- The application has been submitted via the online portal (or by email) before the deadline.
- The application is complete. Incomplete applications may be rejected.
- The application forms have been signed.
- The standard forms have been used (modifications of the content of the form are not permitted; only minor changes in font, size and layout can be accepted).
- The application is not hand-written (except for dates and signatures).
- The BEST 2.0 funding requested is within the minimum and maximum amount for MGs (i.e. > € 100 000 and ≤ € 400 000).
- The required co-funding (minimum 5%) is not funded by any other EU financial instrument or programme.

Eligibility criteria

(i) Eligibility of applicants

Applicants must be legal entities (e.g. a registered/incorporated company or organisation). Individuals are not eligible to receive a grant from BEST 2.0.

:

Medium grant applicants (**including** any co-applicants and affiliated entities) must be:

- public or private bodies, actors or institutions.
- Registered/incorporated in one of the EU Overseas Countries and Territories.
- **or** registered/incorporated in an EU Member State (special conditions apply, see below)
- **or** have the status of a Regional Organisation (RO) or an International Organisation (IO) (special conditions apply, see below).
- directly responsible for the preparation and implementation of the grant project. Applications submitted by a body acting as an intermediary for a third party are not eligible.

The target beneficiaries for medium grants are:

- local non-governmental organisations (NGOs)
- local civil society organisations (CSOs)
- local community-based organisations (CBOs)
- local non-profit organisations








- local for-profit and socio-professional organisations that meet the criteria of micro-enterprise as defined in EC recommendation of 06.05.2003 <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2003:124:0036:0041:en:PDF>
- local government bodies i.e. municipalities, cities of a territory, communal services
- organisations registered in an EU Member State
- regional organisations
- international organisations


involved in the conservation of biodiversity and sustainable use of ecosystem services, including ecosystem-based approaches to climate change adaptation and mitigation, as a basis for sustainable development in OCTs.

Government-owned enterprises or institutions must fulfil the following criteria:

- i) the enterprise or institution has a legal personality independent of any government agency or actor.
- ii) the enterprise or institution has the authority to apply for and receive private funds.
- iii) the enterprise or institution may not assert a claim of sovereign immunity.


The eligibility for medium grants applicants is as follows:

Applicant	Medium Grant
Local non-government organisations (NGOs), civil society organisations (CSOs), community-based organisations (CBOs), non-profit organisations.	 *
Small for-profit and socio-professional organisations (<10 permanent staff, annual balance or turnover < € 2 million)	 *
Local sub-governmental bodies i.e. municipalities, cities of a Territory, communal services etc.	 *
Territorial governments and their services	
Organisations based in an European Union Member State ⁶ **	 **
Regional Organisations**	 **
International Organisations**	 **

 * Organisations in these categories must apply in partnership with at least one other eligible organisation (i.e. these applicants cannot submit an application as a sole beneficiary but can be either the lead applicant or a co-applicant).

⁶ Refers to organisations that are registered/incorporated in an EU Member State.

Partnerships between government and local civil society, local community based organisations and socio-professional organisations civil society are encouraged where appropriate for the implementation of the project.

** Projects involving these categories of applicant must demonstrate the existence of a partnership with the local government and/or local civil society and socio-professional actors and must involve the implementation of capacity building activities

Individual consultants are **not eligible to be the lead applicant of a project**; they can only be involved in a project as a co-applicant in support of local organisations.

Grants will not be awarded to applicants whose staff includes an individual currently employed by IUCN, or closely related (i.e. immediate family) to an IUCN or BEST 2.0 employee.

Organisations that are a member of IUCN are eligible to apply for grants provided they can demonstrate their legal and structural independence from IUCN-HQ and IUCN French Committee.

(ii) Eligibility of project activities

All BEST 2.0 proposals for Medium Grants are assessed against the following eligibility criteria for the proposed project activities:

- The project activities must be located in one or several of the OCT(s) and target environment benefits in the OCT(s).
- The proposed activities must observe all relevant safeguard and social policies.

The following activities are not eligible for funding by BEST 2.0:

- The purchase of land, involuntary resettlement of people, or activities that negatively affect physical cultural resources, including those important to local communities.
- Activities adversely affecting individuals and local communities or where these communities have not provided their broad support to the project activities.
- The removal or altering of any physical cultural property (includes sites having archaeological, paleontological, historical, religious, or unique natural values).
- Activities that duplicate work previously funded by BEST.

Compliance with the BEST 2.0 and IUCN environmental and social safeguard policies is also assessed at this stage (see section 5.1)

(iii) Eligibility of project costs

Only eligible costs will be funded by BEST 2.0 grants; in order to be eligible costs must be:

- necessary for the implementation of the project;
- included in the estimated budget attached to the grant agreement;
- reasonable and justified and consistent with the principles of sound financial management, in particular in terms of value for money and cost-effectiveness;

- generated during the lifetime of the project;
- actually incurred by the beneficiary, be recorded in his accounts in accordance with the applicable accounting principles, and be declared in accordance with the requirements of the applicable tax and social legislation
- identifiable and verifiable.

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

Expenditure eligible for financing may not have been incurred before the signature of the grant agreement.

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme;
- purchases of land or buildings;
- currency exchange losses;
- credit to third parties; and
- costs leading to personal or private profit, as stated in Annex 2.

Financial assessment

Applicants are required to complete and submit a Due Diligence and Financial Capacity Form ([Annex 14](#)) with their proposal. This is assessed by the Secretariat; a proposal may be eliminated if the applicant or co-applicants are not reliable from a financial point of view, namely:

- If the applicant does not possess the financial capacity to ensure their own existence and structure regardless of external funding. The applicant must prove stable and sufficient sources of finance to ensure the continuity of their organisation throughout the project.

In case the assessment of the financial capacity shows a risk that does not justify exclusion a more comprehensive financial monitoring approach will be adopted by the Secretariat.

To that end, any applicant with a "private" status must include in the proposal their annual accounts for the last financial year (i.e. balance sheet, profit and loss accounts).

To assess the financial and technical capacity of the applicant, the BEST 2.0 Secretariat may ask for additional information/documents and to use all the information at its disposal.

Technical assessment

Once submitted the completed BEST 2.0 Medium Grant proposals are subject to the following technical assessment process ensuring equal treatment for all proposals:

- The BEST 2.0 Regional focal point convenes the BEST 2.0 Regional Advisory Committee to review the completed submitted proposals and to provide advice on the relevance with regard to the regional ecosystem profile and its strategic priorities and the identified Key Biodiversity Areas when existing.

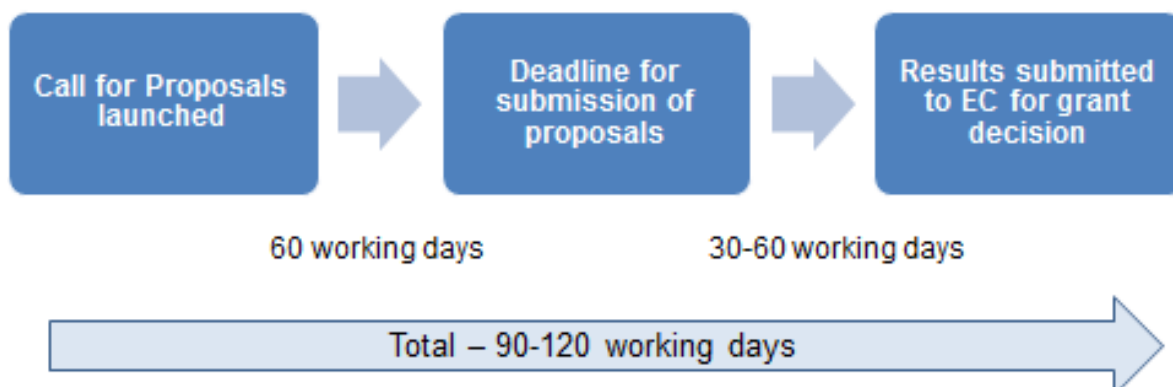
- The Regional Advisory Committee reviews all the proposals that have successfully passed the pre-screening and scores them according to the criteria set out in this Operational Manual (see section 2.9).
- At the same time, an assessment of the budget is carried out by the BEST 2.0 Secretariat.
- A review report, compiling the BEST 2.0 Regional Advisory Committee evaluation results and ranking, the BEST 2.0 Regional Focal point advice and the BEST 2.0 Secretariat risk analysis, is elaborated for supporting the final decision to be made by the European Commission.

MG proposal review process



The duration of the review of the full proposals for small grant should be expected to last **30-60 working days** (to align with the timeline for small grant call for proposal when launched simultaneously). This is to be specified in the guidelines to applicants.

Timeline for medium grants



2.9. Award criteria for both SG and MG proposals

Only proposals which fulfil all of the eligibility, admissibility and financial capacity criteria mentioned above and do not fall into any of the exclusion criteria set out in section 2.11 are evaluated.

The following criteria are taken into account during the evaluation of SG and MG proposals:

- **Technical coherence:** the proposal should be clear, detailed, coherent, realistic and feasible in terms of proposed actions and timetable.
- **Financial coherence and quality of the proposed budget:** the budget should be consistent with the technical proposal and demonstrate cost-efficiency and value for money.
- **Contribution to the objectives of the BEST Initiative, the Overseas Association Decision (OAD) and other relevant territorial, national and local strategies:** the proposal should demonstrate how the project will contribute to these.
- **Demonstration of best-practice and/or innovation.**
- **Contribution to tangible impacts on biodiversity conservation/ sustainable use of natural resources/ climate change/ ecosystem services:** this represents a wide range of potential actions, but doesn't include general or pure research. Proposals including research activities must include tangible follow-up actions using the results of the research, i.e. proposal of a practical management plan or new policy, or new protected area design, new natural resources management plan, in vivo pilot site activities implementing the results of the research.
- **Clear plans for continuation and/or replication after initial BEST 2.0 funding.**

In addition, BEST 2.0 encourages proposals that demonstrate the following characteristics:

- Complementarity with actions undertaken in neighbouring Outermost Regions and Third Countries where appropriate.
- Coordination with other organizations to reduce duplication of efforts and to foster synergies.
- Existence of partnerships or alliances with one or more other organizations.
- Support to local stakeholder's actions and involvement of local actors.

Funding is awarded to the top ranking proposals in each region according to the total score until the whole budget is used.

In case of equal scores the proposal that matches or complements a similar action involving an Outermost Region or a third country partnership for fostering regional cooperation will be given priority.

The award criteria are distributed and weighted as follows:

Technical coherence and understanding (Max 40 points)

The proposal should **demonstrate an understanding of the rationale of BEST.**

The proposal must be clear, detailed, coherent, realistic and feasible in terms of activities and expected results.

Financial coherence and availability (Max 30 points)

The proposal should demonstrate **financial coherence and sufficient quality of the proposed budget.** It needs to be consistent with the technical proposal, to prove its cost-efficiency and value for money. This implies that the proposal needs to demonstrate an efficient project management.

The proposal must be coherent, realistic and feasible in terms of resources and timetable. It must include the availability of competent staff providing a sufficient input to achieve the project deliverables.

Policy coherence (Max 30 points)

The relevance with regards to the contribution to the sustainable development of the OCT through biodiversity conservation and sustainable use. Such relevance will be assessed in reference to policy or strategy frameworks such as:

- The Overseas Association Decision, in particular its article 16, but also biodiversity-relevant provisions under articles 15 and 17 to 25.
- The BEST Regional Ecosystem Profile
- The OCT environmental profiles (as appropriate).
- The updated local relevant strategy(ies) (on biodiversity, Climate change, marine ecosystems, ...) when available.

The proposal should indicate its contribution to the general objectives of the BEST Initiative, the: involvement of different stakeholders, specific issues it intends to solve, expected results, methodology proposed to solve the problem.

A proposal can focus on one or more of the BEST 2.0 objectives. The criteria corresponding to the BEST objectives are:

Criterion 1: Contribution to conservation of biodiversity and ecosystem services objective area (15 points).

The proposal should aim at tangibly supporting conservation of biodiversity and ecosystem services.

The proposal should demonstrate the project's added value in terms of tangible results on the ground, innovation, potential for sustainability, stimulation of best-practice and dissemination.

Criterion 2: Contribution to the sustainable use of biodiversity and ecosystem services objective area (15 points).

The proposal should aim at tangibly supporting sustainable use of biodiversity and ecosystem services.

The proposal should demonstrate the project's added value in terms of tangible results on the ground, sustainable development model demonstration, innovation, stimulation of best-practice and dissemination.

Criterion 3: Contribution to ecosystem-based climate change adaptation and/or mitigation objective area (15 points).

The proposal should aim at tangibly supporting ecosystem-based climate change adaptation and /or mitigation investing in natural ecosystems, green and/or blue natural infrastructures including ecosystem-based disaster risk reduction.

The proposal should demonstrate the project's added value in terms of tangible results on the ground, innovation, adaptation and/or mitigation model demonstration, stimulation of best-practice and dissemination.

The proposal can address one, two or all three of the criteria but will be assessed and scored against the objective primarily targeted by the project. .

Bonus criteria:

Contribution to regional outreach and coherence (including to other OCTs, third countries, Outermost Regions), through building partnerships, awareness raising, education, capacity building, communication and regional cooperation (5 points).

Examples:

- Improving coherence and creating synergies between European initiatives in OCTs and/ORs and/or those in neighbouring territories, countries, sub-regions and regions.
- Supporting sub-regional approaches based on geographic, institutional and other realities and commonalities, where appropriate.

Contribution to capacity building, developing partnership between stakeholders to foster collaboration on the ground, ownership and efficiency (5 points).

Examples:

- Capacity building aimed at sharing knowledge and experience and strengthening capacity on the ground in a sustainable manner.
- Bringing together different stakeholders in partnership, capitalising and catalysing the various forces, the diverse knowledge and skills.
- Contributing to Community-based and -led actions (including combined top-down and bottom-up approaches).
- Promoting better harmonization of research priorities and cooperation.
- Improving accessibility of research opportunities and findings.

The proposals are ranked according to the final score awarded.

The full proposal evaluation grid can be found in [Annex 18](#).

2.10. Examples of eligible BEST 2.0 activities

Examples of BEST projects⁷ are available on the European Commission BEST website: http://ec.europa.eu/environment/nature/biodiversity/best/index_en.htm

Examples of activities to be supported by the BEST 2.0 Programme⁸:

- Measures to strengthen the knowledge base with regards to a concerned site, including collection of baseline data in places where this information does not exist, monitoring activities including – inter alia – climate change impacts on biodiversity and ecosystems, and monitoring and management of the impacts of invasive alien species. So as to improve their score in the evaluation, these knowledge-based actions will have to include activities that deliver tangible results in terms of contribution to conservation or sustainable use on the ground.
- Actions of “passive management”: observation, follow-up and reporting about natural evolution and spontaneous adaptation of ecosystems. So as to improve their score in the evaluation, these passive management actions will have to include activities that deliver tangible results in terms of contribution to conservation or sustainable use.
- Actions of “active management”: maintenance and restoration of high biodiversity areas and healthy ecosystems, creation of protective infrastructure, and recovery programmes for critically endangered species, eradication/control of invasive alien species.
- Vegetation/habitat mapping relevant to the elaboration of protection or management or restoration plans of critical habitats, with follow-up/implementation actions on the ground.
- Establishment/extension of Protected Areas and corridors.
- Strengthening Protected Area management (training, PA management plan, habitat improvement - restoration or removal of invasive species, boundary demarcation, fire management), management effectiveness.
- Support for specific conservation action (e.g., reintroductions, translocation, enhancement of breeding success).
- Mitigation of specific threats such as:
 - Analyses to better understand/quantify the threat (including socioeconomic studies).
 - Actions to reduce detrimental edge effects and to protect core refugia for species populations.
 - Actions to maintain hydrographic integrity and contiguity in freshwater ecosystems.
 - Unsustainable wildlife trade (studies on markets/supply chains; training to enforce legislation).
 - Agricultural good practices promoting species conservation.
 - Community-based anti-poaching networks.
 - Establishment of new financing mechanisms for species conservation (e.g., links to PES and protecting habitats).
- Measures to develop sustainable management of ecosystem services namely for the

⁷ The examples are indicative and not exhaustive

⁸ The examples are indicative and not exhaustive.

benefit of the local population and local economy.

- Support the development of sustainable harvest regimes and economic valorisation of threatened species (e.g., butterfly farming, ecotourism).
- Measures to mitigate and adapt to climate change based on ecosystem services, blue and green natural infrastructures i.e. ecosystem-based approaches development of green infrastructure. Approaches with multiple benefits are given priority.
- Promotion of management and sustainable use of biodiversity and ecosystem services (e.g. for tourism, forestry and fisheries...) in sites for which such an approach is appropriate.
- Transitory measures to adapt existing practices towards a sustainable use of ecosystem services including sustainable agriculture, forestry and fisheries.
- Measures to safeguard and value local and traditional knowledge linked to the sustainable use of biodiversity and ecosystem services, guaranteeing equitable sharing of benefits, namely with local communities.
- Education measures to inform about the natural heritage of the designated site and/or the habitats and the ecosystem services.
- Development and demonstration of best practices for the management and restoration of sites.
- Development and demonstration of best practices for sustainable development and/ or innovative models.
- Communication actions to valorise measures undertaken in favour of a sustainable social and economic valorisation of ecosystem services.
- Capacity building for local stakeholders and provision of research studentships.
- Provision of additional human resources.
- Networking and partnership in particular with a view for the long term durability of the scheme.
- Support for public awareness and education campaigns.
- Development and implementation of enabling legislation and policies.
- Short, medium and long-term follow-up measures with regards to drivers (inter alia climate change) having an impact on biodiversity and ecosystem services.
- Identification, designation and management of sites and reporting measures.
- Support to local stakeholders (e.g., local communities and authorities) to help protect/manage biodiversity (e.g. wetland management, participatory monitoring).
- Formation of managers and site users.
- Setting up a managers' network on regional and national level, including managers of sites or other PAs.
- Innovative mechanisms for participative monitoring and management of ecosystems (e.g. community based forestry).
- Development of payment for ecosystem services (PES) also in view of PES (as compensation for opportunity costs) to provide new resources for sustainable forest, agricultural and agroforestry practices.

.....

This list is not exhaustive. Proposals may include one or several of the upper mentioned measures.

BEST Initiative Objectives

All the BEST 2.0 proposals for both Small grants and Medium Grants are assessed against the following BEST Initiative objectives.

The projects have to:

- a. Promote the establishment and effective management of marine and terrestrial protected areas (PAs) in the EU Overseas Countries and Territories, also taking into account already existing PAs.
- b. Implement sustainable management of marine and terrestrial resources, which contribute to protecting important species, habitats and ecosystem functions outside PAs.
- c. Strengthen conservation and sustainable use of biodiversity and ecosystem services in the EU Overseas Countries and Territories by:
 - Addressing the wider ecosystem challenge of climate change by maintaining healthy, resilient ecosystems and fostering green infrastructure and ecosystem-based approaches to climate change adaptation and mitigation which often bring multiple benefits.
 - Strengthening capacities at a local and regional scale, including the neighbouring countries, by promoting exchange of information and best practice amongst all stakeholders including local administration, landowners, private sector, researchers and civil societies etc.
 - Strengthening existing nature conservation programmes and related efforts within and outside conservation areas.
 - Broadening the knowledge base and filling the knowledge gaps, including quantifying the value of ecosystem functions and services.
- d. Encourage and facilitate transboundary working; addressing issues such as invasive alien species, the impacts of climate change and the implementation of international conventions in particular CITES and the three Rio Conventions.
- e. Develop mechanisms to lever resources including 'payments for ecosystem-services' (PES).

The projects can seek the satisfaction of **one or several BEST objectives at the same time**.

Overseas Association Decision (OAD)

OAD Article 16:

Sustainable management and conservation of biodiversity and ecosystem services:

In the context of the association, cooperation in the field of sustainable management and conservation of biodiversity and ecosystem services may concern:

- a) The promotion of the establishment and effective management of marine and terrestrial protected areas and improved management of existing protected areas.

- b) The encouragement of sustainable management of marine and terrestrial resources, which contribute to protecting species, habitats and ecosystem functions outside protected areas, in particular, endangered, vulnerable and rare species.
- c) The strengthening of conservation and sustainable use of marine and terrestrial biodiversity and ecosystems by:
 1. Addressing the wider ecosystem challenge of climate change by maintaining healthy, resilient ecosystems and fostering green infrastructure and ecosystem- based approaches to climate change adaptation and mitigation which often bring multiple benefits.
 2. Strengthening capacities at a local, regional and/or international scale, by promoting exchange of information, knowledge and best practice amongst all stakeholders including public authorities, landowners, private sector, researchers and civil society.
 3. Strengthening existing nature conservation programmes and related efforts within and outside conservation areas.
 4. Broadening the knowledge base and filling the knowledge gaps, including quantifying the value of ecosystem functions and services.
- d) The encouragement and facilitation of regional cooperation in order to address issues such as invasive alien species or the impacts of climate change.
- e) The development of mechanisms to lever resources including payments for ecosystem services.

Biodiversity-relevant provisions of Article 15 and 17 to 25 are also to be considered.

OCT environmental profiles

The projects have to support the recommendations of the OCT environmental profile(s) where appropriate⁹.

Territorial, national and local strategies

The projects shall support the implementation of the relevant territorial, national and local strategies of the OCT(s) where they are implemented.

2.11. Exclusion criteria for both SGs and MGs

The following exclusion criteria are applied for both small and medium sized grants. All applicants must provide a signed declaration with their application that they do not fall into any of the exclusion criteria mentioned below. **Omitting to sign and/or date this form may result in the exclusion of the proposal.** The BEST 2.0 Secretariat or the European Commission may request at any time further evidence for the correctness of the declaration.

(i) Exclusion criteria applicable prior to participation in grant procedures:

A proposal will be excluded if the applicant or any co-applicant or affiliated entity is in any of the situations mentioned below:

- a. they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any

⁹ The OCT environmental profiles are available on the EC website: https://ec.europa.eu/europeaid/overseas-countries-and-territories-environmental-profiles-2015_en

analogous situation arising from a similar procedure provided for in national legislation or regulations;

- b. they, or persons having powers of representation, decision making or control over them, have been convicted of an offence concerning their professional conduct by a judgment of a competent authority of a Member State which has the force of res judicata; (i.e. against which no appeal is possible);
- c. they have been guilty of grave professional misconduct proven by any means which the contracting authority can justify, including by decisions of the European Investment Bank and international organisations;
- d. they are not in compliance with their obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the contracting authority or those of the country where the contract is to be performed;
- e. they, or persons having powers of representation, decision making or control over them, have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such an illegal activity is detrimental to the EU's financial interests;
- f. they are currently subject to an administrative penalty referred to in Article 109(1) of the EU Financial Regulation (for programmes funded by the EU budget and the 11th EDF) and in Article 99 of the 10th EDF Financial Regulation (for programmes funded by the 10th EDF).

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

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

- 1) cases of fraud as referred to in Article 1 of the Convention on the protection of the European Communities' financial interests drawn up by the Council Act of 26 July 1995;¹²
- 2) cases of corruption as referred to in Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of Member States of the European Union, drawn up by the Council Act of 26 May 1997;¹³
- 3) cases of involvement in a criminal organisation, as defined in Article 2 of Council Framework Decision 2008/841/JHA¹⁴
- 4) cases of money laundering as defined in Article 1 of Directive 2005/60/EC of the European Parliament and the Council¹⁵;
- 5) cases of terrorist offences, offences linked to terrorist activities, and inciting, aiding, abetting or attempting to commit such offences, as defined in Articles 1, 3 and 4 of Council Framework Decision 2002/475/JHA¹⁶

(ii) Exclusion criteria applicable during the grant procedures:

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

- are subject to a conflict of interest;
- are guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in the contract procedure or fail to supply this information;
- find themselves in one of the exclusion situations for the procurement or grant award procedure.

Information on the ownership/management, control and power of representation of the entity and a certification that they do not fall into the relevant exclusion situations must be provided where specifically requested by the BEST 2.0 Secretariat.

Following the notification of award, applicants whose proposal has been selected for a grant award (including consortium members), must supply evidence that they do not fall into the exclusion situations if requested by the BEST 2.0 Secretariat.

As satisfactory evidence that the candidate, tenderer or applicant is not in one of the situations described in:

- (a), (b) or (e) of point I (Exclusion criteria applicable for participation in procurement procedures), the contracting authority will accept a recent extract from the judicial record or, failing that, a recent equivalent document issued by a judicial or administrative authority in the country of origin or provenance showing that the requirements are satisfied. For (d), the contracting authority will accept a recent certificate issued by the competent authority of the State concerned. Where no such document or certificate is issued in the country concerned and for the other exclusion criteria listed in point I, it may be replaced by a sworn/solemn statement made before a judicial or administrative authority, a notary or a qualified professional body in the country of origin or provenance.

Whenever one candidate, tenderer or applicant, due to its nature (for instance, national public administrations and international organisations), cannot fall into some of the categories above and/or cannot provide the documents indicated above, a simple declaration explaining their situation will suffice.

The documents may be originals or copies; however originals must be made available to the contracting authority upon request. The date of issuing of the documents provided must be no earlier than one year before the date of submission of the tender. If the supporting documents are not written in one of the official languages of the European Union, a translation into the language of the procedure must be attached. Where the documents are in an official language of the European Union other than the one of the procedure, they have to be accepted. It is, however, strongly recommended that a translation into the language of the procedure be provided, in order to facilitate the evaluation of the documents.

The BEST 2.0 Secretariat can, if necessary, consult the relevant European Commission services in order to judge the situation of the candidates, tenderers or applicants.

Note that, before excluding a candidate, tenderer or applicant from a procurement or grant procedure, principles such as the right of defence and proportionality must be considered. To that end, unless the evidence is such that no further investigation is necessary (for example in case of a judgement of a competent authority of a Member State which has the force of

res judicata), a contradictory procedure with the candidate, tenderer or applicant should be ensured.

Before taking the award decision at the very latest, the BEST 2.0 Secretariat will check whether any of the parties involved (i.e. applicants and co-applicants, including affiliated entity(ies), indicated subcontractors and individual experts) have been recorded by the Early Warning System (EWS). The contracting authority cannot conclude a contract with entities which are recorded at exclusion level of the EWS. If any of the parties involved are recorded in the EWS at other level, measures to strengthen monitoring should be applied during the execution of the contract and payments. Where the contracting authority limits the number of candidates invited to submit a tender or full proposal, e.g. in a restricted procedure, such checks must be conducted before the candidates are selected.

2.12. Information and reporting on the proposals review process

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

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

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

The BEST 2.0 Secretariat produces a report based on the financial risk assessment of the applicants (see [Annex 15](#) and [Annex 16](#)).

2.13. Grant award

2.13.1. Award decision

Once all proposals have been reviewed by the Regional Advisory Committees and ranked according to their scores, the list of proposals proposed for the award of a grant are submitted to the European Commission for approval. A final decision is then taken within **10 working days** from the date of submission.

2.13.2. Award notification

Notification to the successful applicants will take place within **5 working days** after the award decision is taken by the European Commission. Applicants will be notified of rejected proposals at the same time as the successful applicants (see 2.13.1) and will be provided with a general explanation from the relevant Regional Team.

2.13.3. Grievance mechanisms

The BEST 2.0 Secretariat - through the BEST Regional Teams – provides an explanation to all applicants whose concept notes or proposals are unsuccessful as part of its focus on building capacity. Applicants are encouraged to contact the relevant Regional Team or the Secretariat if they have additional questions about the decision. If the applicant is not

satisfied with the response, a grievance may be submitted to the BEST 2.0 Coordinator at BEST2.0secretariat@iucn.org or by mail to the following address:

*BEST 2.0 Programme Secretariat
IUCN
Attn: BEST 2.0 Coordinator
28, Rue Mauverney
1197 Gland
Switzerland*

BEST 2.0 has also established specific procedures to enable other stakeholders to raise a grievance at all times to applicants, grantees, Regional Teams, the Secretariat related to the implementation of safeguards. These are detailed in section 5 of this Operational Manual.

2.14. Grant agreements

2.14.1. Grant agreement drafting and legal conformity check

The Secretariat, having performed a financial risk assessment during the assessment of the proposal (see sections 2.7.1.2 and 2.8.1.2) – will discuss any concerns with the applicant on the basis of the EC grant decision. The financial risk assessment determines the level of financial monitoring by the Secretariat. Risk mitigation measures are built in the terms and conditions of grant agreements.

After the applicant accepts a grant (SG or MG), the Secretariat together with the applicant establishes the description of work taking into account the remarks of the evaluation summary report as appropriate. The Secretariat prepares a draft Grant Agreement for submission to legal review and internal approval to ensure compliance with IUCN requirements.

The Grant Agreement will include a time-lined program of work which will be linked to payment schedules.

2.14.2. Grant management process

Upon signature of the Grant Agreement by both parties, the BEST 2.0 Administrative Assistant will book the commitment into the Grant Management Tracking System.

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

The financial and technical monitoring conducted by the BEST 2.0 Secretariat is dependent on the risk ratings associated with the grantee as per the financial risk assessment. Technical and financial reports are required to be submitted in accordance with the reporting schedule as defined in the Grant Agreement. The reports are analysed by the BEST 2.0 programme staff. Any performance issues will be discussed between the BEST 2.0 Secretariat staff and the grantee.

2.14.3. Independent audits

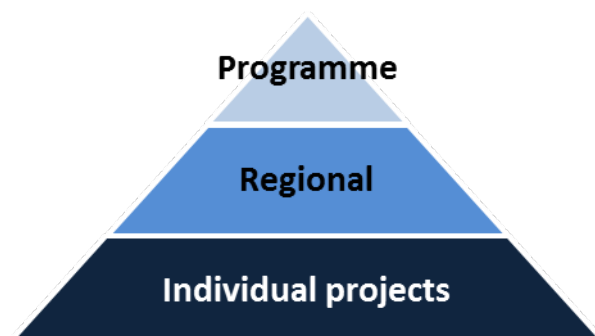
Independent audits are required for all Medium Grants to provide quality assurance to the BEST 2.0 programme. Audits are not required for Small Grants.



3. Monitoring and evaluation

The BEST 2.0 monitoring and evaluation framework is designed to be both effective, by ensuring that the information and data necessary to measure and track performance and impacts are captured, and efficient, by adopting an approach that is proportional to the small to medium size of the investments made by the Programme. It tracks and assesses performance and impacts at 3 levels.

The 3 levels of the BEST 2.0 M&E Framework



These three levels are closely integrated: the monitoring of individual projects feeds into the higher regional and programme level monitoring to build clear and tangible links between the objectives of the individual projects and their contribution to relevant territorial, national and local strategies, the priorities identified in the regional ecosystem profiles and the overall objectives of the BEST Initiative.

The principle goals of the framework are to assess the efficacy of BEST 2.0 interventions in relation to the BEST Initiative objectives, the regional ecosystem profiles and relevant territorial, national and local strategies; to inform the future delivery and direction of individual projects and the Programme as a whole through the process of adaptive management; and to identify best practices, innovative approaches, lessons learned, and highlight promising results.

Particular emphasis is given to information sharing and learning. BEST 2.0 supports the distillation, dissemination, and uptake of results, innovative approaches and best practices, and promotes opportunities for knowledge sharing and learning among grantees and wider outreach activities targeting communities, local government, and NGOs to increase the use of the successes and learning from the Programme to inform other conservation initiatives. This learning is compiled by the Secretariat at both the regional and programme levels and feeds into the elaboration of the BEST 2.0 capitalisation document.

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

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

3.1. Technical monitoring

3.1.1. Individual project level

Monitoring will be fully integrated into all projects funded by BEST 2.0. Applicants' proposals identify how the project will contribute to the achievement of the BEST 2.0 objectives, the priorities of the regional ecosystem profiles and other relevant territorial, national and local strategies creating coherence between the individual projects and the higher regional and programme levels.

All BEST 2.0 funded projects have a logical framework – which is submitted at the proposal stage - summarising the project's overall objective, purpose, intended results and proposed activities, and specifying the indicators that will be used to monitor the project at the purpose and results levels. Milestones related to the implementation of the proposed activities are also identified at the proposal stage. The logical framework is used as the basis for monitoring project performance throughout implementation and for evaluating the project upon completion.

Effective monitoring enables:

- effective and efficient project implementation;
- identification of unexpected problems before they develop into larger crises;
- assessment of new, innovative approaches;
- tracking of progress toward the achievement of objectives;
- identification of lessons learned;
- testing of the project's hypotheses and theory of change; and
- measurement of a project's conservation impact.

Where projects have a direct focus on strengthening the protection and management of protected areas, it will be proposed that they use [METT](#) – Management Effectiveness Tracking Tool.

At the level of the individual projects funded by BEST 2.0 technical monitoring comprises **ongoing monitoring**, based principally on the technical reports submitted by grantees to the Secretariat, and **ad hoc monitoring** involving field visit to selected projects.

3.1.1.1. Ongoing monitoring

Grantees are required to submit, at regular intervals, technical reports detailing the progress made in implementing the proposed activities and towards achieving the expected results and purpose. The frequency of reporting is determined by the type of grant awarded. Whilst these technical reports are the principal means for ongoing monitoring, the Secretariat and Regional Teams are also available to answer any questions that grantees may have in regards to reporting and discuss any issues related to project implementation as and when they arise. This enables issues that develop between scheduled reports to be raised and addressed in a timely manner.

There are two types of technical report: Interim Reports and Final Reports; templates for each type of report detailing the information to be included are available on the BEST 2.0 Portal. The following table sets out the reporting schedule for each type of grant.

Technical reporting schedule

Report	Type of Grant		
	Swift Small Grant	Small Grant	Medium Grant
1 st Interim Report (Annex 26)	Not required	To be submitted within 30 calendar days from the end of the first year of the grant implementation period	To be submitted within 30 calendar days from the end of the first year of the grant implementation period
2 nd Interim Report (Annex 26)	Not required	To be submitted within 30 calendar days from the end of the second year of the grant implementation period (<i>if the total project duration exceeds 28 months</i>)	To be submitted within 30 calendar days from the end of the second year of the grant implementation period (<i>if the total project duration exceeds 28 months</i>)
Final Report Swift Small Grants (Annex 24) Small and Medium Grants (Annex 28)	To be submitted within 45 calendar days from the end of the grant implementation period (<i>simplified form of the Final Report</i>)	To be submitted within 45 calendar days from the end of the grant implementation period	To be submitted within 60 calendar days from the end of the grant implementation period

All project reports are made available on <https://portals.iucn.org/best>.

All technical reports are reviewed and assessed by the Secretariat. The focus of the report and the assessment differs between the Interim Reports submitted during project implementation and the Final Report submitted after the completion of the project.

Interim reports

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

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

Key issues that are covered by the assessment include:

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

On the basis of the above assessment it may be necessary to reorient the project activities or in extreme cases, where the project is no longer considered to be feasible, to terminate the grant agreement. Additional reporting requirements may be imposed for poorly performing projects. Any performance issues that are identified will be discussed between the BEST 2.0 Secretariat staff and the grantee.

Final reports

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

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

The following questions guide the assessment:

- Have the foreseen deliverables/products been produced?
- What has happened as a result?
- Have the intended results been achieved?
- Has the intended purpose been achieved?
- What has the impact of the project been at the local/regional level?
- Have there been any unplanned impacts?
- What are the potential long-term impacts?
- Are the project activities likely to be sustained beyond the end of the BEST 2.0 funding?
- What lessons can be learned?
- What elements of the project might it be possible to replicate in other areas/regions?

3.1.1.2. Technical field visits

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

Technical field visits may be undertaken to ongoing or completed projects and serve a number of purposes. For ongoing projects the purpose of a field visit may include:

- Verifying the results reported by the project.
- Obtaining an independent perspective of the project.
- Supporting projects to overcome difficulties or challenges by providing an external perspective.

Field visits to completed projects focus on the longer term impacts and feed into the regional and programme level monitoring by assessing the contribution of the project to wider regional priorities and goals and the BEST 2.0 programme level objectives. The purpose of field visits to closed projects may include:

- Assessing the likely sustainability/legacy and longer term impact of a project.
- Analysing its contribution to addressing the priorities identified in the regional environmental profile.
- Analysing its contribution to the achievement of the BEST 2.0 objectives.

The technical site visit report template can be found in [Annex 29](#).

The information generated during the monitoring of BEST 2.0 projects is stored within a BEST 2.0 database making it possible to view information on and track the progress of each individual project funded enabling it to feed into the regional and programme level monitoring described in the following sections.

The system enables BEST 2.0 to maintain a constant understanding of how the programme as a whole is functioning: what overall impacts are being achieved, what strategic directions need adjustment, and what further support may be needed.

Responsibilities for monitoring at the project level

Individual/Team	Monitoring role and responsibilities
Project Lead/Coordinator	<ul style="list-style-type: none">• Monitor the implementation of project activities including the achievement of defined milestones• Collect and analyse data for the purpose and result level indicators defined in the project logical framework• Report progress on the activities, and the achievement of the results and purpose to the Secretariat via the technical reports• Report project expenditure to the Secretariat via the financial reports
BEST 2.0 Regional Teams	<ul style="list-style-type: none">• Provide <i>ad hoc</i> technical support and advice to projects• Follow-up with project leads/coordinators on any issues identified by the Secretariat

	during the assessment of project reports.
BEST 2.0 Secretariat	<ul style="list-style-type: none"> • Provide <i>ad hoc</i> technical support and advice to projects • Review and assess the technical reports • Undertake technical site visits to selected projects • Review and assess the financial reports • Undertake financial site visits to selected projects

3.1.2. Regional level

Monitoring at the level of the 5 BEST 2.0 regions (Caribbean, South Atlantic, Polar and Sub-Polar, Indian Ocean, Pacific) focuses on the contribution that the BEST 2.0 projects funded in the region have made to addressing the priorities identified in the regional ecosystem profiles developed under BEST III, as well as the implementation of other relevant regional policies/initiatives.

The intended contribution of individual projects at the regional level is set out in the proposal, detailed in the project reports and is assessed by the Secretariat.

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

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

Responsibilities for monitoring at the regional level

Individual/Team	Monitoring role and responsibilities
Project Lead/Coordinator	<ul style="list-style-type: none"> • Identify and report lessons learnt, innovative approaches and best practices to the Secretariat via the technical reports • Communicate and disseminate the project results and lessons learnt widely at the regional level
BEST 2.0 Regional Teams	<ul style="list-style-type: none"> • Identify innovative approaches, lessons learnt and best practices from projects implemented in their respective regions and inform the Secretariat • Promote regional knowledge sharing and transfer events
BEST 2.0 Secretariat	<ul style="list-style-type: none"> • Extract best practices, lessons learnt and innovative approaches from project reports and project visits • Promote dissemination at the regional level

3.1.3. Programme level

The BEST 2.0 Secretariat is responsible for monitoring performance at the Programme level and for ensuring that all activities are carried out in accordance with the BEST 2.0 Operational Manual.

The programme level monitoring follows a similar approach to the regional level monitoring but encompasses all of the projects funded by BEST 2.0 and focuses on assessing their contribution to the Programme's overall objective. It is closely integrated with the regional level monitoring with lessons learnt and best practices identified at the regional level feeding into the capitalisation of knowledge at the programme level.

Progress towards the achievement of the Programme objectives and purpose is assessed using the indicators defined in the BEST 2.0 Logical Framework (see section 1.4.4).

In addition at the programme level the representativeness of the BEST 2.0 funding is assessed by monitoring the:

- Amount of funding going to the different regions each year and for each call of proposals.
- Amount of funding going to different OCTs each year and for each call for proposals.
- Number and proportion of different types of project grantees (local NGOs, scientific institutions, local communities, other civil society actors, local government, national, SMEs, regional and international organisations) receiving a grant each year and each call for proposals.

The indicators at the results and purpose level relate to the call for proposals process and activities carried out by the BEST 2.0 consortium. The individual projects funded by BEST 2.0 will contribute to the Programme's overall objective.

The BEST 2.0 Secretariat supports program-level monitoring by supervising the collection and analysis of performance data at program, species, and project levels.

Performance data, based on the collection of standard data from all projects, is compiled at the program level on the basis of a desk based review of project reports. Programme level monitoring is used to conduct analysis to identify trends, key accomplishments, performance strengths and weaknesses, and lessons learned and make recommendations for changes to the defined targets or overall strategy if appropriate.

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

Responsibilities for monitoring at the programme level

Individual/Team	Monitoring role and responsibilities
Project Lead/Coordinator	<ul style="list-style-type: none"> • Identify lessons learnt and best practices and report them to the Secretariat in the project reports • Disseminate the findings of the project and lessons learnt widely at the international level
BEST 2.0 Regional Teams	<ul style="list-style-type: none"> • Promote international knowledge sharing and transfer events
BEST 2.0 Secretariat	<ul style="list-style-type: none"> • Extract best practices, lessons learnt and innovative approaches from project reports and project visits.

3.2. Financial monitoring

At the Programme level the BEST 2.0 Secretariat is responsible for monitoring expenditure against budget and the commitment and disbursement of funds to grantees. As mentioned above the programme level monitoring looks at the representativeness of the allocation of BEST funds between the 5 regions and individual OCTs.

At the level of the individual projects funded by BEST 2.0 financial monitoring comprises **ongoing monitoring** based principally on the analysis of financial reports submitted by grantees to the Secretariat, and **ad hoc monitoring** involving spot checks and field visits to selected projects.

3.2.1. Ongoing monitoring

All projects are required to submit financial reports that detail the level of expenditure against the approved budget included in the grant agreement. These are required to be submitted at the same time as the technical reports (see reporting schedule in section 4.7.2.1). Financial reports include details of expenses incurred during previous reporting periods, expenses incurred during the current reporting period, total expenditure to date, budget balance, and projected expenditure for the next reporting period. Whilst these financial reports form the basis of the ongoing monitoring, the Secretariat and Regional Teams are also available to answer any questions and discuss any issues related to financial issues as they arise. This enables issues that develop between scheduled reporting deadlines to be raised and addressed.

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

The procurement procedures to be followed by the grantees are outlined in the Standard Provisions of the BEST 2.0 Grant Agreement and follow PRAG 2014 rules. All procurements may be awarded by the grantees without prior review, but are subject to post-review on a sample basis. The BEST 2.0 Secretariat shall pay special attention to reviews of procurement estimated to cost € 5 000 or more. Procedures for assessing procurement compliance include a thorough budget review during project management. Procurements are specifically reviewed as an integral part of the review of financial reports. For example,

reviews include assessment of the relevant budget line items (furniture and equipment and professional services). Procurement review is also part of the site visits, where relevant.

All project financial reports are reviewed by the Secretariat to analyse financial reports for accuracy and reasonableness in light of the project's progress to date. Due to the use of simplified cost options for Swift Small Grants the focus of the review differs from that for Small Grants and Medium Grants. The expenditure verification coverage of the reported costs will constitute 10% of expenditure for low risk projects, 20% of cost items for medium risk projects and 30% of cost items for high risk projects.

Swift Small Grants

Swift Small Grants can use a simplified costs option approach, hence actually incurred expenditure is not subject to verification. Both under the lump-sum and unit cost methodologies the quantitative aspect e.g. the **number of cost units** is of paramount importance and will be the main focus of report assessment. Examples: number of items acquired, number of staff employed, number of consultants, timing aspects (hours, days, months, etc.), measures (weight, distance etc.), number of participants in the events organized. Quantitative aspects are examined for plausibility by taking into account the information provided in the technical report.

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

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

- the Grantee's financial report totals are correctly calculated;
- the Grantee is reporting against the correct budget;
- any variances from the original budget do not exceed 15% and are duly substantiated;
- the expenses appear reasonable given the progress of the corresponding work;
- the expenses match the deliverables reported in the technical part of reporting package;
- all expenses comply with eligibility criteria as per Grant contract;
- the procurement of all items over €5,000 has been subject to a suitable procurement process; and
- the payment request for following period is reasonable and corresponds to the projected expenses without exceeding the total amount of the grant.

Small Grants and Medium Grants

Small Grants and Medium Grants are based on actual costs, hence the expenditure incurred is fully subject to review and verification.

All Medium Grant final financial reports require an external audit opinion. See section 4.2.3. This requirement will be written into the Grant Contract with the organization in question and the cost associated with the audit should be included in the project budget. All audit reports will be reviewed after receipt. The recommendations and conclusions of the auditors will be shared with the Steering Committee. Should there be material audit findings wherein expenditures failed to comply with provisions of the Grant Contract the Grantee shall reimburse BEST 2.0 for all of the expenditure(s) disallowed by the auditors.

Quantitative, qualitative and costing aspects of the reports will be examined. Sample checks will be performed within different cost categories/sub-categories. Supporting documents will be requested from the Grantees for a sample of expenditures. Grantees will be contacted to obtain clarification and/or additional information if necessary.

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

- the Grantee's financial report totals are correctly calculated;
- the Grantee is reporting against the correct budget;
- any variances from the original budget do not exceed 15% and are duly substantiated;
- the expenses appear reasonable given the progress of the corresponding work;
- the expenses match the deliverables reported in the technical part of reporting package;
- the expenses comply with eligibility criteria as per Grant contract; and
- the payment request for following period is reasonable and corresponds to the projected expenses without exceeding the total amount of the grant.

3.2.2. Financial spot checks

The Best 2.0 Secretariat reserves the right to undertake spot checks on the financial management of projects at any point during implementation. This may involve requests for submission of documentation related to the finances of the project. The likelihood of spot checks being conducted is based on the financial risk assessment.

3.2.3. Financial field visits

As part of the BEST 2.0 Secretariat's efforts to build and maintain strong relationships with partners and promote fiscal accountability financial field visits to open projects may be undertaken each year as required. Factors such as the risk rating allocated to the project during the assessment of proposals or projects, grant award value, cash received to date, and issues identified through previous site visits or in other ways e.g. through the review of financial reports, may be used to decide which projects will receive a field visit.

The purpose of these visits includes:

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

All visits are documented in a report. Follow-up visits may be scheduled if deemed appropriate by the BEST 2.0 Secretariat.

The financial site visit report template can be found in [Annex 30](#).

3.3. External evaluation

Independently from the above, the European Commission may include the BEST 2.0 Programme in the list of projects and programmes to be monitored with its own external independent review system, the Result-Oriented Monitoring (ROM).

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



4. Financial management

The International Union for Conservation of Nature (IUCN) oversees internal control and financial management of BEST 2.0 in accordance with its internal financial policies and procedures. The Finance Department at IUCN's headquarters manages IUCN's global financial operations. It oversees the budget, daily accounting activities, government compliance, and field office accounting.

The BEST 2.0 Senior Finance Officer is part of the Global Finance Group at IUCN headquarters. The Chief Financial Officer for IUCN oversees the financial and information management function for the BEST 2.0 Secretariat, which includes financial planning and modelling, preparation of donor reports, managing the annual external audit, budget/spending plan, revenue and cash management, as well as financial performance reporting for BEST 2.0. In addition, the BEST Senior Finance Officer is responsible for financial management and reporting, under the oversight of the IUCN Chief Financial Officer, and acts as the liaison between BEST 2.0 and the IUCN Finance Department and between BEST 2.0 and the financial staff of the donor and partners.

4.1. Financial systems

IUCN uses an enterprise resource planning (ERP) system based at its core on Microsoft (MS) Dynamics NAV 2009 version R2, one of four MS ERP systems (see more at <http://www.microsoft.com/en-us/dynamics/erp-nav-overview.aspx>). IUCN's Chart of Accounts includes segments for donor, cost centre, project activity and grant number. In addition, dimensions are viable for tracking specific project results or activities. Specific dimensions have been established to track BEST 2.0 funds.

4.2. Audits

4.2.1. IUCN external audit

Records associated with financial transactions are kept at IUCN headquarters according to IUCN's Record Maintenance Policy, which requires complete documentation to be maintained for no less than three full years after the transaction for which the document supports. Each fiscal year, IUCN has an external audit by independent auditors of its records, accounts, and financial statements (statements of financial position, statement of activities, statement of cash-flow and related statements), including those for BEST 2.0, in accordance with the appropriate auditing principles consistently applied. Currently, the audit, organized by IUCN's Head of Oversight is conducted by PwC, who also coordinates sample IUCN field office audits with its local affiliates.

4.2.2. BEST 2.0 external audits

According to Art.15.7 of the General Conditions to the Grant Contract between IUCN and the EU an annual expenditure verification of BEST 2.0 accounts will be undertaken for each 12

month project cycle, in accordance with the ToR (Annex VII to the Grant Contract). The purpose of this external audit is to provide assurance on the financial statements of BEST 2.0.

The procurement of a service provider to carry out the expenditure verification will follow IUCN procurement policies. The European Commission will review the audit report to ensure that significant audit findings and recommendations and management's responses thereon are reviewed, discussed, and appropriately acted upon. The European Commission may instruct the BEST 2.0 Secretariat to assist in these tasks. IUCN's Chief Financial Officer will be responsible for the administrative management of the external auditor's contract. Funds for the annual external audits are included within the BEST 2.0 budget.

IUCN will provide certified copies of its financial statements for the year audited along with the auditor's report, as well as a separate opinion on BEST 2.0 to the European Commission no later than two months after the close of each IUCN fiscal year.

4.2.3. BEST 2.0 grant audits

All Medium Grants funded by BEST 2.0 require an external audit to be carried out at the end of the project to assess the eligibility of the costs claimed. The audit report has to be submitted with the Final Report.

To achieve cost-effectiveness the BEST 2.0 Secretariat contracts an audit firm to perform the audits of all BEST 2.0 Medium Grants. Medium grant beneficiaries are responsible for contracting and paying the pre-selected audit firm to undertake an audit of their project. The cost for the audit should be included within the project budget.

4.3. Bank account

IUCN maintains the BEST 2.0 funds in a pooled EUR bank account. The application of dimensions such as award code, project number code, project activity and donor reporting code enables the accurate identification of the revenues and expenditures of the BEST 2.0 Programme. The bank account is reconciled on a monthly basis.

4.4. Donor reporting

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

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

4.5. Procurement

The BEST 2.0 Secretariat will follow the provisions of Annex IV to the Grant Contract "Procurement by grant beneficiaries in the context of EU external actions". In cases where IUCN procurement policies impose stricter requirements for the purchase of goods and

services than Annex IV, the BEST 2.0 Secretariat will comply with IUCN procurement policies.

4.6. Financial procedures: Implementing partners and grantees

The BEST 2.0 Secretariat will follow IUCN financial procedures when accounting for:

- (a) **Advances to Implementing Partners:** disbursements to Implementing Partners are recorded as advances requiring details of the expenditures incurred by the Implementing Partner to be entered into IUCN's financial system at the account code level in accordance with IUCN's chart of accounts. Details of expenditure incurred by the partner is then extracted from IUCN's financial system and included in IUCN's consolidated financial reports to the donor. SAERI, PNG/SPAW RAC, TAAF and IUCN French National Committee are treated as Implementing Partners. The expenditures incurred by them for the purposes of implementation of the BEST 2.0 Programme are accounted for in accordance with the procedures outlined above.
- (b) **Grants:** disbursements to grantees are accounted for as direct grants not requiring detailed justification at the account code level. In this case the grant will be booked as an expense in IUCN's financial system at the time the grant payment is made. Details of expenditure incurred by the Grantee will not be included in the consolidated financial report to the European Commission.

4.7. Grant level financial management

This section contains a description of the detailed procedures for financial management of individual grants. All BEST 2.0 Secretariat staff involved in monitoring receive training on the Operational Manual's policies and provisions within 90 days of appointment.

4.7.1. Financial management of BEST 2.0 grants

4.7.1.1. *Proposal submission stage*

Due diligence: the Secretariat and IUCN Finance team carry out due diligence procedures prior to all grant awards. This includes reviewing due diligence questionnaires and screening of grant applicants.

Eligibility check: the Secretariat and IUCN Finance team carry out an analysis of the financial capacity and perform a financial risk assessment of grantees. The financial risk assessment process determines the level of financial monitoring by the Secretariat.

The due diligence procedure and eligibility check are part of the initial screening of the proposals detailed under section 2.7.1.2 for small grants and 2.8.1.2 for medium grants.

4.7.1.2. *Selection and grant award stage*

The BEST 2.0 Secretariat and IUCN finance team review the budgets of all submitted proposals to ascertain whether the applicants have:

- Drawn up a reliable, plausible, transparent and realistic budget that is in line with the project's objectives, activities and duration.
- Explained in the justification sheet the assumptions used to draw up the budget, and the methods and sources used to:

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

4.7.1.3. Checklist for reviewing a budget

- The justification sheet of the budget should describe how the budget has been established and any assumptions and principles used by the grantees to draw up the budget should be plausible and realistic. Hence, it is essential to have or obtain a good understanding of the objectives and activities of the Project. The first step is to identify the activities. Next resources and inputs should be listed in order to review qualitative, quantitative and financial data.
- The budget should be clear, transparent and comprehensive.
- The budget should be realistic. Rough estimates and amounts which are not explained cast doubt on the reliability of the budget and involve a high risk of over- and underestimates.
- Quantitative and qualitative data should be clear and plausible taking into account the project objectives and activities. Examples: type and number of assets / items to be acquired (e.g. vehicles, equipment), qualifications and number of staff and time required (hours, weeks, months), types, units and measures of materials to be acquired (e.g. weight, distance, content etc.).
- Cost and price data should be plausible and verifiable with appropriate supporting documents and other sources, both internal (grant beneficiary) and external.
- Budgeted expenditure should be properly classified to avoid overruns which may result in ineligible expenditure.
- Budgetary principles, in particular cost allocation principles and keys, should be coherent with existing accounting policies (if applicable) and be based on plausible assumptions.
- The arithmetical accuracy of the budget should be checked.
- Budgeted expenditure should be eligible in accordance with applicable contractual conditions. See section 2.5.1.2.c for details about cost eligibility.

ALL budget cost categories : sub categories		
1	Verify the arithmetical accuracy of the figures in the cost budget and supporting schedules, if necessary / appropriate on a sample basis.	Specific cost budget and supporting schedules, tables and breakdowns of costs. It is a good and common practice to include these schedules in annexes to the budget and/or to integrate them in the Justification Sheet
2	Contact the Grantee to obtain clarification and/or additional information if necessary / appropriate.	
3	Lump sums (if applicable) Lump sums for financing the cost budget or parts of it can be accepted if : - total budgeted costs concerned are plausible; - activities and resources financed by lump sums are clearly defined	When budgeted costs are used as a basis for lump sums, unit costs or flat rates this means that actual costs incurred (and related to these budgeted costs) will not be made subject to verification. In this case budgeted costs should be (more)

4	Unit costs (if applicable) Unit costs for financing the cost budget or parts of it can be accepted if : <ul style="list-style-type: none"> - total budgeted costs concerned are plausible; - quantitative data concerned are plausible; - unit costs are properly and consistently calculated; and - activities and resources financed by unit costs are clearly defined 	critically reviewed.
5	Flat rates (if applicable) Flat rates (e.g. percentage rates) for financing the cost budget or parts of it can be accepted if: <ul style="list-style-type: none"> - total budgeted costs concerned are plausible; - quantitative data concerned are plausible; - Flat rates (%) are properly and consistently calculated; and - activities and resources financed by flat rates are clearly defined 	

4.7.1.4. Grant contracting stage

The BEST 2.0 Secretariat and IUCN finance team carry out budget validation and verify financial terms and conditions of the grant contract under negotiation. The budget validation process is tailored to match the type of budget: (1) simplified costs option budget (2) actual costs option budget and (3) a combination of simplified costs and actual costs budget.

The BEST 2.0 Secretariat and IUCN finance team are responsible for setting up and finalising Grant Contracts. The financial terms and conditions of the Grant Contracts are fine-tuned through active interaction with grantees.

Once a Grant Contract is finalised the commitment is entered in the Enterprise Resource Planning (ERP) system.

4.7.1.5. Grant implementation stage

Co-funding

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

Payments to grantees

The BEST 2.0 Secretariat is responsible for making and accounting for all disbursements to grantees. The schedule for payment of the BEST 2.0 financial contribution to projects is dependent on the type of grant awarded. In all cases the total amount of pre-financing will not exceed 90% of the approved maximum BEST 2.0 contribution to the project; the balance of 10% will be paid following the approval of the final report.

Swift Small Grants

Maximum BEST 2.0 contribution of ≤ € 50 000

- An initial pre-financing payment of 75% of the maximum BEST 2.0 contribution to the project is paid no later than 30 days from the receipt of the signed grant contract and corresponding payment request.
- The balance of the final amount of the grant is paid no later than 45 days after the approval of the Final Report accompanied by a corresponding payment request.

Small Grants

Maximum BEST 2.0 contribution of > € 50 000 and ≤ € 100 000

- An initial pre-financing payment of 100% of the estimated budget financed by BEST 2.0 for the first year of the project is paid no later than 30 days from the receipt of the signed grant contract and corresponding payment request.
- Further pre-financing payment of up to 90% of the total BEST 2.0 contribution to the grant budget is paid to the Grantee no later than 30 days after the approval of the Small Grant interim report accompanied by a corresponding payment request.
- The balance of the final amount of the grant is paid no later than 45 days after the approval of the Final Report accompanied by a corresponding payment request.

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

Medium Grants

Maximum BEST 2.0 contribution of > € 100 000 and ≤ € 400 000

- An initial pre-financing payment of 100% of the part of the estimated budget for the first reporting period financed by BEST 2.0 is calculated applying the percentage of co-financing stated in Article 4.2. is made to a Grantee no later than 30 days after IUCN's receipt of this Agreement executed by both Parties, together with Grantee's Payment Request.
- Further pre-financing payment(s)* of the part of the estimated budget financed by BEST 2.0 will constitute up to 90% of the remaining Grant budget and will be paid to the Grantee no later than 30 days after the approval of the Medium Grant Technical and Financial Progress Reports accompanied by a corresponding Payment Request.
- If at the end of the reporting period the part of the expenditure actually incurred which is financed by BEST 2.0 is less than 70 % of the previous payment and less than 100 % of any previous payments, the further pre-financing payment shall be reduced by the amount corresponding to the difference between the 70 % of the previous pre-financing payment and the part of the expenditure actually incurred;
- The balance of 10% is paid to the Grantee no later than 45 days after the approval of the Final Medium Grant Technical and Financial Report accompanied by an external audit report and a corresponding Payment Request.

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

All payments to Grantees are considered as pre-financing payments until the BEST 2.0 Secretariat has approved the final technical and financial reports and has transferred the final payment to the Grantee.

4.7.2. Monitoring, reporting and review

The BEST 2.0 financial monitoring approach is described in detail in section 3.2.

4.7.2.1. Financial reporting by Grantees and review of reports

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

There are two types of financial report: Interim Financial Report and Final Financial Report; templates for each type of report detailing the information required to be included are available on the BEST 2.0 Portal. Interim reports include forecast expenses, current reporting period expenses, budget balance, projected expenses for the next period and variances in % and absolute values as compared with the total approved budget. The following table sets out the reporting schedule for each type of grant.

Report	Type of Grant		
	Swift Small Grant	Small Grant	Medium Grant
1 st Interim Financial Report (Annex 27)	Not required	To be submitted within 30 calendar days from the end of the first year of the grant implementation period	To be submitted within 30 calendar days from the end of the first year of the grant implementation period
2 nd Interim Financial Report (Annex 27)	Not required	To be submitted within 30 calendar days from the end of the second year of the grant implementation period (<i>if the total project duration exceeds 28 months</i>)	To be submitted within 30 calendar days from the end of the second year of the grant implementation period (<i>if the total project duration exceeds 28 months</i>)
Final Financial Report Swift Small Grants (Annex 25) Small and Medium Grants (Annex 27)	To be submitted within 45 days from the end of the grant implementation period	To be submitted within 45 calendar days from the end of the grant implementation period	To be submitted within 60 calendar days from the end of the grant implementation period

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

The BEST 2.0 Secretariat and IUCN finance team review and assess all financial reports in line with the approach described in section 3.2.1.

4.7.3. Grant close-out

At project completion, after reviewing the Final Technical and Financial Reports, BEST 2.0 grants will be closed upon verification that all deliverables have been completed, all progress, financial, and audit reports have been reviewed and approved and that the total

grant amount has been reconciled. Reconciliation includes verification that all advances have been accounted for, the final payment has been issued, and any unspent funds have been returned and credited back to the portfolio for future grants.

After the grant is closed, BEST 2.0 will officially notify the grantee in a Close-Out Letter that the grant is complete and all deliverables are approved. If applicable, a final payment or refund request will be processed at this time. Any unused funds received by the grantees should be refunded, and subtracted from the reported eligible expenditure. These funds are then available for other grants.

4.8. Conflict of interest and BEST 2.0 funding

IUCN is committed to ensuring that its transactions, engagements, and relationships are transparent and do not inappropriately benefit interested persons and organizations. As the administrator of BEST 2.0, IUCN aims to ensure the same high standards are applied to all BEST 2.0 operations and funding decisions. BEST 2.0 has transparent and globally consistent eligibility criteria and decision-making processes that are approved by the European Commission and widely publicized. The investments adhere to environmental and social policies of IUCN¹⁰ (see [Annex 32](#)) as implementation agency of the Global Environment Facility and the European Commission, as detailed in the BEST 2.0 Operational Manual.

All grant recipients also agree to adhere to specific ethical standards pertaining to the use of BEST 2.0 funds, as detailed in the BEST 2.0 grant agreements (see [Annex 21](#) (Swift Small Grants); [Annex 22](#) (Small Grants); [Annex 23](#) (Medium Grants)). Additional measures put in place for BEST 2.0 operations and decision-making that may present an actual or apparent conflict of interest are detailed below.

To avoid conflict of interest:

- IUCN is not eligible.
- the organizations that comprise the BEST Regional Teams are not eligible for grants. Applications from formal affiliates of those organizations that have an independent operating board of directors will be accepted, but subject to additional external review.
- the organizations of the Regional Advisory Committee experts and the experts themselves are not eligible.

A special conflict of interest declaration will be completed by IUCN and the BEST 2.0 Secretariat team, as well as the BEST Regional Hub teams and members of the BEST 2.0 Regional Advisory Committees (see [Annex 31](#)). Grant applicants will also provide conflict of interest declarations in order to reduce the risk that any relation to IUCN or BEST partners or any of the external reviewers goes undetected.

¹⁰ <http://iucn.org/about/values/>



5. Safeguard policies

BEST 2.0 appraises projects not only on their technical merit, but also on their environmental and social ramifications. Therefore, procedures for addressing environmental and social issues are included in the project cycle management process. A core principle of BEST 2.0 is to prevent and mitigate any harm to people and thus to incorporate environmental and social concerns as an intrinsic part of project cycle management.

Environmental and social safeguards will be tracked during all stages of the project cycle with the main objective of ensuring that supported activities comply with the policies and guidelines laid out in the Operational Manual and IUCN environmental and social safeguard policies¹¹. This includes confirming that measures are incorporated into the project design to prevent, minimize, and mitigate potential adverse environmental and social effects of individual projects.

The BEST 2.0 project cycle management approach, as laid out in this Operational Manual, describes a project cycle of design, implementation, and evaluation. BEST 2.0 addresses environmental and social issues within this cycle as follows:

Design:

- Inquire on, and assess, environmental, and social guidelines
- Discuss with project designers and study any reports as requested
- Prepare comments and requests for additional information
- Advise on any specific requirements for compliance
- Review and assess for approval and/or any special measures required
- Implementation
- Continue to inquire and review environmental and social safeguard issues
- Prepare any comments and requests for new information
- Review and advise on implementation of any special measures required

Evaluation:

- Ensure inclusion and review environmental and social safeguard issues in final project reporting as well as any lessons learned
- Post all related information and documents on <https://portals.iucn.org/best> for global learning

5.1. Environmental and social safeguard assessment process

The BEST 2.0 project proposal forms seek out several elements of the basic project design including objectives, performance indicators, and sustainability issues. Within these applications are a series of safeguard questions that must be answered based on the World Bank's standard Environmental Assessment. For each, grantees are asked to provide a supporting statement to justify their answer.

¹¹ <http://iucn.org/about/values/>

BEST 2.0 will assess these during the initial proposal review. This review may be deemed satisfactory, or may involve further discussion with the potential grantee. In some cases, additional information may be required for further review and discussion. Throughout the review process, BEST 2.0 will maintain contact with the potential grantee to obtain clarification on information provided and request any additional information and documentation needed. In conducting the preliminary evaluation, BEST 2.0 will focus on analysing the materials provided by the potential grantee to determine the following aspects related to the environmental and social effects of the project:

- Compliance with BEST 2.0 and IUCN environmental and social safeguard policies
- Potential for the project to cause adverse environmental impacts
- Potential for the project to cause adverse social impacts
- Capacity of the applicant to implement any required safeguard-related measures during the preparation and implementation of the project.

At the conclusion of the initial screening, BEST 2.0 will identify any environmental and social effects of the project and define any safeguard requirements necessary.

This process is then tracked throughout project implementation similar to the tracking of performance toward project objectives. At each performance reporting stage, grantees will revisit the safeguard policy issues to reconfirm their status, adjust any that may have changed during implementation, and make any necessary mitigation steps as needed. In cases where grantees are implementing mitigation actions, they will report on the progress of such implementation similar to that which they are doing for other project elements. The intent of this process is to ensure that the environmental and social safeguard issues are continually monitored and mitigated throughout project implementation.

The final step is to evaluate the environmental and social issues at project completion. Any related documents and lessons learned will be shared via <https://portals.iucn.org/best> to help in the design and mitigation of negative environmental and social impacts in future projects.



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Annex 1: Useful definitions

Grant actors:

There are three kinds of actors that may receive funding under a BEST 2.0 grant contract:

- ***the applicant***

If awarded the grant contract, the applicant will become the beneficiary identified as the coordinator in the special conditions of the grant contract. The coordinator is the main interlocutor of the contracting authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinates the design and implementation of the action.

- ***co-applicants*** (if any) – who will become the co-beneficiaries following the award of the grant

Co-applicant(s) participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the applicant.

- ***affiliated entities*** (if any).

Only the applicant and co-applicants will become parties to the grant contract. Their affiliated entities are neither beneficiaries of the action nor parties to the contract. However, they participate in the design and in the implementation of the action and the costs they incur (including those incurred for implementation contracts and financial support to third parties) may be eligible, provided they comply with all the relevant rules already applicable to the beneficiaries under the grant contract. Affiliated entities must satisfy the same eligibility criteria as the applicant and the co-applicant(s).

Only entities having a structural link with the applicants, in particular a legal or capital link, may be considered as affiliated entities to the applicant and/or to co-applicant(s).

This structural link encompasses mainly two notions:

- i. Control, as defined in Directive 2013/34/EU on the annual financial statements, consolidated financial statements and related reports of certain types of undertakings.

Entities affiliated to a beneficiary may hence be:

- Entities directly or indirectly controlled by the beneficiary (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by the beneficiary (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control
 - Entities directly or indirectly controlling the beneficiary (parent companies). Likewise, they may be entities controlling an entity controlling the beneficiary
 - Entities under the same direct or indirect control as the beneficiary (sister companies)
- ii. Membership, i.e. the beneficiary is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the beneficiary participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.

The structural link shall be neither limited to the action nor established for the sole purpose of its implementation. This means that the link would exist independently of the award of the grant; it should exist before the call for proposals and remain valid after the end of the action.

By way of exception, an entity may be considered as affiliated to a beneficiary even if it has a structural link specifically established for the sole purpose of the implementation of the action in the case of so-called “sole applicants” or “sole beneficiaries”. A sole applicant or a

sole beneficiary is an entity formed by several entities (a group of entities) which together comply with the criteria for being awarded the grant. For example, an association is formed by its members.

What is not an affiliated entity?

The following are not considered entities affiliated to a beneficiary:

- Entities that have entered into a (procurement) contract or subcontract with a beneficiary, act as concessionaires or delegates for public services for a beneficiary
- Entities that receive financial support from the beneficiary
- Entities that cooperate on a regular basis with the beneficiary on the basis of a memorandum of understanding or share some assets
- Entities that have signed a consortium agreement under the grant contract

How to verify the existence of the required link with the beneficiary?

The affiliation resulting from control may be proved in particular on the basis of the consolidated accounts of the group of entities the beneficiary and its proposed affiliates belong to.

The affiliation resulting from membership may in particular be proved on the basis of the statutes or equivalent act establishing the entity (network, federation, association) which the beneficiary constitutes or in which the beneficiary participates.

If the analysis of the accounts or of the statutes does not provide for a clear-cut affiliation between the (co-)applicant and the entity that it presents as its affiliate, the entity may be treated as separate (co-) applicant in the same proposal. The change in the treatment of that entity, from an affiliated entity to a (co-)applicant, is not to be considered substantial and falls within the scope of corrections that may be made during the finalisation phase of the grant contract.

The following entities are neither (co-)applicant(s) nor affiliated entities:

- Associates

Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs.

- Contractors

The grant beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entities cannot be also contractors in the project.

If financial support is allowed under the relevant grant contract:

The grant beneficiaries may award financial support to third parties. These third parties are neither affiliated entities nor associates nor contractors.

Annex 2: Non profit rule

(PRAG, 2014, extracts)

Grants may not have the purpose or effect of producing a profit within the framework of the action or the work programme, with the exception of some specific cases (see below) as provided for in the Special Conditions of the standard grant contract.

Profit is defined as a surplus of the receipts over the eligible costs approved by the contracting authority when the request for payment of the balance is made.

The receipts to be taken into account are the consolidated receipts on the date on which the request for payment of the balance is made by the coordinator that fall within one of the two following categories:

- i. Income generated by the action, unless otherwise specified in the Special Conditions of the contract.
- ii. Financial contributions specifically assigned by other donors to the financing of the same eligible costs financed by the grant. Any financial contribution that may be used by the beneficiary(ies) to cover costs other than those eligible under a contract or that are not due to the donor where unused at the end of the action are not to be considered as a receipt to be taken into account for the purpose of verifying whether the grant produces a profit for the beneficiary(ies).

In case of an operating grant, amounts dedicated to the building up of reserves shall not be considered as a receipt.

When grants or parts of grants are based on simplified cost options, these amounts should be established in such a way as to exclude profit a priori. If this is the case, the amounts of unit costs, lump sums and/or flat-rates established in the contract shall not be challenged by ex post controls, i.e. through comparison with the actual costs they cover. (see PRAG section 6.2.1.; and Annex E3a2 Guidelines-Checklist for simplified cost options)

In case a profit is made, the contracting authority has the right to reduce the final amount of the grant by the percentage of the profit corresponding to the final Union contribution to the eligible costs approved.

The no-profit rule **does not apply to:**

- a) Actions whose objective is to consolidate the financial capacity of a beneficiary. Where applicable, this must be specified in Article 7 of the Special Conditions.
- b) Actions which generate an income to ensure their continuity beyond the end of the contract. Where applicable, this must be specified in Article 7 of the Special Conditions.
- c) Other direct support paid to natural persons in most need, such as unemployed persons and refugees. Where applicable, this must be specified in Article 7 of the Special Conditions.
- d) Study, research or training scholarships paid to natural persons.
- e) Low value grants (e.g. BEST 2.0 Swift Small Grants < € 50 000).

Annex 3: Regional Teams Terms of Reference

BEST 2.0 Regional Teams

Terms of Reference

The BEST 2.0 Regional Teams have an important role to play during all stages of the grant process. The responsibilities of the Regional Teams - in each of the five BEST 2.0 regions - at each stage of the grant process are set out below.

Call for proposals

- Assisting the BEST 2.0 Secretariat in finalising the strategic direction for each call for proposals in their region.
- Promoting the call for proposals in their region:
 - Publishing details of the call on their website
 - Promoting the call through other relevant means

Proposal preparation

- Providing technical advice and support to Small Grant applicants during the proposal preparation stage
- Organising capacity building events for Small Grant applicants where appropriate

Proposal evaluation, selection and award

- Establishing the Regional Advisory Committee in their respective region
 - Identifying suitable experts and submitting their curricula to the Secretariat
 - Contracting the Regional Advisory Committee experts
- Convening the Regional Advisory Committee experts following the close of each call for proposals to undertake:
 - A technical assessment of Small Grant Concept Notes to assess alignment with the OAD, regional ecosystem profiles and relevant territorial, national and local strategies.
 - A technical evaluation of SG and MG full proposals against agreed selection criteria
- Compiling a ranked list of the proposals submitted according to their score in the technical evaluation.
- Informing the BEST 2.0 Secretariat of the results of the selection process (i.e. the projects selected for funding).

Monitoring

- Assisting the BEST 2.0 Secretariat in monitoring project progress, assessing project management and implementation effectiveness
- Supporting beneficiaries by providing advice and support on implementation issues

Capitalisation

- Contributing to the development of the capitalisation document by identifying projects demonstrating best practice and innovative approaches in their region
- Promoting knowledge sharing and transfer activities

Annual financial and progress reports

- Providing inputs to the reports prepared by the BEST 2.0 Secretariat

Annex 4: Regional Advisory Committee Experts Terms of Reference

BEST 2.0 Regional Advisory Committee Experts

Terms of Reference

The BEST 2.0 Regional Advisory Committees - comprising independent experts with specific expertise and knowledge of the respective region - have an important role during the proposal evaluation, selection and award stage of the grant process. They are responsible for ensuring that the process is fair, transparent and independent.

The size of each Regional Advisory Committee is determined by the number of OCTs in the region and the volume of applications expected. Each region will have a minimum of three reviewers to ensure an objective selection process.

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

Proposal evaluation, selection and award

Small Grant concept notes

- Evaluating and scoring Small Grant concept notes for alignment with the Overseas Association Decision, regional ecosystem profiles and relevant territorial, national and local strategies
- Completing a scoring grid and providing comments for each concept note
- Compiling a ranking list

Small and Medium Grant proposals

- Assessing proposals against agreed selection criteria
- Completing a scoring grid and providing comments for each proposal
- Compiling a ranking list

Annex 5: Steering Committee Terms of Reference

BEST 2.0 Steering Committee

Terms of Reference

The BEST 2.0 Steering Committee is comprised of three categories of members: deciding members, reporting members and observer members.

Deciding Members

- 1 representative of DG DEVCO C2 (chair and Contracting Authority).
- 1 representative of DG DEVCO 0.7 (Relations with Overseas Countries and Territories)
- 1 representative of DG ENV B2

Reporting Members

- Up to 4 representatives of IUCN-headquarter (secretariat): Coordinator; Project Officer; Senior Finance Officer; Communication Officer.
- 1 representative of each of the 5 regional teams (SAERI; TAAF; SPAW-RAC; IUCN-France/Indian Ocean; IUCN-France/Pacific).

Observer Members

- 6 representatives of the OCTs
- 1 representative per member of the BEST III consortium that is not a member of the BEST 2.0 consortium: CEPF/CI; WWF-France; FRC
- 1 representative of other European Commission DGs (e.g. RTD; CLIMA; REGIO)
- 1 representative per EU Member-State with a constitutional link to the OCTs (FR; UK; NL; DK)

** Additional observers can be invited to join the SC by the BEST 2.0 Secretariat.*

The Steering Committee is responsible for overseeing the implementation of the BEST 2.0 Programme and providing advice and recommendations on the strategic, operational and financial direction. This responsibility extends across the whole grant process and includes reviewing and advising on the operating plans and thematic priority areas. The Steering Committee may also discuss and propose amendments to the BEST 2.0 Operational Manual - which contains the specific operating policies and procedures. Any recommendation made by the Steering Committee is subject to approval by its deciding members. As such the final decisions taken regarding the Programme remain the exclusive competence of the European Commission.

The Steering Committee has an important role in overseeing and approving the full grant process as well as the overall BEST 2.0 Programme. Its responsibilities include:

Program level

- Reviewing and advising on the BEST 2.0 Strategic Framework
- Reviewing and advising on the BEST 2.0 Programme Operational Manual which includes:
 - The overall process and guiding principles for the call for proposals
 - The eligibility and assessment/selection criteria for proposals
 - The financial rules for grantees
- Reviewing and advising on the funding envelope for each call for proposals
- Proposing any amendments to the Operational Manual

- Recommending the admission of additional observers to join the BEST 2.0 Steering Committee

Call for proposals

- Reviewing and advising on materials related to each call for proposals

Monitoring

- Reviewing the reports submitted by the BEST 2.0 Secretariat
- Recommending any adjustments to the programme based on the findings from the monitoring reports

Capitalisation

- Reviewing and advising on the capitalisation document

Annual progress reports

Reviewing the technical progress reports submitted by the BEST 2.0 Secretariat

Annex 6: Small Grant Concept Note Application Form



BEST 2.0 Small Grant Concept Note Application Form

To submit your Concept Note, please upload it on the BEST 2.0 portal (<https://portals.iucn.org/best>). Please note that you will first need to register and create an account

If you have any questions please send your inquiry to the relevant Regional Hub or the BEST 2.0 Secretariat using the contact details provided in the Guidelines for Applicants and we will do all that we can to assist.

The information below must be completed by the lead applicant,

Thank you for your interest in BEST 2.0.

1. Project Overview

Project Title:

Region:

(Insert the BEST 2.0 region in which the project will be implemented)

Project Location(s):

(The geographic location(s) in which the project activities will take place: OCT(s), island(s), site(s) etc.)

Proposed start date:

Duration of project in months:

(Please see section 2.1.4 of the guidelines for applicants for any restrictions regarding the project start and end dates and duration)

BEST 2.0 objective to which the project will principally contribute:

(Select only one objective)

<input type="checkbox"/>	1. Conservation of biodiversity and ecosystem services
<input type="checkbox"/>	2. Sustainable use of biodiversity and ecosystem services
<input type="checkbox"/>	3. Ecosystem-based climate change adaptation and/or mitigation

Describe how the project contributes to the selected objective:

--

Indicate which of the other BEST 2.0 objectives (if any) the project will contribute to.

(You are not required to select any additional objectives, but you can select either one or both of the objectives not selected in your previous response)

<input type="checkbox"/>	1. Conservation of biodiversity and ecosystem services
<input type="checkbox"/>	2. Sustainable use of biodiversity and ecosystem services
<input type="checkbox"/>	3. Ecosystem-based climate change adaptation and/or mitigation

Describe how the project will contribute to the BEST objectives selected.

--

Funding requested from BEST 2.0 in Euros:

€

(amount in Euros requested from BEST 2.0)

Total project budget in Euros:

€

(total budget in Euros for the project from all funding sources; please note that co-funding is not a requirement for BEST 2.0 Small Grants)

2. Organisational Information of Applicants

Organisation legal name:

Organisation short name /
Acronym:

Web site address:

Address:

Project Lead Contact

*(This individual will be the contact point for the
BEST 2.0 Secretariat)*

Name:

Position:

Email:

Telephone:

Organisation type of the applicant:

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

☐

Local non-government organisation (NGO) / civil society organisation (CSO) / community-based organisation (CBO) / non-profit organisation

☐

Small socio-professional organisation / small for-profit organisation

☐

Local sub-governmental body of an OCT (e.g. municipality, city etc.)

☐

OCT territorial government department / service *

☐

Organisation based in the same region as an uninhabited OCTs *

☐

Organisation based in an European Union Member State *

*** Access to small grants is limited for these organisations. Specific eligibility criteria must be fulfilled for the application to be accepted – please see the Guidelines for Applicants for details.**

Short description of the organisation:

Role in the project:

Does the proposal include co-applicants?

If yes please add their details below.

☐ Yes

☐ No

Co-applicant 1

Organisation Name:

Organisation type of the applicant:

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

☐

Local non-government organisation (NGO) / civil society organisation (CSO) / community-based organisation (CBO) / non-profit organisation

☐

Small socio-professional organisation / small for-profit organisation

☐

Local sub-governmental body of an OCT (e.g. municipality, city etc.)

☐

OCT territorial government department / service *

☐

Organisation based in the same region as an uninhabited OCTs *

☐

Organisation based in an European Union Member State *

*** Access to small grants is limited for these organisations. Specific eligibility criteria must be fulfilled for the application to be accepted – please see the Guidelines for Applicants for details.**

Short description of the organisation:

Role in the project:	

Co-applicant 2	
Organisation Name:	

Organisation type of the applicant:	
<i>(select the one which applies to your organisation, see the Guidelines for Applicants for further details)</i>	
<input type="checkbox"/>	Local non-government organisation (NGO) / civil society organisation (CSO) / community-based organisation (CBO) / non-profit organisation
<input type="checkbox"/>	Small socio-professional organisation / small for-profit organisation
<input type="checkbox"/>	Local sub-governmental body of an OCT (e.g. municipality, city etc.)
<input type="checkbox"/>	OCT territorial government department / service *
<input type="checkbox"/>	Organisation based in the same region as an uninhabited OCTs *
<input type="checkbox"/>	Organisation based in an European Union Member State *

*** Access to small grants is limited for these organisations. Specific eligibility criteria must be fulfilled for the application to be accepted – please see the Guidelines for Applicants for details.**

Short description of the organisation:	

Role in the project:	

Does the proposal include affiliated entities? <i>If yes please add their details below.</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
--	------------------------------	-----------------------------

Affiliated Entity 1	
Organisation Name:	

Organisation type of the applicant: <i>(select the one which applies to your organisation, see the Guidelines for Applicants for further details)</i>	
<input type="checkbox"/>	Local non-government organisation (NGO) / civil society organisation (CSO) / community-based organisation (CBO) / non-profit organisation
<input type="checkbox"/>	Small socio-professional organisation / small for-profit organisation
<input type="checkbox"/>	Local sub-governmental body of an OCT (e.g. municipality, city etc.)
<input type="checkbox"/>	OCT territorial government department / service *
<input type="checkbox"/>	Organisation based in the same region as an uninhabited OCTs *
<input type="checkbox"/>	Organisation based in an European Union Member State *

*** Access to small grants is limited for these organisations. Specific eligibility criteria must be fulfilled for the application to be accepted – please see the Guidelines for Applicants for details.**

State to which applicant the affiliated entity organisation has a structural link and describe the nature of the link <i>(see section 2.1.3 of the guidelines for applicants)</i>

Short description of the organisation:

Role in the project:

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

☐ Yes

☐ No

Please note that an organisation can submit a maximum of two concept notes as lead applicant and/or co-applicant.

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

Name of organisation concerned	Title of the other project in which the organisation is involved	Organisation's role in the other project
Capacity to deliver both projects		

Name of organisation concerned	Title of the other project in which the organisation is involved	Organisation's role in the other project
Capacity to deliver both projects		

3. Organisation's Capacity

Please describe the experience and expertise of your organisation (and any co-applicants and affiliated entities) that demonstrates your ability to successfully implement the project, including experience of managing projects of a similar size or nature and the structure of the organisation from both a technical and financial management perspective

Proposed technical lead for the project

Please submit a one page CV demonstrating the relevant experience of the individual identified with this Concept Note.

Name:

Position in the organisation:

4. Eligibility

Eligible Activities

The following activities may not be funded by BEST 2.0. If your proposed project involves any of these (i.e. if the answer to any of the questions below is yes) BEST 2.0 will not be able to provide funding. Where possible, you may revise your strategy to avoid these elements

Do you plan to use any of the potential project funds to purchase land?

☐ Yes

☐ No

Does the project involve the relocation of people or any other form of involuntary resettlement?

☐ Yes

☐ No

Does the project negatively affect physical cultural resources, including those important to local communities?

☐ Yes

☐ No

Does the project involve activities that could adversely affect individuals and local communities or where these communities have not provided their broad support to the project activities?

☐ Yes

☐ No

Does the project involve the removal or alteration of any physical cultural property (includes movable or immovable objects, sites, structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance)?

☐ Yes

☐ No

Environmental Aspects

Will the project involve activities that are likely to have adverse impacts on the environment?

☐ Yes

☐ No

Justification – please provide a rationale for the environmental impact if the answer is yes and details as to how it will be avoided or mitigated.

--

Social Aspects

Will the proposed project involve activities that are likely to have adverse impacts on the local community?

☐ Yes

☐ No

Justification – please provide a rationale for the social impact if the answer is yes and details as to how it will be avoided or mitigated.

--

Safeguards

Does your proposal comply with the BEST 2.0 Environmental and Social Management Framework?

☐ Yes

☐ No

Please be aware the BEST 2.0 Secretariat may ask applicants for additional information and documentation if the project possesses the potential to trigger Safeguard Policies.

Additional Eligibility Criteria

If you are a non-OCT based national, regional or international organisation please detail how your project will involve the active participation and capacity building of local actors during its implementation:

--

5. Project Description

5. Project Description

Briefly describe:

- the project context
- the specific issue(s) that it aims to address
- the main activities that you will undertake
- the expected results and outcomes

Briefly describe any potential risks to the success of the project and how these will be addressed:

Relevance of the project to the BEST Regional Ecosystem Profile

--

Relevance of the project to the needs and priorities of the target territory (e.g. alignment with relevant territorial, national and local strategies).

--

Intended contribution to the implementation of the Overseas Association Decision.

--

Project stakeholders: *(details of the project stakeholders, how they have been/will be involved or consulted during the design of the project, what support they will provide and how the project will engage with them)*

--

Long-term sustainability and replicability: briefly explain how you intend to ensure the sustainability of the project activities and/or results beyond the initial project implementation period and their potential for replication

--

Submission Checklist

(Please ensure that you have done all of the following prior to submitting your Concept Note)

	Check
Have you read the Guidelines for Applicants and followed the instructions included in this template?	<input type="checkbox"/>
Has the Applicant Declaration (below) been signed by a suitably authorised individual? (clear electronic or scanned signatures are acceptable)	<input type="checkbox"/>
Have you included signed mandates for all co-applicants and affiliated entities (if any)?	<input type="checkbox"/>
Have you completed and uploaded the Due Diligence and Financial Capacity Questionnaire?	<input type="checkbox"/>
Have you included your organisation's latest activity report?	<input type="checkbox"/>
Is the contribution you are requesting from BEST 2.0 \leq € 100 000?	<input type="checkbox"/>
Have you included a 1 page CV for the Project Lead Contact identified in section 2?	<input type="checkbox"/>
Have you checked the BEST 2.0 portal immediately prior to submission to ensure there are no late updates?	<input type="checkbox"/>

APPLICANT DECLARATION

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

- the applicant has sufficient financial capacity to carry out the proposed action or work programme;
- the applicant certifies the legal statues of the applicant and of the co-applicant(s) and affiliated entity(ies) as reported in the application;
- the applicant and the co-applicant(s) have the professional competences and qualifications specified in the Guidelines for Applicants;
- the applicant undertakes to comply with the principles of good partnership practice;
- the applicant is directly responsible for the preparation, management and implementation of the action with the co-applicant(s), if any, and is not acting as an intermediary;
- The applicant and the co-applicant(s) are not in any of the situations excluding them from participating in contracts which are listed in [Section 2.3.3](#) of the Practical Guide (available from the following Internet address: <http://ec.europa.eu/europeaid/prag/document.do>). Furthermore, it is recognised and accepted that if the applicant and co-applicant(s) (if any) participate in spite of being in any of these situations, they may be excluded from other procedures in accordance with [Section 2.3.4](#) of the Practical Guide;
- the applicant and each co-applicant and affiliated entity (if any) are eligible in accordance with the criteria set out in the Guidelines for Applicants;
- if recommended to be awarded a grant, the applicant, the co-applicant(s) and the affiliated entity(ies) accept the contractual conditions as laid down in the Standard Contract annexed to the Guidelines for Applicants;
- the applicant and the co-applicant(s) are aware that, for the purposes of safeguarding the financial interests of the EU, their personal data may be transferred to internal audit services, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti-Fraud Office.

The applicant is fully aware of the obligation to inform without delay the BEST 2.0 Secretariat to which this application is submitted if the same application for funding made to other European Commission departments or European Union institutions has been approved by them after the submission of this grant application.

The applicant acknowledges that according to Article 131 (5) of the Financial Regulation of 25 October 2012 on the financial rules applicable to the general budget of the Union (Official Journal L 298 of 26.10.2012, p. 1) and Article 145 of its Rules of Application (Official Journal L 362, 31.12.2012, p.1) applicants found guilty of misrepresentation may be subject to administrative and financial penalties under certain conditions.

Signed on behalf of the applicant

Name (block capitals)	
Position in the organisation	

Signed:

--

Date:

--

Annex 7: Small Grant Proposal Application Form



BEST 2.0 Small Grant Proposal Application Form

To submit your Proposal please upload it on the BEST 2.0 portal (<https://portals.iucn.org/best>).

If you have any questions or concerns please send your inquiry to the relevant Regional Hub or the BEST 2.0 Secretariat using the contact details provided in the Guidelines for Applicants and we will do all that we can to assist.

Concept note reference number:	
---	--

1. Project Overview

Project title:	
-----------------------	--

Region:	
----------------	--

(Insert the BEST 2.0 region in which the project will be implemented)

Project Location(s):	
-----------------------------	--

(The geographic location(s) in which the project activities will take place: OCT(s), island(s), site(s) etc.)

Start Date:		End Date:	
--------------------	--	------------------	--

Duration of project in months:	
---	--

(Please see section 2.1.4 of the guidelines for applicants for any restrictions regarding the project start and end dates and duration)

BEST 2.0 objective to which the project will principally contribute:*(Select **only one** objective)*

<input type="checkbox"/>	4. Conservation of biodiversity and ecosystem services
<input type="checkbox"/>	5. Sustainable use of biodiversity and ecosystem services
<input type="checkbox"/>	6. Ecosystem-based climate change adaptation and/or mitigation

Indicate which of the other BEST 2.0 objectives (if any) the project will contribute to.*(You are not required to select any additional objectives, but you can select either **one or both** of the objectives not selected in your previous response)*

<input type="checkbox"/>	4. Conservation of biodiversity and ecosystem services
<input type="checkbox"/>	5. Sustainable use of biodiversity and ecosystem services
<input type="checkbox"/>	6. Ecosystem-based climate change adaptation and/or mitigation

Funding requested from BEST 2.0 in Euros:

€

*(Amount in Euros requested from BEST 2.0. **The figure should match the one shown in your budget.**)***Total project budget in Euros:**

€

*(Total project budget from all funding sources in Euros. **The figures should match those shown in your budget.**)*

Amount of co-funding from other sources in Euros:		Amounts
Source:		€
Source:		€

*(**The figures should match the one shown in your budget.** Finance from other EU financial instruments or programmes cannot be used as co-financing under BEST 2.0. Please note that co-funding is not a requirement for BEST 2.0 Small Grants.)***Summary of your project (500 words maximum):**

--

2. Organisational Information

Organisation legal name:

Organisation short name /
Acronym:

Project Lead Contact

*(This individual will be the contact point for
the BEST 2.0 Secretariat)*

Name:

Email:

Telephone:

Name of Co-applicants (if any)

1.

2.

3.

Name of Affiliated Entities (if any)

1.

2.

3.

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

Name	Organisation	Current position/job title

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

☐ Yes

☐ No

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

Name of organisation concerned	Title of the other project in which the organisation is involved	Organisation's role in the other project
Capacity to deliver both projects		

Name of organisation concerned	Title of the other project in which the organisation is involved	Organisation's role in the other project
Capacity to deliver both projects		

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

3. Detailed Description of the Project

Project context and the specific problem it will address:

Explain how the project will contribute to the principal BEST 2.0 objective selected in Section 1. Highlight the tangible positive impacts and any innovative aspects of the project related to this objective.

Describe the relevance of the project to the Overseas Association Decision, BEST regional ecosystem profiles (where available), OCT environmental profiles, relevant local strategies: *(alignment of the project with the approaches and priorities they contain)*

Risks: *(please enter the main risks that the project faces in the table below)*

Description of the risk	Likelihood it will occur (H/M/L)	Impact on the project (H/M/L)	Steps the project will take to reduce or manage the risk

*High/Medium/Low

Approach and methodology: (You should describe how you will implement each of the activities included in your logical framework: provide information on what you will do, how you will undertake the work (the methods and approach you will use) and how you will manage the work (roles and responsibilities, project management tools etc). Give details of any innovative techniques or methods).

Project timeline: (Please include a proposed timetable showing business planning, key deadlines. This can be presented in an attached document)

Example

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

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

Milestone	Date

Project stakeholders: *(details of the project stakeholders, how they have been involved or consulted during the design of the project, what support they will provide and how the project will engage with them)*

Communication (Please describe any dissemination and communication activities to be carried out during the project (a description of how you will engage your target audience(s), what communication/dissemination products will be produced, the intended key messages, and what you hope to achieve through the communication activities):

Cooperation intra / inter territory (Please describe any activities that will contribute to intra territorial cooperation through the creation of partnerships, advocacy, capacity building, education, communication and outreach, and to regional coherence (with other OCTs, the outermost regions and third countries):

--

Describe how the project will contribute to capacity building, developing partnerships between stakeholders, community-led/-based actions:

--

Sustainability: <i>(Describe how the benefits of the project will be sustained beyond the end of the project and the responsibility for any work required post-project)</i>
--

--

Submission Checklist

(Please ensure that you have done all of the following prior to submitting your Proposal)

	Check
Have you read the Guidelines for Applicants?	<input type="checkbox"/>
Has your application been signed by a suitably authorised individual? (clear electronic or scanned signatures are acceptable)	<input type="checkbox"/>
Have you provided actual start and end dates for your project and is the project within the maximum duration stated in the Guidelines for Applicants?	<input type="checkbox"/>
Have you completed and uploaded a project budget and is the requested BEST contribution within the maximum allowed?	<input type="checkbox"/>
Have you checked that your budget is complete, correctly adds up and that you have included the correct final total on the top page of the application?	<input type="checkbox"/>
The requested contribution has not been changed by more than 20 % compared to the amount requested at the concept note stage.	<input type="checkbox"/>
The budget is in balance, presented in the format requested, and stated in €	<input type="checkbox"/>
Have you included a 1 page CV for all of the individuals identified in section 4?	<input type="checkbox"/>
Have you completed and uploaded the project logical framework and defined indicators to measure the achievement of the project purpose and results?	<input type="checkbox"/>
Have you checked the BEST 2.0 portal immediately prior to submission to ensure there are no late updates?	<input type="checkbox"/>

APPLICANT DECLARATION

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

- the applicant has sufficient financial capacity to carry out the proposed action or work programme;
- the applicant certifies the legal statues of the applicant and of the co-applicant(s) and affiliated entity(ies) as reported in the application;
- the applicant and the co-applicant(s) have the professional competences and qualifications specified in the Guidelines for Applicants;
- the applicant undertakes to comply with the principles of good partnership practice;
- the applicant is directly responsible for the preparation, management and implementation of the action with the co-applicant(s), if any, and is not acting as an intermediary;
- The applicant and the co-applicant(s) are not in any of the situations excluding them from participating in contracts which are listed in [Section 2.3.3](#) of the Practical Guide (available from the following Internet address: <http://ec.europa.eu/europeaid/prag/document.do>). Furthermore, it is recognised and accepted that if the applicant and co-applicant(s) (if any) participate in spite of being in any of these situations, they may be excluded from other procedures in accordance with [Section 2.3.4](#) of the Practical Guide;
- the applicant and each co-applicant and affiliated entity (if any) are eligible in accordance with the criteria set out in the Guidelines for Applicants;
- if recommended to be awarded a grant, the applicant, the co-applicant(s) and the affiliated entity(ies) accept the contractual conditions as laid down in the Standard Contract annexed to the Guidelines for Applicants;
- the applicant and the co-applicant(s) are aware that, for the purposes of safeguarding the financial interests of the EU, their personal data may be transferred to internal audit services, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti-Fraud Office.

The applicant is fully aware of the obligation to inform without delay the BEST 2.0 Secretariat to which this application is submitted if the same application for funding made to other European Commission departments or European Union institutions has been approved by them after the submission of this grant application.

The applicant acknowledges that according to Article 131 (5) of the Financial Regulation of 25 October 2012 on the financial rules applicable to the general budget of the Union (Official Journal L 298 of 26.10.2012, p. 1) and Article 145 of its Rules of Application (Official Journal L 362, 31.12.2012, p.1) applicants found guilty of misrepresentation may be subject to administrative and financial penalties under certain conditions.

Signed on behalf of the applicant

Name (block capitals)	
Position in the organisation	

Signed:

--

Date:

--

Annex 8: Medium Grant Proposal Application Form



BEST 2.0 Medium Grant Proposal Application Form

To submit your Proposal please upload it on the BEST 2.0 portal (<https://portals.iucn.org/best>).

If you have any questions or concerns please send your inquiry to the relevant Regional Hub or the BEST 2.0 Officer using the contact details provided in the Guidelines for Applicants and we will do all that we can to assist.

The information below must be completed by the lead applicant,

Thank you for your interest in BEST 2.0.

1. Project Overview

Project Title:

Region:

(Insert the BEST 2.0 region in which the project will be implemented)

Project Location(s):

(The geographic location(s) in which the project activities will take place: OCT(s), island(s), site(s) etc.)

Start Date:

End Date:

Duration of the project in months:

(Please see section 2.1.4 of the guidelines for applicants for any restrictions regarding the project start and end dates and duration)

BEST 2.0 objective to which the project will principally contribute:

(Select **only one** objective)

<input type="checkbox"/>	7. Conservation of biodiversity and ecosystem services
<input type="checkbox"/>	8. Sustainable use of biodiversity and ecosystem services
<input type="checkbox"/>	9. Ecosystem-based climate change adaptation and/or mitigation

Indicate which of the other BEST 2.0 objectives (if any) the project will contribute to.

(You are not required to select any additional objectives, but you can select either **one or both** of the objectives not selected in your previous response)

<input type="checkbox"/>	7. Conservation of biodiversity and ecosystem services
<input type="checkbox"/>	8. Sustainable use of biodiversity and ecosystem services
<input type="checkbox"/>	9. Ecosystem-based climate change adaptation and/or mitigation

Funding requested from BEST 2.0 in Euros: €

(Amount in Euros requested from BEST 2.0. **The figure should match the one shown in your budget.**)

Total project budget in Euros: €

(Total project budget from all funding sources in Euros. **The figures should match those shown in your budget.**)

Amount of co-funding from other sources in Euros:		Amounts
Source:		€
Source:		€

(**The figures should match the one shown in your budget.** Finance from other EU financial instruments or programmes cannot be used as co-financing under BEST 2.0.)

Co-financing provided as a percentage (%) of the total project budget:

(This must be at least 5%. **The figure should match the one shown in your budget.**)

Summary of your project (500 words maximum):

2. Organisational Information of Lead Applicant

Organisation legal name:

Organisation short name /
acronym:

Web site address:

Mailing address:

Physical address:
*(if different from the mailing
address above)*

Project Lead Contact <i>(This individual will be the contact point for the BEST 2.0 Secretariat)</i>		Organisation Chief Executive <i>(or other person authorised to sign contracts on behalf of your organisation)</i>	
Name:		Name:	
Email:		Email:	
Telephone :		Telephone:	

Organisation type of the applicant:

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

<input type="checkbox"/>	Local civil society organisation / non-profit organisation *
<input type="checkbox"/>	Small socio-professional / for profit organisation *
<input type="checkbox"/>	Local sub-governmental body (e.g. municipality, city etc.) *
<input type="checkbox"/>	Territorial government / departments / services
<input type="checkbox"/>	Organisation based in an European Member State **
<input type="checkbox"/>	Regional Organisation **
<input type="checkbox"/>	International Organisation **

* *Can only apply for a Medium Grant in partnership with other organisations*

** *Requires the fulfilment of eligibility criteria regarding the existence of a partnership
with the local government and/or local civil society and socio-professional actor and*

the implementation of capacity building activities.

Organisation's history and mission statement:

(provide a brief description of your organisation's history and, mission statement)

3. Organisational Information of Co-applicant(s) and Affiliated Entity(ies)

Does the proposal include co-applicants?

If yes please add their details below.

☐ Yes

☐ No

Co-applicant 1

Organisation Name:

Short description of the organisation:

Role in the project:

Co-applicant 2

Organisation Name:

Short description of the organisation:

Role in the project:

Co-applicant 3

Organisation Name:

Short description of the organisation:

--

Role in the project:

--

Does the proposal include affiliated entities?

☐ Yes

☐ No

If yes please add their details below.

Affiliated Entity 1

Organisation Name:

--

State to which applicant the organisation has a structural link and describe the nature of the link (*see section 2.1.3 of the guidelines for applicants*)

--

Short description of the organisation:

--

Role in the project:

--

Affiliated Entity 2

--

Organisation Name:	
---------------------------	--

State to which applicant the organisation has a structural link and describe the nature of this link (<i>see section 2.1.3 of the guidelines for applicants</i>)

Short description of the organisation:	

Role in the project:	

4. Organisational Capacity

Please describe your organisation's relevant experience and demonstrate its capacity to deliver the proposed project.

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

Name	Organisation	Current position/job title

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

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

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

Name of organisation concerned	Title of the other project	Organisation's role in the other project
--------------------------------	----------------------------	--

Capacity to deliver both projects		

Name of organisation concerned	Title of the other project	Organisation's role in the other project
Capacity to deliver both projects		

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

5. Eligibility

Eligible Activities

The following activities may not be funded by BEST 2.0. If your proposed project involves any of these (i.e. if the answer to any of the questions below is yes) BEST 2.0 will not be able to provide funding. Where possible, you may revise your strategy to avoid these elements

Do you plan to use any of the potential project funds to purchase land?

☐ Yes

☐ No

Does the project involve the relocation of people or any other form of involuntary resettlement?

☐ Yes

☐ No

Does the project negatively affect physical cultural resources, including those important to local communities?

☐ Yes

☐ No

Does the project involve activities that could adversely affect individuals and local communities or where these communities have not provided their broad support to the project activities?

☐ Yes

☐ No

Does the project involve the removal or alteration of any physical cultural property (includes movable or immovable objects, sites, structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance)?

☐ Yes

☐ No

Environmental Aspects

Will the project involve activities that are likely to have adverse impacts on the environment?

☐ Yes

☐ No

Justification – please provide a rationale for the environmental impact if the answer is yes and details as to how it will be avoided or mitigated.

--

Social Aspects

Will the proposed project involve activities that are likely to have adverse impacts on the local community?	
--	--

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

Justification – please provide a rationale for the social impact if the answer is yes and details as to how it will be avoided or mitigated.

--

Safeguards

Does your proposal comply with the BEST 2.0 Environmental and Social Management Framework?	
--	--

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

Please be aware the BEST 2.0 Secretariat may ask applicants for additional information and documentation if the project possesses the potential to trigger Safeguard Policies.

Additional Eligibility Criteria
--

If you are a non-OCT based national, regional or international organisation please detail how your project will involve the active participation and capacity building of local actors during its implementation:

--

6. Detailed Description of the Project

Project context and the specific problem it will address:

Explain how the project will contribute to the principal BEST 2.0 objective selected in Section 1. Highlight the tangible positive impacts and any innovative aspects of the project related to this objective.

Describe the relevance of the project to the Overseas Association Decision, BEST regional ecosystem profiles (where available), OCT environmental profiles, relevant local strategies: *(alignment of the project with the approaches and priorities they contain)*

Risks: (please enter the main risks that the project faces in the table below)

Description of the risk	Likelihood it will occur (H/M/L*)	Impact on the project (H/M/L*)	Steps the project will take to reduce or manage the risk
-------------------------	-----------------------------------	--------------------------------	--

*High/Medium/Low

Approach and methodology: (You should describe how you will implement each of the activities included in your logical framework: provide information on what you will do, how you will undertake the work (the methods and approach you will use) and how you will manage the work (roles and responsibilities, project management tools etc). Give details of any innovative techniques or methods).

Project timeline: (Please include a proposed timetable showing business planning, key deadlines. This can be presented in an attached document)

Example

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

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

Milestone	Date

Project stakeholders: *(details of the project stakeholders, how they have been involved or consulted during the design of the project, what support they will provide and how the project will engage with them)*

Communication (Please describe any dissemination and communication activities to be carried out during the project (a description of how you will engage your target audience(s), what communication/dissemination products will be produced, the intended key messages, and what you hope to achieve through the communication activities):

Cooperation intra / inter territory (Please describe any activities that will contribute to intra territorial cooperation through the creation of partnerships, advocacy, capacity building, education, communication and outreach, and to regional coherence (with other OCTs, the outermost regions and third countries):

--

Describe how the project will contribute to capacity building, developing partnerships between stakeholders, community-led/-based actions:

--

Sustainability: <i>(Describe how the benefits of the project will be sustained beyond the end of the project and the responsibility for any work required post-project)</i>
--

--

Submission Checklist

(Please ensure that you have done all of the following prior to submitting your Proposal)

	Check
Have you read the Guidelines for Applicants and followed the instructions included in this template?	<input type="checkbox"/>
Have you completed and uploaded the Due Diligence and Financial Capacity Questionnaire?	<input type="checkbox"/>
Have you provided actual start and end dates for your project and is the project within the maximum duration stated in the Guidelines for Applicants?	<input type="checkbox"/>
Have you completed and uploaded a project budget and is the requested BEST contribution within the maximum allowed?	<input type="checkbox"/>
Have you checked that your budget is complete, correctly adds up and that you have included the correct final total on page 2 of this application form?	<input type="checkbox"/>
Does your budget balance with the sources of finance stated, is the format the same as the template provided, and are all costs stated in Euros?	<input type="checkbox"/>
Has the Applicant Declaration (below) been signed by a suitably authorised individual? (clear electronic or scanned signatures are acceptable)	<input type="checkbox"/>
Have you included a 1 page CV for all the individuals identified in section 4?	<input type="checkbox"/>
Have you included your organisation's latest activity report?	<input type="checkbox"/>
Have you completed and uploaded the project logical framework and defined indicators to measure the achievement of the project purpose and results?	<input type="checkbox"/>
Have you checked the BEST 2.0 Portal immediately prior to submission to ensure there are no late updates?	<input type="checkbox"/>

APPLICANT DECLARATION

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

- the applicant has sufficient financial capacity to carry out the proposed action or work programme;
- the applicant certifies the legal statues of the applicant and of the co-applicant(s) and affiliated entity(ies) as reported in the application;
- the applicant and the co-applicant(s) have the professional competences and qualifications specified in the Guidelines for Applicants;
- the applicant undertakes to comply with the principles of good partnership practice;
- the applicant is directly responsible for the preparation, management and implementation of the action with the co-applicant(s), if any, and is not acting as an intermediary;
- The applicant and the co-applicant(s) are not in any of the situations excluding them from participating in contracts which are listed in [Section 2.3.3](#) of the Practical Guide (available from the following Internet address: <http://ec.europa.eu/europeaid/prag/document.do>). Furthermore, it is recognised and accepted that if the applicant and co-applicant(s) (if any) participate in spite of being in any of these situations, they may be excluded from other procedures in accordance with [Section 2.3.4](#) of the Practical Guide;
- the applicant and each co-applicant and affiliated entity (if any) are eligible in accordance with the criteria set out in the Guidelines for Applicants;
- if recommended to be awarded a grant, the applicant, the co-applicant(s) and the affiliated entity(ies) accept the contractual conditions as laid down in the Standard Contract annexed to the Guidelines for Applicants;
- the applicant and the co-applicant(s) are aware that, for the purposes of safeguarding the financial interests of the EU, their personal data may be transferred to internal audit services, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti-Fraud Office.

The applicant is fully aware of the obligation to inform without delay the BEST 2.0 Secretariat to which this application is submitted if the same application for funding made to other European Commission departments or European Union institutions has been approved by them after the submission of this grant application.

The applicant acknowledges that according to Article 131 (5) of the Financial Regulation of 25 October 2012 on the financial rules applicable to the general budget of the Union (Official Journal L 298 of 26.10.2012, p. 1) and Article 145 of its Rules of Application (Official Journal L 362, 31.12.2012, p.1) applicants found guilty of misrepresentation may be subject to administrative and financial penalties under certain conditions.

Signed on behalf of the applicant

Name (block capitals)	
Position in the organisation	

Signed:

--

Date:

--

Annex 9: Project Budget Worksheet – Swift Small Grants

1. Budget for the Swift Small Grant- (for SIMPLIFIED COST OPTION see point 9) ⁹	Period of project implementation (dd/mm/yyyy-dd/mm/yyyy)			
Costs	Unit ⁹	# of units	Unit value (in EUR)	Total Cost (in EUR)
1. Human Resources				
1.1 Salaries (gross salaries including social security charges and other related costs, local staff) ²				
1.1.1 Technical	Per month			
1.1.2 Administrative/ support staff	Per month			
1.2 Salaries (gross salaries including social security charges and other related costs, expat/int. staff)	Per month			
1.3 Per diems for missions/travel ³				
1.3.1 Abroad (staff assigned to the Swift Small Grant)	Per diem			
1.3.2 Local (staff assigned to the Swift Small Grant)	Per diem			
1.3.3 Seminar/conference participants	Per diem			
Subtotal Human Resources				
2. Travel ⁴				
2.1. International travel	Per flight			
2.2 Local transportation	Per month			
Subtotal Travel				
3. Equipment and supplies ⁵				
3.1 Purchase or rent of vehicles	Per vehicle			
3.2 Furniture, computer equipment				
3.3 Machines, tools...				
3.4 Spare parts/equipment for machines, tools				
3.5 Other (please specify)				
Subtotal Equipment and supplies				
4. Local office				
4.1 Vehicle costs	Per month			
4.2 Office rent	Per month			
4.3 Consumables - office supplies	Per month			
4.4 Other services (tel/fax, electricity/heating, maintenance)	Per month			
Subtotal Local office				
5. Other costs, services ⁶				
5.1 Publications ⁶				
5.2 Studies, research ⁶				
5.3 Expenditure verification/Audit				
5.4 Evaluation costs				
5.5 Translation, interpreters				
5.6 Financial services (bank guarantee costs etc.)				
5.7 Costs of conferences/seminars ⁷				
5.8 Visibility actions Swift Small Grants ⁸				

Subtotal Other costs, services				
6. Other				
Subtotal Other				
7. Subtotal direct eligible costs of the Swift Small Grant (1-6)				
8. Indirect costs (maximum 7% of 7, subtotal of direct eligible costs of the Swift Small Grant)				
9. Total eligible costs of the Swift Small Grant (7+ 8)				

1. The description of items must be sufficiently detailed and all items broken down into their main components. The number of units and the unit cost must be specified for each item depending on the indications provided.
2. If staff are not working full time on the Swift Small Grant, the percentage should be indicated alongside the description of the item and reflected in the number of units (not the unit cost).
3. Indicate the country where the per diems are incurred.
Per diems are not considered a simplified cost option for the purposes of Union financing when the Grant Beneficiary reimburses a fixed amount to its staff according to its staff rules and asks for the reimbursement of that same amount in the Swift Small Grant budget. That is an actual cost.
Otherwise, if the Beneficiary proposes a reimbursement on the basis of simplified costs option (for instance a "unit cost"), it must specify "UNIT COST per diem" in the "unit value" column and the applicable rates (in any case the final eligible cost may not exceed the rates published by the E.C. at the time of such mission).
4. Costs for CO2 offsetting of air travel may be included. CO2 offsetting shall in that case be achieved by supporting CDM/Gold Standard projects (evidence must be included as part of the supporting documents) or through airplane company programmes when available. Indicate the place of departure and the destination. If information is not available, enter a global amount.
5. Please separate cost for purchase or rental.
6. Specify the typology of costs or services. Global amounts will not be accepted.
7. Only indicate here when fully subcontracted.
8. Communication and visibility activities should be properly planned and budgeted at each stage of the project implementation.
9. Use "UNIT COST per flight/month/kit etc..." or "LUMPSUM" or "FLAT RATE". Use different lines for each type of simplified cost options and per beneficiary. In worksheet 2, the methods used to determine and calculate them must be clearly described and substantiated and the Beneficiary proposing and using them must be univocally identified. (for more guidance see Annex - Guidelines-Checklist for simplified cost options).

NB: The Beneficiary(ies) alone are responsible for the correctness of the financial information provided in these tables.

2. Justification of the Budget for the Swift Small Grant		Period of project implementation (dd/mm/yyyy-dd/mm/yyyy)
Costs	Clarification of the budget items <i>Provide a narrative clarification of each budget item demonstrating the necessity of the costs and how they relate to the action (e.g. through references to the activities and/or results in the Description of the Project).</i>	Justification of the estimated costs <i>Provide a justification of the calculation of the estimated costs. For the estimation based on simplified cost options see Annex- Checklist for simplified cost options</i>
1. Human Resources		
1.1 Salaries (gross salaries including social security charges and other related costs, local staff)		
1.1.1 Technical		
1.1.2 Administrative/ support staff		
1.2 Salaries (gross salaries including social security charges and other related costs, expat/int. staff)		
1.3 Per diems for missions/travel		
1.3.1 Abroad (staff assigned to the Swift Small Grant)		
1.3.2 Local (staff assigned to the Swift Small Grant)		
1.3.3 Seminar/conference participants		
Subtotal Human Resources		
2. Travel		
2.1. International travel		
2.2 Local transportation		
Subtotal Travel		
3. Equipment and supplies		
3.1 Purchase or rent of vehicles		
3.2 Furniture, computer equipment		
3.3 Machines, tools...		
3.4 Spare parts/equipment for machines, tools		
3.5 Other (please specify)		
Subtotal Equipment and supplies		
4. Local office		
4.1 Vehicle costs		
4.2 Office rent		

4.3 Consumables - office supplies		
4.4 Other services (tel/fax, electricity/heating, maintenance)		
Subtotal Local office		
5. Other costs, services		
5.1 Publications		
5.2 Studies, research		
5.3 Expenditure verification/Audit		
5.4 Evaluation costs		
5.5 Translation, interpreters		
5.6 Financial services (bank guarantee costs etc.)		
5.7 Costs of conferences/seminars		
5.8. Visibility Swift Small Grants		
Subtotal Other costs, services		
6. Other		
Subtotal Other		

Annex 10: Project Budget Worksheet – Small Grants

1. Small Grants - Budget for the Project ¹	All Years				Year 1 ²			
Costs	Unit ¹³	# of units	Unit value (in EUR)	Total Cost (in EUR) ³	Unit	# of units	Unit value (in EUR)	Total Cost (in EUR)
1. Human Resources								
1.1 Salaries (gross salaries including social security charges and other related costs, local staff) ³								
1.1.1 Technical	Per month				Per month			
1.1.2 Administrative/ support staff	Per month				Per month			
1.2 Salaries (gross salaries including social security charges and other related costs, expat/int. staff)	Per month				Per month			
1.3 Per diems for missions/travel ⁴								
1.3.1 Abroad (staff assigned to the Project)	Per diem				Per diem			
1.3.2 Local (staff assigned to the Project)	Per diem				Per diem			
1.3.3 Seminar/conference participants	Per diem				Per diem			
Subtotal Human Resources								
2. Travel⁵								
2.1. International travel	Per flight				Per flight			
2.2 Local transportation	Per month				Per month			
Subtotal Travel								
3. Equipment and supplies⁶								
3.1 Purchase or rent of vehicles	Per vehicle				Per vehicle			
3.2 Furniture, computer equipment								
3.3 Machines, tools...								
3.4 Spare parts/equipment for machines, tools								
3.5 Other (please specify)								

Subtotal Equipment and supplies								
4. Local office								
4.1 Vehicle costs	Per month				Per month			
4.2 Office rent	Per month				Per month			
4.3 Consumables - office supplies	Per month				Per month			
4.4 Other services (tel/fax, electricity/heating, maintenance)	Per month				Per month			
Subtotal Local office								
5. Other costs, services⁷								
5.1 Publications ⁷								
5.2 Studies, research ⁷								
5.3 Expenditure verification/Audit								
5.4 Evaluation costs								
5.5 Translation, interpreters								
5.6 Financial services (bank guarantee costs etc.)								
5.7 Costs of conferences/seminars ⁸								
5.8 Visibility Projects ⁹								
Subtotal Other costs, services								
6. Other								
Subtotal Other								
7. Subtotal direct eligible costs of the Project (1-6)				0				0
8. Indirect costs (maximum 7% of 7, subtotal of direct eligible costs of the Project)				0				0
9. Total eligible costs of the Project (7+ 8)				0				0

1. The description of items must be sufficiently detailed and all items broken down into their main components. The number of units and the unit value must be specified for each item depending on the indications provided. The budget has to include costs related to the Project as a whole, regardless of the part financed by BEST 2.0.

2. This section must be completed if the Project is to be implemented over more than one reporting period of 12 months.

3. If staff are not working full time on the Project, the percentage should be indicated alongside the description of the item and reflected in the number of units (not the unit value).

4. Indicate the country where the per diems are incurred.

Per diems are not considered a simplified cost option for the purposes of Union financing when the Grant Beneficiary reimburses a fixed amount to its staff according to its staff rules and asks for the reimbursement of that same amount in the Project budget. That is an actual cost.

Otherwise, if the Beneficiary proposes a reimbursement on the basis of simplified costs option (for instance a "unit cost"), it must specify "UNIT COST per diem" in the "unit value" column and the applicable rates (in any case the final eligible cost may not exceed the rates published by the E.C. at the time of such mission).

5. Costs for CO2 offsetting of air travel may be included. CO2 offsetting shall in that case be achieved by supporting CDM/Gold Standard projects (evidence must be included as part of the supporting documents) or through airplane company programmes when available. Indicate the place of departure and the destination. If information is not available, enter a global amount.

6. Please separate cost for purchase or rental.

7. Specify the typology of costs or services. Global amounts will not be accepted.

8. Only indicate here when fully subcontracted.

9. Communication and visibility activities should be properly planned and budgeted at each stage of the project implementation.

NB: The Beneficiary(ies) alone are responsible for the correctness of the financial information provided in these tables.

2. Small Grants - Justification of the Budget for the Project	All Years	
Costs	Clarification of the budget items <i>Provide a narrative clarification of each budget item demonstrating the necessity of the costs and how they relate to the Project (e.g. through references to the activities and/or results in the Description of the Project).</i>	Justification of the estimated costs <i>Provide a justification of the calculation of the estimated costs. Note that the estimation should be based on real costs as described in the Guidelines for Grants Applicants</i>
1. Human Resources		
1.1 Salaries (gross salaries including social security charges and other related costs, local staff)		
1.1.1 Technical		
1.1.2 Administrative/ support staff		
1.2 Salaries (gross salaries including social security charges and other related costs, expat/int. staff)		
1.3 Per diems for missions/travel		
1.3.1 Abroad (staff assigned to the Project)		
1.3.2 Local (staff assigned to the Project)		
1.3.3 Seminar/conference participants		
Subtotal Human Resources		
2. Travel		
2.1. International travel		
2.2 Local transportation		
Subtotal Travel		
3. Equipment and supplies		
3.1 Purchase or rent of vehicles		
3.2 Furniture, computer equipment		
3.3 Machines, tools...		
3.4 Spare parts/equipment for machines, tools		
3.5 Other (please specify)		
Subtotal Equipment and supplies		
4. Local office		
4.1 Vehicle costs		

4.2 Office rent		
4.3 Consumables - office supplies		
4.4 Other services (tel/fax, electricity/heating, maintenance)		
Subtotal Local office		
5. Other costs, services		
5.1 Publications		
5.2 Studies, research		
5.3 Expenditure verification/Audit		
5.4 Evaluation costs		
5.5 Translation, interpreters		
5.6 Financial services (bank guarantee costs etc.)		
5.7 Costs of conferences/seminars		
5.8. Visibility Projects		
Subtotal Other costs, services		
6. Other		
Subtotal Other		

3. Expected sources of funding & summary of estimated costs¹

		Amount	Percentage
		EUR	%
Expected sources of funding			
BEST 2.0 contribution sought in this application (A)		<input type="text"/>	
Other contributions (Applicant, other Donors etc)			
<i>Name</i>	<i>DESCRIPTION</i>		
		<input type="text"/>	
		<input type="text"/>	
Revenue from the Action		<input type="text"/>	
Expected TOTAL CONTRIBUTIONS		<input type="text"/>	
Estimated Costs			
Estimated TOTAL ELIGIBLE COSTS ² (B)		<input type="text"/>	
BEST 2.0 contribution expressed as a percentage of total eligible costs ³ (A/B x 100)			#DIV/0!

1. Expected sources of funding and estimated costs must be in balance. It is reminded that the figures introduced in the table shall respect all the points included in the checklist for the full application form.

2. as per heading 11 of the Budget of the Action

3. do not round, enter percentage with 2 decimals (e.g. 74,38%)

Annex 11: Project Budget Worksheet – Medium Grants

1. Medium Grants - Budget for the Project¹

Costs	All Years				Year 1 ²			
	Unit ¹³	# of units	Unit value (in EUR)	Total Cost (in EUR) ³	Unit	# of units	Unit value (in EUR)	Total Cost (in EUR)
1. Human Resources								
1.1 Salaries (gross salaries including social security charges and other related costs, local staff) ³								
1.1.1 Technical	Per month				Per month			
1.1.2 Administrative/ support staff	Per month				Per month			
1.2 Salaries (gross salaries including social security charges and other related costs, expat/int. staff)	Per month				Per month			
1.3 Per diems for missions/travel ⁴								
1.3.1 Abroad (staff assigned to the Project)	Per diem				Per diem			
1.3.2 Local (staff assigned to the Project)	Per diem				Per diem			
1.3.3 Seminar/conference participants	Per diem				Per diem			
Subtotal Human Resources								
2. Travel⁵								
2.1. International travel	Per flight				Per flight			
2.2 Local transportation	Per month				Per month			
Subtotal Travel								
3. Equipment and supplies⁶								
3.1 Purchase or rent of vehicles	Per vehicle				Per vehicle			
3.2 Furniture, computer equipment								
3.3 Machines, tools...								
3.4 Spare parts/equipment for machines, tools								
3.5 Other (please specify)								
Subtotal Equipment and supplies								
4. Local office								

4.1 Vehicle costs	Per month				Per month			
4.2 Office rent	Per month				Per month			
4.3 Consumables - office supplies	Per month				Per month			
4.4 Other services (tel/fax, electricity/heating, maintenance)	Per month				Per month			
Subtotal Local office								
5. Other costs, services⁷								
5.1 Publications ⁷								
5.2 Studies, research ⁷								
5.3 Expenditure verification/Audit								
5.4 Evaluation costs								
5.5 Translation, interpreters								
5.6 Financial services (bank guarantee costs etc.)								
5.7 Costs of conferences/seminars ⁸								
5.8. Visibility Projects ⁹								
Subtotal Other costs, services								
6. Other								
Subtotal Other								
7. Subtotal direct eligible costs of the Project (1-6)				0	0			
8. Indirect costs (maximum 7% of 7, subtotal of direct eligible costs of the Project)				0				0
9. Total eligible costs of the Project (7+ 8)				0	0			
10. Provision for contingency reserve (maximum 5% of 7, subtotal of direct eligible costs of the Project)				0				0
11. Total eligible costs (9+10)				0	0			

1. The description of items must be sufficiently detailed and all items broken down into their main components. The number of units and the unit value must be specified for each item depending on the indications provided. The budget has to include costs related to the Project as a whole, regardless the part financed by BEST 2.0.

2. This section must be completed if the Project is to be implemented over more than one reporting period (usually 12 months).
3. If staff are not working full time on the Project, the percentage should be indicated alongside the description of the item and reflected in the number of units (not the unit value).
4. Indicate the country where the per diems are incurred.
Per diems are not considered a simplified cost option for the purposes of Union financing when the Grant Beneficiary reimburses a fixed amount to its staff according to its staff rules and asks for the reimbursement of that same amount in the Project budget. That is an actual cost.
Otherwise, if the Beneficiary proposes a reimbursement on the basis of simplified costs option (for instance a "unit cost"), it must specify "UNIT COST per diem" in the "unit value" column and the applicable rates (in any case the final eligible cost may not exceed the rates published by the E.C. at the time of such mission).
5. Costs for CO2 offsetting of air travel may be included. CO2 offsetting shall in that case be achieved by supporting CDM/Gold Standard projects (evidence must be included as part of the supporting documents) or through airplane company programmes when available. Indicate the place of departure and the destination. If information is not available, enter a global amount.
6. Please separate cost for purchase or rental.
7. Specify the typology of costs or services. Global amounts will not be accepted.
8. Only indicate here when fully subcontracted.
9. Communication and visibility activities should be properly planned and budgeted at each stage of the project implementation.

NB: The Beneficiary(ies) alone are responsible for the correctness of the financial information provided in these tables.

2. Justification of the Budget for the Project		All Years
Costs	Clarification of the budget items <i>Provide a narrative clarification of each budget item demonstrating the necessity of the costs and how they relate to the Project (e.g. through references to the activities and/or results in the Description of the Project).</i>	Justification of the estimated costs <i>Provide a justification of the calculation of the estimated costs. Note that the estimation should be based on real costs as described in the Guidelines for Grants Applicants</i>
1. Human Resources		
1.1 Salaries (gross salaries including social security charges and other related costs, local staff)		
1.1.1 Technical		
1.1.2 Administrative/ support staff		
1.2 Salaries (gross salaries including social security charges and other related costs, expat/int. staff)		
1.3 Per diems for missions/travel		
1.3.1 Abroad (staff assigned to the Project)		
1.3.2 Local (staff assigned to the Project)		
1.3.3 Seminar/conference participants		
Subtotal Human Resources		
2. Travel		
2.1. International travel		
2.2 Local transportation		
Subtotal Travel		
3. Equipment and supplies		
3.1 Purchase or rent of vehicles		
3.2 Furniture, computer equipment		
3.3 Machines, tools...		
3.4 Spare parts/equipment for machines, tools		
3.5 Other (please specify)		
Subtotal Equipment and supplies		
4. Local office		
4.1 Vehicle costs		
4.2 Office rent		

4.3 Consumables - office supplies		
4.4 Other services (tel/fax, electricity/heating, maintenance)		
Subtotal Local office		
5. Other costs, services		
5.1 Publications		
5.2 Studies, research		
5.3 Expenditure verification/Audit		
5.4 Evaluation costs		
5.5 Translation, interpreters		
5.6 Financial services (bank guarantee costs etc.)		
5.7 Costs of conferences/seminars		
5.8. Visibility Projects		
Subtotal Other costs, services		
6. Other		
Subtotal Other		

3. Expected sources of funding & summary of estimated costs¹

		Amount	Percentage
		EUR	%
Expected sources of funding			
BEST 2.0 contribution sought in this application (A)		<input type="text"/>	
Other contributions (Applicant, other Donors etc)			
<i>Name</i>	<i>DESCRIPTION</i>		
<input type="text"/>	<input type="text"/>	<input type="text"/>	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Revenue from the Action		<input type="text"/>	
Expected TOTAL CONTRIBUTIONS		<input type="text" value="0"/>	
Estimated Costs			
Estimated TOTAL ELIGIBLE COSTS ² (B)		<input type="text"/>	
BEST 2.0 contribution expressed as a percentage of total eligible costs ³ (A/B x 100)			#DIV/0!

1. Expected sources of funding and estimated costs must be in balance. It is reminded that the figures introduced in the table shall respect all the points included in the checklist for the full application form.

2. as per heading 11 of the Budget of the Action

3. do not round, enter percentage with 2 decimals (e.g. 74,38%)

Annex 12: Project Logical Framework

Project Title:		
Organisation:		
Overall Objective <i>(medium / long-term impact to which the project will contribute)</i>		
Purpose <i>(the outcome expected at the end of the project)</i>	Indicator(s) The evidence (quantitative or qualitative) that will be used to judge the achievement of the purpose or results. Indicators should be SMART i.e. Specific, Measurable, Available, Relevant and Time-bound . See the guidelines below P.80	Source of Verification Sources of information & methods used to collect and report it (incl. who and when/how frequently). See EC PCM guidelines P.82
	EC PCM Guidelines (2004): https://ec.europa.eu/europeaid/sites/devco/files/methodology-aid-delivery-methods-project-cycle-management-200403_en_2.pdf	
Results <i>(the direct/tangible results that the project will deliver)</i>	Indicator(s)	Source of Verification
Result 1.		
Result 2.		

Result 3.		
Result 4.		
Activities (The actions/tasks needed to achieve each of the results)	Deliverables/products	
Result 1 Activity 1.1: Activity 1.2: Activity 1.3:		
Result 2 Activity 2.1: Activity 2.2: Activity 2.3:		
Result 3 Activity 3.1: Activity 3.2:		

Activity 3.3:		
Result 4		
Activity 4.1:		
Activity 4.2:		
Activity 4.3:		

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

Annex 13: Small Grant Due Diligence and Financial Capacity Questionnaire



BEST 2.0 SMALL GRANTS

DUE DILIGENCE AND FINANCIAL CAPACITY FORM

Grant Applicant Name:

Project Name:

Grant Amount Requested:

(Please indicate in EUR and in local
currency equivalent)

Amount of the total grant
for your organisation:

(If the project involves more than
one applicant. Please indicate in EUR)

Est. time taken by applicant to complete this form (Hrs):	
---	--

BEST 2.0 Small Grant

Due Diligence and Financial Capacity Form

In order that IUCN may ascertain each grantee's capacity to administer grant funds received, you are kindly requested to complete all questions contained within due diligence and financial questionnaire form as part of your grant application process. Should any areas of improvement be identified IUCN will work with the applicant to build capacity as necessary. All information submitted will be treated confidentially and will not be disclosed to any third parties unless required by law.

1. ORGANIZATION INFORMATION

IUCN
Internal
Use Only

a. Official name of organization

b. Type of organization:

Please tick most appropriate option in each column below:

- | | |
|---|---|
| i. <input type="checkbox"/> For profit | i. <input type="checkbox"/> Incorporated company |
| ii. <input type="checkbox"/> Not-for-profit / NGO | ii. <input type="checkbox"/> Limited liability company |
| iii. <input type="checkbox"/> Government
(department/service)
<i>(please proceed to 2(a))</i> | iii. <input type="checkbox"/> Sole proprietary company |
| | iv. <input type="checkbox"/> Partnership |
| | v. <input type="checkbox"/> Registered charity |
| | vi. <input type="checkbox"/> Community Network |
| | vii. <input type="checkbox"/> Other <i>(please specify below)</i> |

If "For profit" box is checked, indicate names of owners and % of ownership below.

c. Tax exemption:

Is the organization tax-exempt?

- ☐ Yes ☐ No

If yes, please provide a copy of the organization's tax exemption certificate.

d. Registration details:

Is the organization incorporated or registered with the appropriate government agency in country?

- ☐ Yes ☐ No

☐ Not applicable
(Govt agency only)

If yes, please provide a copy of the organization's incorporation or registration document. If no, please provide details to explain below:

--

When was your organization incorporated or registered?

Date		Place	
------	--	-------	--

e. If the organization has a website, please list web address below

--

f. Is the organization affiliated to any other organization?

☐ Yes ☐ No

If yes, please state the name of affiliated organization(s) and the nature of link below.

--

g. Will any of the affiliated entities be involved in the implementation of the project?

☐ Yes ☐ No

If yes, please indicate which ones and give details of their role below:

--

2. GOVERNANCE

a. Governing Body:

Please indicate whether the organization is governed by:

☐ Board of Directors ☐ Executive Committee

☐ Other ☐ No governing body
(please specify below)

--

Please provide the following information regarding all current members of your organization's Governing Body on a **separate page** :

- Name

- Position
- Length of service
- Contact details – address, phone, email

b. Authorized Representatives:

Does the organization have formally appointed Authorized Representatives?

☐

Yes

☐

No

3. LEGAL

a. Regulatory filings:

Is the organization currently fully compliant and up-to-date with all government tax, registration, and other regulatory filings?

☐

Yes

☐

No

☐

Not applicable

If no, please provide details below:

4. FINANCIAL

a. Audit:

Does the organization have an annual audit performed by an independent external auditor?

☐

Yes

☐

No

If yes, please provide a copy of the latest auditor's annual report.

b. Financial Statements:

i. Does the organization prepare annual financial statements?

If no, please provide details below:

ii. Please provide a copy of the organization's latest annual financial report. *If the audit report does not relate to the most recent complete financial year please explain why below.*

c. Financial principles and systems:

i. Please indicate what basis of accounting is used by the organization:

☐ Cash accounting ☐ Accrual accounting

ii. Does the organization use a computerized accounting software system?

☐ Yes ☐ No

If yes, please provide the name of the accounting software, and indicate how many years it has been in use.

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

☐ Yes ☐ No

d. Debt:

i. Does the organization have any debt relating to:

Bank loans

☐ Yes ☐ No

Bank overdraft

☐ Yes ☐ No

Other debt

☐ Yes ☐ No

If yes, please provide details below:

ii. Has the organization ever filed for bankruptcy, relief from creditors, or declared any other form of financial insolvency?

☐ Yes ☐ No

If yes, please provide details below:

e. Bank accounts:

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

☐ Yes ☐ No

If yes, please provide details below:

--

--

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

☐

Yes

☐

No

If yes, please provide details below:

--

--

f. Financial Capacity.

i. State below the turnover in **EUR** for the past three financial years.
If your accounts are prepared in a different currency, please convert to Euros and state the exchange rate used.

Yr 1:	Yr 2:	Yr 3:
-------	-------	-------

--

ii. Has your organization received funding from governments or multi-lateral institutions in the past three years?

☐

Yes

☐

No

If yes, indicate below the percentage of government/multilateral institutions funding in your operational budget.

--

--

iii. State below your organization estimated operational budget in EUR for the current year.

If your accounts are prepared in a different currency, please convert to Euros and state the exchange rate used.

--

--

5. MANAGEMENT and PERSONNEL

a. Financial personnel:

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

☐

Qualified full-time

☐

Non-finance personnel

--

- ☐ finance personnel
☐ Qualified part-time finance personnel
 ☐ Other

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

- ☐ 0
 ☐ 11 - 20
☐ 1 - 5
 ☐ 21 - 50
☐ 6 - 10
 ☐ 50+

c. Personnel time management recordkeeping:

- i. Does the organization have a staff timesheet recordkeeping system?
- ☐ Yes
 ☐ No

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

6. RELATIONSHIPS and CONFLICTS OF INTEREST

a. Is the organization a member of IUCN?

- ☐ Yes
 ☐ No

b. Has the organization previously worked with IUCN or received grants from IUCN?

- ☐ Yes
 ☐ No

If yes, please provide details below:

c. Does the organization or any of its owners, directors, officers, management or their family members have any business or personal association, interest, or relationship with any member of the National Coordinating Body, IUCN or any of its officers or management?

- ☐ Yes
 ☐ No

If yes, please provide details below:

d. Has the organization or any of its directors, officers, or management been directly involved in the IUCN selection process regarding the grant the organization is hereby applying for?

- ☐ Yes
 ☐ No

If yes, please provide details below:

--

--

Checklist - Additional Documentation Requested

To assist in ensuring your due diligence and financial capacity check the following checklist of additional documents is provided below. Please check those boxes that apply regarding additional documents that will be submitted to accompany your completed Due Diligence and Financial Capacity Form.

- | | | |
|--------------------------|------|--|
| <input type="checkbox"/> | 1(c) | Tax exemption certificate |
| <input type="checkbox"/> | 1(d) | Organization incorporation/statutes/registration certificate |
| <input type="checkbox"/> | 2(a) | Governing Body member information |
| <input type="checkbox"/> | 4(a) | Auditors report |
| <input type="checkbox"/> | 4(b) | Annual financial statements |
| <input type="checkbox"/> | 5(a) | Key personnel information |
| <input type="checkbox"/> | 5(d) | Timesheet form (blank copy) |

If you are unable to provide any of the requested documents please provide an explanation below:

--

CERTIFICATION STATEMENT:

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

I understand and agree that should the information provided in this Due Diligence and Financial Capacity document subsequently change, IUCN shall be informed in writing of any such change.

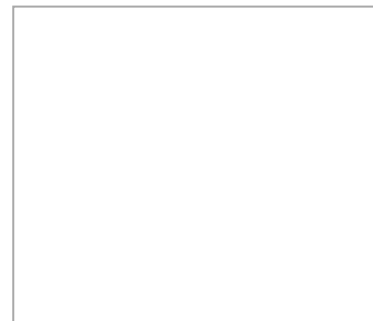
I further understand and accept that IUCN may at its sole discretion amend or terminate any grant or funding agreement awarded to the applicant if any information contained in this document is false or inaccurate."

(Signature)

Name:

Position:

Date:



(Organization Stamp)

Annex 14: Medium Grant Due Diligence and Financial Capacity Questionnaire



BEST 2.0 MEDIUM GRANTS

DUE DILIGENCE AND FINANCIAL CAPACITY QUESTIONNAIRE

Grant Applicant Name:

Project Name:

Grant Amount Requested:

(Please indicate in EUR and in local
currency equivalent)

Amount of the total grant
for your organisation:

(If the project involves more than
one applicant. Please indicate in EUR)

Est. time taken by applicant to complete form (Hrs):	
--	--

BEST 2.0 Medium Grant

Due Diligence and Financial Capacity Form

In order that IUCN may ascertain each grantee's capacity to administer grant funds received, you are kindly requested to complete all questions contained within due diligence and financial questionnaire form as part of your grant application process. Should any areas of improvement be identified IUCN will work with the applicant to build capacity as necessary. All information submitted will be treated confidentially and will not be disclosed to any third parties unless required by law.

1. ORGANIZATION INFORMATION

IUCN
Internal
Use Only

a. Official name of organization

b. Type of organization:

Please tick most appropriate option in each column below:

- | | | | |
|-------------------------------|--|-------------------------------|---------------------------|
| i. <input type="checkbox"/> | For profit* | i. <input type="checkbox"/> | Incorporated company |
| ii. <input type="checkbox"/> | Not-for-profit / NGO | ii. <input type="checkbox"/> | Limited liability company |
| iii. <input type="checkbox"/> | Government
(department/service)
(please proceed to 2(a)) | iii. <input type="checkbox"/> | Sole proprietary company |
| | | iv. <input type="checkbox"/> | Partnership |
| | | v. <input type="checkbox"/> | Registered charity |
| | | vi. <input type="checkbox"/> | Community Network |
| | | vii. <input type="checkbox"/> | Other** |

*If "For profit" box is checked, indicate names of owners and % of ownership below.

** If you selected other please specify below

c. Tax exemption:

Is the organization tax-exempt?

☐

Yes

☐

No

If yes, please provide a copy of the organization's tax exemption certificate.

d. Registration details:

Is the organization incorporated or registered with the appropriate government agency in country?

☐ Yes

☐ No

☐ Not applicable

(Government organisations only)

If yes, please provide a copy of the organization's incorporation or registration document. If no, please provide details to explain below:

--

When was your organization incorporated or registered?

Date		Place	
------	--	-------	--

e. If the organization has a website, please list web address below

--

f. Is the organization affiliated to any other organization?

☐ Yes

☐ No

If yes, please state the name of affiliated organization(s) and the nature of link below.

--

g. Will any of the affiliated entities be involved in the implementation of the project?

☐ Yes

☐ No

If yes, please indicate which ones and give details of their role below:

--

h. Please provide copies of materials on your organization, its history and mission.

i. Do you currently receive or have you in the past received funding from IUCN?

☐ Yes

☐ No

If yes, please list Project Title, Award Amount, Start and End Date

--

2. GOVERNANCE

c. Governing Body:

Please indicate whether the organization is governed by:

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

Please provide the following information regarding all current members of your organization's Governing Body on a **separate page**:

- Name
- Position
- Length of service
- Contact details – address, phone, email

d. How frequently does your Governing Body hold formal meetings?

- ☐ Semi-annually ☐ Annually

e. Are the minutes of your Governing Body formally documented?

- ☐ Yes ☐ No

f. Is the Governing involved in financial oversight of the organization?

- ☐ Yes ☐ No

g. Authorized Representatives:

Does the organization have formally appointed Authorized Representatives?

- ☐ Yes ☐ No

3. LEGAL

a. Are there any legal claims pending for/against the organization?

- ☐ Yes ☐ No

If yes, provide details on a **separate page**:

- Name of claimant / defendant
- Relation of claimant / defendant to the organization
- Claimed damages
- Current status of claim

b. Regulatory filings:

Is the organization currently fully compliant and up-to-date with all government tax, registration, and other regulatory filings?

☐ Yes

☐ No

☐ Not applicable

If no, please provide details below:

4. FINANCIAL

e. Audit:

Does the organization have an annual audit performed by an independent external auditor?

☐ Yes

☐ No

If yes, please provide a copy of the latest auditor's annual report and management letter. *If the audit report does not relate to the most recent financial year please explain why below.*

f. Financial Statements:

i. Does the organization prepare annual financial statements?

If no, please provide explanation below:

ii. Please provide a copy of the organization's latest annual financial report.

g. Financial principles and systems:

i. Please indicate what basis of accounting is used by the organization

☐ Cash accounting

☐ Accrual accounting

ii. Does your organization have written accounting policies and procedures?

☐ Yes

☐ No

iii. Does your organization have established transaction approval procedures?

☐ Yes

☐ No

iv. Does the organization use a computerized accounting software system?

☐ Yes

☐ No

If yes, please provide the name of the accounting software, and indicate how many years it has been in use.

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

☐ Yes

☐ No

h. Debt:

i. Does the organization have any debt relating to:

Bank loans

☐ Yes

☐ No

Bank overdraft

☐ Yes

☐ No

Other debt

☐ Yes

☐ No

If yes, please provide details below:

ii. Has the organization ever filed for bankruptcy, relief from creditors, or declared any other form of financial insolvency?

☐ Yes

☐ No

If yes, please provide details below:

i. Bank accounts and funds control :

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

☐ Yes

☐ No

If yes, please provide details below:

--

--

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

☐ Yes

☐ No

If yes, please provide details below:

--

--

iii. Will grant funds be kept in a designated account?

☐ Yes

☐ No – pooled account

--

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

☐ Yes

☐ No

--

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

--

--

j. Financial Capacity.

i. State below the turnover in EUR for the past three financial years.
If your accounts are prepared in a different currency, please convert to Euros and state the exchange rate used.

Yr 1:	Yr 2:	Yr 3:
-------	-------	-------

--

ii. Has your organization received funding from governments or multi-lateral institutions in the past three years?

☐ Yes

☐ No

If yes, indicate below the percentage of government/multilateral institutions funding in your operational budget.

--

--

iii. State below your organization estimated operational budget in EUR for the current year.

If your accounts are prepared in a different currency, please convert to Euros and state the exchange rate used.

5. MANAGEMENT and PERSONNEL

d. Financial personnel:

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

- | | |
|--|--|
| <input type="checkbox"/> Qualified full-time finance personnel | <input type="checkbox"/> Non-finance personnel |
| <input type="checkbox"/> Qualified part-time finance personnel | <input type="checkbox"/> Other |

e. Please indicate the total number of full-time staff employed by the organization.

- | | |
|---------------------------------|----------------------------------|
| <input type="checkbox"/> 0 | <input type="checkbox"/> 11 - 20 |
| <input type="checkbox"/> 1 - 5 | <input type="checkbox"/> 21 - 50 |
| <input type="checkbox"/> 6 - 10 | <input type="checkbox"/> 50+ |

f. Personnel time management recordkeeping:

- i. Does the organization have a staff timesheet recordkeeping system?

☐ Yes ☐ No

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

- ii. Does a standard time-sheet reflect all the working time of a personnel member?

☐ Yes ☐ No

6. INTERNAL CONTROLS and RECORDS KEEPING

a. Does your organization have separate staff members responsible for the following:

- i. Bank and cash

☐ Yes ☐ No

ii. Maintaining records in the system <input type="checkbox"/> Yes <input type="checkbox"/> No	
iii. Preparing financial reports <input type="checkbox"/> Yes <input type="checkbox"/> No	
b. Do you have established prior approval procedures for major purchases? <input type="checkbox"/> Yes <input type="checkbox"/> No (if "no", explain why) <div style="border: 1px solid black; height: 25px; width: 600px; margin-top: 5px;"></div>	
c. Do you keep invoices and vouchers for all payments made out of grants funds? <input type="checkbox"/> Yes <input type="checkbox"/> No	
d. Will your organization be able to keep accounting records including invoices, vouchers and timesheets for at least three years after the final financial report is submitted? <input type="checkbox"/> Yes <input type="checkbox"/> No	
e. Briefly describe your organization's system for filing and keeping supporting documentation. <div style="border: 1px solid black; height: 25px; width: 600px; margin-top: 5px;"></div>	

7. RELATIONSHIPS and CONFLICTS OF INTEREST

a. Is the organization a member of IUCN? <input type="checkbox"/> Yes <input type="checkbox"/> No	
b. Has the organization previously worked with IUCN or received grants from IUCN? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide details below: <div style="border: 1px solid black; height: 25px; width: 600px; margin-top: 5px;"></div>	

- c. Does the organization or any of its owners, directors, officers, management or their family members have any business or personal association, interest, or relationship with any member of the National Coordinating Body, IUCN or any of its officers or management?

☐ Yes

☐ No

If yes, please provide details below:

- d. Has the organization or any of its directors, officers, or management been directly involved in the IUCN selection process regarding the grant the organization is hereby applying for?

☐ Yes

☐ No

If yes, please provide details below:

Checklist - Additional Documentation Requested

To assist in ensuring your due diligence and financial capacity check the following checklist of additional documents is provided below. Please check those boxes that apply regarding additional documents that will be submitted to accompany your completed Due Diligence and Financial Capacity Form.

- | | | |
|--------------------------|------|--|
| <input type="checkbox"/> | 1(c) | Tax exemption certificate |
| <input type="checkbox"/> | 1(d) | Organization incorporation/statutes/registration certificate |
| <input type="checkbox"/> | 2(a) | Governing Body member information |
| <input type="checkbox"/> | 4(a) | Auditors report and management letter |
| <input type="checkbox"/> | 4(b) | Annual financial statements |
| <input type="checkbox"/> | 5(a) | Key personnel information |
| <input type="checkbox"/> | 5(d) | Timesheet form (blank copy) |

If you are unable to provide any of the requested documents please provide an explanation below:

--

CERTIFICATION STATEMENT:

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

I understand and agree that should the information provided in this Due Diligence and Financial Capacity document subsequently change, IUCN shall be informed in writing of any such change.

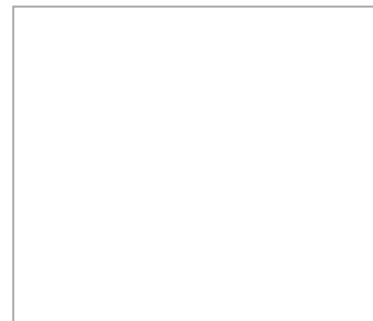
I further understand and accept that IUCN may at its sole discretion amend or terminate any grant or funding agreement awarded to the applicant if any information contained in this document is false or inaccurate."

(Signature)

Name:

Position:

Date:



(Organization Stamp)

Annex 15: Financial Risk Assessment – Small Grants



Financial Risk Worksheet BEST 2.0 Small Grant

Application Reference Number:	
Grant Applicant's Name:	
Proposed Award Amount:	
Start Date:	
Project Duration:	

Completed by:		Date:	Click here to enter a date.
----------------------	--	--------------	---

Reviewed by:		Date:	Click here to enter a date.
---------------------	--	--------------	---

Revision of financial risk ranking following request for clarification/receipt of additional supporting documents (if relevant)

Revised by:		Date:	Click here to enter a date.
--------------------	--	--------------	---

This worksheet develops a risk ranking for an organization's controls and financial reporting. This section assesses data in the applicant's responses to the Due Diligence and Financial Capacity Form.

A member of the BEST 2.0 Secretariat is to complete this worksheet by selecting the appropriate item for each category. After rating all categories, the values are added and a cumulative score for the Financial Risk Worksheet is obtained. When the worksheet is completed it is to be reviewed and signed by a member of the IUCN Finance Staff.

A. ORGANIZATIONAL CONTEXT – exposure due to the incorporation/registration or size or age of the organization

Risk Level	Incorporation/registration of organization	Score
0	incorporation/registration documents available	<i>Select score</i>
2	incorporation/registration documents not available	
4	organization is not incorporated/registered	

Risk Level	Size of organization	Score
0	organization has >50 employees	<i>Select score</i>
1	organization has between 21-50	
2	organization has between 11-20 employees	
4	organization has between 6-10 employees	
5	organization has 5 employees or less	

Risk Level	Age of organization	Score
0	organization is older than 10 years	<i>Select score</i>
1	organization is 3-10 years old	
3	organization is < 3 years old	

Other organizational factors to note

- Potential for conflict of interest or appearance of conflict of interest

(e.g., member of organization is affiliated to one of BEST 2.0 partners; related to a BEST 2.0 partner's employee; past employee of a BEST 2.0 partner, etc.)

Describe steps to be taken to address this:

B. EURO VALUE OF PROPOSED GRANT - exposure due to the size of this proposed grant.

Risk Level	Size of proposed grant	Score
0	€0 - €24,999	<i>Select score</i>
1	€25,000 - €49,999	
2	€50,000 - €74,999	
3	€75,000 - €100,000	

Risk Level	Proposed grant's portion of grantee's annual operating budget	Score
0	<10%	<i>Select score</i>
1	10% - 30%	
2	30% - 50%	
4	50% - 75%	
6	>75%	

C. PRIOR EXPERIENCE WITH IUCN – Exposure due to prior grant experience

Risk Level	Prior Experience with IUCN	Score
0	The organization has had successful financial management results in previous IUCN grants.	<i>Select score</i>
2	The organization has had reasonable financial management	

	results in previous IUCN grants with a few minor problem areas	
3	The organization is a first-time grantee.	
5	The organization has had poor financial management results in previous IUCN grants.	

D. SOURCES OF FINANCIAL SUPPORT - Exposure due to the organization's lack of experience with government or multi-lateral funding.

Risk Level	Sources of Financial Support	Score
0	Significant government or multi-lateral funding (>50% of operational budget).	Select score
1-3	Some government or multilateral funding	
5	No government or multilateral funding (at the time of the submission of the questionnaire).	

E. ACCOUNTING SYSTEM AND PROCEDURES – exposure due to a weak accounting system and undocumented accounting procedures.

Risk Level	Accounting System and Procedures	Score
0	System of accounting appears to incorporate strong system of controls, including self - balancing accounts (double entry), integrated system of accounts and the preparation of periodic financial reports.	Select score
1-3	System of accounting, as described in <i>Section 4 of the Due Diligence and Financial Capacity Form</i> indicates an average or weak system of controls.	
4	System of accounting is not yet established - proposed accounting procedures describe a strong system of controls.	
5	System of accounting is not yet established - proposed accounting procedures describe an average or weak system of controls. (Follow up required for organizations with weak controls—see Additional Considerations at the end of this form).	

F. Accounting and finance personnel - exposure due to the lack/insufficient accounting personnel resources – *Section 5 of the Due Diligence and Financial Capacity Form*

Risk Level	Accounting Personnel	Score
0	qualified full-time accounting personnel	Select score
1	qualified part-time accounting personnel	
3	non-finance personnel with satisfactory prior experience	
5	absence of accounting/finance personnel	

(Follow up required for organizations no accounting personnel – see Additional Considerations at the end of this form).

G. AUDIT COVERAGE - exposure due to the lack of prior audits – *Section 4.A of the Due Diligence and Financial Capacity Form*

Risk Level	Audit Coverage	Score
0	Organization has regular (or recent) Government Auditing	Select

	Standards Audits performed by an external auditor.	<i>score</i>
1	Organization has regular (or recent) generally accepted auditing standards (or equivalent) audits performed by an external auditor.	
5	Organization does not have regular GAAS or GAGAS audits performed by an external auditor.	
10	Organization has never had an external audit.	

H. MONITORING FINDINGS AND RESOLUTION - exposure due to unresolved prior findings. Only answer one of the following sections as appropriate:

10.a) First-time grantee that DID NOT submit the following financial information:

Risk Level		Score
5	Annual Financial Statements	<i>Select score</i>
5	Audit Report.	

10.b) First-time grantee that submitted audits in conjunction with the Accounting Questionnaire.

Risk Level	Audit Findings and Resolution	Score
0	No findings identified in the audit.	<i>Select score</i>
3-5	Material/significant findings which relate to the organization's ability to administer a IUCN grant (i.e. deficiencies in internal controls, compliance with grant requirements, etc.).	

10.c) Organizations from whom monitoring of previous IUCN grants have been received and reviewed but resolution has not yet been initiated.

Risk Level	Monitoring Findings and Resolution	Score
0	No prior monitoring findings.	Select score
Monitoring has been performed and indicates:		
1	Non-material findings.	
3-5	Material findings.	

Organizations for whom resolution has been initiated.

Risk Level	Monitoring Findings and Resolution	Score
0	Grantee has satisfactorily responded to findings and agrees to implement corrective action.	<i>Select score</i>
1-3	Resolution process has been initiated and grantee is expected to initiate corrective action.	
10+	Organization has ignored the resolution follow up letter, resists findings, or fails to implement corrective action.	

I. ADDITIONAL CONSIDERATIONS - exposure due to other considerations of which BEST 2.0 Secretariat is aware.

Risk Level	Additional Considerations	Score
------------	---------------------------	-------

0	No additional considerations that may affect internal controls.	<i>Select score</i>
1-4	Additional considerations apply, see Additional notes below.	

Indicate any additional considerations that may affect the internal controls of the organization. Describe the situation and indicate an appropriate risk ranking.

_____ **TOTAL POINTS FOR FINANCIAL RISK**

Additional Notes (including clarifications to be requested):

FINANCIAL RISK SUMMARY

Based upon the totals points, place a check mark next to the appropriate risk ranking and refer to the financial risk chart for monitoring requirements.

Total score	Risk ranking
0 to 15	Low risk
16 to 30	Medium Risk
>30	High Risk

Financial Risk Ranking Follow Up – Swift Small Grants based on simplified cost option						
Low Risk		Medium Risk		High Risk		
Financial field visits	Verification of the number of cost units	Financial field visits	Verification of the number of cost units	Financial field visits	Verification of the number of cost units	Spot checks
0	10%	0	20%	1	30%	1-2 during the lifetime of the project
Financial Risk Ranking Follow Up –Small Grants actually incurred costs						
Low Risk		Medium Risk		High Risk		
Financial field visits	Expenditure Verification Coverage*	Financial field visits	Expenditure Verification Coverage*	Financial field visits	Expenditure Verification Coverage*	Spot checks**

0	10%	0	20%	1	30%	1-2 during the lifetime of the project
---	-----	---	-----	---	-----	---

***Expenditure Verification** is performed at the reporting stage.

****Spot checks** are part of *ad hoc* monitoring

Annex 16: Financial Risk Assessment – Medium Grants



Financial Risk Worksheet BEST 2.0 Medium Grant

Application Reference Number:	
Grant Applicant's Name:	
Proposed Award Amount:	
Start Date:	
Project Duration:	

Completed by:		Date:	Click here to enter a date.
----------------------	--	--------------	---

Reviewed by:		Date:	Click here to enter a date.
---------------------	--	--------------	---

Revision of financial risk ranking following request for clarification/receipt of additional supporting documents (if relevant)

Revised by:		Date:	Click here to enter a date.
--------------------	--	--------------	---

This worksheet develops a risk ranking for an organization's controls and financial reporting. This section assesses data in the applicant's responses to the Due Diligence and Financial Capacity Form.

A member of the BEST 2.0 Secretariat is to complete this worksheet by selecting the appropriate item for each category. After rating all categories, the values are added and a cumulative score for the Financial Risk Worksheet is obtained. When the worksheet is completed it is to be reviewed and signed by a member of the IUCN Finance Staff.

A. ORGANIZATIONAL CONTEXT – exposure due to the size or age of the organization

Risk Level	Incorporation/registration of organization	Score
0	incorporation/registration documents available	<i>Select score</i>
2	incorporation/registration documents not available	
4	organization is not incorporated/registered	

Risk Level	Size of organization	Score
0	organization has >50 employees	<i>Select score</i>
1	organization has between 21-50	
2	organization has between 11-20 employees	
4	organization has between 6-10 employees	
5	organization has 5 employees or less	

Risk Level	Age of organization	Score
0	organization is older than 10 years	<i>Select score</i>
1	organization is 3-10 years old	
3	organization is < 3 years old	

Other organizational factors to note

- Potential for conflict of interest or appearance of conflict of interest

(e.g., member of organization is affiliated to one of BEST 2.0 partners; related to a BEST 2.0 partner's employee; past employee of a BEST 2.0 partner, etc.)

Describe steps to be taken to address this:

B. EURO VALUE OF PROPOSED GRANT - exposure due to the size of this proposed grant.

Risk Level	Size of proposed grant	Score
3	€100,000 - €199,999	<i>Select score</i>
4	€200,000 - €299,999	
5	€300,000 - €400,000	

Risk Level	Proposed grant's portion of grantee's annual operating budget	Score
0	<10%	<i>Select score</i>
1	10% - 30%	
2	30% - 50%	
4	50% - 75%	
6	>75%	

C. PRIOR EXPERIENCE WITH IUCN – Exposure due to prior grant experience

Risk Level	Prior Experience with IUCN	Score
0	The organization has had successful financial management results in previous IUCN grants.	<i>Select score</i>
2	The organization has had reasonable financial management results in previous IUCN grants with a few minor problem areas	
3	The organization is a first-time grantee.	
5	The organization has had poor financial management results in	

	previous IUCN grants.	
--	-----------------------	--

D. SOURCES OF FINANCIAL SUPPORT - Exposure due to the organization's lack of experience with government or multi-lateral funding.

Risk Level	Sources of Financial Support	Score
0	Significant government or multi-lateral funding (>50% of operational budget).	Select score
1-3	Some government or multilateral funding	
5	No government or multilateral funding (at the time of the submission of the questionnaire).	

E. ACCOUNTING SYSTEM AND PROCEDURES – exposure due to a weak accounting system and undocumented accounting procedures.

Risk Level	Accounting System and Procedures	Score
0	System of accounting appears to incorporate strong system of controls, including self - balancing accounts (double entry), integrated system of accounts and the preparation of periodic financial reports.	Select score
1-3	System of accounting, as described in <i>Section 4 of the Due Diligence and Financial Capacity Form</i> indicates an average or weak system of controls.	
4	System of accounting is not yet established - proposed accounting procedures describe a strong system of controls.	
5	System of accounting is not yet established - proposed accounting procedures describe an average or weak system of controls. (Follow up required for organizations with weak controls—see Additional Considerations at the end of this form).	

F. Accounting and finance personnel - exposure due to the lack/insufficient accounting personnel resources – *Section 5 of the Due Diligence and Financial Capacity Form*

Risk Level	Accounting Personnel	Score
0	qualified full-time accounting personnel	Select score
1	qualified part-time accounting personnel	
3	non-finance personnel with satisfactory prior experience	
5	absence of accounting/finance personnel	

(Follow up required for organizations no accounting personnel – see Additional Considerations at the end of this form).

G. INTERNAL CONTROLS and RECORDS KEEPING

Risk Level	Separation of Duties	Score
0	Adequate separation of duties - approval, custody of assets, and recording of transactions are properly segregated.	Select score
3	Due to size, segregation of duties is not possible. Based on organization's circumstances, current procedures are deemed adequate.	

5	Organization has weak systems of separation of duties	
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Risk Level	Records Keeping	Score
0	Invoices, vouchers and timesheets are maintained for all payments.	Select score
1-4	Circumstances may preclude maintaining invoices, vouchers and timesheets. These circumstances appear reasonable and should not pose a significant audit risk.	
5	Circumstances may preclude the maintenance of invoices, vouchers and timesheets vouchers and timesheets. These circumstances may pose a significant audit risk.	

H. AUDIT COVERAGE - exposure due to the lack of prior audits – *Section 4.A of the Due Diligence and Financial Capacity Form*

Risk Level	Audit Coverage	Score
0	Organization has regular (or recent) Government Auditing Standards Audits performed by an external auditor.	Select score
1	Organization has regular (or recent) generally accepted auditing standards (or equivalent) audits performed by an external auditor.	
5	Organization does not have regular GAAS or GAGAS audits performed by an external auditor.	
10	Organization has never had an external audit.	

I. MONITORING FINDINGS AND RESOLUTION - exposure due to unresolved prior findings. Only answer one of the following sections as appropriate:

10.a) *First-time grantee that DID NOT submit the following financial information:*

Risk Level		Score
5	Annual Financial Statements	Select score
5	Audit Report.	

10.b) *First-time grantee that submitted audits in conjunction with the Accounting Questionnaire.*

Risk Level	Audit Findings and Resolution	Score
0	No findings identified in the audit.	Select score
3-5	Material/significant findings which relate to the organization's ability to administer a IUCN grant (i.e. deficiencies in internal controls, compliance with grant requirements, etc.).	

10.c) *Organizations from whom monitoring of previous IUCN grants have been received and reviewed but resolution has not yet been initiated.*

Risk Level	Monitoring Findings and Resolution	Score
0	No prior monitoring findings.	Select
Monitoring has been performed and indicates:		

1	Non-material findings.	<i>score</i>
3-5	Material findings.	

Organizations for whom resolution has been initiated.

Risk Level	Monitoring Findings and Resolution	Score
0	Grantee has satisfactorily responded to findings and agrees to implement corrective action.	<i>Select score</i>
1-3	Resolution process has been initiated and grantee is expected to initiate corrective action.	
10+	Organization has ignored the resolution follow up letter, resists findings, or fails to implement corrective action.	

J. ADDITIONAL CONSIDERATIONS - exposure due to other considerations of which BEST 2.0 Secretariat is aware.

Risk Level	Additional Considerations	Score
0	No additional considerations that may affect internal controls.	<i>Select score</i>
1-4	Additional considerations apply, see Additional notes below.	

Indicate any additional considerations that may affect the internal controls of the organization. Describe the situation and indicate an appropriate risk ranking.

--

_____ **TOTAL POINTS FOR FINANCIAL RISK**

Additional Notes (including clarifications to be requested):

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FINANCIAL RISK SUMMARY

Based upon the totals points, place a check mark next to the appropriate risk ranking and refer to the financial risk chart for monitoring requirements.

Total score	Risk ranking
0 to 15	Low risk

16 to 30	Medium Risk
>30	High Risk

Financial Risk Ranking Follow Up –Medium Grants actually incurred costs						
Low Risk		Medium Risk		High Risk		
Financial field visits	Expenditure Verification Coverage*	Financial field visits	Expenditure Verification Coverage*	Financial field visits	Expenditure Verification Coverage	Spot checks**
0	10%	0	20%	1	30%	1-2 during the lifetime of the project

***Expenditure Verification** is performed at the reporting stage.

****Spot checks** are part of *ad hoc* monitoring

IUCN reserves the right to request copies of the general ledger or receipts from any grantee in order to more closely monitor a project.

Annex 17: Concept Note Evaluation Grid



BEST 2.0 – Small Grant Concept Note - Technical Evaluation Grid

Grid completed by:	Insert assessor name
Date the grid was completed:	Click here to enter a date.
Title of the project:	Insert project title
Reference number of the application:	Insert concept note reference number
Name of lead organisation:	Insert lead applicant name

** Please note that the assessor comments will be used to provide feedback to applicants so please ensure that they are comprehensive*

Criteria	Maximum Score	Awarded Score	Assessor Comments
Alignment of the project with the objectives of the BEST Initiative. 1. Conservation of biodiversity and ecosystem services 2. Sustainable use of biodiversity and ecosystem services	5		

Criteria	Maximum Score	Awarded Score	Assessor Comments
<p>3. Ecosystem-based approaches to climate change adaptation and mitigation</p> <p>(To be assessed against the primary objective indicated in the concept note).</p> <p><i>(Very good – good – medium – poor – very poor)</i></p>			
<p>Extent to which the project is likely to have tangible positive impacts on biodiversity conservation / sustainable use of natural resources / climate change/ ecosystem services.</p> <p><i>(To what extent does the project include concrete actions? To what extent these actions well adapted to address the problem? To what extent is the range of actions required to address the problem fully considered? To what extent are the means envisaged suitable?)</i></p> <p><i>(Very well – well – average – poorly – very poorly)</i></p>	5		
<p>The extent to which the project concept supports the implementation of the Overseas Association Decision.</p> <p><i>(Very well – well – average – poorly – very poorly)</i></p>	5		

Criteria	Maximum Score	Awarded Score	Assessor Comments
<p>Relevance of the project concept to the BEST Regional Ecosystem Profile and Regional Investment Strategy.</p> <p><i>(Very relevant – relevant – medium relevance – low relevance – very low relevance)</i></p>	10		
<p>Extent to which the project concept will support the implementation of relevant territorial, national and local strategies.</p> <p><i>(Very strongly – strongly – average – weakly – very weakly)</i></p>	5		
<p>The feasibility of the proposed approach and the presence of potential risks that could impede implementation.</p> <p><i>(Are the risks clearly identified?</i></p> <p><i>The proposal is seriously analyzed in terms of potential risks and practical solutions are proposed - some solutions are indicated - only the risks are indicated without adequate solutions – only some risks are indicated – the risks are not indicated)</i></p>	5		
<p>The extent to which the project identifies all relevant stakeholders and has adequately considered them in the design and implementation.</p>	5		

Criteria	Maximum Score	Awarded Score	Assessor Comments
<i>(Very well – well – average – poorly – very poorly)</i>			
<p>The likely sustainability of the project concept and the potential for replication.</p> <p><i>(Very good – good – average – poor – very poor)</i></p>	5		
TOTAL	45		

Annex 18: Proposal Evaluation Grid



BEST 2.0 – Grant Proposal – Technical Evaluation Grid

Grid completed by:	Insert assessor name
Date the grid was completed:	Click here to enter a date.
Title of the project:	Insert project title
Reference number of the proposal:	Insert project reference number
Name of lead organisation:	Insert lead applicant name

** Please note that the assessor comments will be used to provide feedback to applicants so please ensure that they are comprehensive*

Criteria	Score awarded out of 5	Weighting	Awarded score (score /5 * weighting)	Assessor Comments
Technical coherence and understanding <i>(max 40 points)</i> <ul style="list-style-type: none">The proposal should demonstrate an understanding of the rationale of the BEST 2.0 Programme.				

Criteria	Score awarded out of 5	Weighting	Awarded score (score /5 * weighting)	Assessor Comments
<ul style="list-style-type: none"> The proposal must be clear, detailed, coherent, realistic and feasible in terms of activities and expected results. 				
<p>Are the project's overall objective, purpose and intended results appropriate, achievable and consistent with objective of the BEST 2.0 Programme?</p> <p><i>(Yes perfectly – yes – fairly – slightly – not at all) Please explain.</i></p>		2		
<p>Is the proposed approach feasible, does the proposal clearly identify any risks and provide solutions to mitigate/overcome them?</p> <p><i>(Yes perfectly – yes – fairly – slightly – not at all) Please explain.</i></p>		2		
<p>Does the project logical framework contain objectively verifiable indicators for measuring the outcome of the action at the purpose and result levels?</p> <p><i>(Yes, the indicators are well described and are objectively verifiable - indicators are provided but must be completed - No). Explain please.</i></p>		1		

Criteria	Score awarded out of 5	Weighting	Awarded score (score /5 * weighting)	Assessor Comments
Are the action plan and the timeline for completing the work clear and realistic? <i>(Yes perfectly – yes – average – slightly – not at all) Please explain.</i>		1		
Have all of the relevant stakeholders been identified and will they be involved in the project implementation? <i>(Very well – well – medium – weakly – not at all)</i>		1		
Is there a clear approach for ensuring the sustainability of the project activities beyond the end of the project and promoting replication? <i>(Very good – good – average – poor – not at all)</i>		1		
Financial coherence and availability (Max 30 points) <p>The proposal should demonstrate a financial coherence and sufficient quality of the proposed budget. It needs to be consistent with the technical proposal, to prove its cost-efficiency and value for money. This implies that the proposal needs to demonstrate an efficient project management.</p> <p>The proposal must be coherent, realistic and feasible in terms of resources and timetable. It must include the availability of competent staff providing a sufficient input to achieve the project deliverables.</p>				

Criteria	Score awarded out of 5	Weighting	Awarded score (score /5 * weighting)	Assessor Comments
Is the budget adequate: is the ratio between the estimated costs and the expected results satisfactory? <i>(Yes perfectly – yes – average – slightly – not at all) Please explain.</i>		3		
Are the activities appropriately reflected in the budget? <i>(Yes perfectly – yes – average – slightly – not at all) Please explain.</i>		3		
Policy coherence (Max 30 points) <p>The regional hub teams provide feedbacks on the relevance of the projects with regard to their contribution to sustainable development of the OCT through biodiversity conservation and sustainable use. Such relevance will be assessed in reference to policy or strategy frameworks such as:</p> <ul style="list-style-type: none"> • The Overseas Association Decision, in particular its article 16, but also biodiversity-relevant provisions under articles 15 and 17 to 25. • The BEST regional ecosystem profiles, when available, or the BEST ecosystem profile works. • The OCT environmental profiles as appropriate. • The updated local relevant strategy(ies) (on biodiversity, Climate change, marine ecosystems, ...) when available. 				
Is the project relevant to the BEST Regional Ecosystem Profile? <i>(Yes perfectly – yes – average – slightly –</i>		3		

Criteria	Score awarded out of 5	Weighting	Awarded score (score /5 * weighting)	Assessor Comments
<i>not at all) Please explain.</i>				
<p>Will the project support the implementation of relevant territorial, national and local strategies including the OCT environmental profiles¹² (where relevant)?</p> <p><i>(Yes very strongly – strongly – average – weakly – not at all) Please explain.</i></p>		2		
<p>Will the project support a tangible implementation of the OAD?</p> <p><i>(Yes very strongly – strongly – average – weakly – not at all) Please explain.</i></p>		1		
BEST 2.0 Objectives <i>* The proposal should only be scored against the one BEST 2.0 objective (1,2 or 3) that the project principally contributes (as selected by the applicant in the proposal form).</i>				
<p>Criterion 1: Does the proposal demonstrate added value in terms of tangible results on the ground, innovation, potential for sustainability, and stimulation of best-practice in terms of conservation of biodiversity and</p>		2		

¹² The OCT environmental profiles are available on the EC website: https://ec.europa.eu/europeaid/overseas-countries-and-territories-environmental-profiles-2015_en

Criteria	Score awarded out of 5	Weighting	Awarded score (score /5 * weighting)	Assessor Comments
ecosystem services? <i>(Very well – well – average – poorly – not at all) Please explain.</i>				
Does the proposal include dissemination and communication activities? Are the activities appropriate and the target groups clearly identified?		1		
Total				
Criterion 2: Does the proposal demonstrate added value in terms of tangible results on the ground, sustainable development model demonstration, innovation and stimulation of best-practice in terms of sustainable use of natural resources and ecosystem services? <i>(Very well – well – average – poorly – not at all) Please explain.</i>		2		
Does the proposal include dissemination and communication activities? Are the activities appropriate and the target groups clearly identified?		1		

Criteria	Score awarded out of 5	Weighting	Awarded score (score /5 * weighting)	Assessor Comments
Total				
Criterion 3: Does the proposal demonstrate added value in terms of tangible results on the ground, innovation, adaptation and/or mitigation model demonstration and stimulation of best-practice in terms of climate change adaptation, mitigation, green and blue infrastructures? <i>(Very well – well – average – poorly – not at all) Please explain.</i>		2		
Does the proposal include dissemination and communication activities? Are the activities appropriate and the target groups clearly identified?		1		
Total				
Bonus criteria				
Does the action foster regional cooperation and synergies at the regional and/or sub-regional level?		1		

Criteria	Score awarded out of 5	Weighting	Awarded score (score /5 * weighting)	Assessor Comments
Does the action support capacity-building, experience sharing, and /or foster local partnerships?		1		
OVERALL TOTAL				

Following the evaluation, a table will be established ranking the proposals according to their total score. Proposals with the highest scores will be recommended for the award of a BEST 2.0 grant. The total number of recommended proposals will be established based on the budget available for the call.

Annex 19: Evaluation report – concept notes



Summary Evaluation Report Small Grant Concept Notes

Region: Click to select a region

Step 1

Administrative Checks and Concept Note Evaluation

Annexes

- List of applications received
- Declarations of impartiality and confidentiality
- Ranking list of concept notes

Timetable

	Date	Time
Publication of call for proposals	14 September 2015	n/a
Deadline for submission of concept notes	9 October 2015	23:59

Participants

Name	Representing	Role ¹³
<insert name of the Secretariat representative>	BEST 2.0 Secretariat	
<insert name of the hub representative>		
<insert the name of each assessor on a separate row>		

In line with Section 2.3 (1) of the guidelines for applicants the BEST 2.0 Secretariat and the Regional Advisory Committee proceeded with the evaluation process as follows.

Administrative Checks

The BEST 2.0 Secretariat undertook administrative checks on the applications received. Each one has a reference number that is used throughout the evaluation process as the sole reference. The full list of the applications received is attached in annex.

All applications are stored electronically on the BEST 2.0 Portal.

¹³ Hub Coordinator, Hub Officer, RAC Expert (evaluator) etc.

Check that the deadline for submission of applications has been met

The following applications were submitted after the deadline and are therefore excluded from further examination.

Reference No	Name of lead organisation	Date & time of submission

Check that the concept note satisfies all the criteria specified in section 2 of the guidelines for applicants.

The completed administrative checklists for each of the applications submitted by the deadline are stored on the BEST 2.0 Portal. As a result of the checks, the BEST 2.0 Secretariat decided to exclude the following applications.

Reference No	Name of lead organisation	Reasons for elimination

Evaluation of concept notes

Following the administrative checks the Regional Advisory Committee examined the concept notes of the following applications which have a total requested contribution of EUR <XXX>.

Reference No	Name of lead organisation	Requested EU contribution

Concept note evaluation

The assessors used the evaluation grid to assess the applications. The completed evaluation grids are submitted by the Regional Advisory Committee experts via the BEST 2.0 Portal where they are stored.

The scores awarded by the assessors were used to calculate an average (mean) score for each application. The mean scores were used by the regional hub representative to draw up the ranking list that is attached in annex. Those applications with a mean score of more than 25 are listed below and were invited to submit full applications.

The concept notes awarded lower average scores than those pre-selected are also listed below.

Conclusions

Concept notes recommended

The following concept notes are recommended for pre-selection

Reference No	Name of lead organisation	Average score	Requested grant (€)	Comments

Number of pre-selected concept notes: <XXX>.

Total requested amount of preselected concept notes: EUR <XXX> (sum of the requested contributions)

Concept notes not recommended

The following concept notes are not recommended for pre-selection:

Reference No	Name of lead organisation	Average Score	Comments
			<i>E.g. the minimum threshold score of 25 was not reached</i>

Number of unsuccessful concept notes: <XXX>.

Annex 20: Evaluation report – proposals



Summary Evaluation Report Small Grant Proposals

Region: Click to select a region

Step 1

Administrative Checks and Concept Note Evaluation

Annexes

- List of applications received
- Declarations of impartiality and confidentiality
- Regional Advisory Committee evaluation report
- Ranking list of proposals

Timetable

	Date	Time
Publication of call for proposals	14 September 2015	n/a
Invitation to submit a full proposal		
Deadline for submission of proposals		23:59
Regional Advisory Committee Meeting		

Participants

Name	Representing	Role ¹⁴
<insert name of the Secretariat representative>	BEST 2.0 Secretariat	
<insert name of the hub representative>		
<insert the name of each assessor on a separate row>		

In line with Section 2.3 (1) of the guidelines for applicants the BEST 2.0 Secretariat and the Regional Advisory Committee proceeded with the evaluation process as follows.

Administrative Checks

The BEST 2.0 Secretariat undertook administrative checks on the applications received. Each one has a reference number that is used throughout the evaluation process as the sole reference. The full list of the applications received is attached in annex.

¹⁴ Evaluator, assessor, observer, chairperson, secretary

All applications are stored electronically on the BEST 2.0 Portal.

Check that the deadline for submission of applications has been met

The following applications were submitted after the deadline and are therefore excluded from further examination.

Reference No	Name of lead organisation	Date [& time] of submission

Check that the application satisfies all the criteria specified in section 2 of the guidelines for applicants.

The completed administrative checklists for each of the applications submitted by the deadline are stored on the BEST 2.0 Portal. As a result of the checks, the BEST 2.0 Secretariat decided to exclude the following applications.

Reference No	Name of lead organisation	Reasons for elimination

Evaluation of proposals

Following the administrative checks the Regional Advisory Committee examined the full proposals of the following applications which have a total requested contribution of EUR <XXX>.

Reference No	Name of lead organisation	Requested EU contribution

Proposal evaluation

The assessors used the evaluation grid to assess the proposals. The completed evaluation grids are submitted by the Regional Advisory Committee experts via the BEST 2.0 Portal where they are stored.

The Regional Advisory Committee subsequently deliberated on the basis of these analyses. The report of the Regional Advisory Committee meeting is annexed.

On the basis of the discussions during the meeting the Regional Advisory Committee finalised the evaluation and established a ranking list of proposals. The proposals are ranked

according to the score awarded, giving the amount of the grant requested and the rate of financing of eligible costs recommended for each application.

The remaining applications considered during the evaluation, which were awarded a lower score than that necessary for provisional selection, are also listed below.

Conclusions

Applications recommended

The following applications reached the minimum score required and are recommended for pre-selection.

Ref No	Name of lead organisation	Average score	Recommended grant amount	Recommended percentage(s) %	Comments

Number of provisionally selected applications: <XXX>.

Total requested amount of preselected concept notes: EUR <XXX> (sum of the requested contributions)

Applications not recommended

The following concept notes are not recommended for pre-selection:

Ref No	Name of lead organisation	Average score	Comments
			E.g that the minimum threshold of 30 was not reached

Number of unsuccessful applications: <XXX>.



Summary Evaluation Report

Medium Grant Proposals

Region: Click to select a region

Step 1 Administrative Checks and Proposal Evaluation

Annexes

- List of applications received
- Declarations of impartiality and confidentiality
- Regional Advisory Committee evaluation report
- Ranking list of proposals

Timetable

	Date	Time
Publication of call for proposals		n/a
Deadline for submission of proposals		
Regional Advisory Committee Meeting		n/a

Participants

Name	Representing	Role ¹⁵
<insert name of the Secretariat representative>	BEST 2.0 Secretariat	
<insert name of the hub representative>		
<insert the name of each assessor on a separate row>		

In line with Section 2.3 (1) of the guidelines for applicants the BEST 2.0 Secretariat and the Regional Advisory Committee proceeded with the evaluation process as follows.

Administrative Checks

¹⁵ Hub Coordinator, Hub Officer, RAC Expert (evaluator) etc.

The BEST 2.0 Secretariat undertook administrative checks on the applications received. Each one has a reference number that is used throughout the evaluation process as the sole reference. The full list of the applications received is attached in annex.

All applications are stored electronically on the BEST 2.0 Portal.

Check that the deadline for submission of applications has been met

The following applications were submitted after the deadline and are therefore excluded from further examination.

Reference No	Name of lead organisation	Date & time of submission

Check that the application satisfies all the criteria specified in section 2 of the guidelines for applicants.

The completed administrative checklists for each of the applications submitted by the deadline are stored on the BEST 2.0 Portal. As a result of the checks, the BEST 2.0 Secretariat decided to exclude the following applications.

Reference No	Name of lead organisation	Reasons for elimination

Evaluation of proposals

Following the administrative checks the Regional Advisory Committee examined the full proposals of the following applications which have a total requested contribution of EUR <XXX>.

Reference No	Name of lead organisation	Requested EU contribution

Proposal evaluation

The assessors used the evaluation grid to assess the proposals. The completed evaluation grids are submitted by the Regional Advisory Committee experts via the BEST 2.0 Portal where they are stored.

The Regional Advisory Committee subsequently deliberated on the basis of these analyses. The report of the Regional Advisory Committee meeting is annexed.

On the basis of the discussions during the meeting the Regional Advisory Committee finalised the evaluation and established a ranking list of proposals. The proposals are ranked according to the score awarded, giving the amount of the grant requested and the rate of financing of eligible costs recommended for each application.

The remaining applications considered during the evaluation, which were awarded a lower score than that necessary for provisional selection, are also listed below.

Conclusions

Applications recommended

The following applications reached the minimum score required and are recommended for pre-selection.

Ref No	Name of lead organisation	Average score	Recommended grant amount	Recommended percentage(s) %	Comments

Number of provisionally selected applications: <XXX>.

Total requested amount of preselected applications: EUR <XXX> (sum of the requested contributions)

Applications not recommended

The following applications are not recommended for pre-selection:

Ref No	Name of lead organisation	Average score	Comments
			E.g that the minimum threshold of 30 was not reached

Number of unsuccessful applications: <XXX>.

Annex 21: Standard Grant Agreement Template & Attachments –Swift Small Grants

BEST 2.0 Grant Agreement <insert Grant Agreement number> SWIFT SMALL GRANT

SPECIAL CONDITIONS

This Grant Agreement ("Agreement") is made between

IUCN, International Union for Conservation of Nature and Natural Resources, a quasi-governmental international organization established and existing under the laws of Switzerland, with a principal place of business at Rue Mauverney 28, 1196 Gland, Switzerland ("IUCN" or "BEST 2.0 Secretariat"),

And

[COMPLETE NAME, TYPE OF LEGAL ENTITY, COUNTRY/JURISDICTION IN WHICH ESTABLISHED AND EXISTING, AND ADDRESS OF OTHER PARTY], ("Grantee"),

with IUCN and Grantee referred to individually and jointly as "Party" and "Parties."

Preamble

Funding in support of this Agreement is made available by the **BEST 2.0** Programme - Promoting the conservation and sustainable use of **Biodiversity** and **Ecosystem Services** in Overseas Countries and Territories, funded by the European Union, represented by the European Commission, Directorate-General for Development and Cooperation, Cooperation — EuropeAid.

The Parties hereby agree as follows:

- 1. THE GRANT.** IUCN, in its role of BEST 2.0 Secretariat, will make available to the Grantee grant funds from BEST 2.0, in a total amount not to exceed [INSERT AMOUNT IN WORDS] EURO (EUR [INSERT AMOUNT]) (the "Grant") for the purpose and on the terms and conditions set forth in this Agreement. In all cases the use of the funds shall conform to the restrictions and limitations set forth in the General Conditions (**Attachment 2 to the Agreement**), the Procurement Policies and Procedures (**Attachment 3 to the Agreement**), and the agreed budget.
- 2. PURPOSE OF THE GRANT.** The Grant is provided to support the project described in **Attachment 1** to this Agreement (the "Project"). The Grant shall be used solely for the purposes and activities described therein. The Grantee shall be solely responsible for complying with all applicable provisions of this Agreement and will ensure that they are transmitted to and become binding upon any third parties retained by the Grantee for the implementation of the Project (the "Sub-contractors").
- 3. TERM.** The period covered by the Agreement shall commence on [DDMMYYYY] / the date on which the last party signs the Agreement (the "Effective Date") and shall expire on [DDMMYYYY] / XX months from the date on which the last party signs the Agreement (the "Expiration Date"), unless terminated prior to the Expiration Date in accordance with Article 11 of the General Conditions (**Attachment 2 to the**

Agreement). All expenses to be paid out of Grant funds must be incurred during the Term of the Agreement.

4. FINANCING THE PROJECT.

The total eligible costs are estimated at [INSERT AMOUNT IN WORDS] EURO (EUR [INSERT AMOUNT]). The final amount of the Grant shall be determined in accordance with Articles 13 and 16 of General Conditions (**Attachment 2 to the Agreement**). A maximum of 7% of the final amount of direct eligible costs of the Project established in accordance with Articles 13 and 16 of General Conditions (**Attachment 2 to the Agreement**) may be claimed as indirect costs.

5. PAYMENT SCHEDULE. Subject to the terms and conditions contained herein, IUCN will make payments of Grant funds to the Grantee as follows:

- 5.1. A pre-financing payment of [INSERT AMOUNT IN WORDS] (EUR[INSERT AMOUNT IN EURO]) covering 75% of the total BEST 2.0 contribution is made to a Grantee no later than thirty (30) days after the IUCN's receipt of this Agreement executed by both Parties, together with Grantee's Payment Request.
- 5.2. The balance of 25% is paid to the Grantee no later than forty-five (45) days after the approval of the Swift Small Grant Final Technical and Financial Report accompanied by a corresponding Payment Request.

It is understood that the total sum of pre-financing payments may not exceed 90% (ninety percent) of the amount referred to in Article 4 above and that IUCN may withhold payment of any part or all of any payment until after it has approved, in its sole discretion, the aforesaid Swift Small Grant Technical and Financial Final Report.

All payments provided for above shall be made to the following account:

Name of Bank:
Bank Address:
Account Holder Name:
SWIFT code:
Bank Account:
IBAN code:

No payments of Grant funds shall be made under this Agreement other than as set forth above.

6. REPORTING.

- 6.1. The Grantee shall submit the following Final Reports to IUCN together and within forty-five (45) days following the Expiration Date or the effective date of termination of this Agreement:
 - i. Swift Small Grant Final Technical Report. To be submitted by the Grantee to IUCN in the BEST 2.0 format to be provided by BEST 2.0 Secretariat and including, *inter alia*, a comprehensive, detailed description of activities completed and an evaluation of accomplishments/successes under this Agreement.

- ii. Swift Small Grant Final Financial Report. To be submitted by the Grantee to IUCN in the BEST 2.0 format and with receipts and/or attachments to be provided by BEST 2.0 Secretariat.
- 6.2. The Grantee must retain all receipts for a period of three (3) years after the end of the project.
- 6.3. Depending on the outcomes of the Grantee's risk assessment IUCN reserves the right to perform a closer scrutiny of the reported information, including but not limited to requests for additional information and clarifications, sample checks and requests of supporting documents proving the number of unit costs reported.

7. OTHER SPECIFIC CONDITIONS APPLYING TO THE PROJECT

- 7.1. For Swift Small Grants with a total BEST 2.0 contribution amount equal to or below FIFTY THOUSAND EURO (EUR 50,000) the no-profit rule does not apply.

<insert as required>

The Grantee shall be the sole interlocutor of IUCN and shall remain solely and fully responsible to IUCN for the performance under this Agreement.

The use of time-sheets reflecting the total working time of the Grantee's personnel (and the personnel of all co-beneficiaries) is mandatory.

The Grantee is required to support the BEST 2.0 programme by contributing to the promotion of the project. The Grantee shall provide, in a timely manner, information requested by IUCN to produce promotional materials including, but not limited to, a project factsheet, project-related articles and the BEST 2.0 capitalization document. The Grantee(s) shall also provide photographic media and videos showcasing the activities and results of the project.

All purchases of goods and services must comply with the BEST 2.0 Procurement Policies and Procedures (**Attachment 3**).

8. NOTICE AND CONTACT PERSONS

- 8.1. Except as may be expressly provided otherwise in the Agreement, any notice given by either Party to the other shall be deemed properly given if specifically acknowledged by the receiving Party in writing or if delivered by hand, fax, special courier service or electronic mail with return receipt, to the following addresses (or such other address as each Party may notify in writing from time to time to the other Party).
- 8.2. The Parties' respective contact persons shall be:

For BEST 2.0 Secretariat Name: Daniel MITCHELL Position: Project Officer, BEST 2.0 Secretariat Address: 64 Boulevard Louis Schmidt, 1040 Brussels, BELGIUM Tel : + 32 2 739 0315 E-mail : BEST2.0secretariat@iucn.org	For Grantee Name : Position: Address Tel: + E-mail:
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8.3. Either Party may change its contact person, address, or facsimile number by written notice to the other Party. Notices shall be deemed to be received on the first business day following receipt.

9. **ENTIRE AGREEMENT.** This Agreement consists of this Agreement proper and Attachments 1 through 4, which are an integral part hereof. This Agreement constitutes the entire Agreement and understanding between the Parties with respect to its subject matter and supersedes any prior or contemporaneous agreements or understandings in reference thereto between the Parties.

10. The obligations of IUCN as BEST 2.0 Secretariat, under this Agreement, are neither made on behalf of nor are binding on any of the other Funding Sources.

11. **IN WITNESS WHEREOF**, the duly authorized representatives of the Parties have executed two counterparts of this Agreement, each of which shall be deemed an original and which together shall constitute one and the same instrument, on the date(s) indicated below:

IUCN, INTERNATIONAL UNION FOR
CONSERVATION OF NATURE AND NATURAL
RESOURCES

[NAME OF GRANTEE ORG]

NAME [ENTER NAME OF PERSON SIGNING]
TITLE

DATE:

NAME [ENTER NAME OF PERSON SIGNING]
TITLE

DATE:

Attachment 1. Description of the Project and the Budget

Attachment 2. General Conditions applicable to grant agreements financed by BEST 2.0

Attachment 3. BEST 2.0 Procurement Policies and Procedures

Attachment 4. BEST 2.0 Credit and Logo Usage Policy

ATTACHMENT 1
Description of the Project and the Budget

ATTACHMENT 2

General Conditions applicable to grant agreements financed by BEST 2.0.

ARTICLE 1 - GENERAL PROVISIONS

General principles

- 1.1. The Grantee(s) and IUCN in its role of BEST 2.0 Secretariat are the only Parties to this Agreement.
- 1.2. This Agreement and the payments attached to it may not be assigned to a third party in any manner whatsoever.

Data protection

- 1.3. Any personal data will be processed solely for the purposes of the performance, management and monitoring of this Agreement by IUCN and may also be passed to the bodies charged with monitoring or inspection tasks under European Union law. Grantee(s) will have the right of access to their personal data and the right to rectify any such data. If the Grantee(s) have any queries concerning the processing of personal data, they shall address them to IUCN.

Obligations of the Grantee(s)

- 1.4. The Grantee(s) shall carry out the Project taking all necessary and reasonable measures to ensure that the Project is carried out in accordance with the Description of the Project and Budget in Attachment 1 and the terms and conditions of this Agreement. To this purpose, the Grantee(s) shall implement the Project with the requisite care, efficiency, transparency and diligence, in line with the principle of sound financial management and with the best practices in the field.

ARTICLE 2 - OBLIGATION TO PROVIDE FINANCIAL AND NARRATIVE REPORTS

- 2.1. The Grantee(s) shall provide IUCN with all required information on the implementation of the Project. The report shall be laid out in such a way as to allow comparison of the objective(s), the means envisaged or employed, the results expected and obtained and the budget details for the Project. The level of detail in any report should match that of the Description of the Project and Budget in Attachment 1. These reports shall:
 - a. cover the Project as a whole, regardless of which part of it is financed by IUCN;
 - b. consist of a narrative and a financial report drafted using the templates provided by the BEST 2.0 Secretariat;
 - c. provide a full account of all aspects of the Project's implementation for the period covered, including in case of simplified cost options the qualitative and quantitative information needed to demonstrate the fulfilment of the conditions for reimbursement established in this Agreement;
 - d. be drafted in the currency and language of this Agreement;

- e. include any relevant reports, publications, press releases and updates related to the Project;
- 2.2. Additionally the final report shall cover any period not covered by the previous reports.
- 2.3. The Special Conditions may set out additional reporting requirements.
- 2.4. IUCN may request additional information at any time. The Grantee shall provide this information within thirty (30) days of the request, in the language of the Agreement.
- 2.5. If the Grantee fails to provide any report or fails to provide any additional information requested by IUCN within the set deadline without an acceptable and written explanation of the reasons, IUCN may terminate this Agreement according to Article 11.2 (a) and (f).

ARTICLE 3 - LIABILITY

- 3.1. IUCN cannot under any circumstances or for any reason whatsoever be held liable for damage or injury sustained by the staff or property of the Grantee(s) while the Project is being carried out or as a consequence of the Project. IUCN cannot, therefore, accept any claim for compensation or increases in payment in connection with such damage or injury.
- 3.2. The Grantee(s) shall assume sole liability towards third parties, including liability for damage or injury of any kind sustained by them while the Project is being carried out or as a consequence of the Project. The Grantee(s) shall discharge IUCN of all liability arising from any claim or Project brought as a result of an infringement of rules or regulations by the Grantee(s) or the Grantee(s)'s employees or individuals for whom those employees are responsible, or as a result of violation of a third party's rights. For the purpose of this Article 3 employees of the Grantee(s) shall be considered third parties.

ARTICLE 4 - CONFLICT OF INTERESTS AND GOOD CONDUCT

- 4.1. The Grantee(s) shall take all necessary measures to prevent or end any situation that could compromise the impartial and objective performance of this Agreement. Such conflict of interests may arise in particular as a result of economic interest, political or national affinity, family or emotional ties, or any other relevant connection or shared interest.
- 4.2. Any conflict of interests which may arise during performance of this Agreement must be notified in writing to IUCN without delay. In the event of such conflict, the Grantee(s) shall immediately take all necessary steps to resolve it.
- 4.3. IUCN reserves the right to verify that the measures taken are appropriate and may require additional measures to be taken if necessary.
- 4.4. The Grantee(s) shall ensure that its staff, including its management, is not placed in a situation which could give rise to conflict of interests. Without prejudice to its obligation under this Agreement, the Grantee(s) shall replace, immediately and without compensation from IUCN, any member of its staff in such a situation.
- 4.5. The Grantee(s) shall respect human rights and applicable environmental legislation including multilateral environmental agreements, as well as internationally agreed core labour standards.

ARTICLE 5 - CONFIDENTIALITY

- 5.1. "Confidential Information" means any and all tangible or intangible information, privileged or proprietary information or trade secrets given to one Party by or on behalf of the other Party and explicitly designated, either orally or in writing, as confidential, either at the time of disclosure or, if disclosed orally, confirmed in writing within thirty (30) days following the original disclosure, including, without limitation:
- a. Customer lists, services, products, manuals, business methods and practices;
 - b. Proprietary software, hardware, firmware and documentation owned by either Party, or owned by third parties but developed, produced or distributed by either Party subject to relevant licenses;
 - c. Processes, prices, profits, contract terms and operating procedures, and compilations of data or information.
- 5.1. Either Party shall keep confidential and not disclose to any third party any Confidential Information of the other Party.
- 5.2. The Confidential Information shall remain the property of the disclosing Party, and the receiving Party agrees to use it only for the purpose of performing its obligations under this Agreement.
- 5.3. Confidential Information as defined in this Article 5 shall not include information which:
- a. Was in the public domain at the time of its receipt by the receiving Party;
 - b. Was at the time of its receipt already in the receiving Party's possession or known to the receiving Party and not qualified as Confidential Information;
 - c. Becomes part of the public domain after its receipt by the receiving Party, but not through a breach of this Agreement by the receiving Party or the receiving Party's employees; or
 - d. Is rightfully given to the receiving Party by a third party on a non-confidential basis.
- 5.4. The receiving Party shall disclose the other Party's Confidential Information only to those of its employees or independent contractors who are directly and necessarily involved in the performance of this Agreement and who are bound to the receiving Party by obligations no less stringent as the ones mentioned in this Agreement. The receiving Party is responsible for ensuring that there is no breach of such confidentiality obligations by any such employees or independent contractors.
- 5.6. Subject to Article 15, IUCN and the Grantee(s) undertake to preserve the confidentiality of any information, notwithstanding its form, disclosed in writing or orally in relation to the implementation of this Agreement and identified in writing as confidential until at least five (5) years after the payment of the balance.
- 5.7. The Grantee(s) shall not use confidential information for any aim other than fulfilling their obligations under this Agreement unless otherwise agreed with IUCN.

ARTICLE 6 - VISIBILITY

- 6.1. The Grantee(s) shall take all necessary steps to publicise the fact that BEST 2.0 Programme funded by the European Union has financed or co-financed the Project. Such measures shall comply with the BEST 2.0 Credit and Logo Usage Policy (***Attachment 4 to the Agreement***).
- 6.2. In particular, the Grantee(s) shall mention the European Union's financial contribution in information given to the final recipients of the Project, in its internal and annual reports, and in any dealings with the media. It shall display the European Union logo and the BEST 2.0 logo wherever appropriate.
- 6.3. Any notice or publication by the Grantee(s) concerning the Project, including those given at conferences or seminars, shall specify that the Project has received European Union funding through BEST 2.0 Programme. Any publication by the Grantee(s), in whatever form and by whatever medium, including the internet, shall include the following statement: 'This document has been produced with the financial assistance of the European Union. The contents of this document are the sole responsibility of < Grantee(s)'s name(s) > and can under no circumstances be regarded as reflecting the position of the European Union.'
- 6.4. The Grantee(s) authorises IUCN and the European Commission to publish its name and address, nationality, the purpose of the grant, duration and location as well as the maximum amount of the grant and the rate of funding of the Project costs.

ARTICLE 7 - OWNERSHIP/USE OF RESULTS

- 7.1. Unless otherwise stipulated in the Special Conditions, ownership of, and title and intellectual and industrial property rights to, the Project's results, reports and other documents relating to it will be vested in the Grantee(s).
- 7.2. Without prejudice to Article 7.1, the Grantee(s) grant IUCN and the European Commission the right to use freely and as it sees fit, and in particular, to store, modify, translate, display, reproduce by any technical procedure, publish or communicate by any medium all documents deriving from the Project whatever their form, provided it does not thereby breach existing industrial and intellectual property rights.
- 7.3. The Grantee(s) shall ensure that it has all rights to use any pre-existing intellectual property rights necessary to implement this Agreement.
- 7.4. In case natural, recognizable persons are depicted in a photograph or film, the Grantee(s) shall, in the final report to IUCN, submit a statement of these persons giving their permissions for the described use of their images. The above does not refer to photographs taken or films shot in public places where random members of the public are identifiable only hypothetically and to public persons acting in their public activities.

ARTICLE 8 — AMENDMENT OF THE AGREEMENT

- 8.1. Any amendment to this Agreement, including the annexes thereto, shall be set out in writing and signed by both Parties. This Agreement can be modified only during its execution period.
- 8.2. The amendment may not have the purpose or the effect of making changes to this Agreement that would call into question the Grant award decision or be contrary to the equal treatment of applicants. The maximum Grant referred to in Article 1 of the Special Conditions may not be increased.

- 8.3. If an amendment is requested by the Grantee(s), a duly justified request shall be submitted to IUCN thirty (30) days before the date on which the amendment should enter into force, unless there are special circumstances duly substantiated and accepted by IUCN.
- 8.4. Where the amendment to the Description of the Project and Budget in Attachment 1 does not affect the basic purpose of the Project and the financial impact is limited to a transfer between items within the same main budget heading including cancellation or introduction of an item, or a transfer between main budget headings involving a variation of 15% or less of the amount originally entered (or as modified by addendum) in relation to each concerned main heading for eligible costs, the Grantee may amend the budget and promptly inform IUCN accordingly in writing. This method may not be used to amend the headings for indirect costs, for the contingency reserve, for in-kind contributions or the amounts or rates of simplified cost options.
- 8.5. Changes of address, bank account may simply be notified by the Grantee. However, in duly substantiated circumstances, IUCN may oppose the Grantee's choice.

ARTICLE 9 — IMPLEMENTATION

Implementation Agreements

- 9.1. If the Grantee(s) have to conclude implementation Agreements with contractors in order to carry out the Project, these may only cover a limited portion of the Project and shall respect BEST 2.0 Procurement Policies and Procedures set out in Attachment 3 of this Agreement.
- 9.2. To the extent relevant, the Grantee(s) shall ensure that the conditions applicable to them under Articles 3, 4, 5, 6, 7 and 15 of these General Conditions are also applicable to contractors awarded an implementation Agreement.

ARTICLE 10- EXTENSION AND SUSPENSION

Extension

- 10.1. The Grantee shall inform IUCN without delay of any circumstances likely to hamper or delay the implementation of the Project. The Grantee may request an extension of the Project's implementation period as laid down in Article 3 "TERM" of the Special Conditions in accordance to Article 8. The request shall be accompanied by all the supporting evidence needed for its appraisal.

Suspension by the Grantee(s)

- 10.2. The Grantee may suspend implementation of the Project, or any part thereof, if exceptional circumstances, notably of force majeure, make such implementation excessively difficult or dangerous. The Grantee shall inform IUCN without delay, stating the nature, probable duration and foreseeable effects of the suspension.
- 10.3. The Grantee or IUCN may then terminate this Agreement in accordance with Article 11.1. If the Agreement is not terminated, the Grantee(s) shall endeavour to minimise the time of its suspension and any possible damage and shall resume implementation once circumstances allow, informing IUCN accordingly.

Suspension by IUCN

- 10.4. IUCN may request the Grantee(s) to suspend implementation of the Project, or any part thereof, if exceptional circumstances, notably of force majeure, make such implementation excessively difficult or dangerous. To this purpose, IUCN shall inform the Grantee(s) stating the nature and probable duration of the suspension.
- 10.5. The Grantee(s) or IUCN may then terminate this Agreement in accordance with Article 11.1. If the Agreement is not terminated, the Grantee(s) shall endeavour to minimise the time of its suspension and any possible damage and shall resume implementation once circumstances allow and after having obtained the approval of IUCN.
- 10.6. IUCN may also suspend this Agreement or the participation of a Grantee(s) in this Agreement if IUCN has evidence that, or if, for objective and well justified reasons, IUCN deems necessary to verify whether presumably:
 - a. the Grant award procedure or the implementation of the Project have been subject to substantial errors, irregularities or fraud;
 - b. the Grantee(s) have breached any substantial obligation under this Agreement.
- 10.7. The Grantee(s) shall provide any requested information, clarification or document within thirty (30) days of receipt of the requests sent by IUCN. If, notwithstanding the information, clarification or document provided by the Grantee(s), the award procedure or the implementation of the Grant prove to have been subject to substantial errors, irregularities, fraud, or breach of obligations, then IUCN may terminate this Agreement according to Article 11(3) h.

Force majeure

- 10.8. The term force majeure, as used herein covers any unforeseeable events, not within the control of either Party to this Agreement and which by the exercise of due diligence neither Party is able to overcome such as acts of God, strikes, excluding strikes of the respective Party's personnel, lock-outs or other industrial disturbances, acts of the public enemy, wars whether declared or not, blockades, insurrection, riots, epidemics, landslides, earthquakes, storms, lightning, floods, washouts, civil disturbances, explosion. A decision of the European Union to suspend the cooperation with the partner country is considered to be a case of force majeure when it implies suspending funding under this Agreement.
- 10.9. The Grantee(s) shall not be held in breach of its contractual obligations if it is prevented from fulfilling them by circumstances of force majeure.

Extension of the implementation period following a suspension

- 10.10. In case of suspension according to Articles 10.2, 10.4 and 10.6, the implementation period of the Project shall be extended by a period equivalent to the length of suspension, without prejudice to any amendment to the Agreement that may be necessary to adapt the Project to the new implementing conditions.

ARTICLE 11 — TERMINATION OF THE AGREEMENT

Termination in case of force majeure

- 11.1. In the cases foreseen in Article 10.2 and 10.4, if the Grantee(s) or IUCN believes that this Agreement can no longer be executed effectively or appropriately, it shall duly

consult the other. Failing agreement on a solution, the Grantee(s) or IUCN may terminate this Agreement by serving two (2) months written notice, without being required to pay indemnity.

Termination for lack of Donor funds

- 11.2. IUCN shall have the right to terminate this Agreement with immediate effect and without any liability for damages to the Grantee in case the agreement between IUCN and the Donor is terminated and/or the Donor funds become unavailable to IUCN.

Termination by IUCN

- 11.3. Without prejudice to Article 11.1, in the following circumstances IUCN may, after having duly consulted the Grantee(s), terminate this Agreement or the participation of any Grantee(s) in this Agreement without any indemnity on its part when:
- a. the Grantee(s) fails, without justification, to fulfil any substantial obligation incumbent on them individually or collectively by this Agreement and, after being given notice by letter to comply with those obligations, still fails to do so or to furnish a satisfactory explanation within thirty (30) days of receipt of the letter;
 - b. the Grantee(s) is bankrupt or being wound up, is having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, is the subject of proceedings concerning those matters or is in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
 - c. the Grantee(s), or any related entity or person, have been found guilty of an offence concerning their professional conduct proven by any means;
 - d. the Grantee(s), or any related entity or person, have committed fraud, corruption, or are involved in a criminal organisation, money laundering or any other illegal activity detrimental to the European Union's financial interests;
 - e. a change to the Grantee(s)'s legal, financial, technical, organisational or ownership situation or the termination of the participation of the Grantee(s) substantially affects the implementation of this Agreement or calls into question the decision awarding the Grant;
 - f. the Grantee(s) or any related person, are guilty of misrepresentation in supplying the information required in the award procedure or in the implementation of the Project or fails to supply – or fails to supply within the deadlines set under this Agreement - any information related to the Project required by IUCN;
 - g. the Grantee(s) has not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which it is established;
 - h. IUCN has evidence that the Grantee(s), or any related entity or person, has committed substantial errors, irregularities or fraud in the award procedure or in the implementation of the Project;
 - i. IUCN has evidence that the Grantee(s) is subject to a conflict of interests;

- j. the European Commission has evidence that the Grantee(s) has committed systemic or recurrent errors or irregularities, fraud, or serious breach of obligations under other grants financed by the European Union and awarded to that specific Grantee(s) under similar conditions, provided that those errors, irregularities, fraud or serious breach of obligations have a material impact on this Grant.
- 11.4. In the cases referred to in points (c), (d), (f) and (h) above, any related person means any physical person with powers of representation, decision-making or control in relation to the Grantee(s). Any related entity means, in particular, any entity which meets the criteria laid down by Article 1 of the Seventh Council Directive No 83/349/EEC of 13 June 1983.

Expiration Date

- 11.5. IUCN shall postpone the Expiration Date laid down in Article 3 of the Special Conditions, so as to be able to fulfil its payment obligations, in all cases where the Grantee(s) has submitted a Payment Request in accordance with Agreement provisions or, in case of dispute, until completion of the dispute settlement procedure provided for in Article 12. IUCN shall notify the Grantee(s) of any postponement of the Expiration Date.
- 11.6. This Agreement will be terminated automatically if it has not given rise to any payment by IUCN within two years of its signature.

Effects of Termination

- 11.7. Upon termination of this Agreement the Grantee(s) shall take all immediate steps to bring the Project to a close in a prompt and orderly manner and to reduce further expenditure to a minimum.
- 11.8. Without prejudice to Article 13, the Grantee(s) shall be entitled to payment only for the part of the Project carried out, excluding costs relating to current commitments that are due to be executed after termination.
- To this purpose, the Grantee(s) shall introduce a Payment Request to IUCN within the time limit set by Article 14.2 starting from the date of termination.
- 11.9. In the event of termination according to Article 11.1, IUCN may agree to reimburse the unavoidable residual expenditures incurred during the notice period, provided, this Article 11.7 has been properly executed.
- 11.10. In the cases of termination foreseen in Article 11.3. a), c), d), f), h) and j) IUCN may, after having properly consulted the Grantee(s) and depending on the gravity of the failings, request full or partial repayment of amounts unduly paid for the Project.

ARTICLE 12 — APPLICABLE LAW AND DISPUTE SETTLEMENT

- 12.1. This Agreement shall be governed by the laws of Switzerland
- 12.2. The Parties to this Agreement shall do everything possible to settle amicably any dispute arising between them during the implementation of this Agreement. To that end, they shall communicate their positions and any solution that they consider possible in writing, and meet each other at either's request. The Grantee(s) and IUCN shall reply to a request sent for an amicable settlement within thirty (30) days. Once this period has expired, or if the attempt to reach amicable settlement has not produced an agreement within one hundred and twenty (120) days of the first

request, the Grantee(s) and IUCN may notify the other Party that it considers the procedure to have failed.

- 12.3. Failing amicable settlement, any dispute, controversy or claim arising out of, or in relation to, this Agreement, including the validity, invalidity, breach, or termination thereof, shall be resolved by arbitration in accordance with the Swiss Rules of International Arbitration of the Swiss Chambers' Arbitration Institution in force on the date on which the Notice of Arbitration is submitted in accordance with these Rules.

The number of arbitrators shall be one (1). The seat of the arbitration shall be Lausanne. The arbitral proceedings shall be conducted in English.

FINANCIAL PROVISIONS

ARTICLE 13 – ELIGIBLE COSTS

Cost eligibility criteria

- 13.1. Eligible costs are actual costs incurred by the Grantee(s) which meet all the following criteria:
- a. They are incurred during the implementation of the Project as specified in Article 3 “TERM” of the Special Conditions. In particular:
 - (i) Costs relating to services and works shall relate to activities performed during the implementation period. Costs relating to supplies shall relate to delivery and installation of items during the implementation period. Signature of a contract, placing of an order, or entering into any commitment for expenditure within the implementation period for future delivery of services, works or supplies after expiry of the implementation period do not meet this requirement
 - (ii) Costs incurred should be paid before the submission of the final reports.
 - (iii) An exception is made for costs relating to final reports, including expenditure verification, audit and final evaluation of the Project, which may be incurred after the implementation period of the Project;
 - (iv) Procedures to award contracts, as referred to in Article 9, may have been initiated and contracts may be concluded by the Grantee(s) before the start of the implementation period of the Project, provided the provisions of Attachment 3 have been respected.
 - b. They are indicated in the estimated overall budget for the Project;
 - c. They are necessary for the implementation of the Project;
 - d. They are identifiable and verifiable, in particular being recorded in the accounting records of the Grantee(s) and determined according to the accounting standards and the usual cost accounting practices applicable to the Grantee(s);
 - e. They comply with the requirements of applicable tax and social legislation;
 - f. They are reasonable, justified and comply with the requirements of sound financial management, in particular regarding economy and efficiency

Eligible direct costs

- 13.2. Subject to Article 13.1 and, where relevant, to the provisions of ATTACHMENT 3 being respected, the following direct costs of the Grantee(s) shall be eligible:

- a. the cost of staff assigned to the Project, corresponding to actual gross salaries including social security charges and other remuneration-related costs; salaries and costs shall not exceed those normally borne by the Grantee(s), unless it is justified by showing that it is essential to carry out the Project;
- b. travel and subsistence costs for staff and other persons taking part in the Project, provided they do not exceed those normally borne by the Grantee(s) according to its rules and regulations, or the rates published by the European Commission at the time of such mission if reimbursed on the basis of simplified cost options;
- c. purchase costs for equipment (new or used) and supplies specifically for the purposes of the Project;
- d. costs of consumables;
- e. costs entailed by contracts awarded by the Grantee(s) for the purposes of the Project referred to in Article 9;
- f. costs deriving directly from the requirements of the Agreement (dissemination of information, evaluation specific to the Project, audits, translation, reproduction, insurance, etc.) including financial service costs;
- g. duties, taxes and charges, including VAT, paid and not recoverable by the beneficiaries, unless otherwise provided in the Special Conditions.

Simplified cost options

13.3. In accordance with the detailed provisions in the Special Conditions and in the Budget of the Project, eligible costs may also be constituted by any or a combination of the following cost options:

- a) unit costs;
- b) lump sums;
- c) flat-rates.

13.4. The methods used by the Grantee(s) to determine unit costs or lump sums shall be clearly described and substantiated in the Budget, shall ensure compliance with the no-profit rule and shall avoid double funding of costs. For Swift Small Grants with a total amount equal to or below FIFTY THOUSAND EURO (EUR 50,000) the no-profit rule does not apply.

The information used can be based on the Grantee(s)' historical and/or actual accounting and cost accounting data or on external information, where available and appropriate.

Costs declared under simplified cost options shall satisfy the eligibility criteria set out in Article 13.1 and 13.2. They do not need to be backed by accounting or supporting documents, except in cases where they are warranted by outcomes of risk assessment procedures and expressly stated in the Special Conditions.

These costs may not include ineligible costs as referred to in Article 13.7 or costs already declared under another costs item or heading of the budget of this Agreement.

The amounts or rates of unit costs or lump sums set out in the Budget may not be amended unilaterally and may not be challenged by ex post verifications.

Indirect costs

- 13.5. The indirect costs for the Project are those eligible costs which may not be identified as specific costs directly linked to the implementation of the Project and may not be booked to it directly according to the conditions of eligibility in Article 13.1. However, they are incurred by the Grantee(s) in connection with the eligible direct costs for the Project. They may not include ineligible costs as referred to in Article 13.7 or costs already declared under another costs item or heading of the budget of this Agreement.

A fixed percentage of the total amount of direct eligible costs of the Agreement not exceeding the percentage laid down in Article 4 of the Special Conditions may be claimed to cover indirect costs for the Project. Flat-rate funding in respect of indirect costs does not need to be supported by accounting documents.

In kind contributions

- 13.6. Any contributions in kind, which shall be listed separately in the Budget, do not represent actual expenditure and are not eligible costs.

Notwithstanding the above, if Description of the Project and of the Budget for the Project in Attachment 1 provides for contributions in kind, such contributions have to be provided.

Non-eligible costs

- 13.7. The following costs shall not be considered eligible:
- a. debts and debt service charges (interest);
 - b. provisions for losses or potential future liabilities;
 - c. costs declared by the Grantee(s) and financed by another Project or work programme;
 - d. purchases of land or buildings;
 - e. currency exchange losses;
 - f. credits to third parties;
 - g. costs leading to personal or private profit.

ARTICLE 14 — PAYMENTS

Payment procedures

- 14.1. IUCN must pay the Grant to the Grantee following one of the payment procedures below, as set out in Article 5 “Payment Schedule” of the Special Conditions.

Option 1: **SWIFT SMALL GRANTS** with a total BEST 2.0 contribution amount equal to or below fifty thousand euros (EUR 50,000).

- a. A pre-financing payment covering 75% of the total BEST 2.0 contribution is made to a Grantee no later than thirty (30) days after the IUCN's receipt of this Agreement executed by both Parties, together with Grantee's Payment Request.

- b. The balance of 25% is paid to the Grantee no later than forty-five (45) days after the approval of the Swift Small Grant Final Technical and Financial Report accompanied by a corresponding Payment Request.

Option 2: **SMALL GRANTS** with a total BEST 2.0 contribution amount equal to or below one hundred thousand euros (EUR 100,000).

- a. an initial pre-financing payment of 100% of the part of the estimated budget for the first reporting period financed by BEST 2.0 is calculated applying the percentage of co-financing stated in the Grant Agreement and is made to a Grantee no later than thirty (30) days after the receipt of this Agreement executed by both Parties, together with Grantee's Payment Request;
- b. further pre-financing payment(s) of the part of the estimated budget financed by BEST 2.0 will constitute up to 90% of the remaining Grant budget and will be paid to the Grantee no later than thirty (30) days after the approval of the Small Grant Technical and Financial Progress Reports accompanied by a corresponding Payment Request;
- c. if at the end of the reporting period the part of the expenditure actually incurred which is financed by BEST 2.0 is less than 70% of the previous payment and less than 100 % of any previous payments, the further pre-financing payment shall be reduced by the amount corresponding to the difference between the 70 % of the previous pre-financing payment and the part of the expenditure actually incurred;
- d. the balance of 10% is paid to the Grantee no later than forty-five (45) days after the approval of the Final Technical and Financial Small Grant Reports accompanied by a corresponding Payment Request.

The total sum of pre-financing payments may not exceed 90 % of the amount referred to in Article 1 "The Grant" of the Special Conditions.

The reporting period is intended as a twelve-month period unless otherwise provided for in the Special Conditions. When the remaining period to the end of the Project is up to eighteen (18) months, the reporting period shall cover it entirely.

Option 3: **MEDIUM SIZE GRANTS** with a total BEST 2.0 contribution amount equal to or below four hundred thousand euros (EUR 400,000).

- a. an initial pre-financing payment of 100% of the part of the estimated budget for the first reporting period financed by BEST 2.0 is calculated applying the percentage of co-financing stated in the Grant Agreement and is made to a Grantee no later than thirty (30) days after the receipt of this Agreement executed by both Parties, together with Grantee's Payment Request;
- b. further pre-financing payment(s) of the part of the estimated budget financed by BEST 2.0 will constitute up to 90% of the remaining Grant budget and will be paid to the Grantee no later than thirty (30) days after the approval of the

Medium Grant Technical and Financial Progress Reports accompanied by a corresponding Payment Request;

- c. if at the end of the reporting period the part of the expenditure actually incurred which is financed by BEST 2.0 is less than 70% of the previous payment and less than 100% of any previous payments, the further pre-financing payment shall be reduced by the amount corresponding to the difference between the 70% of the previous pre-financing payment and the part of the expenditure actually incurred;
- d. the balance of 10% is paid to the Grantee no later than forty-five (45) days after the approval of the Final Technical and Financial Medium Grant Report accompanied by an external audit report and a corresponding Payment Request.

The total sum of pre-financing payments may not exceed 90 % of the amount referred to in Article 1 “The Grant” of the Special Conditions.

The reporting period is intended as a twelve-month period unless otherwise provided for in the Special Conditions. When the remaining period to the end of the Project is up to eighteen (18) months, the reporting period shall cover it entirely.

Submission of final reports

14.2. Final Technical and Financial Reports shall be submitted by the Grantee(s)

- a. **SWIFT SMALL GRANTS.** The Grantee shall submit the Final Technical and Financial Reports to IUCN together and within forty-five (45) days following the Expiration Date or the effective date of termination of this Agreement using the templates provided by the BEST 2.0 Secretariat.
- b. **SMALL GRANTS.** The Grantee shall submit the Final Technical and Financial Reports to IUCN together and within forty-five (45) days following the Expiration Date or the effective date of termination of this Agreement using the templates provided by the BEST 2.0 Secretariat.
- c. **MEDIUM SIZE GRANTS.** The Grantee shall submit the Final Technical and Financial Reports to IUCN together and within sixty (60) days following the Expiration Date or the effective date of termination of this Agreement using the templates provided by the BEST 2.0 Secretariat. The Final Technical and Financial Reports shall be accompanied by an expenditure verification report.

Payment request

14.3. The Payment Request shall be drafted according to the template provided by BEST 2.0 Secretariat and shall be accompanied by:

- a. Technical and Financial Reports in line with the template provided by the BEST 2.0 Secretariat;
- b. A Forecast Budget for the following reporting period in case of request of further pre-financing;
- c. An expenditure verification report if required under Article 14.8;

Payment shall not imply recognition of the regularity or of the authenticity, completeness and correctness of the declarations and information provided.

Payment deadlines

- 14.4. The initial pre-financing payment **SWIFT SMALL GRANTS, SMALL GRANTS** and **MEDIUM SIZE GRANTS** shall be made within thirty (30) days of the receipt by IUCN of this Agreement executed by both Parties, together with Grantee's Payment Request.
- 14.5. Further pre-financing payments shall be made within thirty (30) days from the date of approval of the Project Technical and Financial Progress Reports.
- However, payments of the balance shall be made within sixty (60) days of receipt of the payment request by IUCN.
- 14.6. **Final balance**
- The Payment Request is deemed accepted if there is no written reply by BEST 2.0 Secretariat within the deadlines set above.

Suspension of the period for payments

- 14.7. Without prejudice to Article 11, IUCN may suspend the time-limits for payments by notifying the Grantee that:
- a. the amount indicated in a Request for payment is not due, or;
 - b. proper supporting documents have not been supplied, or;
 - c. IUCN needs to request clarifications, modifications or additional information to the Technical or Financial Reports, or;
 - d. IUCN has doubts on the eligibility of expenditure and needs to carry out additional checks, including on-the-spot checks to make sure that the expenditure is eligible, or;
 - e. it is necessary to verify whether presumed substantial errors, irregularities or fraud have occurred in the Grant award procedure or the implementation of the Project, or;
 - f. it is necessary to verify whether the Grantee(s) have breached any substantial obligations under this Agreement, or;
 - g. the visibility obligations set out in Article 6 are not complied with.

The suspension of the time-limits for payments starts when the above notification is sent by the IUCN to the Grantee. The time-limit starts running again on the date on which a correctly formulated Request for Payment is recorded. The Grantee shall provide any requested information, clarification or document within thirty (30) days of the request.

If, notwithstanding the information, clarification or document provided by the Grantee, the Payment Request is still inadmissible, or if the award procedure or the implementation of the Grant proves to have been subject to substantial errors, irregularities, fraud, or breach of obligations, then IUCN may refuse to proceed further with payments and may, in the cases foreseen in Article 11, terminate accordingly this Agreement.

In addition, IUCN may also suspend payments as a precautionary measure without prior notice, prior to, or instead of, terminating this Agreement as provided for in Article 11.

Expenditure verification report

- 14.8. The Grantee(s) must provide an expenditure verification report for any final report in the case of a Grant of more than one hundred thousand euros (EUR 100,000).

The expenditure verification report shall conform to the model to be provided by IUCN and shall be produced by an auditor approved or chosen by IUCN. The auditor shall meet the requirements set out in the Terms of Reference for expenditure verification to be provided by IUCN.

The auditor shall examine whether the costs declared by the Grantee(s) and the revenue of the Project are real, accurately recorded and eligible under this Agreement.

Rules for currency conversion

- 14.9. IUCN shall make payments to the Grantee(s) to the bank account referred to in the Special Conditions to the Grant Agreement, which allows the identification of the funds paid by IUCN. Payments shall be made in the currency set in the Special Conditions.

Reports shall be submitted in the currency set out in the Special Conditions, and may be drawn from financial statements denominated in other currencies, on the basis of the Grantee(s)'s applicable legislation and applicable accounting standards. In such case and for the purpose of reporting, conversion into the currency set in the Special Conditions shall be made using the rate of exchange at which the payment by IUCN was recorded in the Grantee(s)'s accounts.

Costs incurred in other currencies than the one used in the Grantee(s)'s accounts shall be converted according to its usual accounting practices.

In the event of an exceptional exchange-rate fluctuation, the Parties shall consult each other with a view to amending the Project in order to lessen the impact of such a fluctuation. Where necessary, IUCN may take additional measures such as terminating the Agreement.

ARTICLE 15 — ACCOUNTS AND TECHNICAL AND FINANCIAL CHECKS

Accounts

- 15.1. The Grantee(s)' shall keep accurate and regular accounts of the implementation of the Project using an appropriate accounting and double-entry book-keeping system.

The accounts:

- a. may be an integrated part of or an adjunct to the Beneficiary(ies)'s regular system;
- b. shall comply with the accounting and bookkeeping policies and rules that apply in the country concerned;
- c. shall enable income and expenditure relating to the Project to be easily traced, identified and verified.

- 15.2. The Grantee(s) shall ensure that any financial report as required under Article 6 “Reporting” of the Special Conditions can be properly and easily reconciled to the accounting and bookkeeping system and to the underlying accounting and other relevant records. For this purpose the Grantee(s) shall prepare and keep appropriate reconciliations, supporting schedules, analyses and breakdowns for inspection and verification.

Right of access

- 15.3. The Grantee(s) shall allow verifications to be carried out by IUCN, the European Commission, the European Anti-Fraud Office, the European Court of Auditors and any external auditor authorised by IUCN. The Grantee(s) have to take all steps to facilitate their work.
- 15.4. The Grantee(s) shall allow the above entities to:
- a. access the sites and locations at which the Project is implemented;
 - b. examine its accounting and information systems, documents and databases concerning the technical and financial management of the Project;
 - c. take copies of documents;
 - d. carry out on-the-spot checks;
 - e. conduct a full audit on the basis of all accounting documents and any other document relevant to the financing of the Project.
- 15.5. Additionally the European Anti-Fraud Office shall be allowed to carry out on-the-spot checks and inspections in accordance with the procedures laid down by the European Union legislation for the protection of the financial interests of the European Union against fraud and other irregularities.
- 15.6. Access given to agents of the European Commission, European Anti-Fraud Office and the European Court of Auditors and to any external auditor authorised by IUCN carrying out verifications shall be on the basis of confidentiality with respect to third parties, without prejudice to the obligations of public law to which they are subject.

Record keeping

- 15.7. The Grantee(s) shall keep all records, accounting and supporting documents related to this Agreement for five (5) years following the payment of the balance and for three (3) years in case of grants not exceeding fifty thousand euros (EUR 50,000), and in any case until any on-going audit, verification, appeal, litigation or pursuit of claim has been disposed of.
- They shall be easily accessible and filed so as to facilitate their examination and the Grantee(s) shall inform IUCN of their precise location.
- 15.8. All the supporting documents shall be available in the original form, including in electronic form.
- 15.9. In addition to the reports mentioned Article 6 “Reporting” of the Special Conditions, the documents referred to in this Article include:
- a. Accounting records (computerised or manual) from the Grantee(s)’s accounting system such as general ledger, sub-ledgers and payroll accounts, fixed assets registers and other relevant accounting information;

- b. Proof of procurement procedures such as tendering documents, bids from tenderers and evaluation reports;
- c. Proof of commitments such as contracts and order forms;
- d. Proof of delivery of services such as approved reports, time sheets, transport tickets, proof of attending seminars, conferences and training courses (including relevant documentation and material obtained, certificates), etc;
- e. Proof of receipt of goods such as delivery slips from suppliers;
- f. Proof of completion of works, such as acceptance certificates;
- g. Proof of purchase such as invoices and receipts;
- h. Proof of payment such as bank statements, debit notices, proof of settlement by the contractor;
- i. Proof that taxes and/or VAT that have been paid cannot actually be reclaimed;
- j. For fuel and oil expenses, a summary list of the distance covered, the average consumption of the vehicles used, fuel costs and maintenance costs;
- k. Staff and payroll records such as contracts, salary statements and time sheets. For local staff recruited on fixed-term contracts, details of remuneration paid, duly substantiated by the person in charge locally, broken down into gross salary, social security charges, insurance and net salary. For expatriate and/or European-based staff (if the Project is implemented in Europe) analyses and breakdowns of expenditure per month of actual work, assessed on the basis of unit prices per verifiable block of time worked and broken down into gross salary, social security charges, insurance and net salary.

ARTICLE 16 — FINAL AMOUNT OF THE GRANT

Final amount

- 16.1. The Grant may not exceed the maximum ceiling in Article 1 “Grant” of the Special Conditions either in terms of the absolute value or the percentage stated therein.

If the eligible costs of the Project at the end of the Project are less than the estimated eligible costs as referred to in Article 1 of the Special Conditions, the Grant shall be limited to the amount obtained by applying the percentage laid down in Article 4.2 of the Special Conditions to the eligible costs of the Project approved by IUCN.
- 16.2. In addition and without prejudice to its right to terminate this Agreement pursuant to Article 11, if the Project is implemented poorly or partially - and therefore not in accordance with the Description of the Project in Attachment 1 - or late, IUCN may, by a duly reasoned decision and after allowing the Grantee(s) to submit its observations, reduce the initial Grant in line with the actual implementation of the Project and in accordance with the terms of this Agreement. This applies as well with regards to the visibility obligations set out in Article 6.

No profit

- 16.3. The Grant may not produce a profit for the Grantee(s), unless specified otherwise in Article 7 of the Special Conditions. Profit is defined as a surplus of the receipts over the eligible costs approved by IUCN when the Request for Payment of the balance is made.
- 16.4. The receipts to be taken into account are the consolidated receipts on the date on which the Payment Request for the balance is made by the Grantee(s) that fall within one of the two following categories:
 - a. income generated by the Project, unless otherwise specified in the Special Conditions;
 - b. financial contributions specifically assigned by the donors to the financing of the same eligible costs financed by this Agreement. Any financial contribution that may be used by the Grantee(s) to cover costs other than those eligible under this Agreement or that are not due to the donor where unused at the end of the Project are not to be considered as a receipt to be taken into account for the purpose of verifying whether the Grant produces a profit for the Grantee(s).
- 16.5. Where the final amount of the Grant determined in accordance with the Agreement would result in a profit, it shall be reduced by the percentage of the profit corresponding to the final IUCN contribution to the eligible costs actually incurred approved by IUCN.

ARTICLE 17 — RECOVERY

Recovery

- 17.1. If any amount is unduly paid to the Grantee(s), or if recovery is justified under the terms of this Agreement, the Grantee(s) undertakes to repay IUCN these amounts.
- 17.2. In particular, payments made do not preclude the possibility for IUCN to issue a recovery order following an expenditure verification report, an audit or further verification of the payment request.
- 17.3. If a verification reveals that the methods used by the Grantee(s) to determine unit costs, lump sums or flat-rates are not compliant with the conditions established in this Agreement and, therefore an undue payment has been made, IUCN shall be entitled to recover proportionately up to the amount of the unit costs, lump sums or flat rate financing.
- 17.4. The Grantee(s) undertakes to repay any amounts paid in excess of the final amount due to IUCN within forty-five (45) days of the issuing of the debit note, the latter being the letter by which IUCN requests the amount owed by the Grantee(s).

MISCELLANEOUS PROVISIONS

ARTICLE 18 – NO PARTNERSHIP

The legal relationship of IUCN and the Grantee(s) to each other under this Agreement shall be that of independent contractors and nothing in this Agreement shall be deemed in any way to create a partnership, an employee-employer relationship, an agency or joint venture between IUCN and the Grantee(s). Neither Party shall have any power or authority to bind or commit the other.

ARTICLE 19 - ENVIRONMENT AND SOCIAL MANAGEMENT SYSTEM

- 19.1. IUCN has developed and applies an environment and social management system ("ESMS") which guides all projects implemented and supported by IUCN. The purpose of the ESMS is to systematically screen projects on potential environmental and social risks and identify ways to avoid, minimize or mitigate them while enhancing positive impacts.
- 19.2. In the context of implementation of the Project, the Grantee(s) shall abide by the ESMS Standards and Principles available at https://www.iucn.org/knowledge/project_management_tools/ which by signing this Agreement, the Grantee(s) confirms it has reviewed and accepted and shall comply with any specific requirements resulting from ESMS screening and assessments.

ARTICLE 20 - COMPLIANCE.

- 20.1. The Grantee(s) represents and warrants compliance at any time with any laws that apply in the jurisdiction in which the Grantee(s) is operating or carrying out this Agreement, including, but not limited to, anti-bribery laws, employment and social security laws and tax laws.
- 20.2. The Grantee(s) represents and warrants that it is legally registered, authorised to do business and/or has procured any necessary permits or licenses required to carry out this Agreement in the jurisdiction of Project implementation and to grant IUCN the rights described in Article 7 (Ownership/Use of Rights).

ATTACHMENT 3

BEST 2.0 Procurement Policies and Procedures

Prior to undertaking any purchases of goods or services with Grant funds, the Grantee is required to have institutional procurement policies in effect that are substantially the same as those listed below. The specific procurement procedures listed in section II are applicable to all purchases of goods/services with Grant funds, and must be followed in all cases.

I. POLICIES

- A. All purchases of goods and services must be made with complete impartiality based solely on the merits of supplier proposals, including such considerations as cost, quality, delivery and payment terms. No employee, officer, or agent of Grantee may participate in the selection, award, or administration of a contract if an actual or apparent conflict of interest would arise.
- B. The Grantee is responsible for ensuring that all equipment is received in good condition. The Grantee must examine and test goods upon receipt to ensure that the vendor has met all terms and conditions of the purchase agreement.
- C. All purchases of services, from individuals or organizations, must be made on the basis of a written contract which must set forth in detail the relevant terms of the contract including, without limitation, the proposed scope of work, deliverables, amounts and terms of payment, timelines and the Parties' relative responsibilities and liabilities for non-performance.
- D. The Grantee must ensure that adequate insurance is obtained for the actual replacement value of any equipment purchased.
- E. Procurement contracts may be entered into only with responsible suppliers who are reputable, well established and are suppliers of the type of goods and services being purchased in the normal course of business. No award shall be made to a supplier who has engaged in corrupt or fraudulent practices in competing for or executing the contract in question.

II. PROCUREMENT PROCEDURES

- A. Purchases of goods and services with a unit cost of less than five thousand euros (EUR 5 000) may be made 'off the shelf.' No specific number of bids is required.
- B. Purchases of goods with a unit cost of more than five thousand euros (EUR 5 000) but less than fifty thousand euros (EUR 50 000) must be based on written quotations received from at least three potential suppliers. Quotations must include the price, the description and quantity of the goods, as well as the delivery time and place.
 - i. Grantees are advised to initially request more than three quotations.
 - ii. If there are at least three potential suppliers of the goods at competitive prices and in Grantee's country, Grantee may purchase in that jurisdiction without requesting quotations from potential suppliers located in foreign countries.
 - iii. If this is not the case, then Grantee must request quotations from suppliers in at least two different countries, including the country where Grantee's main office is

located. Quotations for foreign goods offered by a firm located in Grantee's country are considered as quoted from abroad for purposes of satisfying the "two different countries" rule. This is applicable, by way of example and not limitation, to items such as computers, and vehicles that are normally imported by dealers of the foreign manufacturers who are also able to provide after sales services.

- C. Purchases of Services in excess of five thousand euros (EUR 5 000) but less than fifty thousand euros (EUR 50 000) must be based on a comprehensive Terms of Reference specifying in detail the necessary subject area qualifications and expected outputs. Statements of interest or CVs must be received from at least three potential firms or individuals.
 - i. All purchases of services must be memorialized in written documentation that includes fixed outputs and specific payment terms.
 - ii. Fees may be paid on an hourly/daily rate, or on a fixed fee basis. All fees paid to individuals must be consistent with previous salary/fee history, as documented in a CV.
 - iii. File documents must reflect clearly the list of individuals or firms invited to bid, the statements of interest or CVs, salary/fee history, and rationale for selection.
- D. Purchases of goods and services with a unit cost in excess of fifty thousand euros (EUR 50 000) are subject to special competitive bidding procedures.
 - i. Such purchases are not allowed without separate written authorization from IUCN.
 - ii. In the event that purchases in excess of fifty thousand euros (EUR 50 000) are authorized, IUCN shall provide Grantee with detailed instructions on bidding requirements that Grantee shall comply with.

ATTACHMENT 4

BEST 2.0 Credit and Logo Usage Policy

The Grantee(s) shall publicise the project and its results taking account of the guidance provided in the Communication and Visibility Manual for European Union External Actions which can be found here: https://ec.europa.eu/europeaid/sites/devco/files/communication_and_visibility_manual_en_0.pdf

The Grantee(s) shall take all necessary steps to publicise the fact that the BEST 2.0 Programme funded by the European Union has financed or co-financed the Project. The Grantee(s) shall acknowledge the European Union's financial contribution in information given to the final recipients of the project, in its internal and annual reports, and in any dealings with the media.

Any notice or publication by the Grantee(s) concerning the Project, including those given at conferences or seminars, shall specify that the Project has received European Union funding through the BEST 2.0 Programme. Any publication by the Grantee(s), in whatever form and by whatever medium, including the internet, shall include the following statement: *'This document has been produced with the financial assistance of the European Union. The contents of this document are the sole responsibility of < Grantee(s)'s name > and can under no circumstances be regarded as reflecting the position of the European Union.'*

The Grantee(s) shall acknowledge the support given by the Union in all documents and media produced in the framework of the project, using the BEST logo and the EU logo provided by the BEST 2.0 Secretariat.

The logos should be clearly displayed and should enjoy equal prominence (i.e. the two logo areas should be of equal size).

The EU and BEST logos may not be referred to as a certified quality label or eco-label. Their use shall be restricted to dissemination activities.

For audio-visual material, the credits at the beginning and/or at the end shall include an explicit and readable mention to the BEST 2.0 financial support (e.g. *"With the contribution of the BEST 2.0 Programme funded by the European Union"*).

Annex 22: Standard Grant Agreement Template & Attachments – Small Grants

BEST 2.0 Grant Agreement <insert Grant Agreement number> SMALL GRANT

SPECIAL CONDITIONS

This Grant Agreement ("Agreement") is made between

IUCN, International Union for Conservation of Nature and Natural Resources, a quasi-governmental international organization established and existing under the laws of Switzerland, with a principal place of business at Rue Mauverney 28, 1196 Gland, Switzerland ("IUCN" or "BEST 2.0 Secretariat"),

And

[COMPLETE NAME, TYPE OF LEGAL ENTITY, COUNTRY/JURISDICTION IN WHICH ESTABLISHED AND EXISTING, AND ADDRESS OF OTHER PARTY], ("Grantee"),

with IUCN and Grantee referred to individually and jointly as "Party" and "Parties."

Preamble

Funding in support of this Agreement is made available by the **BEST 2.0** Programme - Promoting the conservation and sustainable use of **Biodiversity** and **Ecosystem Services** in Overseas Countries and Territories, funded by the European Union, represented by the European Commission, Directorate-General for Development and Cooperation, Cooperation — EuropeAid.

The Parties hereby agree as follows:

- 1. THE GRANT.** IUCN, in its role of BEST 2.0 Secretariat, will make available to the Grantee grant funds from BEST 2.0, in a total amount not to exceed [INSERT AMOUNT IN WORDS] EURO (EUR [INSERT AMOUNT]) (the "Grant") for the purpose and on the terms and conditions set forth in this Agreement. In all cases the use of the funds shall conform to the restrictions and limitations set forth in the General Conditions (**Attachment 2 to the Agreement**), the Procurement Policies and Procedures (**Attachment 3 to the Agreement**), and the agreed budget.
- 2. PURPOSE OF THE GRANT.** The Grant is provided to support the project described in **Attachment 1** to this Agreement (the "Project"). The Grant shall be used solely for the purposes and activities described therein. The Grantee shall be solely responsible for complying with all applicable provisions of this Agreement and will ensure that they are transmitted to and become binding upon any third parties retained by the Grantee for the implementation of the Project (the "Sub-contractors").
- 3. TERM.** The period covered by the Agreement shall commence on [DDMMYYYY] / the date on which the last party signs the Agreement (the "Effective Date") and shall expire on [DDMMYYYY] / XX months from the date on which the last party signs the Agreement (the "Expiration Date"), unless terminated prior to the Expiration Date in accordance with Article 11 of the General Conditions (**Attachment 2 to the Agreement**). All expenses to be paid out of Grant funds must be incurred during the Term of the Agreement.

4. FINANCING THE PROJECT.

- 4.1. The total eligible costs of the Project are estimated at [INSERT AMOUNT IN WORDS] EURO (EUR [INSERT AMOUNT]) as set out in the Budget.
- 4.2. IUCN undertakes to finance a maximum amount of [INSERT AMOUNT IN WORDS] EURO (EUR [INSERT AMOUNT]). The Grant is further limited to [enter applicable percentage] of the total estimated eligible costs of the Project.
- 4.3. The final amount of IUCN's contribution shall be determined in accordance with Articles 13 and 16 of the General Conditions (**Attachment 2 to the Agreement**).
- 4.4. A maximum of 7% of the final amount of direct eligible costs of the Project established in accordance with Articles 13 and 16 of General Conditions (**Attachment 2 to the Agreement**), may be claimed as indirect costs.

5. PAYMENT SCHEDULE. Subject to the terms and conditions contained herein, IUCN will make payments of Grant funds to the Grantee as follows:

- 5.1. An initial pre-financing payment of 100% of the part of the estimated budget for the first reporting period financed by BEST 2.0 is calculated applying the percentage of co-financing stated in Article 4.2. and is made to a Grantee no later than thirty (30) days after IUCN's receipt of this Agreement executed by both Parties, together with Grantee's Payment Request;
- 5.2. Further pre-financing payment(s) of the part of the estimated budget financed by BEST 2.0 will constitute up to 90% of the remaining Grant budget and will be paid to the Grantee no later than thirty (30) days after the approval of the Small Grant Technical and Financial Progress Reports accompanied by a corresponding Payment Request;
- 5.3. If at the end of the reporting period the part of the expenditure actually incurred which is financed by BEST 2.0 is less than 70% of the previous payment and less than 100 % of any previous payments, the further pre-financing payment shall be reduced by the amount corresponding to the difference between the 70% of the previous pre-financing payment and the part of the expenditure actually incurred;
- 5.4. The balance of 10% is paid to the Grantee no later than forty-five (45) days after the approval of the Final Small Grant Technical and Financial Report accompanied by a corresponding Payment Request.

It is understood that the total sum of pre-financing payments may not exceed 90% of the amount referred to in Article 4 above and that IUCN may withhold payment of any part or all of any payment until after it has approved, in its sole discretion, the aforesaid Small Grant Technical and Financial Progress Report or Small Grant Technical and Financial Final Report.

All payments provided for above shall be made to the following account:

Name of Bank:
Bank Address:
Account Holder Name:
SWIFT code:
Bank Account:
IBAN code:

No payments of Grant funds shall be made under this Agreement other than as set forth above.

6. REPORTING.

- 6.1 **Progress Reports.** The Grantee shall submit the following Progress Reports to IUCN together and within thirty (30) days following the end of the relevant twelve month period:
- i. Small Grant Technical Progress Report: To be submitted by the Grantee to IUCN in a format to be provided by BEST 2.0 Secretariat and including, *inter alia*, a detailed update on progress made against objectives; during the previous twelve month period;
 - ii. Small Grant Financial Progress Report: To be submitted by the Grantee to IUCN in a format to be provided by BEST 2.0 Secretariat.
 - iii. A Forecast of Expenses for the duration of the project's implementation in the format to be provided by BEST 2.0 Secretariat.
- 6.2. **Final Reports.** The Grantee shall submit the following Final Reports to IUCN together and within forty-five (45) days following the Expiration Date or the effective date of termination of this Agreement:
- i. Small Grant Technical Final Report. To be submitted by the Grantee to IUCN in the format to be provided by BEST 2.0 Secretariat and including, *inter alia*, a comprehensive, detailed description of activities completed and an evaluation of accomplishments/successes under this Agreement.
 - ii. Small Grant Financial Final Report. To be submitted by the Grantee to IUCN in the BEST 2.0 format to be provided by the BEST 2.0 Secretariat.
- 6.3. The Grantee must retain all receipts for a period of three (3) years after the end of the Project.
- 6.4. Depending on the outcomes of the Grantee's risk assessment IUCN reserves the right to perform a closer scrutiny of the reported information, including but not limited to requests for additional information and clarifications, sample checks and requests of supporting documents.

7. OTHER SPECIFIC CONDITIONS APPLYING TO THE PROJECT

7.1. <insert as required>

The Grantee shall be the sole interlocutor of IUCN and shall remain solely and fully responsible to IUCN for the performance under this Agreement.

The use of time-sheets reflecting the total working time of the Grantee's personnel (and the personnel of all co-beneficiaries) is mandatory.

The Grantee is required to support the BEST 2.0 programme by contributing to the promotion of the project. The Grantee shall provide, in a timely manner, information requested by IUCN to produce promotional materials including, but not limited to, a project factsheet, project-related articles and the BEST 2.0 capitalization document. The Grantee(s) shall also provide photographic media and videos showcasing the activities and results of the project.

All purchases of goods and services must comply with the BEST 2.0 Procurement Policies and Procedures (**Attachment 3**).

8. NOTICE AND CONTACT PERSONS

8.1. Except as may be expressly provided otherwise in the Agreement, any notice given by either Party to the other shall be deemed properly given if specifically acknowledged by the receiving Party in writing or if delivered by hand, fax, special courier service or electronic mail with return receipt, to the following addresses (or such other address as each Party may notify in writing from time to time to the other Party).

8.2. The Parties' respective contact persons shall be:

For BEST 2.0 Secretariat	For Grantee
Name: Daniel MITCHELL Position: Project Officer, BEST 2.0 Secretariat Address: 64 Boulevard Louis Schmidt, 1040 Brussels, BELGIUM Tel : + 32 2 739 0315 E-mail : BEST2.0secretariat@iucn.org	Name : Position: Address Tel: + E-mail:

8.3. Either Party may change its contact person, address, or facsimile number by written notice to the other Party. Notices shall be deemed to be received on the first business day following receipt.

9. **ENTIRE AGREEMENT.** This Agreement consists of this Agreement proper and Attachments 1 through 4, which are an integral part hereof. This Agreement constitutes the entire Agreement and understanding between the Parties with respect to its subject matter and supersedes any prior or contemporaneous agreements or understandings in reference thereto between the Parties.

10. The obligations of IUCN as BEST 2.0 Secretariat, under this Agreement, are neither made on behalf of nor are binding on any of the other Funding Sources.

11. **IN WITNESS WHEREOF**, the duly authorized representatives of the Parties have executed two counterparts of this Agreement, each of which shall be deemed an original and which together shall constitute one and the same instrument, on the date(s) indicated below:

IUCN, INTERNATIONAL UNION FOR
CONSERVATION OF NATURE AND NATURAL
RESOURCES

[NAME OF GRANTEE ORG]

NAME [ENTER NAME OF PERSON SIGNING]
TITLE

NAME [ENTER NAME OF PERSON SIGNING]
TITLE

DATE:

DATE:

- Attachment 1. Description of the Project and the Budget
- Attachment 2. General Conditions applicable to grant agreements financed by BEST 2.0
- Attachment 3. BEST 2.0 Procurement Policies and Procedures
- Attachment 4. BEST 2.0 Credit and Logo Usage Policy

ATTACHMENT 1
Description of the Project and the Budget

ATTACHMENT 2

General Conditions applicable to grant agreements financed by BEST 2.0.

ARTICLE 1 - GENERAL PROVISIONS

General principles

- 1.1. The Grantee(s) and IUCN in its role of BEST 2.0 Secretariat are the only Parties to this Agreement.
- 1.2. This Agreement and the payments attached to it may not be assigned to a third party in any manner whatsoever.

Data protection

- 1.3. Any personal data will be processed solely for the purposes of the performance, management and monitoring of this Agreement by IUCN and may also be passed to the bodies charged with monitoring or inspection tasks under European Union law. Grantee(s) will have the right of access to their personal data and the right to rectify any such data. If the Grantee(s) have any queries concerning the processing of personal data, they shall address them to IUCN.

Obligations of the Grantee(s)

- 1.4. The Grantee(s) shall carry out the Project taking all necessary and reasonable measures to ensure that the Project is carried out in accordance with the Description of the Project and Budget in Attachment 1 and the terms and conditions of this Agreement. To this purpose, the Grantee(s) shall implement the Project with the requisite care, efficiency, transparency and diligence, in line with the principle of sound financial management and with the best practices in the field.

ARTICLE 2 - OBLIGATION TO PROVIDE FINANCIAL AND NARRATIVE REPORTS

- 2.1. The Grantee(s) shall provide IUCN with all required information on the implementation of the Project. The report shall be laid out in such a way as to allow comparison of the objective(s), the means envisaged or employed, the results expected and obtained and the budget details for the Project. The level of detail in any report should match that of the Description of the Project and Budget in Attachment 1. These reports shall:
 - f. cover the Project as a whole, regardless of which part of it is financed by IUCN;
 - g. consist of a narrative and a financial report drafted using the templates provided by the BEST 2.0 Secretariat;
 - h. provide a full account of all aspects of the Project's implementation for the period covered, including in case of simplified cost options the qualitative and quantitative information needed to demonstrate the fulfilment of the conditions for reimbursement established in this Agreement;
 - i. be drafted in the currency and language of this Agreement;

- j. include any relevant reports, publications, press releases and updates related to the Project;
- 2.2. Additionally the final report shall cover any period not covered by the previous reports.
- 2.3. The Special Conditions may set out additional reporting requirements.
- 2.4. IUCN may request additional information at any time. The Grantee shall provide this information within thirty (30) days of the request, in the language of the Agreement.
- 2.5. If the Grantee fails to provide any report or fails to provide any additional information requested by IUCN within the set deadline without an acceptable and written explanation of the reasons, IUCN may terminate this Agreement according to Article 11.2 (a) and (f).

ARTICLE 3 - LIABILITY

- 3.1. IUCN cannot under any circumstances or for any reason whatsoever be held liable for damage or injury sustained by the staff or property of the Grantee(s) while the Project is being carried out or as a consequence of the Project. IUCN cannot, therefore, accept any claim for compensation or increases in payment in connection with such damage or injury.
- 3.2. The Grantee(s) shall assume sole liability towards third parties, including liability for damage or injury of any kind sustained by them while the Project is being carried out or as a consequence of the Project. The Grantee(s) shall discharge IUCN of all liability arising from any claim or Project brought as a result of an infringement of rules or regulations by the Grantee(s) or the Grantee(s)'s employees or individuals for whom those employees are responsible, or as a result of violation of a third party's rights. For the purpose of this Article 3 employees of the Grantee(s) shall be considered third parties.

ARTICLE 4 - CONFLICT OF INTERESTS AND GOOD CONDUCT

- 4.1. The Grantee(s) shall take all necessary measures to prevent or end any situation that could compromise the impartial and objective performance of this Agreement. Such conflict of interests may arise in particular as a result of economic interest, political or national affinity, family or emotional ties, or any other relevant connection or shared interest.
- 4.2. Any conflict of interests which may arise during performance of this Agreement must be notified in writing to IUCN without delay. In the event of such conflict, the Grantee(s) shall immediately take all necessary steps to resolve it.
- 4.3. IUCN reserves the right to verify that the measures taken are appropriate and may require additional measures to be taken if necessary.
- 4.4. The Grantee(s) shall ensure that its staff, including its management, is not placed in a situation which could give rise to conflict of interests. Without prejudice to its obligation under this Agreement, the Grantee(s) shall replace, immediately and without compensation from IUCN, any member of its staff in such a situation.
- 4.5. The Grantee(s) shall respect human rights and applicable environmental legislation including multilateral environmental agreements, as well as internationally agreed core labour standards.

ARTICLE 5 - CONFIDENTIALITY

- 5.1. "Confidential Information" means any and all tangible or intangible information, privileged or proprietary information or trade secrets given to one Party by or on behalf of the other Party and explicitly designated, either orally or in writing, as confidential, either at the time of disclosure or, if disclosed orally, confirmed in writing within thirty (30) days following the original disclosure, including, without limitation:
- d. Customer lists, services, products, manuals, business methods and practices;
 - e. Proprietary software, hardware, firmware and documentation owned by either Party, or owned by third parties but developed, produced or distributed by either Party subject to relevant licenses;
 - f. Processes, prices, profits, contract terms and operating procedures, and compilations of data or information.
- 5.2. Either Party shall keep confidential and not disclose to any third party any Confidential Information of the other Party.
- 5.3. The Confidential Information shall remain the property of the disclosing Party, and the receiving Party agrees to use it only for the purpose of performing its obligations under this Agreement.
- 5.4. Confidential Information as defined in this Article 5 shall not include information which:
- e. Was in the public domain at the time of its receipt by the receiving Party;
 - f. Was at the time of its receipt already in the receiving Party's possession or known to the receiving Party and not qualified as Confidential Information;
 - g. Becomes part of the public domain after its receipt by the receiving Party, but not through a breach of this Agreement by the receiving Party or the receiving Party's employees; or
 - h. Is rightfully given to the receiving Party by a third party on a non-confidential basis.
- 5.5. The receiving Party shall disclose the other Party's Confidential Information only to those of its employees or independent contractors who are directly and necessarily involved in the performance of this Agreement and who are bound to the receiving Party by obligations no less stringent as the ones mentioned in this Agreement. The receiving Party is responsible for ensuring that there is no breach of such confidentiality obligations by any such employees or independent contractors.
- 5.6. Subject to Article 15, IUCN and the Grantee(s) undertake to preserve the confidentiality of any information, notwithstanding its form, disclosed in writing or orally in relation to the implementation of this Agreement and identified in writing as confidential until at least five (5) years after the payment of the balance.
- 5.7. The Grantee(s) shall not use confidential information for any aim other than fulfilling their obligations under this Agreement unless otherwise agreed with IUCN.

ARTICLE 6 - VISIBILITY

- 6.1. The Grantee(s) shall take all necessary steps to publicise the fact that BEST 2.0 Programme funded by the European Union has financed or co-financed the Project. Such measures shall comply with the BEST 2.0 Credit and Logo Usage Policy (***Attachment 4 to the Agreement***).
- 6.2. In particular, the Grantee(s) shall mention the European Union's financial contribution in information given to the final recipients of the Project, in its internal and annual reports, and in any dealings with the media. It shall display the European Union logo and the BEST 2.0 logo wherever appropriate.
- 6.3. Any notice or publication by the Grantee(s) concerning the Project, including those given at conferences or seminars, shall specify that the Project has received European Union funding through BEST 2.0 Programme. Any publication by the Grantee(s), in whatever form and by whatever medium, including the internet, shall include the following statement: 'This document has been produced with the financial assistance of the European Union. The contents of this document are the sole responsibility of < Grantee(s)'s name(s) > and can under no circumstances be regarded as reflecting the position of the European Union.'
- 6.4. The Grantee(s) authorises IUCN and the European Commission to publish its name and address, nationality, the purpose of the grant, duration and location as well as the maximum amount of the grant and the rate of funding of the Project costs.

ARTICLE 7 - OWNERSHIP/USE OF RESULTS

- 7.1. Unless otherwise stipulated in the Special Conditions, ownership of, and title and intellectual and industrial property rights to, the Project's results, reports and other documents relating to it will be vested in the Grantee(s).
- 7.2. Without prejudice to Article 7.1, the Grantee(s) grant IUCN and the European Commission the right to use freely and as it sees fit, and in particular, to store, modify, translate, display, reproduce by any technical procedure, publish or communicate by any medium all documents deriving from the Project whatever their form, provided it does not thereby breach existing industrial and intellectual property rights.
- 7.3. The Grantee(s) shall ensure that it has all rights to use any pre-existing intellectual property rights necessary to implement this Agreement.
- 7.4. In case natural, recognizable persons are depicted in a photograph or film, the Grantee(s) shall, in the final report to IUCN, submit a statement of these persons giving their permissions for the described use of their images. The above does not refer to photographs taken or films shot in public places where random members of the public are identifiable only hypothetically and to public persons acting in their public activities.

ARTICLE 8 — AMENDMENT OF THE AGREEMENT

- 8.1. Any amendment to this Agreement, including the annexes thereto, shall be set out in writing and signed by both Parties. This Agreement can be modified only during its execution period.
- 8.2. The amendment may not have the purpose or the effect of making changes to this Agreement that would call into question the Grant award decision or be contrary to the equal treatment of applicants. The maximum Grant referred to in Article 1 of the Special Conditions may not be increased.

- 8.3. If an amendment is requested by the Grantee(s), a duly justified request shall be submitted to IUCN thirty (30) days before the date on which the amendment should enter into force, unless there are special circumstances duly substantiated and accepted by IUCN.
- 8.4. Where the amendment to the Description of the Project and Budget in Attachment 1 does not affect the basic purpose of the Project and the financial impact is limited to a transfer between items within the same main budget heading including cancellation or introduction of an item, or a transfer between main budget headings involving a variation of 15% or less of the amount originally entered (or as modified by addendum) in relation to each concerned main heading for eligible costs, the Grantee may amend the budget and promptly inform IUCN accordingly in writing. This method may not be used to amend the headings for indirect costs, for the contingency reserve, for in-kind contributions or the amounts or rates of simplified cost options.
- 8.5. Changes of address, bank account may simply be notified by the Grantee. However, in duly substantiated circumstances, IUCN may oppose the Grantee's choice.

ARTICLE 9 — IMPLEMENTATION

Implementation Agreements

- 9.1. If the Grantee(s) have to conclude implementation Agreements with contractors in order to carry out the Project, these may only cover a limited portion of the Project and shall respect BEST 2.0 Procurement Policies and Procedures set out in Attachment 3 of this Agreement.
- 9.2. To the extent relevant, the Grantee(s) shall ensure that the conditions applicable to them under Articles 3, 4, 5, 6, 7 and 15 of these General Conditions are also applicable to contractors awarded an implementation Agreement.

ARTICLE 10- EXTENSION AND SUSPENSION

Extension

- 10.1. The Grantee shall inform IUCN without delay of any circumstances likely to hamper or delay the implementation of the Project. The Grantee may request an extension of the Project's implementation period as laid down in Article 3 "TERM" of the Special Conditions in accordance to Article 8. The request shall be accompanied by all the supporting evidence needed for its appraisal.

Suspension by the Grantee(s)

- 10.2. The Grantee may suspend implementation of the Project, or any part thereof, if exceptional circumstances, notably of force majeure, make such implementation excessively difficult or dangerous. The Grantee shall inform IUCN without delay, stating the nature, probable duration and foreseeable effects of the suspension.
- 10.3. The Grantee or IUCN may then terminate this Agreement in accordance with Article 11.1. If the Agreement is not terminated, the Grantee(s) shall endeavour to minimise the time of its suspension and any possible damage and shall resume implementation once circumstances allow, informing IUCN accordingly.

Suspension by IUCN

- 10.4. IUCN may request the Grantee(s) to suspend implementation of the Project, or any part thereof, if exceptional circumstances, notably of force majeure, make such implementation excessively difficult or dangerous. To this purpose, IUCN shall inform the Grantee(s) stating the nature and probable duration of the suspension.
- 10.5. The Grantee(s) or IUCN may then terminate this Agreement in accordance with Article 11.1. If the Agreement is not terminated, the Grantee(s) shall endeavour to minimise the time of its suspension and any possible damage and shall resume implementation once circumstances allow and after having obtained the approval of IUCN.
- 10.6. IUCN may also suspend this Agreement or the participation of a Grantee(s) in this Agreement if IUCN has evidence that, or if, for objective and well justified reasons, IUCN deems necessary to verify whether presumably:
 - c. the Grant award procedure or the implementation of the Project have been subject to substantial errors, irregularities or fraud;
 - d. the Grantee(s) have breached any substantial obligation under this Agreement.
- 10.7. The Grantee(s) shall provide any requested information, clarification or document within thirty (30) days of receipt of the requests sent by IUCN. If, notwithstanding the information, clarification or document provided by the Grantee(s), the award procedure or the implementation of the Grant prove to have been subject to substantial errors, irregularities, fraud, or breach of obligations, then IUCN may terminate this Agreement according to Article 11.3 h).

Force majeure

- 10.8. The term force majeure, as used herein covers any unforeseeable events, not within the control of either Party to this Agreement and which by the exercise of due diligence neither Party is able to overcome such as acts of God, strikes, excluding strikes of the respective Party's personnel, lock-outs or other industrial disturbances, acts of the public enemy, wars whether declared or not, blockades, insurrection, riots, epidemics, landslides, earthquakes, storms, lightning, floods, washouts, civil disturbances, explosion. A decision of the European Union to suspend the cooperation with the partner country is considered to be a case of force majeure when it implies suspending funding under this Agreement.
- 10.9. The Grantee(s) shall not be held in breach of its contractual obligations if it is prevented from fulfilling them by circumstances of force majeure.

Extension of the implementation period following a suspension

- 10.10. In case of suspension according to Articles 10.2, 10.4 and 10.6, the implementation period of the Project shall be extended by a period equivalent to the length of suspension, without prejudice to any amendment to the Agreement that may be necessary to adapt the Project to the new implementing conditions.

ARTICLE 11 — TERMINATION OF THE AGREEMENT

Termination in case of force majeure

- 11.1. In the cases foreseen in Article 10.2 and 10.4, if the Grantee(s) or IUCN believes that this Agreement can no longer be executed effectively or appropriately, it shall duly

consult the other. Failing agreement on a solution, the Grantee(s) or IUCN may terminate this Agreement by serving two (2) months written notice, without being required to pay indemnity.

Termination for lack of Donor funds

- 11.2. IUCN shall have the right to terminate this Agreement with immediate effect and without any liability for damages to the Grantee in case the agreement between IUCN and the Donor is terminated and/or the Donor funds become unavailable to IUCN.

Termination by IUCN

- 11.3. Without prejudice to Article 11.1, in the following circumstances IUCN may, after having duly consulted the Grantee(s), terminate this Agreement or the participation of any Grantee(s) in this Agreement without any indemnity on its part when:
- k. the Grantee(s) fails, without justification, to fulfil any substantial obligation incumbent on them individually or collectively by this Agreement and, after being given notice by letter to comply with those obligations, still fails to do so or to furnish a satisfactory explanation within thirty (30) days of receipt of the letter;
 - l. the Grantee(s) is bankrupt or being wound up, is having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, is the subject of proceedings concerning those matters or is in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
 - m. the Grantee(s), or any related entity or person, have been found guilty of an offence concerning their professional conduct proven by any means;
 - n. the Grantee(s), or any related entity or person, have committed fraud, corruption, or are involved in a criminal organisation, money laundering or any other illegal activity detrimental to the European Union's financial interests;
 - o. a change to the Grantee(s)'s legal, financial, technical, organisational or ownership situation or the termination of the participation of the Grantee(s) substantially affects the implementation of this Agreement or calls into question the decision awarding the Grant;
 - p. the Grantee(s) or any related person, are guilty of misrepresentation in supplying the information required in the award procedure or in the implementation of the Project or fails to supply – or fails to supply within the deadlines set under this Agreement - any information related to the Project required by IUCN;
 - q. the Grantee(s) has not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which it is established;
 - r. IUCN has evidence that the Grantee(s), or any related entity or person, has committed substantial errors, irregularities or fraud in the award procedure or in the implementation of the Project;
 - s. IUCN has evidence that the Grantee(s) is subject to a conflict of interests;

- t. the European Commission has evidence that the Grantee(s) has committed systemic or recurrent errors or irregularities, fraud, or serious breach of obligations under other grants financed by the European Union and awarded to that specific Grantee(s) under similar conditions, provided that those errors, irregularities, fraud or serious breach of obligations have a material impact on this Grant.
- 11.4. In the cases referred to in points (c), (d), (f) and (h) above, any related person means any physical person with powers of representation, decision-making or control in relation to the Grantee(s). Any related entity means, in particular, any entity which meets the criteria laid down by Article 1 of the Seventh Council Directive No 83/349/EEC of 13 June 1983.

Expiration Date

- 11.5. IUCN shall postpone the Expiration Date laid down in Article 3 of the Special Conditions, so as to be able to fulfil its payment obligations, in all cases where the Grantee(s) has submitted a Payment Request in accordance with Agreement provisions or, in case of dispute, until completion of the dispute settlement procedure provided for in Article 12. IUCN shall notify the Grantee(s) of any postponement of the Expiration Date.
- 11.6. This Agreement will be terminated automatically if it has not given rise to any payment by IUCN within two (2) years of its signature.

Effects of Termination

- 11.7. Upon termination of this Agreement the Grantee(s) shall take all immediate steps to bring the Project to a close in a prompt and orderly manner and to reduce further expenditure to a minimum.
- 11.8. Without prejudice to Article 13, the Grantee(s) shall be entitled to payment only for the part of the Project carried out, excluding costs relating to current commitments that are due to be executed after termination.
- To this purpose, the Grantee(s) shall introduce a Payment Request to IUCN within the time limit set by Article 14.2 starting from the date of termination.
- 11.9. In the event of termination according to Article 11.1, IUCN may agree to reimburse the unavoidable residual expenditures incurred during the notice period, provided, this Article 11.7 has been properly executed.
- 11.10. In the cases of termination foreseen in Article 11.3. a), c), d), f), h) and j) IUCN may, after having properly consulted the Grantee(s) and depending on the gravity of the failings, request full or partial repayment of amounts unduly paid for the Project.

ARTICLE 12 — APPLICABLE LAW AND DISPUTE SETTLEMENT

- 12.1. This Agreement shall be governed by the laws of Switzerland
- 12.2. The Parties to this Agreement shall do everything possible to settle amicably any dispute arising between them during the implementation of this Agreement. To that end, they shall communicate their positions and any solution that they consider possible in writing, and meet each other at either's request. The Grantee(s) and IUCN shall reply to a request sent for an amicable settlement within thirty (30) days. Once this period has expired, or if the attempt to reach amicable settlement has not produced an agreement within one hundred and twenty (120) days of the first

request, the Grantee(s) and IUCN may notify the other Party that it considers the procedure to have failed.

- 12.3. Failing amicable settlement, any dispute, controversy or claim arising out of, or in relation to, this Agreement, including the validity, invalidity, breach, or termination thereof, shall be resolved by arbitration in accordance with the Swiss Rules of International Arbitration of the Swiss Chambers' Arbitration Institution in force on the date on which the Notice of Arbitration is submitted in accordance with these Rules.

The number of arbitrators shall be one (1). The seat of the arbitration shall be Lausanne. The arbitral proceedings shall be conducted in English.

FINANCIAL PROVISIONS

ARTICLE 13 – ELIGIBLE COSTS

Cost eligibility criteria

- 13.1. Eligible costs are actual costs incurred by the Grantee(s) which meet all the following criteria:
- a. They are incurred during the implementation of the Project as specified in Article 3 “TERM” of the Special Conditions. In particular:
 - (i) Costs relating to services and works shall relate to activities performed during the implementation period. Costs relating to supplies shall relate to delivery and installation of items during the implementation period. Signature of a contract, placing of an order, or entering into any commitment for expenditure within the implementation period for future delivery of services, works or supplies after expiry of the implementation period do not meet this requirement
 - (ii) Costs incurred should be paid before the submission of the final reports.
 - (iii) An exception is made for costs relating to final reports, including expenditure verification, audit and final evaluation of the Project, which may be incurred after the implementation period of the Project;
 - (iv) Procedures to award contracts, as referred to in Article 9, may have been initiated and contracts may be concluded by the Grantee(s) before the start of the implementation period of the Project, provided the provisions of Attachment 3 have been respected.
 - b. They are indicated in the estimated overall budget for the Project;
 - c. They are necessary for the implementation of the Project;
 - d. They are identifiable and verifiable, in particular being recorded in the accounting records of the Grantee(s) and determined according to the accounting standards and the usual cost accounting practices applicable to the Grantee(s);
 - e. They comply with the requirements of applicable tax and social legislation;
 - f. They are reasonable, justified and comply with the requirements of sound financial management, in particular regarding economy and efficiency

Eligible direct costs

- 13.2. Subject to Article 13.1 and, where relevant, to the provisions of **Attachment 3** being respected, the following direct costs of the Grantee(s) shall be eligible:

- a. the cost of staff assigned to the Project, corresponding to actual gross salaries including social security charges and other remuneration-related costs; salaries and costs shall not exceed those normally borne by the Grantee(s), unless it is justified by showing that it is essential to carry out the Project;
- b. travel and subsistence costs for staff and other persons taking part in the Project, provided they do not exceed those normally borne by the Grantee(s) according to its rules and regulations, or the rates published by the European Commission at the time of such mission if reimbursed on the basis of simplified cost options;
- c. purchase costs for equipment (new or used) and supplies specifically for the purposes of the Project;
- d. costs of consumables;
- e. costs entailed by contracts awarded by the Grantee(s) for the purposes of the Project referred to in Article 9;
- f. costs deriving directly from the requirements of the Agreement (dissemination of information, evaluation specific to the Project, audits, translation, reproduction, insurance, etc.) including financial service costs;
- g. duties, taxes and charges, including VAT, paid and not recoverable by the beneficiaries, unless otherwise provided in the Special Conditions.

Simplified cost options

13.3. In accordance with the detailed provisions in the Special Conditions and in the Budget of the Project, eligible costs may also be constituted by any or a combination of the following cost options:

- a. unit costs;
- b. lump sums;
- c. flat-rates.

13.4. The methods used by the Grantee(s) to determine unit costs or lump sums shall be clearly described and substantiated in the Budget, shall ensure compliance with the no-profit rule and shall avoid double funding of costs. For Swift Small Grants with a total amount equal to or below fifty thousand euros (EUR 50,000) the no-profit rule does not apply.

The information used can be based on the Grantee(s)' historical and/or actual accounting and cost accounting data or on external information, where available and appropriate.

Costs declared under simplified cost options shall satisfy the eligibility criteria set out in Article 13.1 and 13.2. They do not need to be backed by accounting or supporting documents, except in cases where they are warranted by outcomes of risk assessment procedures and expressly stated in the Special Conditions.

These costs may not include ineligible costs as referred to in Article 13.7 or costs already declared under another costs item or heading of the budget of this Agreement.

The amounts or rates of unit costs or lump sums set out in the Budget may not be amended unilaterally and may not be challenged by ex post verifications.

Indirect costs

- 13.5. The indirect costs for the Project are those eligible costs which may not be identified as specific costs directly linked to the implementation of the Project and may not be booked to it directly according to the conditions of eligibility in Article 13.1. However, they are incurred by the Grantee(s) in connection with the eligible direct costs for the Project. They may not include ineligible costs as referred to in Article 13.7 or costs already declared under another costs item or heading of the budget of this Agreement.

A fixed percentage of the total amount of direct eligible costs of the Agreement not exceeding the percentage laid down in Article 4 of the Special Conditions may be claimed to cover indirect costs for the Project. Flat-rate funding in respect of indirect costs does not need to be supported by accounting documents.

In kind contributions

- 13.6. Any contributions in kind, which shall be listed separately in the Budget, do not represent actual expenditure and are not eligible costs.

Notwithstanding the above, if Description of the Project and of the Budget for the Project in Attachment 1 provides for contributions in kind, such contributions have to be provided.

Non-eligible costs

- 13.7. The following costs shall not be considered eligible:

- h. debts and debt service charges (interest);
- i. provisions for losses or potential future liabilities;
- j. costs declared by the Grantee(s) and financed by another Project or work programme;
- k. purchases of land or buildings;
- l. currency exchange losses;
- m. credits to third parties;
- n. costs leading to personal or private profit.

ARTICLE 14 — PAYMENTS

Payment procedures

- 14.1. IUCN must pay the Grant to the Grantee following one of the payment procedures below, as set out in Article 5 “Payment Schedule” of the Special Conditions.

Option 1: **SWIFT SMALL GRANTS** with a total BEST 2.0 contribution amount equal to or below fifty thousand euros (EUR 50,000)

- c. A pre-financing payment covering 75% of the total BEST 2.0 contribution is made to a Grantee no later than thirty (30) days after the IUCN's receipt of this Agreement executed by both Parties, together with Grantee's Payment Request.

- d. The balance of 25% is paid to the Grantee no later than forty-five (45) days after the approval of the Swift Small Grant Final Technical and Financial Report accompanied by a corresponding Payment Request.

Option 2: **SMALL GRANTS** with a total BEST 2.0 contribution amount equal to or below one hundred thousand euros (EUR 100,000).

- e. an initial pre-financing payment of 100% of the part of the estimated budget for the first reporting period financed by BEST 2.0 is calculated applying the percentage of co-financing stated in the Grant Agreement and is made to a Grantee no later than thirty (30) days after the receipt of this Agreement executed by both Parties, together with Grantee's Payment Request;
- f. further pre-financing payment(s) of the part of the estimated budget financed by BEST 2.0 will constitute up to 90% of the remaining Grant budget and will be paid to the Grantee no later than thirty (30) days after the approval of the Small Grant Technical and Financial Progress Reports accompanied by a corresponding Payment Request;
- g. if at the end of the reporting period the part of the expenditure actually incurred which is financed by BEST 2.0 is less than 70% of the previous payment and less than 100 % of any previous payments, the further pre-financing payment shall be reduced by the amount corresponding to the difference between the 70 % of the previous pre-financing payment and the part of the expenditure actually incurred;
- h. the balance of 10% is paid to the Grantee no later than forty-five (45) days after the approval of the Final Technical and Financial Small Grant Reports accompanied by a corresponding Payment Request.

The total sum of pre-financing payments may not exceed 90 % of the amount referred to in Article 1 "The Grant" of the Special Conditions.

The reporting period is intended as a twelve-month period unless otherwise provided for in the Special Conditions. When the remaining period to the end of the Project is up to eighteen (18) months, the reporting period shall cover it entirely.

Option 3: **MEDIUM SIZE GRANTS** with a total BEST 2.0 contribution amount equal to or below four hundred thousand euros (EUR 400,000).

- e. an initial pre-financing payment of 100% of the part of the estimated budget for the first reporting period financed by BEST 2.0 is calculated applying the percentage of co-financing stated in the Grant Agreement and is made to a Grantee no later than thirty (30) days after the receipt of this Agreement executed by both Parties, together with Grantee's Payment Request;
- f. further pre-financing payment(s) of the part of the estimated budget financed by BEST 2.0 will constitute up to 90% of the remaining Grant budget and will be paid to the Grantee no later than thirty (30) days after the approval of the

Medium Grant Technical and Financial Progress Reports accompanied by a corresponding Payment Request;

- g. if at the end of the reporting period the part of the expenditure actually incurred which is financed by BEST 2.0 is less than 70% of the previous payment and less than 100% of any previous payments, the further pre-financing payment shall be reduced by the amount corresponding to the difference between the 70% of the previous pre-financing payment and the part of the expenditure actually incurred;
- h. the balance of 10% is paid to the Grantee no later than forty-five (45) days after the approval of the Final Technical and Financial Medium Grant Report accompanied by an external audit report and a corresponding Payment Request.

The total sum of pre-financing payments may not exceed 90 % of the amount referred to in Article 1 “The Grant” of the Special Conditions.

The reporting period is intended as a twelve-month period unless otherwise provided for in the Special Conditions. When the remaining period to the end of the Project is up to eighteen (18) months, the reporting period shall cover it entirely.

Submission of final reports

14.2. Final Technical and Financial Reports shall be submitted by the Grantee(s)

- d. **SWIFT SMALL GRANTS.** The Grantee shall submit the Final Technical and Financial Reports to IUCN together and within forty-five (45) days following the Expiration Date or the effective date of termination of this Agreement using the templates provided by the BEST 2.0 Secretariat.
- e. **SMALL GRANTS.** The Grantee shall submit the Final Technical and Financial Reports to IUCN together and within forty-five (45) days following the Expiration Date or the effective date of termination of this Agreement using the templates provided by the BEST 2.0 Secretariat.
- f. **MEDIUM SIZE GRANTS.** The Grantee shall submit the Final Technical and Financial Reports to IUCN together and within sixty (60) days following the Expiration Date or the effective date of termination of this Agreement using the templates provided by the BEST 2.0 Secretariat. The Final Technical and Financial Reports shall be accompanied by an expenditure verification report.

Payment request

14.3. The Payment Request shall be drafted according to the template provided by BEST 2.0 Secretariat and shall be accompanied by:

- d. Technical and Financial Reports in line with the template provided by the BEST 2.0 Secretariat;
- e. A Forecast Budget for the following reporting period in case of request of further pre-financing;
- f. An expenditure verification report if required under Article 14.8;

Payment shall not imply recognition of the regularity or of the authenticity, completeness and correctness of the declarations and information provided.

Payment deadlines

- 14.4. The initial pre-financing payment **SWIFT SMALL GRANTS, SMALL GRANTS** and **MEDIUM SIZE GRANTS** shall be made within thirty (30) days of the receipt by IUCN of this Agreement executed by both Parties, together with Grantee's Payment Request.
- 14.5. Further pre-financing payments shall be made within thirty (30) days from the date of approval of the Project Technical and Financial Progress Reports.
- However, payments of the balance shall be made within sixty (60) days of receipt of the payment request by IUCN.
- 14.6. **Final balance**
- The Payment Request is deemed accepted if there is no written reply by BEST 2.0 Secretariat within the deadlines set above.

Suspension of the period for payments

- 14.7. Without prejudice to Article 11, IUCN may suspend the time-limits for payments by notifying the Grantee that:
- h. the amount indicated in a Request for payment is not due, or;
 - i. proper supporting documents have not been supplied, or;
 - j. IUCN needs to request clarifications, modifications or additional information to the Technical or Financial Reports, or;
 - k. IUCN has doubts on the eligibility of expenditure and needs to carry out additional checks, including on-the-spot checks to make sure that the expenditure is eligible, or;
 - l. it is necessary to verify whether presumed substantial errors, irregularities or fraud have occurred in the Grant award procedure or the implementation of the Project, or;
 - m. it is necessary to verify whether the Grantee(s) have breached any substantial obligations under this Agreement, or;
 - n. the visibility obligations set out in Article 6 are not complied with.

The suspension of the time-limits for payments starts when the above notification is sent by the IUCN to the Grantee. The time-limit starts running again on the date on which a correctly formulated Request for Payment is recorded. The Grantee shall provide any requested information, clarification or document within thirty (30) days of the request.

If, notwithstanding the information, clarification or document provided by the Grantee, the Payment Request is still inadmissible, or if the award procedure or the implementation of the Grant proves to have been subject to substantial errors, irregularities, fraud, or breach of obligations, then IUCN may refuse to proceed further with payments and may, in the cases foreseen in Article 11, terminate accordingly this Agreement.

In addition, IUCN may also suspend payments as a precautionary measure without prior notice, prior to, or instead of, terminating this Agreement as provided for in Article 11.

Expenditure verification report

- 14.8. The Grantee(s) must provide an expenditure verification report for any final report in the case of a Grant of more than one hundred thousand euros (EUR 100,000).

The expenditure verification report shall conform to the model to be provided by IUCN and shall be produced by an auditor approved or chosen by IUCN. The auditor shall meet the requirements set out in the Terms of Reference for expenditure verification to be provided by IUCN.

The auditor shall examine whether the costs declared by the Grantee(s) and the revenue of the Project are real, accurately recorded and eligible under this Agreement.

Rules for currency conversion

- 14.9. IUCN shall make payments to the Grantee(s) to the bank account referred to in the Special Conditions to the Grant Agreement, which allows the identification of the funds paid by IUCN. Payments shall be made in the currency set in the Special Conditions.

Reports shall be submitted in the currency set out in the Special Conditions, and may be drawn from financial statements denominated in other currencies, on the basis of the Grantee(s)'s applicable legislation and applicable accounting standards. In such case and for the purpose of reporting, conversion into the currency set in the Special Conditions shall be made using the rate of exchange at which the payment by IUCN was recorded in the Grantee(s)'s accounts.

Costs incurred in other currencies than the one used in the Grantee(s)'s accounts shall be converted according to its usual accounting practices.

In the event of an exceptional exchange-rate fluctuation, the Parties shall consult each other with a view to amending the Project in order to lessen the impact of such a fluctuation. Where necessary, IUCN may take additional measures such as terminating the Agreement.

ARTICLE 15 — ACCOUNTS AND TECHNICAL AND FINANCIAL CHECKS

Accounts

- 15.1. The Grantee(s)' shall keep accurate and regular accounts of the implementation of the Project using an appropriate accounting and double-entry book-keeping system.

The accounts:

- d. may be an integrated part of or an adjunct to the Beneficiary(ies)'s regular system;
- e. shall comply with the accounting and bookkeeping policies and rules that apply in the country concerned;
- f. shall enable income and expenditure relating to the Project to be easily traced, identified and verified.

- 15.2. The Grantee(s) shall ensure that any financial report as required under Article 6 “Reporting” of the Special Conditions can be properly and easily reconciled to the accounting and bookkeeping system and to the underlying accounting and other relevant records. For this purpose the Grantee(s) shall prepare and keep appropriate reconciliations, supporting schedules, analyses and breakdowns for inspection and verification.

Right of access

- 15.3. The Grantee(s) shall allow verifications to be carried out by IUCN, the European Commission, the European Anti-Fraud Office, the European Court of Auditors and any external auditor authorised by IUCN. The Grantee(s) have to take all steps to facilitate their work.
- 15.4. The Grantee(s) shall allow the above entities to:
- f. access the sites and locations at which the Project is implemented;
 - g. examine its accounting and information systems, documents and databases concerning the technical and financial management of the Project;
 - h. take copies of documents;
 - i. carry out on-the-spot checks;
 - j. conduct a full audit on the basis of all accounting documents and any other document relevant to the financing of the Project.
- 15.5. Additionally the European Anti-Fraud Office shall be allowed to carry out on-the-spot checks and inspections in accordance with the procedures laid down by the European Union legislation for the protection of the financial interests of the European Union against fraud and other irregularities.
- 15.6. Access given to agents of the European Commission, European Anti-Fraud Office and the European Court of Auditors and to any external auditor authorised by IUCN carrying out verifications shall be on the basis of confidentiality with respect to third parties, without prejudice to the obligations of public law to which they are subject.

Record keeping

- 15.7. The Grantee(s) shall keep all records, accounting and supporting documents related to this Agreement for five (5) years following the payment of the balance and for three (3) years in case of grants not exceeding fifty thousand euros (EUR 50,000), and in any case until any on-going audit, verification, appeal, litigation or pursuit of claim has been disposed of.
- They shall be easily accessible and filed so as to facilitate their examination and the Grantee(s) shall inform IUCN of their precise location.
- 15.8. All the supporting documents shall be available in the original form, including in electronic form.
- 15.9. In addition to the reports mentioned Article 6 “Reporting” of the Special Conditions, the documents referred to in this Article include:
- l. Accounting records (computerised or manual) from the Grantee(s)’s accounting system such as general ledger, sub-ledgers and payroll accounts, fixed assets registers and other relevant accounting information;

- m. Proof of procurement procedures such as tendering documents, bids from tenderers and evaluation reports;
- n. Proof of commitments such as contracts and order forms;
- o. Proof of delivery of services such as approved reports, time sheets, transport tickets, proof of attending seminars, conferences and training courses (including relevant documentation and material obtained, certificates), etc;
- p. Proof of receipt of goods such as delivery slips from suppliers;
- q. Proof of completion of works, such as acceptance certificates;
- r. Proof of purchase such as invoices and receipts;
- s. Proof of payment such as bank statements, debit notices, proof of settlement by the contractor;
- t. Proof that taxes and/or VAT that have been paid cannot actually be reclaimed;
- u. For fuel and oil expenses, a summary list of the distance covered, the average consumption of the vehicles used, fuel costs and maintenance costs;
- v. Staff and payroll records such as contracts, salary statements and time sheets. For local staff recruited on fixed-term contracts, details of remuneration paid, duly substantiated by the person in charge locally, broken down into gross salary, social security charges, insurance and net salary. For expatriate and/or European-based staff (if the Project is implemented in Europe) analyses and breakdowns of expenditure per month of actual work, assessed on the basis of unit prices per verifiable block of time worked and broken down into gross salary, social security charges, insurance and net salary.

ARTICLE 16 – FINAL AMOUNT OF THE GRANT

Final amount

- 16.1. The Grant may not exceed the maximum ceiling in Article 1 “Grant” of the Special Conditions either in terms of the absolute value or the percentage stated therein.

If the eligible costs of the Project at the end of the Project are less than the estimated eligible costs as referred to in Article 1 of the Special Conditions, the Grant shall be limited to the amount obtained by applying the percentage laid down in Article 4.2 of the Special Conditions to the eligible costs of the Project approved by IUCN.
- 16.2. In addition and without prejudice to its right to terminate this Agreement pursuant to Article 11, if the Project is implemented poorly or partially - and therefore not in accordance with the Description of the Project in Attachment 1 - or late, IUCN may, by a duly reasoned decision and after allowing the Grantee(s) to submit its observations, reduce the initial Grant in line with the actual implementation of the Project and in accordance with the terms of this Agreement. This applies as well with regards to the visibility obligations set out in Article 6.

No profit

- 16.3. The Grant may not produce a profit for the Grantee(s), unless specified otherwise in Article 7 of the Special Conditions. Profit is defined as a surplus of the receipts over the eligible costs approved by IUCN when the Request for Payment of the balance is made.
- 16.4. The receipts to be taken into account are the consolidated receipts on the date on which the Payment Request for the balance is made by the Grantee(s) that fall within one of the two following categories:
- c. income generated by the Project, unless otherwise specified in the Special Conditions;
 - d. financial contributions specifically assigned by the donors to the financing of the same eligible costs financed by this Agreement. Any financial contribution that may be used by the Grantee(s) to cover costs other than those eligible under this Agreement or that are not due to the donor where unused at the end of the Project are not to be considered as a receipt to be taken into account for the purpose of verifying whether the Grant produces a profit for the Grantee(s).
- 16.5. Where the final amount of the Grant determined in accordance with the Agreement would result in a profit, it shall be reduced by the percentage of the profit corresponding to the final IUCN contribution to the eligible costs actually incurred approved by IUCN.

ARTICLE 17 - RECOVERY

Recovery

- 17.1. If any amount is unduly paid to the Grantee(s), or if recovery is justified under the terms of this Agreement, the Grantee(s) undertakes to repay IUCN these amounts.
- 17.2. In particular, payments made do not preclude the possibility for IUCN to issue a recovery order following an expenditure verification report, an audit or further verification of the payment request.
- 17.3. If a verification reveals that the methods used by the Grantee(s) to determine unit costs, lump sums or flat-rates are not compliant with the conditions established in this Agreement and, therefore an undue payment has been made, IUCN shall be entitled to recover proportionately up to the amount of the unit costs, lump sums or flat rate financing.
- 17.4. The Grantee(s) undertakes to repay any amounts paid in excess of the final amount due to IUCN within forty-five (45) days of the issuing of the debit note, the latter being the letter by which IUCN requests the amount owed by the Grantee(s).

MISCELLANEOUS PROVISIONS

ARTICLE 18 – NO PARTNERSHIP

The legal relationship of IUCN and the Grantee(s) to each other under this Agreement shall be that of independent contractors and nothing in this Agreement shall be deemed in any way to create a partnership, an employee-employer relationship, an agency or joint venture between IUCN and the Grantee(s). Neither Party shall have any power or authority to bind or commit the other.

ARTICLE 19 - ENVIRONMENT AND SOCIAL MANAGEMENT SYSTEM

- 19.1. IUCN has developed and applies an environment and social management system ("ESMS") which guides all projects implemented and supported by IUCN. The purpose of the ESMS is to systematically screen projects on potential environmental and social risks and identify ways to avoid, minimize or mitigate them while enhancing positive impacts.
- 19.2. In the context of implementation of the Project, the Grantee(s) shall abide by the ESMS Standards and Principles available at https://www.iucn.org/knowledge/project_management_tools/ which by signing this Agreement, the Grantee(s) confirms it has reviewed and accepted and shall comply with any specific requirements resulting from ESMS screening and assessments.

ARTICLE 20 - COMPLIANCE.

- 20.1. The Grantee(s) represents and warrants compliance at any time with any laws that apply in the jurisdiction in which the Grantee(s) is operating or carrying out this Agreement, including, but not limited to, anti-bribery laws, employment and social security laws and tax laws.
- 20.2. The Grantee(s) represents and warrants that it is legally registered, authorised to do business and/or has procured any necessary permits or licenses required to carry out this Agreement in the jurisdiction of Project implementation and to grant IUCN the rights described in Article 7 (Ownership/Use of Rights).

ATTACHMENT 3

BEST 2.0 Procurement Policies and Procedures

Prior to undertaking any purchases of goods or services with Grant funds, the Grantee is required to have institutional procurement policies in effect that are substantially the same as those listed below. The specific procurement procedures listed in section II are applicable to all purchases of goods/services with Grant funds, and must be followed in all cases.

I. POLICIES

- A. All purchases of goods and services must be made with complete impartiality based solely on the merits of supplier proposals, including such considerations as cost, quality, delivery and payment terms. No employee, officer, or agent of Grantee may participate in the selection, award, or administration of a contract if an actual or apparent conflict of interest would arise.
- B. The Grantee is responsible for ensuring that all equipment is received in good condition. The Grantee must examine and test goods upon receipt to ensure that the vendor has met all terms and conditions of the purchase agreement.
- C. All purchases of services, from individuals or organizations, must be made on the basis of a written contract which must set forth in detail the relevant terms of the contract including, without limitation, the proposed scope of work, deliverables, amounts and terms of payment, timelines and the Parties' relative responsibilities and liabilities for non-performance.
- D. The Grantee must ensure that adequate insurance is obtained for the actual replacement value of any equipment purchased.
- E. Procurement contracts may be entered into only with responsible suppliers who are reputable, well established and are suppliers of the type of goods and services being purchased in the normal course of business. No award shall be made to a supplier who has engaged in corrupt or fraudulent practices in competing for or executing the contract in question.

II. PROCUREMENT PROCEDURES

- A. Purchases of goods and services with a unit cost of less than five thousand euros (EUR 5 000) may be made 'off the shelf.' No specific number of bids is required.
- B. Purchases of goods with a unit cost of more than five thousand euros (EUR 5 000) but less than fifty thousand euros (EUR 50 000) must be based on written quotations received from at least three potential suppliers. Quotations must include the price, the description and quantity of the goods, as well as the delivery time and place.
 - i. Grantees are advised to initially request more than three quotations.
 - ii. If there are at least three potential suppliers of the goods at competitive prices and in Grantee's country, Grantee may purchase in that jurisdiction without requesting quotations from potential suppliers located in foreign countries.
 - iii. If this is not the case, then Grantee must request quotations from suppliers in at least two different countries, including the country where Grantee's main office is

located. Quotations for foreign goods offered by a firm located in Grantee's country are considered as quoted from abroad for purposes of satisfying the "two different countries" rule. This is applicable, by way of example and not limitation, to items such as computers, and vehicles that are normally imported by dealers of the foreign manufacturers who are also able to provide after sales services.

- C. Purchases of Services in excess of five thousand euros (EUR 5 000) but less than fifty thousand euros (EUR 50 000) must be based on a comprehensive Terms of Reference specifying in detail the necessary subject area qualifications and expected outputs. Statements of interest or CVs must be received from at least three potential firms or individuals.
 - i. All purchases of services must be memorialized in written documentation that includes fixed outputs and specific payment terms.
 - ii. Fees may be paid on an hourly/daily rate, or on a fixed fee basis. All fees paid to individuals must be consistent with previous salary/fee history, as documented in a CV.
 - iii. File documents must reflect clearly the list of individuals or firms invited to bid, the statements of interest or CVs, salary/fee history, and rationale for selection.
- D. Purchases of goods and services with a unit cost in excess of fifty thousand euros (EUR 50 000) are subject to special competitive bidding procedures.
 - i. Such purchases are not allowed without separate written authorization from IUCN.
 - ii. In the event that purchases in excess of fifty thousand euros (EUR 50 000) are authorized, IUCN shall provide Grantee with detailed instructions on bidding requirements that Grantee shall comply with.

ATTACHMENT 4

BEST 2.0 Credit and Logo Usage Policy

The Grantee(s) shall publicise the project and its results taking account of the guidance provided in the Communication and Visibility Manual for European Union External Actions which can be found here: https://ec.europa.eu/europeaid/sites/devco/files/communication_and_visibility_manual_en_0.pdf

The Grantee(s) shall take all necessary steps to publicise the fact that the BEST 2.0 Programme funded by the European Union has financed or co-financed the Project. The Grantee(s) shall acknowledge the European Union's financial contribution in information given to the final recipients of the project, in its internal and annual reports, and in any dealings with the media.

Any notice or publication by the Grantee(s) concerning the Project, including those given at conferences or seminars, shall specify that the Project has received European Union funding through the BEST 2.0 Programme. Any publication by the Grantee(s), in whatever form and by whatever medium, including the internet, shall include the following statement: *'This document has been produced with the financial assistance of the European Union. The contents of this document are the sole responsibility of < Grantee(s)'s name > and can under no circumstances be regarded as reflecting the position of the European Union.'*

The Grantee(s) shall acknowledge the support given by the Union in all documents and media produced in the framework of the project, using the BEST logo and the EU logo provided by the BEST 2.0 Secretariat.

The logos should be clearly displayed and should enjoy equal prominence (i.e. the two logo areas should be of equal size).

The EU and BEST logos may not be referred to as a certified quality label or eco-label. Their use shall be restricted to dissemination activities.

For audio-visual material, the credits at the beginning and/or at the end shall include an explicit and readable mention to the BEST 2.0 financial support (e.g. *"With the contribution of the BEST 2.0 Programme funded by the European Union"*).

Annex 23: Standard Grant Agreement Template & Attachments – Medium Grants

BEST 2.0 Grant Agreement <insert Grant Agreement number> MEDIUM GRANT

SPECIAL CONDITIONS

This Grant Agreement ("Agreement") is made between

IUCN, International Union for Conservation of Nature and Natural Resources, a quasi-governmental international organization established and existing under the laws of Switzerland, with a principal place of business at Rue Mauverney 28, 1196 Gland, Switzerland ("IUCN", or "BEST 2.0 Secretariat"),

And

[COMPLETE NAME, TYPE OF LEGAL ENTITY, COUNTRY/JURISDICTION IN WHICH ESTABLISHED AND EXISTING, AND ADDRESS OF OTHER PARTY], ("Grantee"),

with IUCN and Grantee referred to individually and jointly as "Party" and "Parties".

Preamble

Funding in support of this Agreement is made available by the **BEST 2.0** Programme - Promoting the conservation and sustainable use of **Biodiversity** and **Ecosystem Services** in Overseas Countries and Territories, funded by the European Union, represented by the European Commission, Directorate-General for Development and Cooperation, Cooperation — EuropeAid.

The Parties hereby agree as follows:

- 1. THE GRANT.** IUCN, in its role of BEST 2.0 Secretariat, will make available to the Grantee grant funds from BEST 2.0, in a total amount not to exceed [INSERT AMOUNT IN WORDS] EURO (EUR [INSERT AMOUNT]) (the "Grant") for the purpose and on the terms and conditions set forth in this Agreement. In all cases the use of the funds shall conform to the restrictions and limitations set forth in the General Conditions (**Attachment 2 to the Agreement**), the Procurement Policies and Procedures (**Attachment 3 to the Agreement**), and the agreed budget.
- 2. PURPOSE OF THE GRANT.** The Grant is provided to support the project described in **Attachment 1** to this Agreement (the "Project"). The Grant shall be used solely for the purposes and activities described therein. The Grantee shall be solely responsible for complying with all applicable provisions of this Agreement and will ensure that they are transmitted to and become binding upon any third parties retained by the Grantee for the implementation of the Project (the "Sub-contractors").
- 3. TERM.** The period covered by the Agreement shall commence on [DDMMYYYY] / the date on which the last party signs the Agreement (the "Effective Date") and shall expire on [DDMMYYYY] / XX months from the date on which the last party signs the Agreement (the "Expiration Date"), unless terminated prior to the Expiration Date in

accordance with Article 11 of the General Conditions (**Attachment 2 to the Agreement**). All expenses to be paid out of Grant funds must be incurred during the Term of the Agreement.

4. FINANCING THE PROJECT.

- 4.1. The total eligible costs of the Project are estimated at [INSERT AMOUNT IN WORDS] EURO (EUR [INSERT AMOUNT]) as set out in the Budget.
- 4.2. IUCN undertakes to finance a maximum amount of [INSERT AMOUNT IN WORDS] EURO (EUR [INSERT AMOUNT]). The Grant is further limited to [enter applicable percentage] of the total estimated eligible costs of the Project.
- 4.3. The final amount of IUCN's contribution shall be determined in accordance with Articles 13 and 16 of the General Conditions (**Attachment 2 to the Agreement**).
- 4.4. A maximum 7% of the final amount of direct eligible costs of the Project established in accordance with Articles 13 and 16 of General Conditions (**Attachment 2 to the Agreement**), may be claimed as indirect costs.

5. PAYMENT SCHEDULE. Subject to the terms and conditions contained herein, IUCN will make payments of Grant funds to the Grantee as follows:

- 5.1. An initial pre-financing payment of 100% of the part of the estimated budget for the first reporting period financed by BEST 2.0 is calculated applying the percentage of co-financing stated in Article 4.2. and is made to a Grantee no later than thirty (30) days after IUCN's receipt of this Agreement executed by both Parties, together with Grantee's Payment Request;
- 5.2. Further pre-financing payment(s) of the part of the estimated budget financed by BEST 2.0 will constitute up to 90% of the remaining Grant budget and will be paid to the Grantee no later than thirty (30) days after the approval of the Medium Grant Technical and Financial Progress Reports accompanied by a corresponding Payment Request;
- 5.3. If at the end of the reporting period the part of the expenditure actually incurred which is financed by BEST 2.0 is less than 70% of the previous payment and less than 100% of any previous payments, the further pre-financing payment shall be reduced by the amount corresponding to the difference between the 70% of the previous pre-financing payment and the part of the expenditure actually incurred;
- 5.4. The balance of 10% is paid to the Grantee no later than forty-five (45) days after the approval of the Final Medium Grant Technical and Financial Reports accompanied by an external audit report and a corresponding Payment Request.

It is understood that the total sum of pre-financing payments may not exceed 90% of the amount referred to in Article 4 above and that IUCN may withhold payment of any part or all of any payment until after it has approved, in its sole discretion, the aforesaid Medium Grant Technical and Financial Progress Report or Medium Grant Technical and Financial Final Report.

All payments provided for above shall be made to the following account:

Name of Bank:

Bank Address:

Account Holder Name:
SWIFT code:
Bank Account:
IBAN code:

No payments of Grant funds shall be made under this Agreement other than as set forth above.

6. REPORTING.

- 6.1. **Progress Reports.** The Grantee shall submit the following Progress Reports to IUCN together and within thirty (30) days following the end of the relevant twelve month period:
- i. Medium Grant Technical Progress Report: To be submitted by the Grantee to IUCN in a format to be provided by BEST 2.0 Secretariat and including, *inter alia*, a detailed update on progress made against objectives; during the previous twelve month period;
 - ii. Medium Grant Financial Progress Report: To be submitted by the Grantee to IUCN in a format to be provided by BEST 2.0 Secretariat.
 - iii. A Forecast of Expenses for the duration of the project's implementation in the format specified in the BEST 2.0 Operational Manual.
- 6.2. **Final Reports.** The Grantee shall submit the following Final Reports to IUCN together and within sixty (60) days following the Expiration Date or the effective date of termination of this Agreement:
- i. Medium Grant Technical Final Report. To be submitted by the Grantee to IUCN in the format to be provided by the BEST 2.0 Secretariat and including, *inter alia*, a comprehensive, detailed description of activities completed and an evaluation of accomplishments/successes under this Agreement.
 - ii. Medium Grant Financial Final Report. To be submitted by the Grantee to IUCN in the BEST 2.0 format to be provided by the BEST 2.0 Secretariat.
 - iii. The Final Technical and Financial Reports must be accompanied by an audit report of expenditures.
- 6.3. The Grantee must retain all receipts for a period of five (5) years after the end of the project.
- 6.4. Depending on the outcomes of the Grantee's risk assessment IUCN reserves the right to perform a closer scrutiny of the reported information, including but not limited to requests for additional information and clarifications, sample checks and requests of supporting documents.

7. OTHER SPECIFIC CONDITIONS APPLYING TO THE PROJECT

7.1. <insert as required>

The Grantee shall be the sole interlocutor of IUCN and shall remain solely and fully responsible to IUCN for the performance under this Agreement.

The use of time-sheets reflecting the total working time of the Grantee's personnel (and the personnel of all co-beneficiaries) is mandatory.

The Grantee is required to support the BEST 2.0 programme by contributing to the promotion of the project. The Grantee shall provide, in a timely manner, information requested by IUCN to produce promotional materials including, but not limited to, a project factsheet, project-related articles and the BEST 2.0 capitalization document. The Grantee(s) shall also provide photographic media and videos showcasing the activities and results of the project.

All purchases of goods and services must comply with the BEST 2.0 Procurement Policies and Procedures (**Attachment 3**).

8. NOTICE AND CONTACT PERSONS

8.1. Except as may be expressly provided otherwise in the Agreement, any notice given by either Party to the other shall be deemed properly given if specifically acknowledged by the receiving Party in writing or if delivered by hand, fax, special courier service or electronic mail with return receipt, to the following addresses (or such other address as each Party may notify in writing from time to time to the other Party).

8.2. The Parties' respective contact persons shall be:

For BEST 2.0 Secretariat	For Grantee
Name: Daniel MITCHELL	Name :
Position: Project Officer, BEST 2.0 Secretariat	Position:
Address: 64 Boulevard Louis Schmidt, 1040 Brussels, BELGIUM	Address
Tel : + 32 2 739 0315	Tel: +
E-mail : BEST2.0secretariat@iucn.org	E-mail:

8.3. Either Party may change its contact person, address, or facsimile number by written notice to the other Party. Notices shall be deemed to be received on the first business day following receipt.

9. ENTIRE AGREEMENT. This Agreement consists of this Agreement proper and Attachments 1 through 4, which are an integral part hereof. This Agreement constitutes the entire Agreement and understanding between the Parties with respect to its subject matter and supersedes any prior or contemporaneous agreements or understandings in reference thereto between the Parties.

10. The obligations of IUCN as BEST 2.0 Secretariat, under this Agreement, are neither made on behalf of nor are binding on any of the other Funding Sources.

11. IN WITNESS WHEREOF, the duly authorized representatives of the Parties have executed two counterparts of this Agreement, each of which shall be deemed an original and which together shall constitute one and the same instrument, on the date(s) indicated below:

IUCN, INTERNATIONAL UNION FOR
CONSERVATION OF NATURE AND NATURAL
RESOURCES

[NAME OF GRANTEE ORG]

NAME [ENTER NAME OF PERSON SIGNING]
TITLE

DATE:

NAME [ENTER NAME OF PERSON SIGNING]
TITLE

DATE:

Attachment 1. Description of the Project and the Budget

Attachment 2. General Conditions applicable to grant agreements financed by BEST 2.0

Attachment 3. BEST 2.0 Procurement Policies and Procedures

Attachment 4. BEST 2.0 Credit and Logo Usage Policy

ATTACHMENT 1
Description of the Project and the Budget

ATTACHMENT 2

General Conditions applicable to grant agreements financed by BEST 2.0.

ARTICLE 1 - GENERAL PROVISIONS

General principles

- 1.1. The Grantee(s) and IUCN in its role of BEST 2.0 Secretariat are the only Parties to this Agreement.
- 1.2. This Agreement and the payments attached to it may not be assigned to a third party in any manner whatsoever.

Data protection

- 1.3. Any personal data will be processed solely for the purposes of the performance, management and monitoring of this Agreement by IUCN and may also be passed to the bodies charged with monitoring or inspection tasks under European Union law. Grantee(s) will have the right of access to their personal data and the right to rectify any such data. If the Grantee(s) have any queries concerning the processing of personal data, they shall address them to IUCN.

Obligations of the Grantee(s)

- 1.4. The Grantee(s) shall carry out the Project taking all necessary and reasonable measures to ensure that the Project is carried out in accordance with the Description of the Project and Budget in Attachment 1 and the terms and conditions of this Agreement. To this purpose, the Grantee(s) shall implement the Project with the requisite care, efficiency, transparency and diligence, in line with the principle of sound financial management and with the best practices in the field.

ARTICLE 2 - OBLIGATION TO PROVIDE FINANCIAL AND NARRATIVE REPORTS

- 2.1. The Grantee(s) shall provide IUCN with all required information on the implementation of the Project. The report shall be laid out in such a way as to allow comparison of the objective(s), the means envisaged or employed, the results expected and obtained and the budget details for the Project. The level of detail in any report should match that of the Description of the Project and Budget in Attachment 1. These reports shall:
 - k. cover the Project as a whole, regardless of which part of it is financed by IUCN;
 - l. consist of a narrative and a financial report drafted using the templates provided by the BEST 2.0 Secretariat;
 - m. provide a full account of all aspects of the Project's implementation for the period covered, including in case of simplified cost options the qualitative and quantitative information needed to demonstrate the fulfilment of the conditions for reimbursement established in this Agreement ;
 - n. be drafted in the currency and language of this Agreement;

- o. include any relevant reports, publications, press releases and updates related to the Project;
- 2.2. Additionally the final report shall cover any period not covered by the previous reports.
- 2.3. The Special Conditions may set out additional reporting requirements.
- 2.4. IUCN may request additional information at any time. The Grantee shall provide this information within thirty (30) days of the request, in the language of the Agreement.
- 2.5. If the Grantee fails to provide any report or fails to provide any additional information requested by IUCN within the set deadline without an acceptable and written explanation of the reasons, IUCN may terminate this Agreement according to Article 11.2 (a) and (f).

ARTICLE 3 - LIABILITY

- 3.1. IUCN cannot under any circumstances or for any reason whatsoever be held liable for damage or injury sustained by the staff or property of the Grantee(s) while the Project is being carried out or as a consequence of the Project. IUCN cannot, therefore, accept any claim for compensation or increases in payment in connection with such damage or injury.
- 3.2. The Grantee(s) shall assume sole liability towards third parties, including liability for damage or injury of any kind sustained by them while the Project is being carried out or as a consequence of the Project. The Grantee(s) shall discharge IUCN of all liability arising from any claim or Project brought as a result of an infringement of rules or regulations by the Grantee(s) or the Grantee(s)'s employees or individuals for whom those employees are responsible, or as a result of violation of a third party's rights. For the purpose of this Article 3 employees of the Grantee(s) shall be considered third parties.

ARTICLE 4 - CONFLICT OF INTERESTS AND GOOD CONDUCT

- 4.1. The Grantee(s) shall take all necessary measures to prevent or end any situation that could compromise the impartial and objective performance of this Agreement. Such conflict of interests may arise in particular as a result of economic interest, political or national affinity, family or emotional ties, or any other relevant connection or shared interest.
- 4.2. Any conflict of interests which may arise during performance of this Agreement must be notified in writing to IUCN without delay. In the event of such conflict, the Grantee(s) shall immediately take all necessary steps to resolve it.
- 4.3. IUCN reserves the right to verify that the measures taken are appropriate and may require additional measures to be taken if necessary.
- 4.4. The Grantee(s) shall ensure that its staff, including its management, is not placed in a situation which could give rise to conflict of interests. Without prejudice to its obligation under this Agreement, the Grantee(s) shall replace, immediately and without compensation from IUCN, any member of its staff in such a situation.
- 4.5. The Grantee(s) shall respect human rights and applicable environmental legislation including multilateral environmental agreements, as well as internationally agreed core labour standards.

ARTICLE 5 - CONFIDENTIALITY

- 5.1. "Confidential Information" means any and all tangible or intangible information, privileged or proprietary information or trade secrets given to one Party by or on behalf of the other Party and explicitly designated, either orally or in writing, as confidential, either at the time of disclosure or, if disclosed orally, confirmed in writing within thirty (30) days following the original disclosure, including, without limitation:
 - 5.1.1. Customer lists, services, products, manuals, business methods and practices;
 - 5.1.2. Proprietary software, hardware, firmware and documentation owned by either Party, or owned by third parties but developed, produced or distributed by either Party subject to relevant licenses;
 - 5.1.3. Processes, prices, profits, contract terms and operating procedures, and compilations of data or information.
- 5.2. Either Party shall keep confidential and not disclose to any third party any Confidential Information of the other Party.
- 5.3. The Confidential Information shall remain the property of the disclosing Party, and the receiving Party agrees to use it only for the purpose of performing its obligations under this Agreement.
- 5.4. Confidential Information as defined in this Article 5 shall not include information which:
 - 5.4.1. Was in the public domain at the time of its receipt by the receiving Party;
 - 5.4.2. Was at the time of its receipt already in the receiving Party's possession or known to the receiving Party and not qualified as Confidential Information;
 - 5.4.3. Becomes part of the public domain after its receipt by the receiving Party, but not through a breach of this Agreement by the receiving Party or the receiving Party's employees; or
 - 5.4.4. Is rightfully given to the receiving Party by a third party on a non-confidential basis.
- 5.5. The receiving Party shall disclose the other Party's Confidential Information only to those of its employees or independent contractors who are directly and necessarily involved in the performance of this Agreement and who are bound to the receiving Party by obligations no less stringent as the ones mentioned in this Agreement. The receiving Party is responsible for ensuring that there is no breach of such confidentiality obligations by any such employees or independent contractors.
- 5.6. Subject to Article 15, IUCN and the Grantee(s) undertake to preserve the confidentiality of any information, notwithstanding its form, disclosed in writing or orally in relation to the implementation of this Agreement and identified in writing as confidential until at least five (5) years after the payment of the balance.
- 5.7. The Grantee(s) shall not use confidential information for any aim other than fulfilling their obligations under this Agreement unless otherwise agreed with IUCN.

ARTICLE 6 - VISIBILITY

- 6.1. The Grantee(s) shall take all necessary steps to publicise the fact that BEST 2.0 Programme funded by the European Union has financed or co-financed the Project. Such measures shall comply with the BEST 2.0 Credit and Logo Usage Policy (***Attachment 4 to the Agreement***).
- 6.2. In particular, the Grantee(s) shall mention the European Union's financial contribution in information given to the final recipients of the Project, in its internal and annual reports, and in any dealings with the media. It shall display the European Union logo and BEST 2.0 logo wherever appropriate.
- 6.3. Any notice or publication by the Grantee(s) concerning the Project, including those given at conferences or seminars, shall specify that the Project has received European Union funding through BEST 2.0 Programme. Any publication by the Grantee(s), in whatever form and by whatever medium, including the internet, shall include the following statement: *'This document has been produced with the financial assistance of the European Union. The contents of this document are the sole responsibility of < Grantee(s)'s name(s) > and can under no circumstances be regarded as reflecting the position of the European Union.'*
- 6.4. The Grantee(s) authorises IUCN and the European Commission to publish its name and address, nationality, the purpose of the grant, duration and location as well as the maximum amount of the grant and the rate of funding of the Project costs.

ARTICLE 7 - OWNERSHIP/USE OF RESULTS

- 7.1. Unless otherwise stipulated in the Special Conditions, ownership of, and title and intellectual and industrial property rights to, the Project's results, reports and other documents relating to it will be vested in the Grantee(s).
- 7.2. Without prejudice to Article 7.1, the Grantee(s) grant IUCN and the European Commission the right to use freely and as it sees fit, and in particular, to store, modify, translate, display, reproduce by any technical procedure, publish or communicate by any medium all documents deriving from the Project whatever their form, provided it does not thereby breach existing industrial and intellectual property rights.
- 7.3. The Grantee(s) shall ensure that it has all rights to use any pre-existing intellectual property rights necessary to implement this Agreement.
- 7.4. In case natural, recognizable persons are depicted in a photograph or film, the Grantee(s) shall, in the final report to IUCN, submit a statement of these persons giving their permissions for the described use of their images. The above does not refer to photographs taken or films shot in public places where random members of the public are identifiable only hypothetically and to public persons acting in their public activities.

ARTICLE 8 — AMENDMENT OF THE AGREEMENT

- 8.1. Any amendment to this Agreement, including the annexes thereto, shall be set out in writing and signed by both Parties. This Agreement can be modified only during its execution period.
- 8.2. The amendment may not have the purpose or the effect of making changes to this Agreement that would call into question the Grant award decision or be contrary to

the equal treatment of applicants. The maximum Grant referred to in Article 1 of the Special Conditions may not be increased.

- 8.3. If an amendment is requested by the Grantee(s), a duly justified request shall be submitted to IUCN thirty (30) days before the date on which the amendment should enter into force, unless there are special circumstances duly substantiated and accepted by IUCN.
- 8.4. Where the amendment to the Description of the Project and Budget in Attachment 1 does not affect the basic purpose of the Project and the financial impact is limited to a transfer between items within the same main budget heading including cancellation or introduction of an item, or a transfer between main budget headings involving a variation of 15% or less of the amount originally entered (or as modified by addendum) in relation to each concerned main heading for eligible costs, the Grantee may amend the budget and promptly inform IUCN accordingly in writing. This method may not be used to amend the headings for indirect costs, for the contingency reserve, for in-kind contributions or the amounts or rates of simplified cost options.
- 8.5. Changes of address, bank account may simply be notified by the Grantee. However, in duly substantiated circumstances, IUCN may oppose the Grantee's choice.

ARTICLE 9 — IMPLEMENTATION

Implementation Agreements

- 9.1. If the Grantee(s) have to conclude implementation Agreements with contractors in order to carry out the Project, these may only cover a limited portion of the Project and shall respect BEST 2.0 Procurement Policies and Procedures set out in Attachment 3 of this Agreement.
- 9.2. To the extent relevant, the Grantee(s) shall ensure that the conditions applicable to them under Articles 3, 4, 5, 6, 7 and 15 of these General Conditions are also applicable to contractors awarded an implementation Agreement.

ARTICLE 10– EXTENSION AND SUSPENSION

Extension

- 10.1. The Grantee shall inform IUCN without delay of any circumstances likely to hamper or delay the implementation of the Project. The Grantee may request an extension of the Project's implementation period as laid down in Article 3 "TERM" of the Special Conditions in accordance to Article 8. The request shall be accompanied by all the supporting evidence needed for its appraisal.

Suspension by the Grantee(s)

- 10.2. The Grantee may suspend implementation of the Project, or any part thereof, if exceptional circumstances, notably of force majeure, make such implementation excessively difficult or dangerous. The Grantee shall inform IUCN without delay, stating the nature, probable duration and foreseeable effects of the suspension.
- 10.3. The Grantee or IUCN may then terminate this Agreement in accordance with Article 11.1. If the Agreement is not terminated, the Grantee(s) shall endeavour to minimise the time of its suspension and any possible damage and shall resume implementation once circumstances allow, informing IUCN accordingly.

Suspension by IUCN

- 10.4. IUCN may request the Grantee(s) to suspend implementation of the Project, or any part thereof, if exceptional circumstances, notably of force majeure, make such implementation excessively difficult or dangerous. To this purpose, IUCN shall inform the Grantee(s) stating the nature and probable duration of the suspension.
- 10.5. The Grantee(s) or IUCN may then terminate this Agreement in accordance with Article 11.1. If the Agreement is not terminated, the Grantee(s) shall endeavour to minimise the time of its suspension and any possible damage and shall resume implementation once circumstances allow and after having obtained the approval of IUCN.
- 10.6. IUCN may also suspend this Agreement or the participation of a Grantee(s) in this Agreement if IUCN has evidence that, or if, for objective and well justified reasons, IUCN deems necessary to verify whether presumably:
- e. the Grant award procedure or the implementation of the Project have been subject to substantial errors, irregularities or fraud;
 - f. the Grantee(s) have breached any substantial obligation under this Agreement.
- 10.7. The Grantee(s) shall provide any requested information, clarification or document within thirty (30) days of receipt of the requests sent by IUCN. If, notwithstanding the information, clarification or document provided by the Grantee(s), the award procedure or the implementation of the Grant prove to have been subject to substantial errors, irregularities, fraud, or breach of obligations, then IUCN may terminate this Agreement according to Article 11(3) h.

Force majeure

- 10.8. The term force majeure, as used herein covers any unforeseeable events, not within the control of either Party to this Agreement and which by the exercise of due diligence neither Party is able to overcome such as acts of God, strikes, excluding strikes of the respective Party's personnel, lock-outs or other industrial disturbances, acts of the public enemy, wars whether declared or not, blockades, insurrection, riots, epidemics, landslides, earthquakes, storms, lightning, floods, washouts, civil disturbances, explosion. A decision of the European Union to suspend the cooperation with the partner country is considered to be a case of force majeure when it implies suspending funding under this Agreement.
- 10.9. The Grantee(s) shall not be held in breach of its contractual obligations if it is prevented from fulfilling them by circumstances of force majeure.

Extension of the implementation period following a suspension

- 10.10. In case of suspension according to Articles 10.2, 10.4 and 10.6, the implementation period of the Project shall be extended by a period equivalent to the length of suspension, without prejudice to any amendment to the Agreement that may be necessary to adapt the Project to the new implementing conditions.

ARTICLE 11 — TERMINATION OF THE AGREEMENT

Termination in case of force majeure

- 11.1. In the cases foreseen in Article 10.2 and 10.4, if the Grantee(s) or IUCN believes that this Agreement can no longer be executed effectively or appropriately, it shall duly consult the other. Failing agreement on a solution, the Grantee(s) or IUCN may terminate this Agreement by serving two (2) months written notice, without being required to pay indemnity.

Termination for lack of Donor funds

- 11.2. IUCN shall have the right to terminate this Agreement with immediate effect and without any liability for damages to the Grantee in case the agreement between IUCN and the Donor is terminated and/or the Donor funds become unavailable to IUCN.

Termination by IUCN

- 11.3. Without prejudice to Article 11.1, in the following circumstances IUCN may, after having duly consulted the Grantee(s), terminate this Agreement or the participation of any Grantee(s) in this Agreement without any indemnity on its part when:
- u. the Grantee(s) fails, without justification, to fulfil any substantial obligation incumbent on them individually or collectively by this Agreement and, after being given notice by letter to comply with those obligations, still fails to do so or to furnish a satisfactory explanation within thirty (30) days of receipt of the letter;
 - v. the Grantee(s) is bankrupt or being wound up, is having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, is the subject of proceedings concerning those matters or is in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
 - w. the Grantee(s), or any related entity or person, have been found guilty of an offence concerning their professional conduct proven by any means;
 - x. the Grantee(s), or any related entity or person, have committed fraud, corruption, or are involved in a criminal organisation, money laundering or any other illegal activity detrimental to the European Union's financial interests;
 - y. a change to the Grantee(s)'s legal, financial, technical, organisational or ownership situation or the termination of the participation of the Grantee(s) substantially affects the implementation of this Agreement or calls into question the decision awarding the Grant;
 - z. the Grantee(s) or any related person, are guilty of misrepresentation in supplying the information required in the award procedure or in the implementation of the Project or fails to supply – or fails to supply within the deadlines set under this Agreement - any information related to the Project required by IUCN;
 - aa. the Grantee(s) has not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which it is established;

- bb. IUCN has evidence that the Grantee(s), or any related entity or person, has committed substantial errors, irregularities or fraud in the award procedure or in the implementation of the Project;
 - cc. IUCN has evidence that the Grantee(s) is subject to a conflict of interests;
 - dd. the European Commission has evidence that the Grantee(s) has committed systemic or recurrent errors or irregularities, fraud, or serious breach of obligations under other grants financed by the European Union and awarded to that specific Grantee(s) under similar conditions, provided that those errors, irregularities, fraud or serious breach of obligations have a material impact on this Grant.
- 11.4. In the cases referred to in points (c), (d), (f) and (h) above, any related person means any physical person with powers of representation, decision-making or control in relation to the Grantee(s). Any related entity means, in particular, any entity which meets the criteria laid down by Article 1 of the Seventh Council Directive No 83/349/EEC of 13 June 1983.

Expiration Date

- 11.5. IUCN shall postpone the Expiration Date laid down in Article 3 of the Special Conditions, so as to be able to fulfil its payment obligations, in all cases where the Grantee(s) has submitted a Payment Request in accordance with Agreement provisions or, in case of dispute, until completion of the dispute settlement procedure provided for in Article 12. IUCN shall notify the Grantee(s) of any postponement of the Expiration Date.
- 11.6. This Agreement will be terminated automatically if it has not given rise to any payment by IUCN within two years of its signature.

Effects of Termination

- 11.7. Upon termination of this Agreement the Grantee(s) shall take all immediate steps to bring the Project to a close in a prompt and orderly manner and to reduce further expenditure to a minimum.
- 11.8. Without prejudice to Article 13, the Grantee(s) shall be entitled to payment only for the part of the Project carried out, excluding costs relating to current commitments that are due to be executed after termination.

To this purpose, the Grantee(s) shall introduce a Payment Request to IUCN within the time limit set by Article 14.2 starting from the date of termination.

- 11.9. In the event of termination according to Article 11.1, IUCN may agree to reimburse the unavoidable residual expenditures incurred during the notice period, provided, this Article 11.7 has been properly executed.
- 11.10. In the cases of termination foreseen in Article 11.3. a), c), d), f), h) and j) IUCN may, after having properly consulted the Grantee(s) and depending on the gravity of the failings, request full or partial repayment of amounts unduly paid for the Project.

ARTICLE 12 — APPLICABLE LAW AND DISPUTE SETTLEMENT

- 12.1. This Agreement shall be governed by the laws of Switzerland.

- 12.2. The Parties to this Agreement shall do everything possible to settle amicably any dispute arising between them during the implementation of this Agreement. To that end, they shall communicate their positions and any solution that they consider possible in writing, and meet each other at either's request. The Grantee(s) and IUCN shall reply to a request sent for an amicable settlement within thirty (30) days. Once this period has expired, or if the attempt to reach amicable settlement has not produced an agreement within one hundred and twenty (120) days of the first request, the Grantee(s) and IUCN may notify the other Party that it considers the procedure to have failed.
- 12.3. Failing amicable settlement, any dispute, controversy or claim arising out of, or in relation to, this Agreement, including the validity, invalidity, breach, or termination thereof, shall be resolved by arbitration in accordance with the Swiss Rules of International Arbitration of the Swiss Chambers' Arbitration Institution in force on the date on which the Notice of Arbitration is submitted in accordance with these Rules.

The number of arbitrators shall be one (1). The seat of the arbitration shall be Lausanne. The arbitral proceedings shall be conducted in English.

FINANCIAL PROVISIONS

ARTICLE 13 – ELIGIBLE COSTS

Cost eligibility criteria

- 13.1. Eligible costs are actual costs incurred by the Grantee(s) which meet all the following criteria:
- a. They are incurred during the implementation of the Project as specified in Article 3 “TERM” of the Special Conditions. In particular:
 - (i) Costs relating to services and works shall relate to activities performed during the implementation period. Costs relating to supplies shall relate to delivery and installation of items during the implementation period. Signature of a contract, placing of an order, or entering into any commitment for expenditure within the implementation period for future delivery of services, works or supplies after expiry of the implementation period do not meet this requirement.
 - (ii) Costs incurred should be paid before the submission of the final reports.
 - (iii) An exception is made for costs relating to final reports, including expenditure verification, audit and final evaluation of the Project, which may be incurred after the implementation period of the Project;
 - (iv) Procedures to award contracts, as referred to in Article 9, may have been initiated and contracts may be concluded by the Grantee(s) before the start of the implementation period of the Project, provided the provisions of Attachment 3 have been respected.
 - b. They are indicated in the estimated overall budget for the Project;
 - c. They are necessary for the implementation of the Project;

- d. They are identifiable and verifiable, in particular being recorded in the accounting records of the Grantee(s) and determined according to the accounting standards and the usual cost accounting practices applicable to the Grantee(s);
- e. They comply with the requirements of applicable tax and social legislation;
- f. They are reasonable, justified and comply with the requirements of sound financial management, in particular regarding economy and efficiency.

Eligible direct costs

13.2. Subject to Article 13.1 and, where relevant, to the provisions of **Attachment 3** being respected, the following direct costs of the Grantee(s) shall be eligible:

- a. the cost of staff assigned to the Project, corresponding to actual gross salaries including social security charges and other remuneration-related costs; salaries and costs shall not exceed those normally borne by the Grantee(s), unless it is justified by showing that it is essential to carry out the Project;
- b. travel and subsistence costs for staff and other persons taking part in the Project, provided they do not exceed those normally borne by the Grantee(s) according to its rules and regulations, or the rates published by the European Commission at the time of such mission if reimbursed on the basis of simplified cost options;
- c. purchase costs for equipment (new or used) and supplies specifically for the purposes of the Project;
- d. costs of consumables;
- e. costs entailed by contracts awarded by the Grantee(s) for the purposes of the Project referred to in Article 9;
- f. costs deriving directly from the requirements of the Agreement (dissemination of information, evaluation specific to the Project, audits, translation, reproduction, insurance, etc.) including financial service costs;
- g. duties, taxes and charges, including VAT, paid and not recoverable by the beneficiaries, unless otherwise provided in the Special Conditions.

Indirect costs

13.3. The indirect costs for the Project are those eligible costs which may not be identified as specific costs directly linked to the implementation of the Project and may not be booked to it directly according to the conditions of eligibility in Article 13.1. However, they are incurred by the Grantee(s) in connection with the eligible direct costs for the Project. They may not include ineligible costs as referred to in Article 13.5 or costs already declared under another costs item or heading of the budget of this Agreement.

A fixed percentage of the total amount of direct eligible costs of the Agreement not exceeding the percentage laid down in Article 4 of the Special Conditions may be claimed to cover indirect costs for the Project. Flat-rate funding in respect of indirect costs does not need to be supported by accounting documents.

In kind contributions

- 13.4. Any contributions in kind, which shall be listed separately in the Budget, do not represent actual expenditure and are not eligible costs.

Notwithstanding the above, if the Description of the Project and of the Budget for the Project in Attachment 1 provides for contributions in kind, such contributions have to be provided.

Non-eligible costs

- 13.5. The following costs shall not be considered eligible:
- o. debts and debt service charges (interest);
 - p. provisions for losses or potential future liabilities;
 - q. costs declared by the Grantee(s) and financed by another Project or work programme;
 - r. purchases of land or buildings;
 - s. currency exchange losses;
 - t. credits to third parties;
 - u. costs leading to personal or private profit.

ARTICLE 14 — PAYMENTS

Payment procedures

- 14.1. IUCN must pay the Grant to the Grantee following one of the payment procedures below, as set out in Article 5 “Payment Schedule” of the Special Conditions.

Option 1: **SWIFT SMALL GRANTS** with a total of BEST 2.0 contribution amount equal to or below fifty thousand euros (EUR 50,000).

- e. A pre-financing payment covering 75% of the total BEST 2.0 contribution is made to a Grantee no later than thirty (30) days after the IUCN's receipt of this Agreement executed by both Parties, together with Grantee's Payment Request.
- f. The balance of 25% is paid to the Grantee no later than forty-five (45) days after the approval of the Swift Small Grant Final Technical and Financial Report accompanied by a corresponding Payment Request.

Option 2: **SMALL GRANTS** with a total of BEST 2.0 contribution amount equal to or below one hundred thousand euros (EUR 100,000).

- i. an initial pre-financing payment of 100% of the part of the estimated budget for the first reporting period financed by BEST 2.0 is calculated applying the percentage of co-financing stated in the Grant Agreement and is made to a Grantee no later than thirty (30) days after the receipt of this Agreement executed by both Parties, together with Grantee's Payment Request;

- j. further pre-financing payment(s) of the part of the estimated budget financed by BEST 2.0 will constitute up to 90% of the remaining Grant budget and will be paid to the Grantee no later than thirty (30) days after the approval of the Small Grant Technical and Financial Progress Reports accompanied by a corresponding Payment Request;
- k. if at the end of the reporting period the part of the expenditure actually incurred which is financed by BEST 2.0 is less than 70 % of the previous payment and less than 100 % of any previous payments, the further pre-financing payment shall be reduced by the amount corresponding to the difference between the 70 % of the previous pre-financing payment and the part of the expenditure actually incurred;
- l. the balance of 10% is paid to the Grantee no later than forty-five (45) days after the approval of the Final Technical and Financial Small Grant Reports accompanied by a corresponding Payment Request.

The total sum of pre-financing payments may not exceed 90 % of the amount referred to in Article 1 "The Grant" of the Special Conditions.

The reporting period is intended as a twelve-month period unless otherwise provided for in the Special Conditions. When the remaining period to the end of the Project is up to eighteen (18) months, the reporting period shall cover it entirely

Option 3: MEDIUM SIZE GRANTS with a total of BEST 2.0 contribution amount equal to or below four hundred thousand euros (EUR 400,000).

- a. an initial pre-financing payment of 100% of the part of the estimated budget for the first reporting period financed by BEST 2.0 is calculated applying the percentage of co-financing stated in the Grant Agreement and is made to a Grantee no later than thirty (30) days after the receipt of this Agreement executed by both Parties, together with Grantee's Payment Request;
- b. further pre-financing payment(s) of the part of the estimated budget financed by BEST 2.0 will constitute up to 90% of the remaining Grant budget and will be paid to the Grantee no later than thirty (30) days after the approval of the Medium Grant Technical and Financial Progress Reports accompanied by a corresponding Payment Request;
- c. if at the end of the reporting period the part of the expenditure actually incurred which is financed by BEST 2.0 is less than 70% of the previous payment and less than 100% of any previous payments, the further pre-financing payment shall be reduced by the amount corresponding to the difference between the 70% of the previous pre-financing payment and the part of the expenditure actually incurred;
- d. the balance of 10% is paid to the Grantee no later than forty-five (45) days after the approval of the Final Technical and Financial Medium Grant Reports accompanied by an external audit report and a corresponding Payment Request.

The total sum of pre-financing payments may not exceed 90% of the amount referred to in Article 1 "The Grant" of the Special Conditions.

The reporting period is intended as a twelve-month period unless otherwise provided for in the Special Conditions. When the remaining period to the end of the project is up to eighteen (18) months, the reporting period shall cover it entirely

Submission of final reports

14.2. Final Technical and Financial Reports shall be submitted by the Grantee(s)

- g. **SWIFT SMALL GRANTS.** The Grantee shall submit the Final Technical and Financial Reports to IUCN together and within forty-five (45) days following the Expiration Date or the effective date of termination of this Agreement using the templates provided by the BEST 2.0 Secretariat.
- h. **SMALL GRANTS.** The Grantee shall submit the Final Technical and Financial Reports to IUCN together and within forty-five (45) days following the Expiration Date or the effective date of termination of this Agreement using the templates provided by the BEST 2.0 Secretariat.
- i. **MEDIUM SIZE GRANTS.** The Grantee shall submit the Final Technical and Financial Reports to IUCN together and within sixty (60) days following the Expiration Date or the effective date of termination of this Agreement using the templates provided by the BEST 2.0 Secretariat. The Final Technical and Financial Reports shall be accompanied by an expenditure verification report.

Payment request

14.3. The Payment Request shall be drafted according to the template provided by the BEST 2.0 Secretariat and shall be accompanied by:

- g. Technical and Financial Reports in line with the template provided by the BEST 2.0 Secretariat;
- h. A Forecast Budget for the following reporting period in case of request of further pre-financing;
- i. An expenditure verification report if required under Article 14.8;

Payment shall not imply recognition of the regularity or of the authenticity, completeness and correctness of the declarations and information provided.

Payment deadlines

14.4. The initial pre-financing payment for **SWIFT SMALL GRANTS**, **SMALL GRANTS** and **MEDIUM SIZE GRANTS** shall be made within thirty (30) days of the receipt by IUCN of this Agreement executed by both Parties, together with Grantee's Payment Request.

14.5. Further pre-financing payments shall be made within thirty (30) days from the date of approval of the Project Technical and Financial Progress Reports.

However, payments of the balance shall be made within sixty (60) days of receipt of the payment request by IUCN.

14.6. **Final balance**

The Payment Request is deemed accepted if there is no written reply by BEST 2.0 Secretariat within the deadlines set above.

Suspension of the period for payments

14.7. Without prejudice to Article 11, IUCN may suspend the time-limits for payments by notifying the Grantee that:

- o. the amount indicated in a Request for payment is not due, or;
- p. proper supporting documents have not been supplied, or;
- q. IUCN needs to request clarifications, modifications or additional information to the Technical or Financial Reports, or;
- r. IUCN has doubts on the eligibility of expenditure and needs to carry out additional checks, including on-the-spot checks to make sure that the expenditure is eligible, or;
- s. it is necessary to verify whether presumed substantial errors, irregularities or fraud have occurred in the Grant award procedure or the implementation of the Project, or;
- t. it is necessary to verify whether the Grantee(s) have breached any substantial obligations under this Agreement, or;
- u. the visibility obligations set out in Article 6 are not complied with.

The suspension of the time-limits for payments starts when the above notification is sent by the IUCN to the Grantee. The time-limit starts running again on the date on which a correctly formulated Request for Payment is recorded. The Grantee shall provide any requested information, clarification or document within thirty (30) days of the request.

If, notwithstanding the information, clarification or document provided by the Grantee, the Payment Request is still inadmissible, or if the award procedure or the implementation of the Grant proves to have been subject to substantial errors, irregularities, fraud, or breach of obligations, then IUCN may refuse to proceed further with payments and may, in the cases foreseen in Article 11, terminate accordingly this Agreement.

In addition, IUCN may also suspend payments as a precautionary measure without prior notice, prior to, or instead of, terminating this Agreement as provided for in Article 11.

Expenditure verification report

14.8. The Grantee(s) must provide an expenditure verification report for any final report in the case of a Grant of more than one hundred thousand euros (EUR 100,000).

The expenditure verification report shall conform to the model to be provided by IUCN and shall be produced by an auditor approved or chosen by IUCN. The auditor shall meet the requirements set out in the Terms of Reference for expenditure verification to be provided by IUCN.

The auditor shall examine whether the costs declared by the Grantee(s) and the revenue of the Project are real, accurately recorded and eligible under this Agreement.

Rules for currency conversion

- 14.9. IUCN shall make payments to the Grantee(s) to the bank account referred to in the Special Conditions to the Grant Agreement, which allows the identification of the funds paid by IUCN. Payments shall be made in the currency set in the Special Conditions.

Reports shall be submitted in the currency set out in the Special Conditions, and may be drawn from financial statements denominated in other currencies, on the basis of the Grantee(s)'s applicable legislation and applicable accounting standards. In such case and for the purpose of reporting, conversion into the currency set in the Special Conditions shall be made using the rate of exchange at which the payment by IUCN was recorded in the Grantee(s)'s accounts.

Costs incurred in other currencies than the one used in the Grantee(s)'s accounts shall be converted according to its usual accounting practices.

In the event of an exceptional exchange-rate fluctuation, the Parties shall consult each other with a view to amending the Project in order to lessen the impact of such a fluctuation. Where necessary, IUCN may take additional measures such as terminating the Agreement.

ARTICLE 15 — ACCOUNTS AND TECHNICAL AND FINANCIAL CHECKS

Accounts

- 15.1. The Grantee(s) shall keep accurate and regular accounts of the implementation of the Project using an appropriate accounting and double-entry book-keeping system.

The accounts:

- g. may be an integrated part of or an adjunct to the Beneficiary(ies)'s regular system;
- h. shall comply with the accounting and bookkeeping policies and rules that apply in the country concerned;
- i. shall enable income and expenditure relating to the Project to be easily traced, identified and verified.

- 15.2. The Grantee(s) shall ensure that any financial report as required under Article 6 "Reporting" of the Special Conditions can be properly and easily reconciled to the accounting and bookkeeping system and to the underlying accounting and other relevant records. For this purpose the Grantee(s) shall prepare and keep appropriate reconciliations, supporting schedules, analyses and breakdowns for inspection and verification.

Right of access

- 15.3. The Grantee(s) shall allow verifications to be carried out by IUCN, the European Commission, the European Anti-Fraud Office, the European Court of Auditors and any external auditor authorised by IUCN. The Grantee(s) have to take all steps to facilitate their work.
- 15.4. The Grantee(s) shall allow the above entities to:
- k. access the sites and locations at which the Project is implemented;
 - l. examine its accounting and information systems, documents and databases concerning the technical and financial management of the Project;
 - m. take copies of documents;
 - n. carry out on-the-spot checks;
 - o. conduct a full audit on the basis of all accounting documents and any other document relevant to the financing of the Project.
- 15.5. Additionally the European Anti-Fraud Office shall be allowed to carry out on-the-spot checks and inspections in accordance with the procedures laid down by the European Union legislation for the protection of the financial interests of the European Union against fraud and other irregularities.
- 15.6. Access given to agents of the European Commission, European Anti-Fraud Office and the European Court of Auditors and to any external auditor authorised by IUCN carrying out verifications shall be on the basis of confidentiality with respect to third parties, without prejudice to the obligations of public law to which they are subject.

Record keeping

- 15.7. The Grantee(s) shall keep all records, accounting and supporting documents related to this Agreement for five (5) years following the payment of the balance and for three (3) years in case of grants not exceeding fifty thousand euros (EUR 50,000), and in any case until any on-going audit, verification, appeal, litigation or pursuit of claim has been disposed of.
- They shall be easily accessible and filed so as to facilitate their examination and the Grantee(s) shall inform IUCN of their precise location.
- 15.8. All the supporting documents shall be available in the original form, including in electronic form.
- 15.9. In addition to the reports mentioned Article 6 “Reporting” of the Special Conditions, the documents referred to in this Article include:
- w. Accounting records (computerised or manual) from the Grantee(s)’s accounting system such as general ledger, sub-ledgers and payroll accounts, fixed assets registers and other relevant accounting information;
 - x. Proof of procurement procedures such as tendering documents, bids from tenderers and evaluation reports;
 - y. Proof of commitments such as contracts and order forms;

- z. Proof of delivery of services such as approved reports, time sheets, transport tickets, proof of attending seminars, conferences and training courses (including relevant documentation and material obtained, certificates), etc;
- aa. Proof of receipt of goods such as delivery slips from suppliers;
- bb. Proof of completion of works, such as acceptance certificates;
- cc. Proof of purchase such as invoices and receipts;
- dd. Proof of payment such as bank statements, debit notices, proof of settlement by the contractor;
- ee. Proof that taxes and/or VAT that have been paid cannot actually be reclaimed;
- ff. For fuel and oil expenses, a summary list of the distance covered, the average consumption of the vehicles used, fuel costs and maintenance costs;
- gg. Staff and payroll records such as contracts, salary statements and time sheets. For local staff recruited on fixed-term contracts, details of remuneration paid, duly substantiated by the person in charge locally, broken down into gross salary, social security charges, insurance and net salary. For expatriate and/or European-based staff (if the Project is implemented in Europe) analyses and breakdowns of expenditure per month of actual work, assessed on the basis of unit prices per verifiable block of time worked and broken down into gross salary, social security charges, insurance and net salary.

ARTICLE 16 — FINAL AMOUNT OF THE GRANT

Final amount

- 16.1. The Grant may not exceed the maximum ceiling in Article 1 “Grant” of the Special Conditions either in terms of the absolute value or the percentage stated therein.

If the eligible costs of the Project at the end of the Project are less than the estimated eligible costs as referred to in Article 1 of the Special Conditions, the Grant shall be limited to the amount obtained by applying the percentage laid down in Article 4.2 of the Special Conditions to the eligible costs of the Project approved by IUCN.

- 16.2. In addition and without prejudice to its right to terminate this Agreement pursuant to Article 11, if the Project is implemented poorly or partially - and therefore not in accordance with the Description of the Project in Attachment 1 - or late, IUCN may, by a duly reasoned decision and after allowing the Grantee(s) to submit its observations, reduce the initial Grant in line with the actual implementation of the Project and in accordance with the terms of this Agreement. This applies as well with regards to the visibility obligations set out in Article 6.

No profit

- 16.3. The Grant may not produce a profit for the Grantee(s), unless specified otherwise in Article 7 of the Special Conditions. Profit is defined as a surplus of the receipts over the eligible costs approved by IUCN when the Request for Payment of the balance is made.

- 16.4. The receipts to be taken into account are the consolidated receipts on the date on which the Payment Request for the balance is made by the Grantee(s) that fall within one of the two following categories:
- e. income generated by the Project, unless otherwise specified in the Special Conditions;
 - f. financial contributions specifically assigned by the donors to the financing of the same eligible costs financed by this Agreement. Any financial contribution that may be used by the Grantee(s) to cover costs other than those eligible under this Agreement or that are not due to the donor where unused at the end of the Project are not to be considered as a receipt to be taken into account for the purpose of verifying whether the Grant produces a profit for the Grantee(s).
- 16.5. Where the final amount of the Grant determined in accordance with the Agreement would result in a profit, it shall be reduced by the percentage of the profit corresponding to the final IUCN contribution to the eligible costs actually incurred approved by IUCN.

ARTICLE 17 — RECOVERY

Recovery

- 17.1. If any amount is unduly paid to the Grantee(s) or if recovery is justified under the terms of this Agreement, the Grantee(s) undertakes to repay IUCN these amounts.
- 17.2. In particular, payments made do not preclude the possibility for IUCN to issue a recovery order following an expenditure verification report, an audit or further verification of the payment request.
- 17.3. If a verification reveals that the methods used by the Grantee(s) to determine unit costs, lump sums or flat-rates are not compliant with the conditions established in this Agreement and, therefore an undue payment has been made, IUCN shall be entitled to recover proportionately up to the amount of the unit costs, lump sums or flat rate financing.
- 17.4. The Grantee(s) undertakes to repay any amounts paid in excess of the final amount due to IUCN within forty-five (45) days of the issuing of the debit note, the latter being the letter by which IUCN requests the amount owed by the Grantee(s).

MISCELLANEOUS PROVISIONS

ARTICLE 18 – NO PARTNERSHIP

The legal relationship of IUCN and the Grantee(s) to each other under this Agreement shall be that of independent contractors and nothing in this Agreement shall be deemed in any way to create a partnership, an employee-employer relationship, an agency or joint venture between IUCN and the Grantee(s). Neither Party shall have any power or authority to bind or commit the other.

ARTICLE 19 - ENVIRONMENT AND SOCIAL MANAGEMENT SYSTEM

- 19.1. IUCN has developed and applies an environment and social management system (“ESMS”) which guides all projects implemented and supported by IUCN. The

purpose of the ESMS is to systematically screen projects on potential environmental and social risks and identify ways to avoid, minimize or mitigate them while enhancing positive impacts.

- 19.2. In the context of implementation of the Project, the Grantee(s) shall abide by the ESMS Standards and Principles available at https://www.iucn.org/knowledge/project_management_tools/ which by signing this Agreement, the Grantee(s) confirms it has reviewed and accepted and shall comply with any specific requirements resulting from ESMS screening and assessments.

ARTICLE 20 - COMPLIANCE

- 20.1. The Grantee(s) represents and warrants compliance at any time with any laws that apply in the jurisdiction in which the Grantee(s) is operating or carrying out this Agreement, including, but not limited to, anti-bribery laws, employment and social security laws and tax laws.
- 20.2. The Grantee(s) represents and warrants that it is legally registered, authorised to do business and/or has procured any necessary permits or licenses required to carry out this Agreement in the jurisdiction of Project implementation and to grant IUCN the rights described in Article 7 (Ownership/Use of Rights).

ATTACHMENT 3

BEST 2.0 Procurement Policies and Procedures

Prior to undertaking any purchases of goods or services with Grant funds, the Grantee is required to have institutional procurement policies in effect that are substantially the same as those listed below. The specific procurement procedures listed in section II are applicable to all purchases of goods/services with Grant funds, and must be followed in all cases.

I. POLICIES

- A. All purchases of goods and services must be made with complete impartiality based solely on the merits of supplier proposals, including such considerations as cost, quality, delivery and payment terms. No employee, officer, or agent of Grantee may participate in the selection, award, or administration of a contract if an actual or apparent conflict of interest would arise.
- B. The Grantee is responsible for ensuring that all equipment is received in good condition. The Grantee must examine and test goods upon receipt to ensure that the vendor has met all terms and conditions of the purchase agreement.
- C. All purchases of services, from individuals or organizations, must be made on the basis of a written contract which must set forth in detail the relevant terms of the contract including, without limitation, the proposed scope of work, deliverables, amounts and terms of payment, timelines and the Parties' relative responsibilities and liabilities for non-performance.
- D. The Grantee must ensure that adequate insurance is obtained for the actual replacement value of any equipment purchased.
- E. Procurement contracts may be entered into only with responsible suppliers who are reputable, well established and are suppliers of the type of goods and services being purchased in the normal course of business. No award shall be made to a supplier who has engaged in corrupt or fraudulent practices in competing for or executing the contract in question.

II. PROCUREMENT PROCEDURES

- A. Purchases of goods and services with a unit cost of less than five thousand euros (EUR 5 000) may be made 'off the shelf.' No specific number of bids is required.
- B. Purchases of goods with a unit cost of more than five thousand euros (EUR 5 000) but less than fifty thousand euros (EUR 50 000) must be based on written quotations received from at least three potential suppliers. Quotations must include the price, the description and quantity of the goods, as well as the delivery time and place.
 - i. Grantees are advised to initially request more than three quotations.

- ii. If there are at least three potential suppliers of the goods at competitive prices and in Grantee's country, Grantee may purchase in that jurisdiction without requesting quotations from potential suppliers located in foreign countries.
 - iii. If this is not the case, then Grantee must request quotations from suppliers in at least two different countries, including the country where Grantee's main office is located. Quotations for foreign goods offered by a firm located in Grantee's country are considered as quoted from abroad for purposes of satisfying the "two different countries" rule. This is applicable, by way of example and not limitation, to items such as computers, and vehicles that are normally imported by dealers of the foreign manufacturers who are also able to provide after sales services.
- C. Purchases of Services in excess of five thousand euros (EUR 5 000) but less than fifty thousand euros (EUR 50 000) must be based on a comprehensive Terms of Reference specifying in detail the necessary subject area qualifications and expected outputs. Statements of interest or CVs must be received from at least three potential firms or individuals.
 - i. All purchases of services must be memorialized in written documentation that includes fixed outputs and specific payment terms.
 - ii. Fees may be paid on an hourly/daily rate, or on a fixed fee basis. All fees paid to individuals must be consistent with previous salary/fee history, as documented in a CV.
 - iii. File documents must reflect clearly the list of individuals or firms invited to bid, the statements of interest or CVs, salary/fee history, and rationale for selection.
- D. Purchases of goods and services with a unit cost in excess of fifty thousand euros (EUR 50 000) are subject to special competitive bidding procedures.
 - i. Such purchases are not allowed without separate written authorization from IUCN.
 - ii. In the event that purchases in excess of fifty thousand euros (EUR 50 000) are authorized, IUCN shall provide Grantee with detailed instructions on bidding requirements that Grantee shall comply with.

ATTACHMENT 4

BEST 2.0 Credit and Logo Usage Policy

The Grantee(s) shall publicise the project and its results taking account of the guidance provided in the Communication and Visibility Manual for European Union External Actions which can be found here: https://ec.europa.eu/europeaid/sites/devco/files/communication_and_visibility_manual_en_0.pdf

The Grantee(s) shall take all necessary steps to publicise the fact that the BEST 2.0 Programme funded by the European Union has financed or co-financed the Project.

The Grantee(s) shall acknowledge the European Union's financial contribution in information given to the final recipients of the project, in its internal and annual reports, and in any dealings with the media.

Any notice or publication by the Grantee(s) concerning the Project, including those given at conferences or seminars, shall specify that the Project has received European Union funding through the BEST 2.0 Programme. Any publication by the Grantee(s), in whatever form and by whatever medium, including the internet, shall include the following statement: *'This document has been produced with the financial assistance of the European Union. The contents of this document are the sole responsibility of < Grantee(s)'s name > and can under no circumstances be regarded as reflecting the position of the European Union.'*

The Grantee(s) shall acknowledge the support given by the Union in all documents and media produced in the framework of the project, using the BEST logo and the EU logo provided by the BEST 2.0 Secretariat.

The logos should be clearly displayed and should enjoy equal prominence (i.e. the two logo areas should be of equal size).

The EU and BEST logos may not be referred to as a certified quality label or eco-label. Their use shall be restricted to dissemination activities.

For audio-visual material, the credits at the beginning and/or at the end shall include an explicit and readable mention to the BEST 2.0 financial support (e.g. *"With the contribution of the BEST 2.0 Programme funded by the European Union"*).

Annex 24: Final Report Template - Swift Small Grants

BEST 2.0 Swift Small Grant Final Technical Report

**** All red text should be deleted before the report is submitted ****

This report should be a stand-alone document describing all of the work completed during the entire project duration. It is important that the report is complete and accurate.

Project Details

Project title:		
Project reference number:		
BEST 2.0 region:		
Targeted OCT(s):		
Name of the lead beneficiary:		
Project start date:		
Project end date:		
Value of BEST 2.0 grant awarded (€):		
Total project budget (€):		
Names of any associated beneficiaries:	1.	
	2.	
	3.	
Names of any affiliated entities:	1.	
	2.	

Report Information

Date report submitted:	
Name of project contact person:	
Email address of contact person:	

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*The table above should be updated – page numbers only – before the report is submitted.
Left click on table and select 'update field' then 'update page numbers only'.*

List of Acronyms & Abbreviations

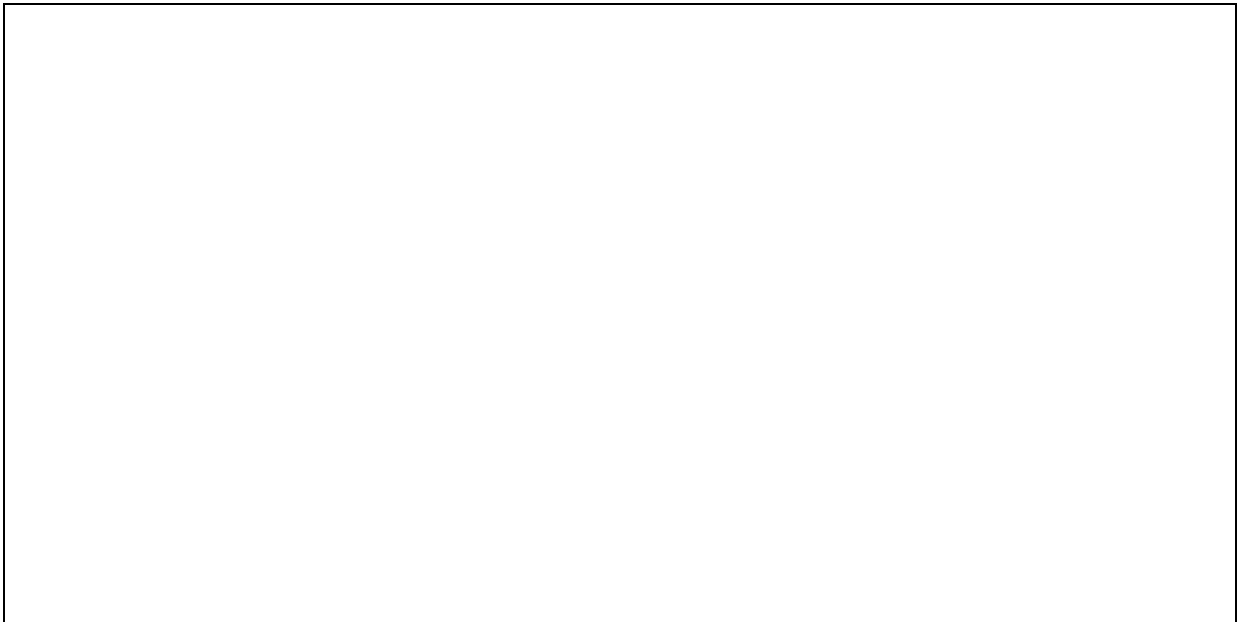
Guidance:

- *There is no word limit for the various sections. Responses should contain all of the relevant information in a concise way. It is important to ensure that the information included is complete and accurate.*
- *If you have already answered a question in one section do not repeat the information in another section but refer back to the previous section.*
- *When making statements of progress or impact please ensure you refer as much as possible to sources of evidence based on the indicators in your project logical framework.*

1. Project overview

Provide a brief overview of the project including information on:

- *The location of the project activities (with a map if possible).*
- *The target species, habitats, ecosystem services etc.*
- *A description of the problem the project aimed to address.*
- *The project's approach to addressing the problem.*
- *What the project aimed to achieve.*



2. Achievement of the project results and purpose

Explain whether the project has achieved the intended results and purpose (as contained in the logical framework submitted with your proposal).

If not explain the reasons why.

You should:

- *Highlight any tangible impacts the project has had in terms of biodiversity conservation/ sustainable use of natural resources/climate change adaptation and mitigation/ ecosystem services.*

- *Highlight any achievements from a local human development perspective (e.g. social/economic benefits).*
- *Assess whether the project has had any unforeseen positive or negative results.*

3. Work completed under each project activity

Describe the work completed for each of the activities foreseen in your proposal highlighting and explaining:

4. *Any activities that have not been completed.*
5. *Any deliverables/outputs as a result of the work.*
6. *Any changes in approach from the original project design¹⁶.*
7. *Any problems encountered (e.g. delays, cancellation of activities) and how they were addressed (if relevant).*

¹⁶ Any substantial change must be notified to the BEST 2.0 Secretariat and the relevant BEST 2.0 Regional Hub through a request for an addendum to the grant contract prior to the end date of the project. The BEST 2.0 Secretariat reserves the right to accept or to refuse the request.

8. Stakeholder engagement

Describe the support or engagement between all key stakeholders and the project.

- *To what extent have stakeholders been involved in the project to date?*
- *Highlight any particular achievements, lessons learnt or challenges with regards to the engagement with/participation of the different stakeholders.*

9. Capacity building

Provide details of any capacity building activities conducted (if relevant), including:

- *Details of how the project has supported capacity building within the territory e.g. institutional/organisational development, training and human resources development, sustainable financing, enabling environment etc.).*
- *Tangible evidence (facts/figures) of increased capacity of institutions/individuals within the targeted territory(ies) and region.*

10. Communication and project visibility

Discuss the profile of the project within the territory(ies) and describe any communication or visibility activities undertaken (e.g. events, workshops, media events etc.) to raise the profile of the project and the BEST 2.0 programme detailing:

- The groups targeted by each activity.*
- Any communication products produced (brochures, leaflets, videos, website, social media etc.), including figures for dissemination where possible.*

11. Sustainability and replicability

- Explain how the project work/outcomes will be sustained beyond the end of the BEST 2.0 funding.*
- Highlight any project activities that will be continued.*
- Describe the expected long-term benefits of the project and provide an assessment of the potential for the replication/transfer of the project lessons/results.*

12. Lessons learnt

This can include lessons from all levels including administrative, management, technical, and M&E e.g.

- *What worked well, and what did not work so well during the project?*
- *If you had to do the project again, what would you do differently?*
- *What recommendations would you make to others doing similar projects?*
- *How are you going to build this learning into your organisation's future plans?*

13. Safeguard policy assessment

Provide a summary of any environmental and social safeguard issues that have arisen and any action taken to address them (if relevant).

14. Additional comments/information

Add any additional comments/information not covered by the other sections in this report.

15. Achievements against the project logical framework

Report of achievements against the project logical framework (repeat the logical framework from your proposal and include the necessary reporting)

Project summary	Indicator(s)	Achievements and reporting against indicators
Overall Objective Insert original project Impact statement		(The contribution the project has made towards the achievement of the overall objective)
Purpose (Insert original project purpose statement)	(Insert original purpose level indicators)	(To what extent has the project purpose in the logical framework been achieved – data based on the indicators in your logical framework should be provided)
Result 1. (Insert original result with activities relevant to that result in the lines below)	(Insert original result level indicators)	(To what extent has this result been achieved – data based on the indicators in your logical framework should be provided)
Activity 1.1 Insert activities relevant to this output	Deliverables/products	(Insert the deliverables/products/outputs produced)
Activity 1.2 Etc.	Deliverables/products	(Insert the deliverables/products/outputs produced)
Result 2. (Insert original result with activities relevant to that result in the lines below)	(Insert original result level indicators)	(To what extent has this result been achieved – data based on the indicators in your logical framework should be provided)
Activity 2.1.	Deliverables/products	(Insert the deliverables/products/outputs produced)
Activity 2.2.	Deliverables/products	(Insert the deliverables/products/outputs produced)

Result 3.		
Activity 3.1.	Deliverables/products	(Insert the deliverables/products/outputs produced)
Activity 3.2. Etc.	Deliverables/products Etc.	(Insert the deliverables/products/outputs produced) Etc.

Submission Checklist

(Please ensure that you have included all of the following before submitting your report)

	Check
Standard request for payment	<input type="checkbox"/>
Financial report (signed) covering expenditure up to the end of the reporting period	<input type="checkbox"/>
All relevant documents as annexes	<input type="checkbox"/>

16. Annexes

Please include any relevant deliverables as annexes to this report.

-

Annex 25: Final Financial Report Template – Swift Small Grants



Financial Report Template

Swift Small Grant

BEST 2.0 grant value: **up to 50,000 €**

Nota Bene

The beneficiary(ies) alone is responsible for ensuring that the financial information provided in these tables is correct.

Type of costs:

- (a) simplified costs option - unit cost, lumpsum or flat rate
- (b) actually incurred costs option
- (c) combination of (a) and (b)

Final Report

Additional information on expenditure incurred in local or other currencies than the euro (or the currency of the Contract) may be requested by the BEST 2.0 Secretariat

Final Report

The report must show the expenditure incurred for each line of the approved project budget.

Roundings

Figures have to be rounded to the nearest euro cent

Final sources of funding

		Amount
		EUR
Applicant(s) contribution		
Other contributions (other Donors etc)		
<i>Name</i>	<i>Description</i>	
Revenue from the Action		
TOTAL		

Signed

List of Pending payments (above 500 EUR)

Please list the following details: Name of the provider, Object of the contract (Final Audit, Works execution guarantee...), Amount in €, Due date, Reference document (Date and number of Invoice/ contract), Explanation and comments (why still not paid?)

Name of the provider	Object of the contract	Amount in EUR	Due date	Reference document	Explanation and comments

Annex 26: Interim Technical Report Template – Small and Medium Grants

BEST 2.0 Interim Technical Report

**** All red text should be deleted before the report is submitted ****

This report should describe all of the work completed during the reporting period. It is important that the report is complete and accurate.

Project Details

Project title:		
Project reference number:		
BEST 2.0 region:		
Targeted OCT(s):		
Name of the lead beneficiary:		
Project start date:		
Project end date:		
Value of BEST 2.0 grant awarded (€):		
Total project budget (€):		
Names of any associated beneficiaries:	1.	
	2.	
	3.	
	4.	
Names of any affiliated entities:	1.	
	2.	

Report Information

Date report submitted:	
Time period covered by this report:	<insert start date > to <insert end date>
Name of project contact person:	
Email address of contact person:	

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The table above should be updated – page numbers only – before the report is submitted. Left click on table and select ‘update field’ then ‘update page numbers only’.

List of Acronyms and Abbreviations

Guidance:

- *There is no word limit for the various sections. Responses should contain all of the relevant information in a concise way. It is important to ensure that the information included is complete and accurate.*
- *If you have already answered a question in one section do not repeat the information in another section but refer back to the previous section.*
- *When making statements of progress or impact please ensure you refer as much as possible to sources of evidence based on the indicators in your project logical framework.*

1. Project overview

Provide a brief overview of the project including:

- *The location of the project activities (with a map if possible).*
- *The target species, habitats, ecosystem services etc.*
- *A description of the problem the project aims to address.*
- *The project's approach to addressing the problem.*
- *What the project aims to achieve.*

2. Assessment of continued relevance and feasibility of the project

- *Assess whether the project objectives are still relevant and achievable.*
- *Describe any changes to the external context that might affect your ability to achieve the project objectives or to implement the project activities in line with the work plan in your proposal.*

3. Highlights from the reporting period

Please describe any noteworthy milestones or achievements that have occurred during the reporting period. These can be in the form of bullet points.

4. Progress towards achieving the project results and purpose

Please describe the progress made towards the achievement of the project results and purpose (as contained in the logical framework submitted with your proposal).

- Are they likely to be achieved by the end of the project?*
- If not, what action have you taken/will you take to ensure the situation can be improved?*

5. Progress in carrying out the project activities

Describe the work completed during the reporting period for each of the activities foreseen in your proposal, indicating and explaining:

- *Any changes in approach from the original project design¹⁷.*
- *Any deliverables/outputs as a result of the work.*
- *Any problems encountered (e.g. delays, cancellation of activities) and how they are being / will be addressed (if relevant).*

6. Stakeholder engagement

Describe the support or engagement between all key stakeholders and the project.

- *To what extent have stakeholders been involved in the project to date?*
- *Highlight any particular achievements, lessons learnt or challenges with regards to the engagement with/participation of the different stakeholders.*

¹⁷ Any substantial change must be notified to the BEST 2.0 Secretariat and the relevant BEST 2.0 Regional Hub through a request for an addendum to the grant contract prior to the end date of the project. The BEST 2.0 Secretariat reserves the right to accept or to refuse the request.

7. Capacity building

Provide details of any capacity building activities conducted, including:

- *Details of how the project has supported capacity building within the territory e.g. institutional/organisational development, training and human resources development, sustainable financing, enabling environment etc.).*
- *Tangible evidence (facts/figures) of increased capacity of institutions/individuals within the targeted territory(ies) and region.*

8. Communication and project visibility

Discuss the profile of the project within the territory(ies) and the region and describe any communication or visibility activities undertaken (e.g. events, workshops, media events etc.) to raise the profile of the project and the BEST 2.0 programme detailing:

- *The groups targeted by each activity.*
- *Any communication products produced (brochures, leaflets, videos, website, social media etc.), including figures for dissemination where possible. (Please add pdf copies in the annexes of your report)*

9. Sustainability and replicability

- *How do you plan to ensure a sustained legacy (e.g., social, economic, ecological, technical etc.) of your project outcome; is your planned exit strategy still valid; are you planning to make changes to what was originally proposed?*

10. Lessons learnt

This can include lessons from all levels including administrative, management, technical, and M&E. E.g.

- *What has worked well, and what has not worked so well during the reporting period?*
- *If you had to do it again, what would you do differently?*
- *What recommendations would you make to others doing similar projects?*
- *How are you going to build this learning into the project and future plans?*

11. Safeguard policy assessment

Provide a summary of any environmental and social safeguard issues that have arisen and any action taken to address them (if relevant).

12. Any other comments on progress

Add any additional comments/information not covered by the other sections in this report.

13. Progress and achievements against the project logical framework

Report of achievements against the project logical framework (repeat the logical framework from your proposal and include the necessary reporting)

Project summary	Indicator(s)	Progress and Achievements for the reporting period	Actions required/planned for the next reporting period
Overall Objective Insert original project Impact statement		(The contribution the project has made towards the achievement of the overall objective)	
Purpose (Insert original project purpose statement)	(Insert original purpose level indicators)	(Progress towards achieving the project purpose)	
Result 1. (Insert original result with activities relevant to that result in lines below)	(Insert original result level indicators)	(Report general progress against this result and the appropriateness of indicator(s) in the logical framework. Data should be provided if available.)	
Activity 1.1 Insert activities relevant to this output	Deliverables/products	(Report on progress and note any deliverables/products produced)	(What will be done during the next reporting period?)
Activity 1.2 Etc.	Deliverables/products	(Report on progress and note any deliverables/products produced)	(What will be done during the next reporting period?)
Result 2. (Insert original result)	(Insert original result level indicators)	(Report general progress against this result and the appropriateness of indicator(s) in the logical framework. Data should be provided if available.)	
Activity 2.1.	Deliverables/products	(Report on progress and note any deliverables/products produced)	(What will be done during the next reporting period?)
Activity 2.2.	Deliverables/products	(Report on progress and note any deliverables/products produced)	(What will be done during the next reporting period?)

Result 3. (Insert original result)	(Insert original result level indicators)	(Report general progress against this result and the appropriateness of indicator(s) in the logical framework. Data should be provided if available.)	
Activity 3.1.	Deliverables/products	(Report on progress and note any deliverables/products produced)	(What will be done during the next reporting period?)
Activity 3.2.	Deliverables/products	(Report on progress and note any deliverables/products produced)	(What will be done during the next reporting period?)

Submission Checklist

(Please ensure that you have included all of the following before submitting your report)

	Check
Standard request for payment	<input type="checkbox"/>
Financial report (signed) covering expenditure up to the end of the reporting period	<input type="checkbox"/>
All relevant documents as annexes	<input type="checkbox"/>

14. Annexes

Please include any relevant deliverables as annexes to this report.

Annex 27: Interim and Final Financial Report Template – Small and Medium Grants



Financial report template:

- BEST 2.0 grant value
1. *Small Grants* **up to 100,000€**
 2. *Medium Grants* **from 100,000 to 400,000€**

Nota Bene

The beneficiary(ies) alone is responsible for ensuring that the financial information provided in these tables is correct.

Forecast budget and follow-up

A forecast budget for the subsequent reporting period or for the remaining period (if shorter) must be provided with any request for payment of further pre-financing instalment.

Interim Report & Final Report

Additional information on expenditure incurred in local or other currencies than the euro (or the currency of the Contract) may be requested by the BEST 2.0 Secretariat

Interim Report & Final Report

The reports must show the expenditure incurred for each line of the approved project budget.

Addenda and use of contingencies

To be filled in case of an addendum and/or when contingencies are used.

Roundings

Figures have to be rounded to the nearest euro cent.

Grant Agreement n°:	<Insert BEST 2.0 Grant Agreement N°>
Implementation period of the contract:	(dd/mm/yyyy-dd/mm/yyyy)

Forecast budget & follow-up

[illegible]

5.6 Financial services (bank guarantee costs etc.)									
5.7 Costs of conferences/seminars									
5.8 Visibility actions									
Subtotal Other costs, services									
6. Other									
Subtotal Other									
7. Subtotal direct eligible costs of the Action (1-6)									
8. Indirect costs (maximum 7% of 7, subtotal of direct eligible costs of the Action)									
9. Total eligible costs of the Action (7+ 8)									
10. Provision for contingency reserve (maximum 5% of 7, subtotal of direct eligible costs of the Action)									
11. Total eligible costs (9+10)									

8. Indirect costs (maximum 7% of 7, subtotal of direct eligible costs of the Action)					
9. Total eligible costs of the Action (7+ 8)					
10. Provision for contingency reserve (maximum 5% of 7, subtotal of direct eligible costs of the Action)					
11. Total eligible costs (9+10)					

Grant Agreement n°:	<Insert BEST 2.0 Grant Agreement N°>
Implementation period of the contract:	(dd/mm/yyyy-dd/mm/yyyy)

[illegible]

Start: <Insert start date (dd/mm/yyyy)>
End: <Insert start date (dd/mm/yyyy)>

[illegible]

Final sources of funding

		Amount
		EUR
Applicant(s) contribution		
Other contributions (other Donors etc)		
<i>Name</i>	<i>Description</i>	
Revenue from the Action		
TOTAL		

Signed

List of Pending payments (above 500 EUR)

Please list the following details: Name of the provider, Object of the contract (Final Audit, Works execution guarantee...), Amount in €, Due date, Reference document (Date and number of Invoice/ contract), Explanation and comments (why still not paid?)

Name of the provider	Object of the contract	Amount in EUR	Due date	Reference document	Explanation and comments

Annex 28: Final Technical Report Template - Small and Medium Grants

BEST 2.0 Final Technical Report

** All red text should be deleted before the report is submitted **

This report should be a stand-alone document describing all of the work completed during the entire project duration. It is important that the report is complete and accurate.

Project Details

Project title:		
Project reference number:		
BEST 2.0 region:		
Targeted OCT(s):		
Name of the lead beneficiary:		
Project start date:		
Project end date:		
Value of BEST 2.0 grant awarded (€):		
Total project budget (€):		
Names of any associated beneficiaries:	1.	
	2.	
	3.	
	4.	
Names of any affiliated entities:	1.	
	2.	

Report Information

Date report submitted:	
Name of project contact person:	
Email address of contact person:	

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*The table above should be updated – page numbers only – before the report is submitted.
Left click on table and select 'update field' then 'update page numbers only'.*

List of Acronyms & Abbreviations

e.g.	
CBD	Convention on Biological Diversity

Guidance:

- *There is no word limit for the various sections. Responses should contain all of the relevant information in a concise way. It is important to ensure that the information included is complete and accurate.*
- *If you have already answered a question in one section do not repeat the information in another section but refer back to the previous section.*
- *When making statements of progress or impact please ensure you refer as much as possible to sources of evidence based on the indicators in your project logical framework.*

1. Project overview

Provide a brief overview of the project including information on:

- *The location of the project activities (with a map if possible).*
- *The target species, habitats, ecosystem services etc.*
- *A description of the problem the project aimed to address.*
- *The project's approach to addressing the problem.*
- *What the project aimed to achieve.*



2. Achievement of the project results and purpose

Explain whether the project has achieved the intended results and purpose (as contained in the logical framework submitted with your proposal).

If not explain the reasons why.

You should:

- *Highlight any tangible impacts the project has had in terms of biodiversity conservation/ sustainable use of natural resources/climate change adaptation and mitigation/ ecosystem services.*
- *Highlight any achievements from a local human development perspective (e.g. social/economic benefits).*

- *Assess whether the project has had any unforeseen positive or negative results.*

3. Work completed under each project activity

Describe the work completed for each of the activities foreseen in your proposal highlighting and explaining:

- 17. Any activities that have not been completed.*
- 18. Any deliverables/outputs as a result of the work.*
- 19. Any changes in approach from the original project design¹⁸.*
- 20. Any problems encountered (e.g. delays, cancellation of activities) and how they were addressed (if relevant).*

¹⁸ Any substantial change must be notified to the BEST 2.0 Secretariat and the relevant BEST 2.0 Regional Hub through a request for an addendum to the grant contract prior to the end date of the project. The BEST 2.0 Secretariat reserves the right to accept or to refuse the request.

4. Stakeholder engagement

Describe the support or engagement between all key stakeholders and the project.

- *To what extent have stakeholders been involved in the project to date?*
- *Highlight any particular achievements, lessons learnt or challenges with regards to the engagement with/participation of the different stakeholders.*

5. Capacity building

Provide details of any capacity building activities conducted (if relevant), including:

- *Details of how the project has supported capacity building within the territory e.g. institutional/organisational development, training and human resources development, sustainable financing, enabling environment etc.).*
- *Tangible evidence (facts/figures) of increased capacity of institutions/individuals within the targeted territory(ies) and region.*

6. Communication and project visibility

Discuss the profile of the project within the territory(ies) and describe any communication or visibility activities undertaken (e.g. events, workshops, media events etc.) to raise the profile of the project and the BEST 2.0 programme detailing:

- The groups targeted by each activity.*
- Any communication products produced (brochures, leaflets, videos, website, social media etc.), including figures for dissemination where possible.*

7. Sustainability and replicability

- Explain how the project work/outcomes will be sustained beyond the end of the BEST 2.0 funding.*
- Highlight any project activities that will be continued.*
- Describe the expected long-term benefits of the project and provide an assessment of the potential for the replication/transfer of the project lessons/results.*

8. Lessons learnt

This can include lessons from all levels including administrative, management, technical, and M&E e.g.

- *What worked well, and what did not work so well during the project?*
- *If you had to do the project again, what would you do differently?*
- *What recommendations would you make to others doing similar projects?*
- *How are you going to build this learning into your organisation's future plans?*

9. Safeguard policy assessment

Provide a summary of any environmental and social safeguard issues that have arisen and any action taken to address them (if relevant).

10. Additional comments/information

Add any additional comments/information not covered by the other sections in this report.

11. Achievements against the project logical framework

Report of achievements against the project logical framework (repeat the logical framework from your proposal and include the necessary reporting)

Project summary	Indicator(s)	Achievements and reporting against indicators
Overall Objective Insert original project Impact statement		(The contribution the project has made towards the achievement of the overall objective)
Purpose (Insert original project purpose statement)	(Insert original purpose level indicators)	(To what extent has the project purpose in the logical framework been achieved – data based on the indicators in your logical framework should be provided)
Result 1. (Insert original result with activities relevant to that result in the lines below)	(Insert original result level indicators)	(To what extent has this result been achieved – data based on the indicators in your logical framework should be provided)
Activity 1.1 Insert activities relevant to this output	Deliverables/products	(Insert the deliverables/products/outputs produced)
Activity 1.2 Etc.	Deliverables/products	(Insert the deliverables/products/outputs produced)
Result 2. (Insert original result with activities relevant to that result in the lines below)	(Insert original result level indicators)	(To what extent has this result been achieved – data based on the indicators in your logical framework should be provided)
Activity 2.1.	Deliverables/products	(Insert the deliverables/products/outputs produced)
Activity 2.2.	Deliverables/products	(Insert the deliverables/products/outputs produced)

Result 3.		
Activity 3.1.	Deliverables/products	(Insert the deliverables/products/outputs produced)
Activity 3.2. Etc.	Deliverables/products Etc.	(Insert the deliverables/products/outputs produced) Etc.

Submission Checklist

(Please ensure that you have included all of the following before submitting your report)

	Check
Standard request for payment	<input type="checkbox"/>
Financial report (signed) covering expenditure up to the end of the reporting period	<input type="checkbox"/>
All relevant documents as annexes	<input type="checkbox"/>

12. Annexes

Please include any relevant deliverables as annexes to this report.

Annex 29: Technical Site Visit Report

BEST 2.0 - Technical Site Visit Report

Project Title:	Insert project title
Project reference number:	Insert reference number
Name of lead applicant:	Insert lead applicant name
Name of Individual(s) conducting the visit	Click here to enter a date.
Date(s) of visit:	
Project site(s)/area(s) visited:	Click here to insert text

1. Overall impression of the project

Qualitative description of the project's current status.

--

2. Overall performance rating

- | | |
|--|---|
| <input type="checkbox"/> Significantly exceeding targets | <input type="checkbox"/> Slightly missed targets |
| <input type="checkbox"/> Exceeding targets | <input type="checkbox"/> Significantly missed targets |
| <input type="checkbox"/> Meeting targets | <input type="checkbox"/> Unable to determine |

--

3. Specific observations on objectives/activities:

Progress towards objectives/activities, timeline management, consistency with progress reported, unreported impacts noted.

--

4. Key contributions achieved toward BEST 2.0 objectives:

--

5. Project adjustments-to-date:

Changes to the workplan – if noted were they discussed? Have formal changes been required – and if so have they been done? Overall notes on adaptive management.

6. Assessment of financial management:

Percent through project vs. percent of funding spent. Is spending rate consistent with activities completed and duration of project? Is it consistent with cash flow projections submitted to BEST 2.0 Secretariat? Any financial spending or compliance issues to be addressed (including procurement)?

7. Partnerships and leveraging:

Highlight interesting partnership examples and/or funding for the project or the organization as a result of the project. Has the project reached stated co-funding goals? Project sustainability.

8. Assessment of dissemination/communication activities:

Number of communication events, stories, products, press releases. Display of BEST logo on website, communication products. Traffic on website, social media...

9. Safeguard issues:

Has the project required mitigation for safeguards listed in the application? Have any safeguard issues raised in the application or during implementation been addressed?

10. Recommendations and follow-up:

Annexes:

1. Agenda of the site visit and people met (full list with function)
2. Documents or materials collected during the visit (*e.g. publications, reports, awareness raising materials etc.*)

Annex 1: Detailed agenda and list of individuals met**Agenda****Day 1**

Date and Time	Location (site)	Short description of discussions

Day 2

Date and Time	Location (site)	Short description of discussions

Individuals Met

Full name	Organisation	Role in the project	Contact details

Annex 30: Financial Site Visit Report

BEST 2.0 - Financial Site Visit Report

Project Title:	Insert project title
Project reference number:	Insert reference number
Name of lead applicant:	Insert lead applicant name
Name of Individual(s) conducting the visit	Click here to enter a date.
Date(s) of visit:	
Project site(s)/area(s) visited:	Click here to insert text

1. Overall impression of the financial management of the project:

--

2. Adequacy of the grantee's accounting system/procedures/policies:

--

3. Personnel costs and time registration system:

--

4. Procurement policy/procedures/approval process:

--

5. Inventories of equipment:

--

--

6. System for keeping supporting documents:

--

7. Control and recording of co-grantee expenditure:

--

8. Recommendations and follow-up:

--

Annexes:

1. Agenda of the visit and list of individuals met (full list with function)

Documents or materials collected during the visit (*e.g. publications, reports, awareness raising materials etc.*)

Annex 1: Detailed agenda and list of individuals met

Agenda

Day 1

Date and Time	Location (site)	Short description of discussions

Day 2

Date and Time	Location (site)	Short description of discussions

Individuals Met

Full name	Organisation	Role in the project	Contact details

Annex 31: Declaration of Impartiality and Confidentiality

Declaration of Impartiality and Confidentiality

Reference of the Call for Proposals: <Insert reference to the call (e.g. BEST 2.0 Medium Grants - Caribbean Region - 2015)>

I, the undersigned, [insert name], agree to participate in the evaluation of the above-mentioned call for proposals.

I hereby declare that:

- I have not granted, sought, attempted to obtain or accepted and will not grant, seek, attempt to obtain, or accept any advantage, financial or in kind, to or from any party whatsoever, constituting an illegal or corrupt practice, either directly or indirectly, as an incentive or reward relating to the BEST 2.0 programme;
- to my knowledge, I have no conflict of interest in relation to the organisations that have submitted an application in response to this call for proposals, including persons or members of a consortium. A conflict of interest may arise in particular as a result of economic interests, political or national affinities, family or emotional ties, or any other relevant connection or shared interest;
- I confirm that if I discover during the evaluation that such a conflict exists or might exist, I shall declare it immediately to the BEST 2.0 Secretariat. In the case that such a conflict is confirmed by the BEST 2.0 Secretariat, I agree to cease from participating in the Regional Advisory Committee;
- I confirm that I have familiarised myself with the information available to date concerning this call for proposals including the Regional Advisory Committee Experts Guidelines;
- I shall execute my responsibilities impartially and objectively. I further declare that, to the best of my knowledge, I am not in a situation that could cast doubt on my ability to evaluate the proposals;
- I shall maintain the strictest confidentiality in respect of all information acquired as a result of my involvement in the evaluation process of the above-mentioned call, as well as any information relating specifically to the object of this call.
- I undertake neither to disclose such information to any person who is not already authorized to have access to such information.
- I furthermore undertake to use this information only in the context, and for the purposes of, the evaluation of this specific call.

Signed:

Name:

Date:

Annex 32: Safeguards Aspects for BEST 2.0 Grants

IUCN Environmental and Social Management Framework (ESMF) – relevant extracts

The full IUCN Environmental and Social Management Framework (ESMF) document and related policies can be found at: <http://iucn.org/about/values/>

The ESMF defines environmental and social impacts as (i) any change, potential or actual, to the **physical, natural, or cultural environment**, and (ii) any **impact on people** resulting from the project or activity to be supported by IUCN.

Impacts on people, “social impacts”, include wellbeing, culture, community and political systems, personal and property rights, equity and health and safety.

While the main objective of IUCN projects is to realise positive environmental and social impacts, there is a recognition that unwanted negative environmental and social side effects from the projects may occur. Hence it is the purpose of the ESMS to minimize the negative impacts and maximize positive ones.

Recognizing that projects operate in complex social and environmental systems, the ESMF uses two lenses for focusing its approach on impact management. For one, the focus is set by the ESMF principles with particular emphasis on the rights and interests of women and of vulnerable groups such as poor, displaced, landless, persons with disabilities, elderly, children or ethnic minorities. The second lens is provided by the E&S Standards which present environmental and social policy areas that are of highest concern to IUCN (see chapter 3.4)

Each project is systematically screened on a wide range of potential negative environmental and social impacts that are covered by the definition above. The identification of impacts should not be limited to direct impacts but, as relevant, should also involve an assessment of potential indirect, cumulative and transboundary impacts.

E&S Standards

Involuntary resettlement and access restrictions. IUCN does not fund projects involving land acquisition and large-scale resettlement. However, some projects may include restrictions of access to natural resources, economic displacement, or small-scale relocation of activities and/or settlements that may be incompatible with conservation requirements. All project concepts are thus assessed for their potential to restrict access to natural resources. In case of expected impacts, a more detailed assessment is carried out, following an established process framework, and leading to the preparation of a specific Action Plan that describes the process and principles for determining restrictions, compensation and other mitigation measures. These are developed with the full participation of potential and actual affected persons and using the principle of free prior and informed consent.

Indigenous peoples. The objectives of the IUCN policy standard on indigenous peoples are to avoid adverse impacts on indigenous peoples and to provide them with benefits that are regarded by these groups as culturally appropriate. While IUCN projects are generally designed to enhance the benefits for both conservation and peoples, the indigenous peoples policy recognizes the distinct circumstances that expose these groups to different types of risks and impacts from development projects. As social groups with identities that are often distinct from dominant groups in their national societies, indigenous peoples are frequently

among the most marginalized and vulnerable segments of the population. At the same time the policy standard, together with the standard on involuntary resettlement, recognizes that indigenous peoples play a vital role in sustainable development and emphasizes that the need for conservation should be combined with the need to benefit indigenous peoples. Potential negative impacts of projects on indigenous peoples will be assessed as part of the ESMS and with the participation of affected communities. The requirements include social analysis to improve the understanding of the local context and affected communities, a process of free, prior, and informed consent (FPIC) and the development of project-specific measures to avoid adverse impacts and enhance culturally appropriate benefits.

Natural Habitats. The IUCN standard on protection of natural habitats is based on a series of IUCN resolutions, guidelines and tools that have been widely applied. These are aimed at enhancing positive conservation effects and not causing or facilitating loss or degradation of both critical and non-critical natural habitats, ecosystems (including forest ecosystems) and ecosystem services, and species. The ESMS procedures ensure that in case of any potential negative impacts on natural habitats, ecosystems and ecosystem services, alternatives are developed or appropriate mitigation or compensation measures are proposed.

Physical cultural resources (PCR). IUCN has consolidated its PCR-related policies and regulations in a standard that provides guidelines on how to avoid or minimize adverse impacts on PCR. A physical cultural resource can be: (a) a tangible, movable or immovable cultural property, site, building or group of buildings with paleontological, archaeological, historical, cultural, artistic, religious or symbolic value for a nation, people or community, or (b) a natural feature with cultural, religious or symbolic significance for communities associated with that feature. If PCRs are present in project areas and measures should be put in place to ensure that they are identified, adverse impacts to them are avoided and that a procedure is in place in case of a “chance find” of a resource during project execution. This is particularly relevant for projects that support development of protected area management plans and other land and natural resource use planning, projects that support alternative livelihood activities, and projects that include small infrastructure construction.

IUCN Policies as foundation of ESMF

IUCN has developed a wealth of policies which have been adopted in form of resolutions by IUCN Members at the Members Assemblies of the World Conservation Congresses.⁴ A substantial part of these policies deal with social and environmental matters and as such act as the foundation of the ESMF. The most relevant policies are summarized below.

IUCN has adopted a number of policies and resolutions addressing social issues. Of principal relevance are the *Policy on Social Equity in Conservation and Sustainable Use of Natural Resources*, adopted by the IUCN Council in February 2000, the Resolution WCC 1996-053 *Indigenous Peoples and Protected Areas*, adopted in 1996 at the WCC in Montreal and the *IUCN Policy on Conservation and Human Rights for Sustainable Development* adopted in 2012 (Resolution WCC 2012-099).

The Policy on Social Equity “calls for the integration and promotion of social equity as a fundamental condition for sustainable conservation and natural resource use. It recognizes social and economic factors that affect natural resource use and biological diversity, and the important linkages between human well-being and healthy ecosystems. It presents the goal of social equity in the context of IUCN’s overall mission and briefly provides a conceptualization of its rationale, and its implications for our efforts to conserve the integrity and diversity of nature”. Furthermore, it calls for an “effective and coherent strategy to ensure that conservation does not accentuate or perpetuate existing social, economic and cultural inequities and inequalities.”

IUCN has adopted a number of policies and resolutions addressing gender equality and women empowerment. Of vital significance is IUCN Policy on Gender Equity and Equality, adopted in 1998, revised in 2007 and adopted by Resolutions WCC 2008-005 *Mainstreaming Gender Equity and Equality within the Union*. Other important resolutions are WCC 1996-005 *Definition of a Gender Policy* (Montreal 1996); WCC 2000-028 *Gender Policy* (Amman 2000), WCC 2004-009 *Establishing Gender Equity as a Mandate in the Strategic Activities and Themes of IUCN* (Bangkok 2004).

IUCN Gender Policy states that “*IUCN’s commitment to gender equality and equity is Union wide and it should be an integral part of all policies, programs and projects*”. In addition Resolution WCC 2008-005 mandate “*that gender equity and equality are an imperative in the implementation of the IUCN Programme as well as annual plans of programmes, initiatives and projects carried out by the Secretariat*”.

With respect to biodiversity conservation, ecosystem management and sustainable use of natural resources, hundreds of policies have been produced in the past 60 years. A few examples are provided, including the most recent policies and guidelines on the IUCN Red List of Threatened Species, which reports on the conservation status of 62,000 species of animals and plants (see Resolution WCC 2012-017 on *Enhancing the Usefulness of the IUCN Red List*); the Resolution on *Biodiversity, protected areas and Key Biodiversity Areas* (WCC 2012-036) to ensure effective conservation planning inside and outside protected areas; policies on all types of ecosystems including forests (primary or not, tropical, temperate and boreal), in relation to biological diversity and forests (Resolution WCC 1996-020), forest certification (Resolution WCC 1996-022), corruption in the forest sector (Resolution WCC 2000-039), deforestation related to climate change (Resolution WCC 2008-134), primary forest conservation (Resolution WCC 2012-060), and associated guidelines such as the ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests.

Adopted in 1996 and 2004, IUCN policies on the definition and application of the precautionary approach are still the main references on this issue (Resolution WCC 1996-045 and Resolution WCC 2004-075). Last but not least, emerging in the mid-1990s, one important body of policies and guidelines relates to invasive species, drylands and land degradation, water resources, the latter encompassing issues related to dams, prior and during the establishment of the World Commission on Dams (WCD, 1998), and in subsequent years after publication of the WCD Report in 2012 (Resolution WCC 2012-089 on *Dams and hydraulic infrastructure*). This work covers specifically dam policies, governance, monitoring of performances, disclosure of information, conflict resolution, and capacity building in environmental and social impact assessment.

The IUCN website of the Global Policy work of IUCN includes all policy references including IUCN policy statements and position papers since 2000. An explicit platform has recently been created harboring the entire body of IUCN Resolutions and Recommendations approved since the 1950s.